

POLICIES AND PROCEDURES: FACULTY

2020-2021

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This manual contains the policies and procedures uniquely applicable to Millikin University faculty. This is not a contract, nor should the language used in this manual be construed as creating a contract, express or implied, between Millikin

University and any of its faculty or other employees. Each faculty member’s contractual relationship with Millikin University is governed solely by his or her letter of appointment or individual contract. (2.0)

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1 RIGHTS AND RESPONSIBILITIES OF FACULTY

Faculty should refer to the *Employee Handbook and Policy Guide* for additional guidance and clarification of their rights and responsibilities as employees of Millikin University.

1.1 PHILOSOPHY AND OBJECTIVES

To Deliver on the Promise of Education

At Millikin, we prepare students for:

- Professional success;
- Democratic citizenship in a global environment;
- A personal life of meaning and value.

1.1.1 A Statement of Vision for Millikin University

Our Vision:

To be the national leader of Performance Learning

Where theory, practice, and reflection guide our curriculum,
Where integrated learning, collaborative learning, and engaged learning dominate our culture,
Where students, faculty, staff, and administrators are engaged and stimulate.

The Guiding Philosophy of the Faculty

We value the life of the mind within the context of the whole person. We believe that intellectual curiosity, critical analysis, original thought, and creativity nurture both the individual and the larger community.

We are committed to promoting students' personal growth by challenging them to explore diverse ideas, viewpoints, and cultures; to build connections between their academic work and their experiences beyond the classroom; and to engage directly in service to others.

We are committed to developing graduates, faculty, and staff who will apply their talents ethically in the workplace and will serve society as responsible citizens.

We are committed to endowing graduates with a keen appreciation not only for their local and regional communities, but also for the dynamic, interdependent, global society in which we live.

We affirm the importance of spiritual development and the significance of religious belief as a source of inspiration for many. We also value dialogue among people of diverse

beliefs and perspectives as a means of enriching communities and the lives of individuals.

We value communities in which all members collaboratively explore the rich experiences of the past, critically examine and respond to the challenges of the present, and seek effective ways to positively influence the future.

A Vision for Millikin University

Guided by the core values and beliefs expressed above, and building on a century of experiences, we strive to achieve the following vision for Millikin University in the early years of the twenty-first century.

Millikin will be a community of scholars helping build a better world by dedication to the intrinsic value and the power of knowledge and to social action. Faculty, staff, and students will be committed to a learning community that honors the life of the mind, respects the dignity of each person, and challenges us to act responsibly and ethically. These ideals will be reflected in an integrated program of liberal learning and in strong interrelationships between liberal arts and professional programs. Recognizing the value of the University's Judeo-Christian heritage, we will also embrace the value of diverse cultures and perspectives. As we confront the social and technological transformations of a new millennium, we will shape a learning community responsive to the challenges of a rapidly changing age.

The vision of Millikin consists of four key components: A Culture of Educational Excellence, A Coherent Campus Learning Community, An Environment for Performance Learning, and A Campus Community of Partnerships with Others.

A Culture of Educational Excellence

We emphasize standards of excellence both in the classroom and throughout our activities on and off campus. We develop strategies for evaluation and continuous improvement consistent with our vision and changing needs.

We evaluate the quality of our total education process by internally developed quality standards, by the norms of peer institutions, and by national standards. In addition, we are responsive to the public perception of the value of a Millikin education.

We assess the impact and effectiveness of a Millikin education through close contact with employers, graduate schools, donors, students, alumni, and others.

We create a forum for ongoing discussions of the University's vision, the challenges of the twenty-first century, and the role of higher education in both the surrounding area and the larger society to foster a coherent learning community of excellence.

A Coherent Campus Learning Community

Millikin's thriving academic culture emerges from a coherent vision of education, emphasizing common intellectual and cultural experiences shared by all students. This common experience is complemented by rigorous academic programs that develop expertise in a variety of fields and provide for a broad grasp of significant intellectual issues. In recognition of the changing nature of the workplace, programs develop interdisciplinary, collaborative learning approaches that utilize internship experiences, student-mentor research, and technology-based teaching paradigms. It is also clearly understood that learning is not confined to the classroom but includes co-curricular programs that contribute to the development of the whole student.

This shared vision inspires members, individually and collectively, to accept responsibility and accountability for their learning community. Students, faculty, and staff are active participants in a community characterized by commitment to knowledge, highest standards of expectation, and belief in the ability to create positive change through social action.

An Environment for Performance Learning

Our founder, James Millikin, conceived of a university "where the scientific, the practical, and industrial shall have a place of equal importance, side by side with the literary and classical." We have built upon this legacy by designing an environment rich in Performance Learning where students are provided opportunities to experience real-world risks and rewards while combining theory and practice with imagination and innovation. Engaged in supportive partnerships with faculty and staff, our students practice their disciplines in the classroom and perform their disciplines through engagement with a wider community of experts -- scientists, artists, authors, or other committed third-party stakeholders. In this way, Millikin students can learn to shape their lives, own their careers, and impact their communities. We believe the best way to learn is to do and reflect -- in the classroom and beyond. We call this innovative approach to education Performance Learning. Our commitment to provide all students in all disciplines opportunities for Performance Learning distinguishes Millikin University as a leader in higher education.

Performance Learning provides students with opportunities to:

1. Partner with faculty, staff, and fellow students to create student-driven experiences which exist within and beyond the academic discipline.
2. Engage with third-party stakeholders in a purposeful and professional manner.
3. Participate in reflective processes which advance professional growth by critically examining the continuous cycle of doing/ learning/ becoming.

A Campus in Partnership with Others

Millikin serves as a learning resource for the surrounding community and seeks through creative educational partnerships to foster seamless life-long learning for its members. We have strong ties with external constituencies, employing telecommunications and

computer networking capabilities to serve and learn from education, business and industry, and public service organizations.

An essential element of the campus community is a commitment to service. Faculty, staff, and students work within the campus community, the Decatur area, and other external communities through service learning activities, mentoring programs, and other volunteer services. Through cooperative educational ventures with the community, we assist our students in integrating academic studies in the classroom with a range of experiences in society.

We have regional, national, and international affiliations with other colleges and universities that strengthen and revitalize our programs and draw upon our distinctive contributions to higher education.

1.2 FACULTY RESPONSIBILITIES AND ACADEMIC FREEDOM

Faculty excellence is the *sine qua non* of excellence in undergraduate education. To be sure, many elements contribute to superior undergraduate education, including resources, facilities, student abilities, motivation, achievement, and institutional culture. Nevertheless, faculty establish the curricula that guide student learning, serve as the mentors who help students develop competence, and are the *de facto* role models for intellectual, professional, and artistic engagement.

1.2.1 Academic Freedom

Millikin University requires that academic freedom be exercised in harmony with the specific character and objectives of the University. In consequence, all faculty members are expected to support the mission (Appendix X) and vision statements (Section 1.1) of the University.

Millikin University, like all nonprofit institutions of higher education, exists for the common good. The common good depends upon the free search for truth and its free exposition. Academic freedom in both teaching and scholarly/artistic activities is essential to these purposes. Academic freedom in teaching is fundamental to protecting the rights of the faculty member in teaching and the student in learning. Faculty are entitled to freedom in the classroom in discussing their subject areas, but they should exercise reasonable care not to introduce controversial material that has no relation to the subject. Academic freedom in scholarly/artistic activities is fundamental to the advancement of knowledge and truth.

Freedom carries with it responsibilities as well as rights. Just as faculty members should guard their right of free inquiry against limitation by others, so they should guard against limiting others' rights of free expression.

While affirming academic freedom as a right, Millikin University recognizes that, in some circumstances, questions of academic freedom become enmeshed in questions of professional incompetence or irresponsibility. The University's guiding principle is that

charges of professional incompetence or irresponsibility shall not be used to limit academic freedom, nor shall appeals to academic freedom be acceptable as a shield for professional incompetence or irresponsibility.

Disputes involving a charge that a faculty member's rights and academic freedom have been abrogated or that professional ethics have not been maintained will be settled through the established review and grievance procedures set forth in this *Policies and Procedures: Faculty*. (see 2.4.5 and 2.5)

1.2.2 Professional Conduct

1.2.2.1 Civil Discourse

As a scholarly community we must respect and accommodate diversity of opinion. Consequently, faculty and staff are expected to model reasoned and civil discourse.

1.2.2.2 Human Dignity

A central goal of the University is to establish a society in which the inherent dignity and value of every individual is respected and honored. It is important that all members of the Millikin community, especially those in instructional roles, support this goal through their personal interactions with students, staff, and colleagues.

1.2.2.3 Ethical Standards

In many cases, a student's first exposure to a professional field is through a faculty member. To promote the success of our students and the enrichment of the various professions, it is important that all Millikin faculty fulfill the highest ethical standards of their field.

1.2.3 Professional Responsibilities

Faculty work at Millikin University is categorized according to the following areas:

- teaching (defined in section 1.2.3.1)
- scholarship/artistic achievement (defined in 1.2.3.2)
- University service (defined in 1.2.3.3)
- service to the profession (defined in 1.2.3.4)
- professional service to the community (defined in 1.2.3.4)

Teaching is a central responsibility of the faculty. It is also the responsibility of each faculty member to remain actively and effectively engaged in University service and scholarship or artistic achievement on a regular and consistent basis. Each full-time faculty member's responsibilities typically include regular teaching duties equivalent to 12 credit hours per semester, University service, and scholarship/artistic achievement.

The lists of activities included below are not intended to limit either the activities that

can be included in a particular category or the classification of a particular activity. All faculty are encouraged to be creative in designing and pursuing activities that bring their expertise and talents to bear on the University's mission. Furthermore, Millikin University prizes the efficiency of activities that serve multiple communities or impact several areas of responsibility. Consequently, faculty are encouraged to pursue activities that fulfill several roles; accomplishments that fit this description will be considered in as many areas as appropriate during the evaluation process.

1.2.3.1 Teaching

It is the responsibility of every faculty member to provide an arena in which students can develop their skills, knowledge, and values. The faculty member should also aspire to instill in students a passion for learning, challenging each student at his/her own level.

Teaching effectiveness varies according to the interaction of subject matter, teaching methods, and students' learning styles. Therefore, it is the responsibility of the faculty member to seek to identify and pursue those teaching methods best suited to each situation. Such methods may include collaborative teaching, apprentice/mentor roles, service learning opportunities, seminars/discussions, traditional lecture models, or performance learning opportunities. In all learning situations, faculty should place a high value on active learning, in which each student is encouraged to integrate knowledge between courses and to connect learning to practices and problems in society.

All faculty are expected to maintain expertise in their disciplines, including familiarity with scholarly publications, and to develop and revise courses on an ongoing basis. Continued professional growth enables faculty members to set forth divergent views fairly and accurately.

Teaching Load

Although the target for full-time faculty is 12 equated hours per standard semester (fall and spring) during each academic year, individual teaching loads will be specified in each faculty member's contract letter. Assignment of faculty teaching loads and schedules will be made by the chair and/or director after consultation with the faculty and upon approval of the dean. In making teaching assignments, it is important to strive for reasonable equity. Apparent inequities will arise periodically as enrollments shift and/or when certain faculty are unavailable due to academic or personal leaves. When such inequities persist, the deans and provost should alleviate them by redistributing faculty positions, and, where pedagogically and financially sound, by hiring part-time and/or full-time faculty.

Availability for Student Conferences/Office Hours

Students count individual conferences with faculty members as one of the greatest assets of an institution like Millikin. Faculty should establish minimally five office hours per week to be posted outside their office doors. Faculty should make themselves

available on campus at least three days per week.

General and Academic Advising

Faculty often serve as informal advisors for students in their classes. In addition, most full-time faculty are assigned students for more structured or intentional advising. Because of the unique opportunity for mentoring on issues involved in both intellectual and career development, this represents one of the most important teaching roles of the faculty. Because the University recognizes the value of advising, it is evaluated within the area of teaching in promotion, tenure, and annual review processes.

The assignment of individual students to specific advisors is the responsibility of the department chair, division director, or dean. Students and advisors may request a change in advisors at any time.

Academic and general advising are complex tasks. It is the responsibility of the faculty advisor to help each student devise a plan of study that is consistent with his/her individual strengths and interests. The advisor must be prepared to help students interpret departmental, college, and University requirements as described in the bulletin.

While the University is committed to faculty advising, it is the responsibility of the student to seek out the advisor in a timely fashion, to provide information on personal and academic issues relevant to the student–advisor interaction, and to be familiar with appropriate sections of the University catalog, including but not limited to the requirements for graduation.

Students and advisors should meet at least once per semester; however, the advisor should be available and open to more frequent meetings if necessary, depending on the student's need for assistance and the extent of the advisor's mentoring role. Typical topics to be covered during one or more of the student–advisor sessions include

- a. discussion of life and career goals;
- b. formulation and review of an individual plan of study that fosters an appreciation for lifelong learning;
- c. verification that the student has investigated and considered specific degree and major requirements, including any new developments;
- d. discussion of the relationship between the student's personal characteristics and his/her selected area of study and/or career;
- e. consideration of strategies for improving academic performance;
- f. discussion of co-curricular opportunities; and
- g. referrals to other persons or agencies for special assistance, if necessary.

Because of the diversity in the nature of advising among the University's disciplines, it is the responsibility of each unit to create an appropriate advising system for its own faculty in the unit plan, as described in section 4.16. The system should include training of new faculty advisors, ongoing professional development of other faculty advisors, and assessment of the advising system.

1.2.3.2 Scholarship/Artistic Achievement

The Millikin faculty embrace the notion that the University is a community of scholars. Scholars produce scholarship. Therefore, the production of scholarship is a natural and necessary activity at Millikin University and is expected of the faculty.

Members of the Millikin academic community, both students and faculty, should contribute to the University's intellectual life by producing scholarship appropriate to their stages of development. Students should investigate questions and pursue projects that draw upon their ongoing education and expand their skills as developing scholars. Faculty should pursue projects that draw upon their established expertise and their skills as experienced scholars.

The production of scholarship is both an expectation and a measure of an excellent faculty member. Simply remaining current in one's discipline is at best only subsistence scholarship and should not be construed as satisfying the University's scholarship expectations. At the same time, the Millikin academic community's expectations concerning the frequency of formal scholarly or creative production are reasonable and consistent with our primary focus on student learning, our recognition of faculty members' multiple duties, and the variations among disciplines in the time frame necessary to complete projects.

Because diversity is valued and promoted at Millikin, the creative output of our community of scholars can take many forms. Thus, artistic achievement has equal stature with traditional scholarship. Scholarly contributions to the pedagogy and practices of the discipline (including Performance Learning) are considered scholarship. Furthermore, certain limited kinds of professional achievement (including consulting) are considered scholarship.

While Millikin values diversity in defining scholarship, some common elements are required to ensure uniformity across the University. Therefore, scholarship and artistic achievement are judged on the basis of the following criteria:

- a. Scholarship and artistic achievement includes any of the following: exploring new territory, reevaluating what is known or accomplished, developing new translations or interpretations, creating new visions or performances, and offering new methods of conceptualization or understanding.
- b. Scholarship and artistic achievement include a product, a performance, a text, or another creation that is put forth for review by one's peers—persons of at least equal expertise—for evaluation, review, appraisal, collaboration, affirmation, and acceptance or refutation.
- c. Scholarship and artistic achievement require engagement in an activity over time and periodically comes to formal closure. Faculty members should be engaged in scholarly or artistic activities, whether of seminal importance or of the stature of a footnote, in an ongoing fashion. Through these activities, faculty offer themselves as role models for their students and further contribute to their fields.

Because of the diverse nature of scholarship and artistic achievement among the University disciplines, it is the responsibility of each school or college to establish appropriate standards for the scholarship and artistic achievement of its own faculty. These standards are described in the college/school/division unit plans.

1.2.3.3 University Service

Duties undertaken by faculty in University governance, recruitment, public relations, program development, and program maintenance—all essential to the immediate health of the institution—are designated as University service. University service is expected of all full-time faculty: tenure and promotion to associate professor or professor will not be awarded without evidence of significant effort and contributions in the area of University service. At a minimum, this annually includes membership on one University committee or council or an equivalent contribution to the school/college or department/division; active involvement in departmental programs; and demonstrated engagement in the intellectual and cultural life of the campus.

It is the responsibility of each faculty member, assisted by the chair and/or director and dean, to determine ways to be most effective in satisfying this expectation.

Below are examples of University service of varying importance. Some of these items may count under other categories of faculty responsibilities as well.

- chairing a department/division
- conducting University assessment work
- advising a student organization
- contributing to student recruitment activities, such as interviewing Presidential Scholar/Honors Scholar candidates, interviewing/auditioning prospective students, or participating in Campus Visit Days
- participating in First Week activities
- representing Millikin in the media
- being part of a search committee
- writing a grant proposal
- administering a grant
- serving as an officer on a committee or as secretary at departmental meetings
- operating and maintaining programs (budget, equipment, inventory, etc.)
- organizing and coordinating internships
- serving as parliamentarian at faculty meetings
- writing letters of evaluation and recommendation
- managing student personnel such as lab technicians

1.2.3.4 Professional/Community Service

Service to the profession and professional community service are integral parts of the vision of Millikin University. They are, therefore, highly valued for their intrinsic merit as service activities and because they may in some cases be scholarly in nature. Faculty members are encouraged to pursue these activities both for personal and professional development and to support the overall institutional vision and goals. Because the

University recognizes the value of these activities, they will be given consideration in the promotion, tenure, and annual review processes. These service activities may not, however, be substituted for the basic expectation of University service.

Service to the Profession

Service to the profession is defined as service that promotes the growth and development of the faculty member's particular discipline or, more broadly, higher education. Service to the profession does not necessarily involve the personal application of the discipline, but rather the promotion of it (as a member of a professional organization) or the presentation of it (as an adjudicator or presenter).

Below are examples of service to the profession of varying importance. Some of these items may count under other categories of faculty responsibilities as well.

- leader or officer in a state, regional, or national professional organization
- committee member in a professional organization
- evaluator of papers for a professional journal
- juror for an exhibition or competition
- editor of a professional journal or newsletter
- adjudicator of a play, music festival, etc.
- speaker for a school or community organization
- participant at a professional meeting
- presenter of a workshop

Professional Service to the Community

Professional community service activities directly apply a faculty member's professional expertise to benefit a firm, agency, community organization, or the community at large. Although some of these activities may fit into the area of scholarship, their service component is an important one, and the service value of these activities should not go unrecognized. Therefore, they are listed here as professional service to the community.

Below are examples of professional service to the community of varying importance. Some of these items may count under other categories of faculty responsibilities as well.

- participating in a musical or theater performance
- designing/operating a discipline-related community program (e.g., a counseling program for abusive spouses)
- consulting
- providing in-service training for an organization
- directing a service learning project
- serving as artist-in-residence for a local school

Other Service to the Community

Other service to the community refers to activities undertaken off-campus that are not directly related to one's expertise. These acts of good citizenship, although not requiring

the expertise for which the faculty member was employed, are intended to contribute to the well-being of people outside the Millikin community.

Since the impact of these activities on the University is indirect, such activities will be considered for recognition and evaluation only if a compelling case can be made in support of their significance to the University. Activities for consideration in promotion, tenure, or annual reviews should generally involve leadership responsibilities. Since service to the community is not one of the required categories of faculty responsibilities (as described in section 1.2.3), it is the duty of the chair and/or director and dean to incorporate appropriate community service contributions into a faculty member's individual growth plan for evaluation.

1.2.3.5 Professional Contributions to the University

For those with split appointment contracts within the University, there are faculty roles and responsibilities that do not neatly fit into the traditional definitions of service, teaching, and scholarship/artistic achievement. Millikin recognizes this and acknowledges that performance of these roles and responsibilities is faculty work and needs to be evaluated as such. Additionally, some faculty responsibilities that are considered service may be better categorized as professional contributions to the University. Roles and responsibilities that are considered professional contributions to the University include, but are not limited to, directing and administering a specific program. Faculty with split appointments are to be evaluated on their professional contributions in addition to the categories in which all faculty are evaluated (see 2.1.1.2).

1.3 INDIVIDUAL FACULTY GROWTH PLANS

To keep the configuration of faculty work clearly focused in the minds of faculty members and to assure adequate professional development, growth plans are to be initiated by all tenured and tenure-track faculty members in consultation with the appropriate chair and/or director and with the approval of the dean. The written growth plan should consist of a summary of agreements between the faculty member, chair and/or director, and dean about the plans that faculty member has for professional growth. Untenured tenure-track faculty are required to develop an initial growth plan, usually for three years—the length of which coincides with the mid-tenure review. A second plan is required for the length of time remaining to the tenure review. In cases where the probationary period is less than six years, the length of the growth plan will be determined in consultation with the chair/director/dean. Tenured faculty should develop five-year growth plans, which are updated during the annual evaluation and are used to inform administrative decisions. First-year full-time faculty growth plans are due the first day of the faculty member's second semester to the department/division chair or director and the dean.

Growth plans should address the following issues:

- a. a description of goals in each of the areas of faculty responsibility described in section 1.2.3

- b. a description of how the plan will contribute to the mission and effectiveness of the faculty member's department/division, college, and the University
- c. a statement of how the plan is intended to meet any of the criteria for the faculty member's goals with regard to promotion or tenure
- d. a description of institutional and non-institutional support that must be provided or sought to fulfill the growth plan
- e. multiple means of assessing the success of the proposed growth plan

Growth plans must be flexible. They provide a means of articulating an understanding among faculty, chairs/directors, and deans, who must agree to their appropriateness. It is understood that important, unexpected opportunities for the faculty member or needs of the University may arise that may modify a faculty member's growth plan. Growth plans are not contractual; their purpose is to help faculty develop and articulate plans for professional growth that are consistent with the University's needs and mission. These growth plans become part of each faculty member's personnel file.

2 FACULTY APPOINTMENTS

2.0 THE RELATIONSHIP OF THIS MANUAL

This manual contains the policies and procedures uniquely applicable to Millikin University faculty. It is not a contract, nor should the language used in this manual be construed as creating a contract, express or implied, between Millikin University and any of its faculty or other employees. Each faculty member's contractual relationship with Millikin University is governed solely by his or her letter of appointment or individual contract.

The administrative or staff responsibilities of faculty members with administrative or staff appointments are specified in the individual contracts of such faculty members.

2.1 DEFINITION OF FACULTY, FACULTY RANKS, AND FACULTY TITLES

A *ranked faculty member* is a full-time or part-time faculty member of the University who has been appointed to one of the four regular academic ranks: instructor, assistant professor, associate professor, or professor.

A *lecturer* is a full-time faculty member not holding one of the four ranks listed above. If a faculty member holds the rank of lecturer, he/she may (by recommendation of the appropriate department/division chair or director and with the approval of the appropriate dean, the provost, and the president) be moved to a rank in the tenure track. If this transfer takes place, the time spent in rank of lecturer may count toward the maximum six-year probationary period, if so designated in the letter confirming the transfer.

2.1.1 Full-Time Faculty

A *full-time faculty member* is a contractual faculty member of the University who is qualified for appointment to one of the academic ranks listed above or the position of lecturer and who ordinarily has full-time teaching duties or has teaching and other duties (e.g., academic administration, counseling) equivalent to the responsibilities of a full-time faculty member.

2.1.1.1 Tenure Track Ranks Appointment

Appointment to a full-time position as instructor, assistant professor, associate professor, or professor in one of the teaching departments/divisions at Millikin constitutes placement in the tenure track unless the position is for a specified period of time and is designated nontenurable.

2.1.1.2 Full-time Faculty with Split Appointments

Full-time faculty who assume and perform significant program-related responsibilities, either at the time of initial hire or at a later date, and who are qualified for

appointment to one of the academic ranks (instructor, assistant professor, associate professor, professor), shall be designated in their contracts as holding split appointments. The faculty member is expected to perform the duties of a regular faculty member (i.e., teaching, scholarship/artistic achievement, and service) in addition to his or her defined program duties. Moreover, his or her program duties shall be academic in nature. Neither a split appointment nor the responsibilities of that appointment preclude access to faculty development funds, tenure, promotion, and/or sabbatical leave (if tenured or tenure-track). Areas of activity associated with the program and time devoted to program responsibilities shall be defined in the contract. These professional duties, along with teaching, scholarship/artistic achievement, and service, are equivalent to the responsibilities of a full-time faculty member. Faculty members with split appointments have full voting privileges in the academic department/division in which their teaching takes place.

The teaching component for all split appointments will be reviewed and determined in consultation with both the appropriate dean and the department chair/division director. The teaching load specified in the letter of hire and/or contract letter will be considered full-time teaching with regard to tenure and promotion.

2.1.2 Part-Time Faculty (Adjunct Faculty)

A part-time faculty member is considered a member of the adjunct faculty and usually has a teaching assignment of six or fewer equated credit hours per semester; usually has no other faculty duties or responsibilities; is selected in the manner set forth below in section 2.3.2; receives a term contract as described in section 2.2.2; receives no fringe benefits or Millikin-funded educational assistance; and is ineligible for and does not accrue time toward tenure, promotion, or sabbatical leave.

Adjunct faculty are expected to be available at least one hour per week for each three equated hours taught to advise students regarding their course work. Department and program chairs should make an effort to include adjunct faculty, when appropriate, in the life of the department/division. Adjunct faculty should attend departmental/divisional meetings when requested by the chair and/or director.

Letters of appointment for part-time faculty are written by the provost upon recommendation of the appropriate dean.

Rank as an adjunct is based upon experience and qualification. Adjunct compensation is based upon rank, prior experience, and market factors.

Part-time faculty appointments are at the discretion of the University and will occur based on the needs of the University. Appointments for any particular term or terms, even if consecutive, do not create an obligation on the part of the University to make subsequent appointments or to extend future teaching contracts.

2.1.3 Special Appointment Faculty

2.1.3.1 Professor Emeritus

Professor Emeritus or *Emerita* may be assigned to associate professors or professors who have limited or ended their responsibilities as ranked full-time faculty members for valid reasons (e.g., retirement, illness) after 15 or more years of distinguished service to the University. The 15-year minimum may be waived at the discretion of the provost or upon vote of the faculty for faculty members who have given exceptional service to the University. These titles are conferred by the president upon the recommendation of the provost. The provost will consult with the appropriate dean(s), department chair(s), division director(s), and senior faculty prior to making the recommendation. The Advisory Committee on Promotion and Tenure may also send to the provost a recommendation for this title designation.

No compensation accrues by virtue of emeritus standing.

2.1.3.2 Visiting Appointments

All visiting appointments for full-time or part-time faculty status are term contracts and are for a limited period of time with no intent of ongoing employment. Visiting appointments are reserved for faculty members of other institutions and persons distinguished in their fields.

2.1.3.3 Scholar-in-Residence

Occasionally, artists, writers, scholars, and other qualified professionals working in a field of study may be appointed under the status of a Scholar-in-Residence, Artist-in-Residence, or Nursing Affiliate. Such appointments are made through term contracts that may be renewed at the request of the dean and with the approval of the provost. These contracts specify teaching and load and may specified other assigned duties (such as performance, clinical or service duties).

2.1.3.4 Equivalent Rank Faculty

The designation of *equivalent rank* (i.e., equivalent instructor, equivalent assistant professor, equivalent associate professor, equivalent professor) denotes a non-tenurable appointment for (a) non-teaching members of the faculty who hold no departmental affiliation or (b) members of the faculty whose basis for appointment is principally non-classroom duties and/or (c) those whose credentials do not meet the prerequisites for consideration for tenure.

If a faculty member holds equivalent rank, he/she may (by recommendation of the appropriate department chair and/or division director and with the approval of the appropriate dean, the provost, and the president) be moved to a rank in the tenure track under the following conditions:

- a. If he/she becomes a teaching member of the faculty with departmental affiliation, and

- b. If the basis for his/her appointment becomes principally classroom teaching.

2.1.4 Administrators with Faculty Rank

The administrative or staff responsibilities of faculty members with administrative or staff appointments are specified in the individual contracts of such faculty members.

Persons cannot be tenured in administrative positions, although tenure may be held by an administrator as a part of his/her faculty privileges. Such, for example, is the case if a Millikin University faculty member with tenure accepts an administrative position. The removal of persons from their administrative positions does not impair whatever rights they may have in their particular faculty ranks. The salary of an administrator with faculty rank who returns to full-time teaching will be determined on the basis of his/her previous salary as a full-time teaching faculty member, with appropriate adjustments for cost of living and merit.

Upon recommendation by the provost, academic administrators hired from outside Millikin University to fill administrative positions may be granted tenure in an academic unit by the president and the Board of Trustees. Before making such a recommendation, the provost will consult with the appropriate department chairperson, division director, dean, and the Advisory Committee on Promotion and Tenure.

Administrators who have no tenure rights may have an academic rank attached to their position. Their teaching is protected under academic freedom, but they are ineligible for promotion, tenure, or educational or sabbatical leave privileges.

Faculty with 12-month contracts that include administrative responsibilities are entitled to the usual administrative employee benefits as explained in the *Employee Handbook and Policy Guide*.

For administrators with faculty rank and tenure status, levels of professional duties, along with teaching, scholarship/artistic achievement, and service, will be determined by the provost in consultation with the appropriate dean and department chair/divisional director. Professional duties will be delineated through annual goals and/or growth plans. Administrators with faculty rank will have the same privileges granted to full-time faculty.

2.2 TYPES OF CONTRACTS, DEFINITIONS, AND CONTRACT POLICIES

2.2.1 Definitions

The term *tenure-track faculty member* refers to an untenured faculty member who will be eligible to apply for continuous contract status (tenure) at a time consistent with the guidelines in sections 2.2.3.1 and 2.2.4 of this *Policies and Procedures: Faculty*.

The term *lecturer* refers to a faculty member who receives a notice contract (see 2.2.3)

and who is ineligible for tenure. A lecturer position can be renewed indefinitely, based on the needs of the University.

The term *probationary period* refers to the period of time during which a tenure-track faculty member is actively being considered for a tenured position, as set forth in section 2.2.3.1 of this *Policies and Procedures: Faculty*. During his/her probationary period, a faculty member shall have the same academic freedom and privileges held by all other faculty members.

The term *notice contract* indicates a contract with specific provisions covering the time of notification for renewal or non-renewal of the contract. All tenure-track faculty receive notice contracts; all other faculty receive either a notice contract or a term contract, depending on their status and assigned responsibilities. A *term contract* has no provisions for notice of renewal because it is by definition limited to a specified period of employment. Full-time non-tenure-track faculty, whether receiving notice or term contracts, are not eligible for sabbatical leave unless specified otherwise in their contract. They are, however, eligible for all other faculty development funds.

2.2.2 Term Contracts

Adjunct and special appointment faculty members will ordinarily be given term contracts (see 2.1.2 and 2.1.3). These contracts do not entitle a faculty member to continued employment after the end of the period specified in the employment contract.

Term contracts may also be used with full-time ranked faculty in the following special circumstances: all summer session contracts; one-semester or one-year replacements for faculty on leave; or, with the specific approval of the provost, to meet curricular needs. No more than six consecutive academic-year contracts of this latter type will be given to a full-time faculty member.

2.2.3 Notice Contracts

A faculty member with a notice contract may expect the contract to be renewed by a specified date, as indicated in the contract, unless otherwise notified pursuant to the terms of the applicable contract. A notice contract may be for a period of one or more years and may or may not be tenure-track. If a notice contract is a tenure-track contract, each year of a faculty member's employment thereunder shall be considered a part of that faculty member's probationary period except as described in section 2.2.3.2.

Except as noted in sections 2.2.3.2, six one-year tenure-track or non-tenure-track notice contracts may be issued per faculty member, and the notice provisions of section 2.4.3 apply to faculty members under this type of contract.

In special circumstances, such as for hiring developmental educators or meeting special curricular needs, the University may offer a three-year non-tenure-track contract to a faculty member. If the contract is so offered and accepted, the faculty member may only be separated under the provisions of section 2.4 during the period of the contract.

Renewable three-year non-tenure-track contracts may be offered subsequently.

2.2.3.1 Maximum Probationary Period

Except as noted in sections 2.2.3.2 and 2.2.3.3, the maximum probationary period of a tenure-track faculty member shall not exceed six years; therefore, a faculty member who is not granted tenure will receive a terminal contract for the seventh year. The standards for notice apply; thus, a probationary faculty member who is not granted tenure will receive a terminal contract no later than April 1 of his/her sixth year (or earlier if credit for prior service is granted and accepted at the time of hiring). The length of the probationary period is not affected by summer school employment.

2.2.3.2 Leave of Absence and the Probationary Period

If a probationary faculty member is granted a nonacademic leave of absence for two or more semesters, the period of time spent on such leave will not count toward the maximum seven-year probationary period.

2.2.3.3 Tenure Extension Proposed Policy

During the probationary period, any tenure-track faculty member may request to extend the tenure period due to life events that may impede his/her progress toward achieving tenure. A faculty member may request the tenure period extension regardless of whether the person continues to perform faculty duties or takes a partial or full leave of absence.

The tenure extension may be requested for a six-month or one-year period, and a maximum of four six-month requests or two one-year requests will be granted during the probationary period. The tenure extension request should be made as soon as possible in advance of a planned event, and as soon as practically possible after the occurrence of an unplanned event. Depending on when the tenure extension request is made during the probationary period, the faculty member may need to revise his/her growth plan based on consultation with the chair/director/dean.

The formal request for tenure extension must be made in writing to the provost, with supporting written documentation from the department chair or program director and dean. As guidance for the Advisory Committee on Promotion and Tenure, the provost will provide the tenure candidate with a written letter, a copy of which will be placed in the candidate's personnel file, indicating that candidates for tenure who have received an extension should be reviewed under the same institutional academic standards and policies as everyone else, without penalty, regardless of the length of their tenure period.

The following is an illustrative, but not exhaustive, list of life events that might result in a request to extend the probationary period:

- childbirth or adoption
- caretaking responsibilities for an elder, dependent, spouse, or domestic partner
- serious physical or mental health conditions of the tenure candidate
- death of a child, parent, spouse, or domestic partner
- military service or obligations
- legal concerns, including but not limited to the settling of an estate, divorce, and custody deliberations and disputes

2.2.4 Continuous Contracts (Tenured Positions)

Tenure guarantees continued employment during satisfactory conduct and effective professional performance. Tenure may be acquired only by those faculty members whose initial notice contract states that they have been placed on the tenure track. On some occasions, a person originally employed in a non-tenurable position may subsequently be placed on the tenure track; however, this transfer of condition of employment will always be stated in a contract that specifies when the faculty member is being placed on the tenure track and when he/she will be reviewed for tenure. The tenure track may include all instructors, assistant professors, associate professors, and professors who hold rank in one of the teaching departments at Millikin. The tenure track does not include faculty who hold equivalent rank, or adjunct rank, lecturer status, or special appointment status. Infrequently, the president may grant tenure in a faculty member's initial contract upon the recommendation of the provost. Prior to making such a recommendation, the provost will have consulted with the department chair, division director, dean, and the Advisory Committee on Promotion and Tenure.

Continuous contract rights at Millikin University are given to faculty members who have attained tenured status. Faculty members employed under a continuous contract are entitled to annual reappointment and salary letters and shall be subject to the terms and conditions of employment specified in the initial letter of appointment or individual contract, unless separated pursuant to any subsections of section 2.4 of this *Policies and Procedures: Faculty*. The annual reappointment and salary letter must be signed by the faculty member, and signed copies must be in the possession of both the University and the faculty member.

If a faculty member comes to Millikin with full-time faculty experience at another accredited institution of higher education, the faculty member may transfer previous experience toward the probationary period. The number of years transferred will be negotiated with the appropriate dean. Normally, not more than two years will be transferred. In all cases, the initial contractual letter will specify the amount of experience that Millikin will apply to the faculty member's probationary period under a tenure-track notice contract.

2.2.5 Locus of Appointments

All faculty holding non-tenure-track, tenure-track, or continuous contracts have as their locus the department or academic unit that is stated in their initial contract or letter of

appointment. Dual appointments to different academic units may be granted a faculty member. In such a case, the provost, in consultation with the faculty member and the appropriate dean(s), will select one academic unit as the faculty member's primary academic unit.

2.2.6 Issuance, Receipt, and Form of Contract

All notice and continuous contracts for the academic year must be printed and issued on or before April 1 and must be signed and returned on or before April 15, or the first working day thereafter. If a contract offer is not accepted on or before April 15, the offer will automatically expire on that date unless a special arrangement is made with the provost. All term contracts are issued on an individual basis as the need arises.

2.2.7 Contracts for Individuals with Split Appointments

Contracts for individuals with split appointments ordinarily include the following:

- a. a description of the status of the position (i.e., tenure-track, non-tenure-track, rank, proportion of effort for each area of the position, salary, length of contract, and expectations of period of service during the calendar year)
- b. a description of the mechanism of performance review for each area of responsibility, including dates for such reviews and details regarding how these reviews will take place
- c. a statement of the responsibilities in each component of the position, including the evaluative percentages assigned to teaching, scholarship/artistic achievement, service, and professional contributions to the University (The percentages assigned to teaching, scholarship/artistic achievement, and service should be proportional to the relative weights assigned in section 4.8.1 for full-time faculty.)
- d. a description of the activities that will be considered in evaluating each of the areas identified (i.e., teaching, scholarship/artistic achievement, service, and professional contributions to the University)
- e. an identification of the person(s) who will evaluate performance in each of the components of work that collectively constitute the position
- f. a description of the expected consequences should the duties associated with a part of the contract end

These contracts may be modified with the agreement of the person holding the position, the provost, the appropriate dean(s), and the chair(s)/director(s) of the appropriate department(s)/division(s).

2.3 FACULTY APPOINTMENTS

2.3.1 Recruitment and Appointment Procedures for Full-Time Faculty

Recruiting full-time faculty is the responsibility of the appropriate academic dean, who shall provide necessary administrative services and keep accurate data regarding compliance with equal opportunity policy. The dean may delegate any or all of the

procedural matters to department chairs, division directors, or search committee chairs. For all full-time positions, Millikin is committed to hiring the best candidates with a demonstrated commitment to undergraduate education, to high standards of scholarship/artistic achievement, to professional productivity, to accepted ethical standards of behavior, and to the concepts of education consistent with Millikin's mission. Moreover, Millikin provides equal employment opportunities without regard to protected status in compliance with applicable federal, state, and local laws. Millikin University is committed to hiring faculty with diverse intellectual orientations, professional skills, and expertise. For all tenure-track positions, and where feasible for other full-time faculty appointments, the vacancy shall be publicized nationally (e.g., via professional journals, conferences, placement services, and graduate schools). Exceptions to this standard practice must be approved by the provost.

The chair of the department, director of the division, and/or search committee, after consultation with departmental faculty, shall recommend to the academic dean an individual appointment to the position. If in agreement, the dean will forward the recommendation to the provost so a contract may be offered.

For additional guidelines, see the *Employee Handbook and Policy Guide*, policy #205, Solicitation of and Hiring New Employees.

2.3.1.1 Initial Appointment Letter for Full-Time Faculty

All full-time faculty appointments are made in writing. The provost shall send each appointee two printed copies of a letter stating the terms of the appointment, including salary, rank, period of service, and the date for tenure review (if applicable). The initial contract letter shall state the terminal degree requirements that must be met for the awarding of tenure and for promotion in the position being offered. In addition, any special conditions that have been mutually agreed upon are set forth in the official letter of appointment. The appointee shall sign a copy of the letter (within a stated period of time) and return it to the provost. Any changes subsequently agreed to by the appointee and the provost will be made in writing.

2.3.2 Recruitment and Employment of Part-Time Faculty

When an adjunct position on the faculty is to be filled, the chair of the department and/or the director of the division sponsoring the course will consult with the dean of the academic unit. The best-qualified person in terms of educational background, demonstrated knowledge of the subject matter, teaching experience, and potential for teaching excellence will be given preference. No one will be hired without at least a master's degree or its equivalent in the subject matter to be taught, except when the individual has unusual professional, technical, or artistic expertise.

In many cases, adjunct faculty are employed only when student demand is great enough to add a course or section of a course. For this reason some adjunct faculty will not receive an official contract until enrollment figures are known, which might not be until after the last day of registration. Millikin University reserves the right to cancel any class in which an insufficient number of students have registered (as determined by the

University). Under some circumstances, an adjunct faculty member might be given the option of teaching a class with low enrollment at reduced compensation.

2.3.3 Rank at Appointment

The usual criteria for initial appointment at each faculty rank are detailed below. Sections 3.3.3.1 and 4.10–4.15 provide definitions of several terms used below.

Criteria for appointment to the rank of **instructor** include

- a. appropriate degree from an accredited institution or extraordinary applicable professional experience, as determined by the provost
- b. evidence of potential for excellence in teaching;
- c. evidence of potential for significant scholarship/artistic achievement; and
- d. evidence of a willingness and ability to make significant contributions to the work of the University.

Criteria for appointment to the rank of **assistant professor** include

- a. the specified terminal degree from an accredited institution;
- b. evidence of potential for excellence in teaching;
- c. evidence of potential for competent scholarship/artistic achievement;
- d. evidence of a willingness and ability to make competent contributions to the work of the University; and
- e. if applicable, evidence of potential for competent professional contributions to the University.

Criteria for appointment to the rank of **associate professor** include

- a. the specified terminal degree from an accredited institution;
- b. at least six years of full-time college teaching;
- c. evidence of excellence in teaching;
- d. evidence of competent scholarship/artistic achievement; and
- e. if applicable, evidence of competent professional contributions to the University.

Criteria for appointment to the rank of **professor** include

- a. the specified terminal degree from an accredited institution;
- b. at least six years of full-time college teaching at the associate professor level or above;
- c. evidence of excellence in teaching;
- d. evidence of excellence in scholarship/artistic achievement;
- e. if applicable, evidence of excellent professional contributions to the University;
- f. evidence of competent achievement in service to the profession and/or professional service to the community, to the extent that these can be evaluated; and
- g. overall excellence (as defined in section 3.3.3.1).

With the permission of the president and the Board of Trustees, after consultation with the Advisory Committee on Promotion and Tenure, the foregoing criteria for ranked faculty may be modified or waived to accommodate extraordinary circumstances or to

otherwise meet the needs of the University.

2.4 SEPARATION

At times, Millikin University or individual faculty members may find it necessary to end their contractual relationship. To protect the interests of both parties, categories of separation are here defined, and the policies and procedures related to each are set forth. Types of separation are resignation, retirement, non-reappointment, termination for medical reasons, layoff, and suspension or dismissal for cause.

2.4.1 Resignation

Resignation is a severance action by which a faculty member voluntarily seeks to be released from a contract with Millikin University. Because of hardship to the University that is often caused by untimely resignations, a faculty member should provide the earliest possible notice of intent to resign. Ordinarily, the faculty member is expected to give notice to his/her chair and/or director, dean, and the provost no later than April 15 if he/she does not intend to teach at Millikin the following academic year. Except in unusual circumstances, resignations will be effective at the end of an academic year. In an emergency, a faculty member may ask the administration to waive the policy, but the faculty member is expected to conform to the decision of the administration if he/she has a signed contract.

2.4.2 Retirement

Millikin University recognizes that in some instances retirement before the age at which Social Security or Medicare takes effect may work to the mutual advantage of the University and the individual faculty member. There may also be instances in which a faculty member desires to phase in his or her retirement over a period of time in such a way that it works to the mutual advantage of the University and the individual faculty member. Therefore, voluntary early retirement or voluntary phased-in retirement, based upon mutual agreement, may be considered on a case-by-case basis, taking into account the faculty member's years of service to the University, the needs of the University, and whatever other lawful and reasonable factors serve the best interests of the University community. Specific conditions of any such agreements will be negotiated through the provost and Human Resources on a case-by-case basis and shall not be binding on the University in regard to other early retirement or phased-in retirement agreements. Faculty members may initiate these conversations with their dean.

2.4.3 Non-Reappointment of Notice Contracts

2.4.3.1 Notice Dates

Notice of non-reappointment of a faculty member with a notice contract will be given by the provost via printed letter by the following dates:

- a. no later than April 1 of the first academic year of service if the contract expires at

- the end of that academic year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination
- b. no later than December 15 of the second academic year of service if the contract 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
 - c. no later than September 1 of the final year if the faculty member has taught at Millikin for two or more years

2.4.3.2 Reasons for Non-Reappointment of Notice Contracts

The term *non-reappointment* means the University has decided not to renew a faculty member's contract at the conclusion of the stated term of the notice contract. Legitimate reasons for non-reappointment do not require that a faculty member is performing unsatisfactorily.

The decision not to reappoint a faculty member is made by the provost after receiving written recommendation from the appropriate dean, who will have consulted with the appropriate department chair(s) and/or division director(s). If the faculty member is a department chair, the dean will consult with the division chair, if appropriate, and senior members of the academic department. If the faculty member is a division chair/director, the dean will consult with the senior members of the division and other division chairs/directors. A decision not to reappoint cannot be unlawfully discriminatory, arbitrary, capricious, or in violation of academic freedom.

In cases where faculty members believe that their non-reappointment has been discriminatory, arbitrary, capricious, or in violation of academic freedom, they may file a grievance in accordance with the procedures set forth in section 2.5. The burden of proof lies with the faculty member. The review of the Grievance Committee shall be limited to determining whether the non-reappointment was motivated solely by unlawful discrimination, was arbitrary or capricious, or violated academic freedom, or whether there was a reasonable basis for the decision.

The University is not obligated by law to indicate reasons for non-reappointment except at the request of the faculty member involved. However, if the faculty member wishes to know the reasons for non-reappointment, a request in writing should be made to, and honored by, the provost. The provost's response will be in writing and will become part of the personnel record of the faculty member. An appeal for reconsideration of a non-reappointment decision may be made by the faculty member to the president. The decision of the president is final.

2.4.4 Layoffs

Layoff is a severance action by which the University terminates the services of a faculty member before the expiration of his or her current contract, without consideration of his or her performance, by the University's president and Board of Trustees. Layoffs may be

deemed necessary by the president and Board of Trustees for reasons such as the substantial rearrangement or elimination of academic programs, a prolonged decline in enrollment, financial stringency, and/or other significant events.

The University defines *financial stringency* as a financial condition that threatens the fiscal soundness of the University or one of its academic units. A financial stringency permitting termination of tenured, tenure-track, or multi-year appointments need not threaten the viability of the institution as a whole but may apply to a specific college, school, or division. If the Board of Trustees directs the University's president to develop a plan for remedying a financial stringency, the protection of viable academic programs and of tenured, tenure-track, and multi-year appointments shall be a strong priority. However, at the discretion of the president, the University may terminate the appointments of tenured, tenure-track, and multi-year-contract faculty using the policies and procedures set forth below.

The Board of Trustees believes that the strength and success of the University derive largely from the commitment, academic quality, and service continuity of its faculty. The Board of Trustees also recognizes that it shares with the faculty governance of the curriculum, selection of new faculty, and awarding of tenure. Therefore, should the University's president and Board of Trustees find it necessary to consider faculty layoffs, the president will consult with his/her Cabinet and the appropriate governance committees of the faculty with regard to the layoff plans proposed, and will take into account the views of the faculty when finalizing such a plan. The timing of the consultations shall be announced in a notice of necessity for layoffs sent from the president to the faculty. Following these consultations, final decisions regarding the layoffs, and the procedures and timing to be followed, rest solely with the president of the University, subject to the approval of the Board of Trustees.

As part of the consultation process, the faculty, through the faculty governance councils or other duly authorized representatives, may make suggestions and proposals to the president regarding procedures to be considered in the layoff process, including any voluntary cost-cutting measures the faculty may wish the president to consider, such as furloughs or reduced workloads and salaries.

When possible, the provost will provide a faculty member with 10 months' notice of his/her layoff and will terminate his/her relationship to the University at the end of an academic year.

The dean, the provost, and the president will make a reasonable effort to assist any terminated faculty in finding other employment at Millikin University or employment in industry, government, or at another educational institution.

If a tenured or tenure-track faculty member is laid off, no replacement for his or her

position will be hired within a period of 24 months without first offering to reappoint the laid-off faculty member. The faculty member will be given at least one month after written notice of the offer to accept or decline the position. It is the responsibility of a laid-off faculty member to keep the University informed of his or her current address.

Order of Layoff

Following implementation of any voluntary measures, and to the extent that program integrity would not be adversely affected, as determined by the dean, the provost, and the president, layoffs will proceed as follows:

- a. All non-tenured administrative ranked faculty within the department, program, or division involved should be laid off first.
- b. All non-tenured and non-tenure-track faculty with term or notice contracts within the department, program, or division involved should be laid off next.
- c. Taking seniority into consideration, probationary faculty should be laid off next.
- d. If tenured faculty members are laid off within the department, program, or division involved, the following order should be followed: lowest rank, lowest academic degree in rank, lowest seniority in rank. The provost shall provide the official documentation on rank, degrees, and seniority.

Faculty members who receive notice of layoff have the right to a full hearing before the Grievance Committee (section 2.5). The issue of the grievance shall be confined to procedural issues. A layoff will not be delayed in the case that the grievance is not settled by the effective date of layoff; nor will the grievance procedure be interrupted or denied because of the layoff.

2.4.5 Dismissal For Cause

Dismissal for cause is a severance action by which Millikin University terminates its contract with a faculty member for adequate cause, regardless of status or rank. It may occur at any time, with or without prior warning. Faculty with any type of teaching contract are subject to dismissal for cause. Adequate cause for dismissal must be directly and substantially related to the fitness of a faculty member to continue in his/her professional capacity as a teacher and shall be determined in accordance with the procedures outlined below. Dismissal will not be used to restrain a faculty member's academic freedom or other rights as a citizen.

Dismissal proceedings may be instituted on any of the following grounds; however, cause for dismissal is not limited to these examples:

- professional incompetence

- a pattern of failure to perform job-related assignments, or other reported neglect of academic duties despite oral and written warnings
- knowing or reckless violation of professional ethical standards
- knowing or reckless violation of the rights and freedom of students or other employees of the University, including discrimination or harassment
- conviction of a crime directly related to the faculty member's fitness to practice his or her profession
- dishonesty, including, but not limited to, plagiarism, forgery, falsification of credentials or experience, or the misappropriation or misapplication of funds
- failure to follow the standards, policies, directives, and guidelines within this *Policies and Procedures: Faculty*, or failure to follow any other reasonable written and published standards after oral and written warnings
- sexual misconduct

The burden of proving adequate cause for dismissal rests on the University. Such proof must be based on a preponderance of the evidence in the faculty member's record considered as a whole.

2.4.5.1 Procedures for Dismissal for Cause

In any case involving dismissal for cause, the following procedures will be followed:

- a. If the provost believes that a faculty member's conduct may be grounds for dismissal, or for sanctions short of dismissal, he/she will consult with the Advisory Committee on Promotion and Tenure in regard to both the substance of the suspected or alleged problem and procedures for resolving it. The Advisory Committee will work with the provost to select faculty fact-finders, if necessary, to advise and guide the provost in making a decision about dismissal or other sanctions. If the information that led to the provost's initial concern about the faculty member came from the Advisory Committee, he/she will consult with the chair of the Faculty Welfare Committee to select faculty fact-finders if necessary. These investigations will be guided by relevant procedural guidelines of 2.4.5.2.
- b. After consulting with the faculty fact-finders and the Advisory Committee on Promotion and Tenure, if the provost determines that dismissal or other actions should be taken, the provost will give the faculty member written notice that a recommendation for his/her dismissal for cause, or other sanctions, will be made to the president.

This notice shall be sent by certified mail, return receipt requested, to the last-known home address of the faculty member. It shall contain a written statement

of the grounds on which the recommendation to discipline the faculty member is being made, and a brief summary of the cause in support thereof.

- c. Before the recommendation is sent to the president, the faculty member must be given a reasonable opportunity within 10 working days to meet with the provost and present a written defense against the recommendation for dismissal or other sanctions. If, after meeting with the faculty member, the provost submits the recommendation to the president, it must be accompanied by the faculty member's written defense, and the faculty member must be informed in writing of his/her right to a hearing before the Faculty Welfare Committee.
- d. If the faculty member requests a hearing before the Faculty Welfare Committee, via written communication to its chair, that hearing will be held in accordance with section 2.4.5.2 of this *Policies and Procedures: Faculty*. The Faculty Welfare Committee will send its written recommendation based on that hearing to the provost, who will forward it immediately to the president.
- e. If the president decides that dismissal or other sanctions are appropriate, based on recommendations from the provost and/or the Faculty Welfare Committee, then the faculty member will be given a final opportunity to meet with the president to present a defense against the dismissal or other sanctions. The president's decision to retain or terminate a faculty member is final.
- f. Following a full hearing as described above, if the president chooses to dismiss a faculty member contrary to the recommendation of, or without a recommendation from, the Faculty Welfare Committee, the president shall so inform the Faculty Welfare Committee and shall provide the Committee with the reasons for his/her decision.

2.4.5.2 Procedures for Hearing before the Faculty Welfare Committee

Before the hearing, the members of the Faculty Welfare Committee will be given copies of all pertinent materials. Members of the Faculty Welfare Committee who deem themselves to have a conflict of interest or a personal bias or prejudice should remove themselves from the case. The faculty member who requests the hearing shall have the right to challenge any Committee member whom he/she believes will not be able to fairly decide the case. Any person challenged by the faculty member shall be removed only by majority vote of the other Committee members; however, each party to a dispute or each faculty member under consideration for termination shall have the right to excuse one Committee member for any reason without the aforementioned majority vote. Five members shall constitute a quorum for Committee proceedings. Any deficiency of fewer than five members shall be resolved by appointment made by the chair of the Faculty Welfare Committee, choosing in random order from the most recent past members of the Faculty Welfare Committee currently teaching full-time.

The following procedures for the hearing shall be followed:

- a. The Faculty Welfare Committee shall, at its first meeting, determine its own rules

and procedures not otherwise specified in this document. The Faculty Welfare Committee shall elect a chairperson to direct the proceedings and rule on procedural matters, including the granting of reasonable extensions of time at the request of any party who can show good cause for extension.

- b. With the consent of the parties concerned, the Committee may hold pre-hearing meetings in order to (1) simplify the issues; (2) establish agreed-upon facts; (3) provide for the exchange of documentary information; and (4) achieve any other appropriate pre-hearing objectives to make the hearing fair, effective, and expeditious.
- c. A faculty member who desires a hearing shall make his/her request at a regular or special meeting of the Faculty Welfare Committee. The chair of the Faculty Welfare Committee will serve notice of a hearing with specific charges explained in writing to be delivered at least 20 days prior to the hearing. The faculty member may waive the hearing or respond to the charges in writing at any time before the scheduled hearing. If the faculty member waives the hearing but denies the charges or asserts that the charges do not support a finding of adequate cause, the Committee will evaluate all evidence and rest its recommendation upon the evidence in the record of facts gathered.
- d. The faculty member has the right to be accompanied by legal counsel. Counsel may advise their clients in a reasonable and non-disruptive manner during the hearing but may not normally participate in the hearing by making statements, questioning witnesses, or making procedural objections. The Faculty Welfare Committee may request counsel to give brief opening and closing statements. The faculty member may also be accompanied by an academic advisor from the faculty. The advisor may be permitted to participate in the hearing, but only as determined by the Faculty Welfare Committee.
- e. An audio recording of the hearing will be kept with full knowledge of the participants, and a copy of the recording will be made available without cost to the faculty member.
- f. Testimony at the hearing will not be under oath, although parties and witnesses may submit sworn statements if they wish.
- g. The hearing or hearings will be private unless all parties agree that it is in the best interest of all involved to hold public hearings.
- h. The faculty member shall have the opportunity to make a statement to the Faculty Welfare Committee at the beginning of the hearing. He/she may be questioned by members of the Committee following this statement.
- i. The Committee will not be bound by legal standards of evidence, and it may admit any evidence of value in determining the issues involved. A demonstrated effort will be made to obtain the most reliable evidence available.

- j. The Faculty Welfare Committee does not have subpoena power and cannot compel attendance of witnesses or disclosure of documents. However, the Faculty Welfare Committee shall ask all material witnesses requested by the faculty member, or by involved administrators, to attend the hearing.
- k. Along with the Committee, the faculty member shall have the right to call willing witnesses to the hearing and to present documentary or other evidence.
- l. The Faculty Welfare Committee may request submission of additional relevant information from associated parties, and may draw inferences from a party's failure to produce requested information or to offer reasonable explanation of such failure.
- m. The Committee may grant adjournments to enable either party to investigate new or surprising evidence as to which a valid claim of surprise is made. The administration will cooperate with the Committee in securing witnesses and making available documentary and other evidence.
- n. Witnesses shall have the opportunity to make a statement and may be questioned by the Committee. The faculty member will also have the right to question or cross-examine witnesses subject to reasonable constraints imposed by the Committee. If particular witnesses cannot or will not appear, the Committee may identify such witnesses during the hearing, disclose their statements, and provide for interrogatories if possible.
- o. The findings of the Committee need not assign guilt or innocence; rather, the Committee may seek to find a compromise solution. For this reason, actions of the Committee do not set precedent for future cases.
- p. As mentioned previously, the burden of proof must be based on a preponderance of the evidence in the faculty member's record considered as a whole. The findings of fact and the Committee's recommendations will be based solely on the hearing record.
- q. In a hearing for charges of incompetence, the testimony may include that of qualified faculty members from Millikin or other institutions of higher education.
- r. The Faculty Welfare Committee will forward its findings and recommendations, as well as an audio recording of the record of the hearing, to the provost and the faculty member within a week after the completion of the hearing.

If the Committee concludes that adequate cause for dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend with specific supporting reasons.

- s. Suspension of the faculty member during dismissal proceedings may occur when the president determines that the faculty member's continued presence is likely to pose immediate threat of harm to Millikin University, to the University's

instructional program, or to individual members of the Millikin University community. Such suspension shall be with pay and shall last only so long as the threat of harm continues or until dismissal for cause occurs.

2.4.6 Action Short of Dismissal

Depending on the circumstances, and/or in view of the overall merits of the faculty member, the provost may take disciplinary action short of dismissal for the causes listed in section 2.4.5. Such action may include, but shall not be limited to, one or more of the following: (a) written reprimand; (b) required counseling; (c) transfer to other duties; (d) probation; (e) pay cut; (f) withholding of scheduled promotions or pay raises; (g) demotion; and (h) suspension for a period of time without pay and/or without one or more faculty privileges. Any suspension may not last beyond a full calendar year, but it may entail the total or partial discontinuance of salary and benefits, of promotion and previous salary adjustments associated with promotion, and of faculty privileges. A suspension period of any length may be followed by a specified period of probation.

The provost or the president may consult the Advisory Committee on Promotion and Tenure regarding the disciplinary action most appropriate to the situation. The faculty member also may request a final review of actions short of dismissal by the Faculty Welfare Committee. The president's decision after such a review is final.

2.5 GRIEVANCE PROCEDURES

Occasionally, employees may have disagreements with one another. In every instance, the parties to such a disagreement should make reasonable efforts to resolve the problem among themselves in an informal manner. Most disagreements can be resolved through frank and open discussion with the appropriate person or persons, whether they are faculty colleagues or members of the administration. Third-party mediation can sometimes be helpful.

In some instances, however, disagreements cannot be settled informally. The University recognizes and endorses the importance of academic due process and the right of adjudicating grievances properly without fear of prejudice or reprisal. Accordingly, the grievance procedures outlined below are designed to protect academic due process and academic freedom. These procedures may be initiated by full-time or part-time faculty, equivalent-rank faculty, split-appointment faculty, or administrators with faculty rank. They may not be initiated by administrators without faculty rank.

A grievance is defined as an allegation by a faculty member, a group of faculty members, or the faculty as a whole that the actions of one or more University employees have led to:

- a. a breach or material misinterpretation or violation of the policies embodied in this

Policies & Procedures: Faculty, except for the employment-related matters described in the *Employee Handbook and Policy Guide*;

- b. a breach or material misinterpretation or violation of the University's stated or reasonable policies or procedures, including those set forth in this *Policies & Procedures: Faculty*; or
- c. an infringement of the employment rights of one or more faculty members, as set forth in this *Policies & Procedures: Faculty*, relating to reassignment, layoff, and, in certain circumstances, non-renewal of contracts. The non-renewal of a non-tenured appointment shall not give rise to a grievance unless the non-renewal involves (1) issues of professional ethics and academic freedom; (2) allegations that the University or those acting for it have failed to follow stated or reasonable procedures; or (3) complaints of a civil rights nature, including complaints of race or gender discrimination.

Employment-related matters involving suspension, dismissals, and other sanctions enumerated in section 2.4 shall not be addressed by this grievance procedure but shall instead be resolved under section 2.4.5.

Before requesting a formal hearing on a grievance, the faculty member(s) shall provide a written notice of the grievance to any current member of the Faculty Welfare Committee. This notice should set forth in detail the alleged wrong; insofar as possible tell against whom the grievance is directed; and describe the relief or remedy sought by the grievant(s). It may contain any other material that the grievant(s) believe is pertinent. Written grievances must be received by a Committee member within 21 calendar days of the event(s) upon which the grievance is based or within 21 calendar days after the grievant knew or, through the exercise of reasonable diligence should have known, of the occurrence of the event(s) upon which the grievance is based. The calculation of these dates should not include vacation days.

When the chair of the Faculty Welfare Committee receives a written notice of a grievance, he or she will transmit that written grievance to all members of the Committee within three working days, or as promptly thereafter as possible. The chair of the Committee will transmit a copy of the written grievance to all named respondents within three days of the time the Committee received copies of the grievance, and he/she will convene a meeting of the Committee within seven days of the time the Committee received copies of the written grievance, or as promptly thereafter as possible. At that time the Committee may, at its discretion, instruct the parties involved, via writing, to make a reasonable effort to pursue an informal settlement of the disagreement before a hearing is scheduled.

2.5.1 Procedures for Hearing before the Faculty Welfare Committee

In the event no informal resolution of the disagreement can be achieved, the grievant(s) may request a hearing via writing to the Faculty Welfare Committee. When a formal grievance hearing is to be conducted, the Faculty Welfare Committee will send a written notice to the provost, the president of the University, and to all parties named in the grievance. The Committee will set a date, time, and place for the hearing. All arrangements should be completed and the hearing held within 21 days of the Committee's initial meeting regarding the grievance, or as promptly thereafter as possible.

Before the hearing, the members of the Faculty Welfare Committee will be given copies of all pertinent materials, including written replies to the grievance from the respondent(s). Members of the Committee who deem themselves to have a conflict of interest or a personal bias or prejudice should remove themselves from the case. The faculty member who requests the hearing shall have the right to challenge any Committee member whom he/she believes will not be able to fairly decide the case. Any person challenged by the faculty member shall be removed only by majority vote of the other Committee members; however, each party to a dispute or each faculty member under consideration for termination shall have the right to excuse one Committee member for any reason without the aforementioned majority vote. Five members shall constitute a quorum for Committee proceedings. Any deficiency of fewer than five members shall be resolved by appointment made by the chair of the Faculty Welfare Committee, choosing in random order from the most recent past members of the Faculty Welfare Committee currently teaching full-time.

The following procedures for the hearing shall be followed:

- a. The Faculty Welfare Committee shall, at its first meeting, determine its own rules and procedures not otherwise specified in this section. The Committee shall elect a chairperson to direct the proceedings and rule on procedural matters, including the granting of reasonable extensions of time at the request of any party who can show good cause for the extension.
- b. With the consent of the parties concerned, the Committee may hold pre-hearing meetings in order to (1) simplify the issues; (2) to establish agreed-upon facts; (3) provide for the exchange of documentary information; and (4) achieve any other appropriate pre-hearing objectives to make the hearing fair, effective, and expeditious.
- c. A faculty member who desires a hearing shall make his/her request at a regular or special meeting of the Faculty Welfare Committee. The chair of the Faculty Welfare Committee will serve notice of a hearing with specific charges in writing will be made at least 20 days prior to the hearing. The faculty member may waive the hearing or

respond to the charges in writing at any time before the scheduled hearing. If the faculty member waives the hearing but denies the charges or asserts that the charges do not support a finding of adequate cause, the Committee will evaluate all evidence and rest its recommendation upon the evidence in the record of facts gathered.

- d. An audio recording of the hearing will be kept with full knowledge of the participants, and a copy of the recording will be made available without cost to the grievant(s). If a written transcription is made of the hearing, a copy will be provided without cost to the grievant(s).
- e. Testimony at the hearing will not be under oath, although parties and witnesses may submit sworn statements if they wish.
- f. The hearing or hearings will be private unless all parties agree that it is in the best interest of all involved to hold public hearings.
- g. The grievant(s) shall have the opportunity to make a statement to the Faculty Welfare Committee at the beginning of the hearing. They may be questioned by members of the Committee.
- h. The Committee will not be bound by strict rules of legal evidence, and it may admit any evidence of value in determining the issues involved. A demonstrated effort will be made to obtain the most reliable evidence available.
- i. The Faculty Welfare Committee does not have subpoena power and cannot compel attendance of witnesses or disclosure of documents. However, the Faculty Welfare Committee shall ask all material witnesses requested by the grievant(s) to attend the hearing. The administration of the University will make reasonable efforts to cooperate with the Committee in securing witnesses and making available documentary and other evidence unless the administration reasonably believes that to do so under the circumstances would violate confidentiality or state or federal law.
- j. The grievant(s) shall have the right to call willing witnesses to the hearing and to present documentary or other evidence.
- k. The Faculty Welfare Committee may request submission of additional relevant information from associated parties, and may draw inferences from a party's failure to produce requested information or to offer reasonable explanation of such failure.
- l. The Committee may grant adjournments to enable either party to investigate new or surprising evidence.
- m. Witnesses shall have the opportunity to make a statement and may be questioned by the Committee. The grievant(s) will also have the right to question or cross-

examine witnesses subject to reasonable constraints imposed by the Committee. If particular witnesses cannot or will not appear, the Committee may identify such witnesses during the hearing, disclose their statements, and provide for interrogatories if possible.

- n. The findings of the Committee need not assign guilt or innocence; rather, the Committee may seek to find a compromise solution. For this reason, actions of the Committee do not set precedent for future cases.
- o. In all grievances, the grievant(s) shall bear the burden of proof. As mentioned previously, the burden of proof must be based on a preponderance of the evidence in the faculty member's record considered as a whole. The findings of fact and the Committee's recommendations will be based solely on the hearing record.
- p. In a hearing for charges of incompetence, the testimony may include that of qualified faculty members from Millikin or other institutions of higher education.
- q. The Faculty Welfare Committee will forward its findings and recommendations, as well as an audio recording of the hearing, to the provost and the faculty member within a reasonable time after completion of the hearing. The provost will make a final determination on actions to be taken, if any, following a recommendation made by the Committee. The provost shall respond in a timely manner to the Committee's recommendation, informing the Committee and all of the principal parties to the case of his/her intended actions, if any.
- r. If the provost is a direct party to the grievance, the Faculty Welfare Committee will forward its findings and recommendations to a dean or other appropriate decision-maker as determined and designated by the president; the president's designee will then make a final determination on actions to be taken, if any.

Any principal party to the grievance may, within 10 working days of receiving the decision of the provost or the president's designee, file a written appeal with the president, who shall review the record and render a final disposition of the grievance within a reasonable period of time.

If the president is a direct party to the grievance, such appeals may be filed with the chair of the Board of Trustees. The Executive Committee of the Board of Trustees will then review the record of the case at its next regularly scheduled meeting (or at a specially called meeting) and will render a final determination or disposition of the grievance within a reasonable period of time. A full record of the appeal before the Executive Committee shall be kept and made available to the parties concerned.

3 PROMOTION AND TENURE

3.1 GENERAL PROCEDURES FOR PROMOTION AND TENURE

3.1.1 Initiation of Process for Promotion or Tenure

The process for promotion may be initiated by the individual faculty member, the chair and/or director, or the dean. However, the individual faculty member has the right to stop the process from moving forward.

The process for tenure is initiated by the provost's notification to the faculty member and the appropriate chair, as described in section 3.4.3. Although consideration for tenure and promotion to associate professor are normally linked and processed concurrently, the two actions are separate; thus, cases may exist where tenure and promotion to associate professor are handled independently.

3.1.2 Responsibilities in Tenure and Promotion Review

3.1.2.1 Role of the Individual Faculty Member

It is, ultimately, the responsibility of the individual faculty member to document his or her case for promotion and tenure. Each faculty member's case will be reviewed by the Advisory Committee on Promotion and Tenure, the provost, and the president.

Consistent with the University's evaluation system, the faculty member will prepare a portfolio that includes but is not limited to the following:

- a. a current vita
- b. a narrative statement of the candidate's case for promotion or tenure, including a self-evaluation covering the principal faculty responsibilities, as described in 1.2.3
- c. a statement of teaching philosophy (which may be included in the self-evaluation) and representative syllabi, course assignments, exams, and other relevant teaching materials
- d. documentation of scholarship/artistic achievement and, as appropriate, of University and other service
- e. letters of support (optional) from up to three individuals in each of the following groups: current and former students, academic and/or professional peers, and outside evaluators
- f. summary of information and data regarding course enrollments, grade distributions, student evaluations (see 3.1.2.3), including MBA, Summer, Immersion, etc.

- g. written evaluations of the two most recent growth plans
- h. any other information that the candidate deems important to evaluation of his/her case

By July 1 the candidate's Dean will provide the faculty member with summaries of information and data regarding course enrollments, grade distributions, course evaluations, and annual evaluations by the chair, director, and/or dean for the previous three years. The contents of the case prepared by the faculty member must be complete when it is submitted to the chair on August 15 and as it moves from the chair to the director (as appropriate) to the dean to the Advisory Committee and the provost. Additional material may be added by the candidate after August 15 **only** if it represents a change in the status of material already submitted (for example, a manuscript converted from "submitted" to "in press"). The portfolio should meet prevailing professional standards for style and content. Candidates for promotion and/or tenure should note, in preparing the final version of their materials, that inattention to detail or incomplete documentation in their cases may result in an unfavorable recommendation by the Advisory Committee on Promotion and Tenure.

3.1.2.2 Role of the Chair/Director

After receiving a candidate's portfolio, the chair/director will meet with all tenured faculty within the department/division to discuss the candidate's tenure and/or promotion case. Colleges or schools shall set policies to extend the department/division unit in cases where small or largely untenured departments exist or where departmental boundaries are uncertain. All faculty participating in the meeting(s) will have access to the candidate's portfolio prior to deliberations. The purpose of the meeting(s) is to discuss the candidate's qualifications in order to make a departmental recommendation for or against tenure and/or promotion. The chair/director accepts responsibility for ensuring that deliberations focus on criteria established in this *Policies and Procedures: Faculty*.

Following the meeting(s), the chair/director will prepare (or have a designee prepare) a letter that summarizes the opinions of all participants and includes his/her own recommendation regarding the candidate's promotion and/or tenure. The letter will specifically address each of the areas of faculty work. It will also address the individual growth plans. The letter must clearly indicate whether the recommendation for or against tenure and/or promotion is unanimous. If the decision is split, there must be an indication of the numbers voting for, against, or abstaining. The votes of individual tenured faculty members will not be revealed, but the chair's/director's vote, recommendation, and rationale must be clearly identified.

All participants in the meeting(s) must review and sign the letter to confirm its accuracy. Any participants may ask to have their opinions clarified in the letter before agreeing to sign it.

The chair/director will forward this letter containing the department's recommendation to the appropriate dean and to the candidate by September 15. The letter will become a

part of the faculty member's tenure and/or promotion file as well as a part of his/her personnel file in the office of the appropriate dean.

The candidate may prepare a response to correct any errors in the departmental letter by September 22. This response will be attached as an addendum to the letter and become a part of the candidate's case.

3.1.2.3 Role of the Dean

Upon receiving the candidate's portfolio and the chair's/director's departmental letter, the dean will prepare a written recommendation, including verification of the candidate's years of service and prior experience and of the accuracy of the University-provided information and data presented in the portfolio. This letter will be forwarded to the provost by October 15, along with the candidate's portfolio and the chair's/director's departmental letter. The recommendation becomes a part of the faculty member's permanent personnel file in the office of the appropriate dean and is forwarded to the individual faculty member. The individual faculty member may prepare a response to correct any errors in the dean's letter by October 22. This response will be attached as an addendum to the dean's letter.

In the letter of recommendation, the dean will address the candidate's qualifications independent of the needs of the University. The dean will write a second letter to the provost addressing the University's present and projected need for the candidate's position. The second letter is not forwarded to the Advisory Committee on Promotion and Tenure.

3.1.2.4 Role of the Advisory Committee on Promotion and Tenure

By October 29 the provost shall officially convene the Advisory Committee on Promotion and Tenure and shall deliver to this committee the following documents and information for each faculty member applying for promotion and/or tenure:

- a. the candidate's portfolio, as described in 3.1.2.1
- b. the chair's/director's letter, as described in 3.1.2.2, and the candidate's response, if any
- c. the dean's letter, as described in 3.1.2.3, and the candidate's response, if any
- d. any other information that the provost considers of special importance

After the Advisory Committee on Promotion and Tenure is convened by the provost, it shall elect a chair and a secretary from among its members.

The chair accepts responsibility for ensuring that deliberations focus on criteria established in this *Policies and Procedures: Faculty*. The secretary accepts responsibility for ensuring that the report(s) to the provost are prepared in a timely manner. The

provost and the academic deans do not attend the Advisory Committee's meeting(s) during its deliberations, but they are available for consultation.

The Advisory Committee on Promotion and Tenure will record a vote for or against approval of the promotion and/or tenure of each candidate. The chair of the Advisory Committee on Promotion and Tenure will appoint individual members to draft letters to the provost explaining the recommendation(s) of the committee. Each letter will indicate the number of votes for and against the tenure and/or promotion of a particular candidate and will explain fully both the committee's evaluation of the candidate's portfolio and the reasons for its overall recommendation. All members of the committee will review each letter and suggest revisions to ensure that all opinions are accurately transmitted. These letters will be due in the office of the provost by December 15. The recommendation of the Advisory Committee becomes a part of the faculty member's permanent file, and a copy of the recommendation letter is immediately forwarded to the individual faculty member by the provost. The candidate may prepare a response to this letter. This response must be delivered to the provost by December 22. If the Advisory Committee on Promotion and Tenure has concerns or questions about a candidate's case, the Advisory Committee may request to meet with that candidate prior to sending its recommendation to the provost.

3.1.2.5 Role of the Provost

After the provost receives each candidate's written recommendation from the Advisory Committee on Promotion and Tenure, he or she may choose to meet with the Advisory Committee for further clarification of its recommendation. He or she may also choose to meet with the candidate, either alone or with the Advisory Committee on Promotion and Tenure. After considering the Advisory Committee's recommendation and the candidate's entire portfolio, the provost will submit to the president by January 15 both a written summary of the case and his or her formal recommendation, including an explanation of the reasons for the recommendation. The provost will forward a copy of this letter to the individual faculty member. This letter shall become a part of the faculty member's permanent file.

3.1.2.6 Role of the President

When the president of the University receives the provost's recommendation for the granting or denial of promotion or tenure, together with the recommendation from the Advisory Committee on Promotion and Tenure and the candidate's full portfolio, he/she shall either deny or approve the promotion or tenure by February 15, and forward a copy of his/her recommendation in writing to the Board of Trustees and to the individual faculty member. If the president's decision is to approve, then approval of the Board of Trustees is also required (typically at their February meeting).

The president's decision, as well as his/her written reasons and all supporting letters, become a part of the faculty member's permanent personnel file in the office of the provost. The president notifies the individual formally in writing after the Board has met. These letters are also sent to the provost and the appropriate dean and chair/director and are made available for review by the members of the Advisory Committee on

Promotion and Tenure.

3.1.3 Tenure and Promotion Procedures for Department Chairs, Division Directors, and Tenure-Track Administrators

The procedure for promotion or tenure of a department chair, division director, dean, or provost requires minor adaptation of the regular faculty procedures. In the case of a department chair or division director, the appropriate dean shall assume the duties that would otherwise be carried out by the chair/director. In the case of a dean, application is made through the department where he/she is housed directly to the Advisory Committee. In the case of the provost, the president shall assume or delegate the duties that would otherwise be carried out by the chair, director, dean, and provost. If not the chair/director of the relevant academic department, the individual responsible for preparing the recommendation (see 3.1.2.2) to the Advisory Committee on Promotion and Tenure shall consult with the chair/director and the tenured members in that department and forward the results of this consultation. (See also section 4.18.)

3.2 SUMMARY OF DATES IN THE PROMOTION AND TENURE PROCESS

By June 1:

The provost notifies faculty who have reached the year in which a promotion or tenure decision must be made.

By July 1:

The provost will provide these faculty members with summaries of information and data regarding their course enrollments, grade distributions, course evaluations, and annual evaluations for the previous three years.

By August 15:

The faculty member submits his or her portfolio to the chair/director.

By September 15:

The chair/director submits to the appropriate dean a summary of the departmental recommendation to approve or deny the candidate's promotion and/or tenure.

By September 22:

If desired, the candidate provides a response correcting any errors in the department chair's letter.

By October 15:

The dean submits to the provost his/her written recommendation to approve or deny the candidate's promotion and/or tenure, along with the candidate's portfolio and the department chair's letter.

By October 22:

If desired, the candidate provides a response correcting any errors in the dean's letter.

By October 29:

The provost convenes the Advisory Committee on Promotion and Tenure and forwards to the committee the recommendations from the chair/director and dean and the candidate's portfolio.

By December 15:

The Advisory Committee on Promotion and Tenure submits its written recommendation to the provost, and a copy of this letter is forwarded by the chair to the individual faculty member.

By December 22:

If desired, the candidate provides a response correcting any errors in the letter from the Advisory Committee on Promotion and Tenure.

By January 15:

The provost forwards his/her written recommendation to the president, along with a summary of the case; the letter or letters from the Advisory Committee, all candidate written responses provided in accordance with this *Policies and Procedures: Faculty*, and the candidate's full portfolio.

By February 15:

The president either approves or denies the promotion and/or tenure. A copy of the president's recommendation is submitted to the Board of Trustees and forwarded to the individual faculty member. The recommendation letters from the president, the provost, and the Advisory Committee on Promotion and Tenure are also sent to the provost and the appropriate dean and chair/director, and they are made available for review by the members of the Advisory Committee. Tenure/promotion is not final until approval is granted by the Board of Trustees. Approvals become effective at the beginning of the next academic year.

A failure to meet the dates above does not invalidate the process unless significant damage is done to the candidate's case for promotion and/or tenure.

3.3 CRITERIA FOR PROMOTION BY RANK

The criteria for promotion and tenure are expressed below with the use of terms from the following sections:

- The categories of faculty work can be found in section 1.2.3. Those responsibilities include teaching (1.2.3.1), scholarship/artistic achievement (1.2.3.2), University service (1.2.3.3), and professional/community service (1.2.3.4).
- Levels of specific performance and achievement for these activities are defined in sections 4.10.2, 4.11.1, 4.12.1, 4.13.4, and 4.15 and are termed as extraordinary, excellent, competent, marginal, and unsatisfactory.

3.3.1 Criteria for Promotion to Assistant Professor

Criteria for promotion to the rank of assistant professor include

- a. a terminal degree from an accredited institution;
- b. evidence of potential for excellence in teaching;
- c. evidence of potential for competent scholarship/artistic achievement;
- d. evidence of a willingness and ability to make excellent or competent contributions to the work of the University service; and
- e. if applicable, evidence of potential for competent professional contributions to the University.

The criteria for promotion to assistant professor differ from the criteria for initial placement in the rank of instructor only by the requirement for the terminal degree. Hence, when an individual holding the rank of instructor completes the terminal degree, promotion to assistant professor is automatic and occurs in the month following official notification by the degree-granting institution that the person has satisfied all degree requirements and the degree has been awarded.

3.3.2 Criteria for Promotion to Associate Professor

Criteria for promotion to associate professor include

- a. the specified terminal degree from an accredited institution;
- b. at least six years of full-time college-level teaching (but see below);
- c. excellence in teaching;
- d. competent scholarship/artistic achievement;
- e. competent University service;
- f. evidence of competent achievement in service to the profession and/or professional service to the community, to the extent that these can be evaluated; and
- g. if applicable, evidence of competent professional contributions to the University.

At least five years of full-time college-level teaching are required for consideration for promotion to associate professor. The formal awarding of the promotion occurs only after the completion of six years of full-time college-level teaching. For individuals with split appointments, what constitutes full-time teaching is defined in the initial letter of hire and/or contract letter.

3.3.3 Criteria for Promotion to Professor

Promotion to professor typically requires a minimum of six years of full-time college-level teaching at the rank of associate professor. Most faculty will need more than six years at the rank of associate professor to develop the record of sustained achievement necessary for promotion to professor.

Criteria for promotion to professor include

- a. the specified terminal degree from an accredited institution;
- b. at least six years of full-time college-level teaching at the associate professor level;
- c. excellence in teaching;
- d. excellence in scholarship/artistic achievement;
- e. competent University service;
- f. evidence of competent achievement in service to the profession and/or professional service to the community, to the extent that these can be evaluated
- g. if applicable, evidence of excellent professional contributions to the University; and
- h. overall excellence (as defined in section 3.3.3.1).

At least five years of full-time college-level teaching at the associate professor level are required for consideration of promotion to professor. The formal awarding of the promotion occurs only after the completion of at least six years of full-time teaching at the associate professor level. For individuals with split appointments, what constitutes full-time teaching is defined in the initial letter of hire and/or contract letter.

3.3.3.1 Overall Excellence

Overall excellence is achieved when a faculty member exceeds the criteria stated in 3.3.3 in one of the areas of faculty responsibility. This requires **either** a ranking of extraordinary in teaching **or** a ranking of extraordinary in scholarship/artistic achievement **or** a ranking of excellent in University service **or** a ranking of excellent in service to the profession **or** a ranking of excellent in professional service to the community.

3.4 CRITERIA FOR THE AWARDING OF TENURE

The criteria for the awarding of tenure are identical to the criteria for promotion to associate professor except that (a) promotion is based only on merit, while tenure takes into account the University's present and projected needs; and (b) tenure is rarely granted to new faculty hired at the level of associate professor or professor since the University must have time to judge an individual's work at Millikin. Such a time period is defined in the faculty member's initial contract when hired.

The Advisory Committee on Promotion and Tenure's written recommendation for approval or denial of promotion and/or tenure will address only the merit of the faculty member. In extraordinary circumstances, the provost may recommend to the president that tenure not be granted to a qualified faculty member owing to the University's needs. Before the provost makes such a recommendation, he or she will consult with the president, the appropriate dean and department chair and/or division director, the Faculty Welfare Committee, and the Council on Curriculum.

3.4.1 Initial Placement and Promotion Distinguished from Tenure

Neither the initial appointment nor promotion to any rank implies that tenure will be awarded. Both initial placement and promotion recognize an individual's merit, which is

excellence in teaching, University service, possibly professional/community service, and scholarship /artistic achievement. The awarding of tenure includes not only these measures of merit but also the University's present and projected needs.

Also, the University awards tenure only after it has had sufficient time to judge an individual's work at Millikin. Individuals initially employed at the rank of associate or professor are not considered for tenure until they have served a specific time period defined in their initial contract.

3.4.2 The Pre-Tenure Review

For tenure-track faculty who are still in the probationary period, the evaluation at the end of each growth plan includes a pre-tenure review. The faculty member's department chair, division director, and dean, in consultation with the tenured faculty of the department, will include in that evaluation a detailed and comprehensive statement focusing on the faculty member's strengths and weaknesses in regard to his/her case for tenure, and provide explicit suggestions for improvements. A portfolio of materials prepared by candidates for pre-tenure review are due to the department chair/division director and/or dean by the first day of class of the spring semester. Chair/director departmental evaluations based upon these materials are due to the dean by February 25. The dean, chair, and/or director will schedule a pre-tenure review in the spring semester and provide written feedback to the faculty member. If a faculty member is granted a shorter probationary period than the usual six years, pre-tenure and tenure dates will be specified in the faculty member's original contract.

3.4.3 Notification of Eligibility

By June 1 each year, the provost should notify all faculty of the current distribution of tenure by rank and by department, and should announce the names of those who are eligible for tenure during the upcoming three years.

By June 1 each year, individuals eligible to be reviewed for tenure and their department chairs will be individually notified by the provost.

4 EVALUATION

Acknowledging that the quality of the education our students receive depends directly on the quality of the faculty, the purpose of careful and thorough evaluation of faculty is to improve faculty performance and aid faculty development.

The results of evaluation communicate to the faculty member the evaluator's perception of his/her performance in order to aid the faculty member in improving performance. Evaluators (especially the chair/director and the dean) share the responsibility of aiding faculty in their development in the various areas of faculty responsibilities.

The results of evaluation are used in a summative manner. The cumulative record of evaluations is used in the consideration of faculty for promotion and tenure. Evaluations are completed annually both to monitor progress on growth plans and to determine salary, including merit awards.

Evaluation is necessarily a subjective process; however, the consistency of the reasoning that generates an overall evaluation can be enhanced if the proportion or weight that various activities will carry is explicit. The stipulation of evaluation weights for various activities also signals the priorities of the institution and directs faculty to focus their energies on the activities considered most valuable. Millikin's evaluation system, as described in this document, generates an overall numerical evaluation by calculating a weighted average of the evaluations for various faculty responsibilities.

4.0.1 Evaluation of Full-Time Tenured and Tenure-Track Faculty

All full-time tenured and tenure-track faculty will be evaluated according to the methods and criteria in this *Policies and Procedures: Faculty*.

4.0.2 Evaluation of Full-Time Non-Tenure-Track Faculty and Part-Time Faculty

The evaluation of full-time non-tenure-track faculty and part-time faculty will focus primarily on teaching, evaluated according to the methods and criteria described in this *Policies and Procedures: Faculty*. Full-time non-tenure-track and part-time faculty may also request evaluation of their scholarship/artistic achievement, service to the profession, professional service to the community, and/or University service when appropriate. Some faculty in non-tenure-track lines will receive requisite evaluation in areas beyond teaching as specified in their contracts.

4.1 EVALUATION AT THE END OF THE GROWTH PLAN/POST-TENURE REVIEW

At the end of the growth plan, as part of the process of devising the next growth plan, each tenured and tenure-track faculty member will meet with his/her chair and dean to review the goals of the growth plan and the degree to which those goals were attained. This review carries special weight in tenure and promotion decisions and, for tenured faculty, constitutes a post-tenure review.

4.2 ANNUAL EVALUATIONS

Annual evaluations are completed for all full-time faculty by chairs and directors/deans. These serve more to aid faculty development than to affect decisions regarding tenure and promotion.

Annual reviews will be conducted for each contract year, running from August 1 to July 31.

4.3 THE RELATION OF ANNUAL EVALUATION TO EVALUATIONS AT THE END OF THE GROWTH PLAN

The extent of the evaluation process reflects the difference between the annual evaluation and evaluation at the end of the growth plan. While untenured faculty will be subject to direct review by the dean/director each year, for tenured faculty the major review is at the end of the growth plan. Though annual evaluations will be completed for all faculty, the dean/director may choose to rely more heavily on the recommendations of chairs for evaluations of tenured faculty. While clearly not cursory, annual evaluations of tenured faculty do not require the same thoroughness in summative evaluation as at the end of the growth plan.

4.4 SHARED RESPONSIBILITY IN EVALUATION

4.4.1 The Responsibility of the Provost and Deans

The administration has the responsibility, shared with the faculty, of developing or choosing methods of evaluating faculty. It is the responsibility of all academic administrators to apply those methods of evaluation fairly. It is the responsibility of the provost and deans to ensure that the evaluation process is used in a consistent manner within and between the divisions, schools, and colleges of the University.

4.4.2 The Responsibility of the Faculty

The faculty share with the administration the responsibility for developing or choosing methods of evaluating faculty. Changes in methods of evaluating faculty require the approval of the faculty in a manner consistent with other revisions to this policies and procedures manual. (See section 6.5.)

4.4.3 The Responsibility of Individual Faculty Members

It is the responsibility of the individual faculty member to document annually his or her contributions in teaching, scholarship/artistic achievement, University service, service to the profession, and professional service to the community. Faculty self-evaluations are due on August 15 to chairs.

4.5 MULTIPLE SOURCES OF INFORMATION IN EVALUATION

Evaluation of faculty achievements by administrators and by the Advisory Committee on

Promotion and Tenure must be based on multiple sources of information. Those sources include the faculty member's portfolio and narrative self-evaluation (see section 4.9) and, for the evaluation of teaching, the student opinion survey. Other sources of information may also be used, including outside review. Permission for external review and approval of the external review procedures must be obtained by faculty members in advance from the provost.

4.6 THE CHAIR'S/DIRECTOR'S RESPONSIBILITY IN EVALUATION

No later than September 25, chairs/directors will write evaluations of the faculty members in their departments/divisions and send copies of their evaluations to the respective faculty members and to the dean. The evaluations will be based on a discussion with the faculty member concerning all aspects of faculty responsibility, reviews of portfolios and narrative self-evaluations, progress on the growth plan, and other information available. If a department/division does not have a tenured chair, the appropriate dean will assign an evaluation committee of three senior faculty predominately from within the college to provide annual evaluation letters in lieu of the department chair/division director. This committee will also assist in pre-tenure and post-tenure reviews in lieu of the department chair/division director. In the case of a department of three or fewer members with a tenured chair, the dean will form a committee of at least three senior faculty for pre-tenure and post-tenure reviews, but not for annual evaluations. In the case of library faculty, the library director will provide annual evaluation letters.

4.7 THE DEAN'S RESPONSIBILITY IN EVALUATION

The deans of the schools and colleges are responsible for final evaluations, which are reported in writing to the faculty member, chair/director, and provost by October 25.

4.8 RELATIVE WEIGHTS, RATINGS BY AREA, AND OVERALL COMPARATIVE RATINGS

4.8.1 How Relative Weights Are Assigned

As part of the process of negotiating growth plans (see section 1.3), faculty members, in consultation with their chairs, directors, and deans, will determine how much weight each of the areas of faculty responsibility will count toward their total evaluation. The percentages determined should reflect the interests and priorities of the faculty member and the needs of the department/division, the school or college, and the University.

The relative weights will be chosen within the following limits, and will sum to 100%. The weightings correspond to importance in evaluation and not necessarily to proportions of faculty time.

<u>Weight Component</u>	<u>Minimum</u>	<u>Maximum</u>
Teaching	55%	70%
Scholarship/Artistic Achievement	20%	35%
University Service	10%	25%

Service to the Profession	0%	15%
Professional Service to the Community	0%	15%

In response to changing faculty opportunities and changing University needs, renegotiation of the assigned percentages is permitted upon agreement of the faculty member, chair, director, and dean. The changes are to be recorded in the faculty member's personnel file as an amendment to the growth plan.

Professional contributions to the University are weighted as specified in the contract letter, the initial letter of hire, and/or the position description of a faculty member with a split appointment. Members of the faculty who have such responsibilities will also be evaluated in teaching, scholarship/artistic achievement, and service. Weights for teaching, scholarship/artistic achievement, and service are to be specified in the faculty growth plan and should be proportional to the weights assigned for faculty in non-split appointment contracts.

4.8.2 How Ratings of Areas Are Assigned

For each faculty member, the dean, working with the appropriate department chair or director, will assign a scale value or rating of 0 to 4 for each area of faculty responsibility. Values will be assigned in steps of 0.5. Ratings will be based upon the descriptions of faculty responsibilities in Section 1.2.3, the descriptions of percentages and ratings given below in sections 4.10–4.15, and the unit plans for evaluation, as described in section 4.16.

Faculty members may choose the percentage of evaluation that is assigned to each area of their faculty work as guided by their growth plans. The greater the percentage of evaluation based on an area, the greater the accomplishments needed for any given rating in that area.

It is recognized that faculty participation in the various areas of faculty responsibility may vary from year to year. For that reason, in assigning ratings for the current year, the chair and/or director and dean will consider the performance of the faculty member over the current year and in the context of the growth plan.

Ratings of performance for professional contributions to the University will be assigned by the appropriate member of the academic administration. Evaluations of positions that serve a particular college will be completed by the dean of that college in collaboration and consultation with the provost and department chairs, and/or divisional directors, when appropriate. Evaluations of positions that serve the entire University will be completed by the provost in consultation with the academic deans as appropriate.

4.8.3 Assigning Overall Ratings

After numerical ratings of areas have been assigned, the dean will compute overall ratings for each faculty member in the following manner: each rating is multiplied by the relative weight for that area; the ratings are then summed to form the overall evaluation. The ratings for each area along with the overall rating will be reported to

each faculty member by the dean.

4.8.4 Use of Evaluation Data in Summative Judgments

Evaluation data are available to individual faculty, chairs/directors, deans and the provost, from annual evaluations, as well as from summaries at the end of growth plans.

All judgments using overall ratings may also examine ratings of specific areas, within the context of the percentages agreed upon by the faculty member and dean.

Overall ratings, as well as ratings of areas, may be used only for comparative purposes. No specific numerical criteria may be set by chairs and/or directors or deans for merit increases in compensation, or by the Advisory Committee on Promotion and Tenure for decisions concerning tenure and/or promotion. For purposes of comparison, each faculty member, along with administrative evaluators and the Advisory Committee on Promotion and Tenure, will receive a report of the University-wide and college/school/division-wide averages and deciles or ratings by area and average overall ratings.

4.8.4.1 In Considerations of Annual Review

The overall rating for each faculty member is based on the weighting assigned to each area for evaluation and the ratings assigned to his/her performance in each area. The overall ratings assigned by the dean (with the advice of the chair/director) should play a governing role in making comparisons of faculty for purposes of recommending annual salaries and merit awards.

4.8.4.2 In Considerations for Promotion and Tenure

The Advisory Committee on Promotion and Tenure makes an independent judgment concerning the degree to which a faculty member has met the criteria for promotion and/or tenure in each area of faculty responsibility. Therefore, the Advisory Committee on Promotion and Tenure will be provided with the candidate's portfolio and other important information as described in section 3.1.2.4.

4.9 GENERAL EVALUATIVE MATERIALS

It is the responsibility of each faculty member to update his/her portfolio annually and to describe his/her professional activities in the yearly narrative self-evaluation. In addition, faculty should prepare reflective summaries of achievement and activity at the end of each growth plan, as a part of the evaluation of that growth plan. Both the portfolio and the narrative self-evaluation are due to the department chair/director and dean by August 15. Activities through July 31 should be included.

4.9.1 Portfolios

Tenured and tenure-track faculty members should maintain a cumulative record documenting their teaching, scholarship/artistic achievement, service to the profession,

professional service to the community, University service, and professional contributions to the University. This portfolio should include those artifacts required for the administrative/collegial review described below in 4.10 to 4.15, as well as any others the faculty member feels are appropriate.

4.9.2 Narrative Self-Evaluation

Each faculty member will write and submit a yearly report of his or her activities and achievements in the various areas of faculty responsibility. This narrative self-evaluation should explicate the artifacts added to the portfolio and place the year's activities in the context of institutional goals and the faculty member's personal goals and growth plan. The faculty member should further explain how his/her goals for the upcoming year reflect commitments and/or adjustments to his or her growth plan.

4.10 EVALUATION OF TEACHING

The evaluation of teaching must be multifaceted. In addition to classroom teaching, evaluation should include the non-classroom aspects of teaching such as preparing lessons, supervising laboratories, directing honors projects and undergraduate research, supervising directed and independent studies, and experimenting with new approaches to teaching. No single source of information can provide an adequate basis for the evaluation of teaching.

Faculty responsibility in teaching is described in section 1.2.3.1. Minimum requirements are stricter for teaching than for scholarship/artistic achievement, University service, or professional/community service. Teaching that is competent, but not excellent, is considered acceptable at many institutions. However, Millikin aspires to a higher level of achievement in teaching. Hence, less than excellent teaching is not acceptable and may not be compensated for by excellence in scholarship/artistic achievement, University service, or professional/community service.

4.10.1 Methods of Evaluation of Teaching

4.10.1.1 Aspects of Teaching to Be Evaluated

Evaluation of the Structure and Content of Teaching

Five aspects are to be considered in evaluating the structure and content of teaching: the instructor's knowledge of the material, the rigor of his or her teaching, course organization, clarity of presentation, and attention to the academic needs of individual students. These aspects require somewhat different methods of evaluation.

The instructor's **knowledge of the material** being taught and the academic **rigor of his or her teaching** will be assessed by collegial/administrative evaluation of teaching portfolios (including syllabi, course outlines, assignments, examinations, and assigned readings) and narrative self-evaluations. Some departments, divisions or schools of the University may need to use outside evaluators at times, especially in judging specialized courses for which internal assessment is not possible. The provost must approve

requests for external review and the procedures to be used.

The evaluation of **course organization** and **clarity of presentation** will be based largely on the faculty member's ratings on the Course Organization and Communication scales of the student opinion survey. Peer observation, while not required, is highly recommended to enhance evaluation of these two areas.

Attention to the academic needs of individual students, including advising, will be assessed by collegial/administrative review of teaching portfolios and narrative self-evaluations plus additional material as necessary, such as interviews with students or evidence of specific student outcomes.

Evaluation of Student Outcomes

The effectiveness of teaching will also be evaluated on the basis of student learning outcomes. Faculty are responsible for collecting and presenting evidence that departmental/division, college, and/or University learning goals were accomplished in their courses. The nature of this evidence will vary from course to course. It is the responsibility of each faculty member to determine what evidence is appropriate for his/her courses. This decision should be informed by the faculty member's individual teaching goals, departmental and University goals, and the unit assessment plan.

Evaluation of Academic Advising

Although attention to the academic needs of individual students might include advising, academic advising often involves the application of teaching to more than just the academic needs of students. Therefore, the effectiveness of teaching will also be evaluated on the basis of academic advising. Faculty are responsible for collecting and presenting evidence that departmental/division, college, and/or University goals were accomplished through their advising. It is the responsibility of each faculty member, in consultation with the department chair and/or division director and dean, to determine what evidence is appropriate for his/her academic advising. This decision should be informed by the faculty member's individual goals, departmental and University goals, and the unit assessment plan.

Other Issues

The degree to which an instructor's goals and activities advance the mission of the University, college or school, and department/division will form an important part of the evaluation of teaching.

Excellent teaching, which must be a central goal of all faculty and administrative efforts, is rigorous both in presentation and in evaluation of student learning. It instills in students a passion for learning, challenges each student to move significantly beyond his or her current level, and encourages students to wrestle with salient problems and issues. It values active and independent modes of learning and encourages students to integrate knowledge between courses and to connect learning to practices and problems in society. Excellence in teaching can be expressed beyond the classroom in laboratory

and field settings. Settings that give students the opportunity to apply theory while learning to serve others are especially valued. Excellence in teaching may be expressed in interaction among students and faculty in apprentice–mentor roles or through collaborative learning. It may also be expressed in courses and activities that encourage students to make connections between two or more academic disciplines, or that help students understand both their own culture and traditions and those of other societies.

4.10.1.2 Evaluation of Innovations in Pedagogy

Faculty are encouraged to try innovative, experimental teaching techniques, with their peer's understanding that such techniques may or may not be successful. To avoid discouraging faculty from such ventures, evaluators should take into account the experimental nature of a course or teaching method in evaluating the effectiveness of its instructor. Faculty members are responsible for informing evaluators when they are using experimental teaching techniques, so that proper considerations in evaluation may be made.

4.10.1.3 Administration of Student Opinion Survey

At the end of every semester, students will be asked to complete surveys for courses taught by all faculty members.

For team-taught courses, student opinion surveys will be completed for each faculty member. The results will be reported to the appropriate department chairs and/or division directors and deans, as described in Section 4.10.1.4. Faculty engaged in team teaching may also ask students to evaluate the overall course.

Surveys will be administered according to the following schedule:

- For 16-week classes, evaluations will be available for students to complete online for two weeks, opening one week prior to the last day of class and remaining open for seven days after the last class. Student access to the evaluations will close at midnight on the seventh day after the last class, based on academic calendar.
- For travel or immersion classes and 5-, 8-, and 10-week classes, evaluations will be available for students to complete online for one week, until seven days after the last class. Student access to the evaluations will close at midnight on the seventh day after the last class. This schedule also applies to 16-week classes that have a travel component scheduled at a later time, based on the days the course meets.
- For all other classes, evaluations will be available for students to complete online for two weeks, opening one week prior to the last day of class and remaining open through finals week. Student access to the evaluations will close at midnight on the last day of exams.

Different pedagogies within the university are likely to benefit from responses to specialized items (concerning laboratories, lessons, etc.). The online survey of student opinion will include a comments section where students can type responses to additional questions specified by particular schools, divisions, departments, or programs, as well as questions supplied by the instructor. Responses to these additional questions may be used for assessment and development purposes of the course or instructor, or for

clarifying student responses to the two required scales of the student opinion survey.

At the end of the comment box, there will be a place for students to indicate whether they wish their responses to be sent only to the faculty member or also to the appropriate chair and/or director and dean. A student may type his/her name on the survey or remain anonymous.

After final grades have been turned in, the results of the online student surveys will be tabulated and the results (as described in 4.10.1.4) made available to the instructor and to the appropriate department chair and/or division director and dean via the Information Technology department and the interface they provide.

4.10.1.4 Reporting of Results of the Student Opinion Survey

The report of student opinion survey results, generated by the Information Technology department, will consist of the means and 95% confidence intervals for the Course Organization and Clarity of Presentation scales and the specific items making up those scales, and will include the number of respondents giving each rating on each item of the scale. This information is also put into the faculty member's permanent file and used by the chair and dean in evaluating course organization and clarity of presentation.

The faculty member will receive information in regard to all scales and items. The faculty member may, at his or her discretion, provide copies of the other scales, additional items, and/or written comments to the chair, dean, or Advisory Committee on Promotion and Tenure.

The student opinion survey results shall be reported no later than the first day of classes of the following semester.

4.10.2 Ratings of Teaching

Below are the general criteria for ranking faculty accomplishments in teaching:

- 4 Extraordinary teaching.** A person assigned this ranking is outstanding among Millikin faculty. Even in a community of excellent teachers, there are individuals who stand out. A faculty member performing at this level is recognized as among the best of us. Performance at this level exceeds the teaching criterion for tenure and promotion to both associate professor and professor.
- 3 Excellent teaching.** Teaching at this level is consistent with expectations at institutions with a national reputation for excellence in teaching. This level of teaching is a standard or model for others at Millikin to emulate. For a tenure-track faculty member, poorer performance (level 1 or 2) during the first two or three years of teaching at Millikin will not prevent the awarding of tenure if later performance is clearly at this level. Excellence in teaching is the criterion for tenure and promotion to both associate professor and professor.
- 2 Competent teaching.** A person assigned this ranking is recognized as a clearly

competent teacher. For a new faculty member (first or second year), performance at this level will continue contracts, but improvement is required for tenure. For tenured faculty, receiving this rating means that no promotion can be expected.

- 1 Marginal teaching.** A person assigned this ranking is recognized as, at best, marginally competent. If a new faculty member consistently performs at this level, his or her employment will be terminated prior to consideration for tenure, consistent with the notice dates presented in section 2.4.3.1.
- 0 Unsatisfactory teaching.** If a dean or chair/director assigns this ranking, he or she should already have begun the administrative process to remove the faculty member from classroom teaching. For tenured faculty, receiving this rating consistently means that termination of tenure on grounds of incompetence is possible.

4.11 EVALUATION OF SCHOLARSHIP/ARTISTIC ACHIEVEMENT

Faculty responsibility in scholarship/artistic achievement is described in section 1.2.3.2.

It is recognized that comparing scholarship/artistic achievement across different areas is inherently difficult. That does not relieve the faculty or administration of the duty to make such comparisons. For this reason, it is especially important that scholarship/artistic achievement be judged over a period of several years for consideration for merit increases in compensation as well as for tenure and promotion. In consideration for tenure and promotion, greater weight should be given to evaluations coming at the end of growth plans than to the annual evaluations.

Faculty have the final responsibility for documenting their scholarly and artistic achievement. Some units of the University may need to use outside evaluators at times. The provost must approve requests for external review and the procedures to be used.

Each college/school or division of the University, as part of its unit plan for evaluation (see 4.16), will list examples of scholarship/artistic achievement that meet the criteria of competent, excellent, and extraordinary scholarship/artistic achievement as described below. Those lists will not be exhaustive, but they should provide faculty with a general indication of activities that fall in each category.

While there may be occasional years in which a faculty member is not involved in scholarship/artistic achievement, it is clearly not acceptable for faculty to have no participation in scholarship/artistic achievement over the entire period of a growth plan. Lower levels of scholarship/artistic achievement in one year may be balanced by greater participation during other years.

4.11.1 Ratings of Scholarship/Artistic Achievement

Below are the general criteria for ranking faculty accomplishments in scholarship/artistic

achievement:

- 4 Extraordinary scholarship/artistic achievement.** A person assigned this ranking is outstanding among both Millikin faculty and faculty at nationally recognized undergraduate institutions in the amount and quality of scholarship/artistic achievement. Sustained performance at this level exceeds the scholarship/artistic achievement criterion required for tenure and promotion to both associate professor and professor.
- 3 Excellent scholarship/artistic achievement.** A person assigned this ranking is perceived as having made strong contributions to scholarship/artistic achievement in his or her field. Sustained performance at this level meets the scholarship/artistic achievement criterion for promotion to professor and exceeds the criterion for both tenure and promotion to associate professor.
- 2 Competent scholarship/artistic achievement.** A person assigned this ranking is recognized as having made a smaller but meaningful contribution to scholarship/artistic achievement in his or her field. Sustained performance at this level meets the scholarship/artistic achievement criterion for tenure and for promotion to associate professor, but it does not meet the requirement for promotion to professor.
- 1 Marginal scholarship/artistic achievement.** This ranking is assigned to a person who has made only minor contributions to scholarship/artistic achievement in his or her field. Performance at this level is not sufficient for tenure or promotion.
- 0 Unsatisfactory scholarship/artistic achievement.**

4.12 EVALUATION OF UNIVERSITY SERVICE

Due to their central role in fulfilling the University's mission and goals, Millikin faculty have a responsibility for contributing to the overall operation of the institution and to the activities, formal and informal, through which the faculty as a whole participate in and shape the life of the academic community. Examples of typical areas of University service are given in section 1.2.3.3.

There are many venues in which faculty can fulfill the expectation of University service, including service on a University-wide committee or equivalent participation in college, school, or departmental/division work. We explicitly recognize that many faculty make contributions to University service through departmental activities such as equipment maintenance and coordination of internships. Those contributions are to be treated equally with division-, school-, and University-wide contributions.

Contributions to University operations should be judged on the quality of outcomes and the importance of the individual's contribution to the desired results. The nature of the committee or assignment is less important than the extent to which the faculty member uses it as an opportunity to advance departmental/division, college, or University goals.

Each college/school or division of the University, as part of its unit plan for evaluation (see 4.16), will list examples or case studies of faculty providing competent, excellent, and extraordinary service to the University. Those lists will not be exhaustive, but they should provide faculty with a general indication of activities that fall in each category.

While there may be occasional years in which a faculty member is not involved in University service, it is clearly not acceptable for faculty to have no participation in University service over the entire period of a growth plan. Lower levels of participation in University service in one year may be balanced by greater participation during other years.

4.12.1 Ratings of University Service

Below are the general criteria for ranking faculty accomplishments to University service:

- 4 Extraordinary University service.** Faculty receiving this ranking are recognized by their faculty peers and administrators as having made major contributions to University service. Sustained performance at this level exceeds the University service criterion for both tenure and promotion.
- 3 Excellent University service.** Faculty receiving this ranking have gone beyond the level of contribution expected of all Millikin faculty. They have served with special distinction or assumed a leadership role at the University, college, division, or department level. Sustained performance at this level exceeds the University service criterion for both tenure and promotion.
- 2 Competent University service.** The person receiving this ranking has made the level of contribution expected of Millikin faculty. This ranking represents the conscientious performance of one's fair share of University service. It is understood by evaluators that the "fair share" of work is less for newly hired faculty than for other faculty members. Sustained performance at this level meets the University service criterion for tenure and promotion to associate professor and is part of the criterion for promotion to professor.
- 1 Marginal University service.** Represents less than the expected long-term level of University service, defined as the conscientious performance of one's fair share of the work. Unless a faculty member consistently contributes above this level, he or she will not be eligible for tenure or promotion.
- 0 Unsatisfactory University service.**

4.13 EVALUATION OF SERVICE TO THE PROFESSION

The nature and importance of service to the profession is described in section 1.2.3.4. While service to the profession is not required of Millikin faculty, it is valued and, when excellent, rewarded.

Because the forms of service to the profession vary so greatly, general criteria for rating service to the profession are provided by each college/school or division of the University as part of its unit plan for evaluation (see 4.16). Those criteria should reflect the levels of achievement described above for rating teaching, scholarship/artistic achievement, and University service. The unit plans for evaluation will list examples of service to the profession that meet the criteria of competent, excellent, and extraordinary service to the profession. Those lists will not be exhaustive, but they should provide faculty with a general indication of activities that fall in each category.

The issue of outside review of service activities is addressed in section 4.15.

The following ratings of service to the profession will be used in all faculty evaluations utilizing this category:

- 4 Extraordinary service to the profession.**
- 3 Excellent service to the profession.**
- 2 Competent service to the profession.**
- 1 Marginal service to the profession.**
- 0 Unsatisfactory service to the profession.**

4.14 EVALUATION OF PROFESSIONAL SERVICE TO THE COMMUNITY

The nature and importance of professional service to the community is described in section 1.2.3.4. While professional service to the community is not required of Millikin faculty, it is valued and, when excellent, rewarded.

Because the forms of professional service to the community vary so greatly, general criteria for rating professional service to the community are provided by each college/school or division of the University as part of its unit plan for evaluation (see 4.16). Those criteria should reflect the levels of achievement described above for rating teaching, scholarship/artistic achievement, and University service. The unit plans for evaluation will list examples of professional service to the community that meet the criteria of competent, excellent, and extraordinary professional service to the community. Those lists will not be exhaustive, but they should provide faculty with a general indication of activities that fall in each category.

The issue of outside review of service activities is addressed in section 4.15.

The following ratings of professional service to the community will be used in all faculty evaluations utilizing this category:

- 4 Extraordinary professional service to the community.**
- 3 Excellent professional service to the community.**

2 Competent professional service to the community.

1 Marginal professional service to the community.

0 Unsatisfactory professional service to the community.

4.15 EVALUATION OF SERVICE ACTIVITIES

When service activities form a part of the growth plan and are to be considered for faculty evaluation, the faculty member has the responsibility to make a contextual case for the significance of his/her service activities through careful documentation of the nature and extent of his/her involvement in each activity. The faculty member should also submit outcome-based evidence of effectiveness. This self-reporting of service activities in the portfolio and narrative self-evaluation is helpful in defining the activities; however, only through outside evaluation can these activities be fairly and accurately judged for merit. It is the responsibility of the faculty member to obtain documentation of the contributions. Faculty may obtain written evaluations from beneficiaries of some service activities or from persons engaged in the same activities. These written evaluations may be submitted as supportive materials in the evaluation process.

4.16 UNIT PLANS FOR EVALUATION

Approved unit plans are on file in the office of the provost.

Unit plans for evaluation are statements drafted by each unit to clarify the evaluation process for its faculty members. The unit plans are intended to serve as a guide to faculty when preparing annual self-evaluations and to chairs, directors, and deans when compiling annual evaluations of faculty performance; in addition, they guide tenure and promotion decisions at the University level. Unit plans require the approval of the Council on Faculty and a vote of the full faculty for initial approval. When a unit wishes to revise its unit plan, the proposed revisions require the approval of a majority of the Council on Faculty. When substantial changes are proposed, the Council on Faculty may, at its discretion, bring the revisions to the full faculty for approval.

4.17 RELEASE AND RETENTION OF EVALUATION DATA

Any member of the full-time or part-time faculty or administrative staff may request to review his/her own evaluation file from the appropriate dean's office. Copies of material in the file, at the cost of duplication, will be made available to the faculty member if requested.

This evaluation file is made available to persons in the University who are responsible for

writing evaluations of the individual, e.g., the department chair, director, dean, provost, and president. Results of student opinion surveys of courses that are part of certain programs may be shown to the person responsible for evaluating that program, e.g., the director of the School of Education or the coordinator of the James Millikin Scholars Program, with the approval of the faculty member being evaluated. Summary copies of student opinion surveys are also provided to members of the Advisory Committee on Promotion and Tenure. Evaluation material may be checked out of the dean's office where it is maintained, but it must be returned that same day in order to provide maximum security.

A log of the use of the file should be kept and made available by the appropriate dean's office for review by the faculty member. Each new entry in the file should be numbered and dated at the time of entry. All instances of access and copying should also be recorded in the log.

Evaluation material will be released to persons outside the University only with the written consent of the faculty member or pursuant to legal process.

The faculty member's evaluation folder will be retained by the University for five years following his or her final semester at Millikin. The file will then be automatically destroyed unless the faculty member or an administrator requests its contents.

4.18 EVALUATION OF CHAIRS AND/OR DIRECTORS, DEANS, PROVOST, PRESIDENT, AND ADMINISTRATIVE STAFF

Procedures for faculty input into the evaluation of chairs, deans, and the provost with regard to promotion or tenure (for administrators with faculty rank) are found in Section 3.1.3.

Faculty input into the annual evaluation of chairs, directors, deans, and the provost will be on appropriate forms provided via email by the office of the provost.

Faculty evaluation of professional personnel may be submitted on the appropriate form provided by the office of the provost. The provost should send evaluation forms as file attachments via e-mail to faculty no later than March 1 with a requested return date of March 30.

The president will be evaluated by the Board of Trustees with input from faculty via an online survey sent out on March 1.

4.19 EVALUATION OF FACULTY WITH SPLIT APPOINTMENTS

Recognizing that faculty work may extend beyond the traditional areas of teaching, scholarship/artistic achievement, and service, it is appropriate that full-time faculty with split appointments have their professional contributions to the University considered and evaluated in decisions for promotion and tenure. Evaluation of these professional

contributions to the University should be provided by the individuals most able to judge this work accurately. Outside evaluations may also be used with the approval of the provost. When professional contributions to the University form part of the growth plan and part of the faculty member's responsibilities, the faculty member has the responsibility to make a case for the significance and quality of his or her work. This case should be developed in consultation with the appropriate chair/director and dean.

Annual assessment of faculty with split appointments should include evaluation of their dual roles as faculty member and their other assigned position, with performance outcomes an integral factor in the evaluation process. Standards for tenure and promotion to associate professor and professor equivalent to those for full-time faculty reflect the expectation that the individual who engaged in these tasks is accountable and should be rewarded. The faculty member must provide adequate documentation of effort and outcomes necessary for promotion and tenure.

4.19.1 Ratings of Professional Contributions to the University

Below are the general criteria for ranking a faculty member's professional contributions to the University:

- 4 Extraordinary professional contributions to the University.** Peers, administrators, and external peer reviewers recognize faculty receiving this ranking as having achieved an exceptional level of success in the area. Evaluation at this level must involve outside review as a component of the evaluation process. Sustained performance at this level exceeds the criteria for any of the other rankings and reflects student success as well as the stature of the program.
- 3 Excellent professional contributions to the University.** Faculty receiving this ranking have demonstrated a, with proof of its success, and have provided evidence of ongoing improvement within the program. The faculty member has made a special contribution to the life and image of the institution and has clearly enhanced student success. Evidence to support this ranking would include recognition of the quality of the program outside of the University. External peer review should be used as a means for demonstrating this excellence.
- 2 Competent professional contributions to the University.** Faculty receiving this ranking have established or maintained a program that meets the needs of Millikin students in a positive fashion. Such programs should enhance the image of the University within the academic community. The substantive goals, organization, and support for the program have been clearly defined, and the majority of these goals have been accomplished in the period prior to tenure or promotion review. Evidence of this achievement must be documented.
- 1 Marginal professional contributions to the University.** Faculty receiving this ranking have established and maintained a program that minimally meets

the needs of Millikin students. Performance at this level does not meet the minimum requirements for tenure or promotion.

- 0 Unsatisfactory professional contributions to the University.** Faculty receiving this ranking have not established or maintained a program that meets the needs of Millikin students. Performance at this level does not meet the minimum requirement for tenure or promotion.

5 BENEFITS AND PERQUISITES

5.1 PROFESSIONAL GROWTH OF FACULTY

The responsibility for faculty development is shared jointly by individual faculty, by chairs and/or directors and deans, and by senior administrators. As professionals, faculty members must remain current in their fields and be proactive in continually improving their expertise, skills, and professional performance. Chairs and/or directors and deans need to support and guide faculty in this effort by providing suggestions and constructive feedback and by providing useful individual and collaborative development activities for faculty. Senior administrators have the responsibility to ensure that faculty development is an important institutional priority. Overall, the entire University community must view the development and support of an excellent faculty as essential for institutional excellence.

Much faculty development does not require special funding since it is part of the regular, ongoing duties of the faculty or can be accomplished without significant cost. Other faculty development activities, both individual and collaborative, necessitate funding. The University has an obligation to provide significant and sustained funding for the faculty development program, as resources allow. However, faculty members, particularly senior faculty with available opportunities, should when possible seek external funding; so too should the deans of the various colleges and schools, in conjunction with the Alumni and Development Office.

At the beginning of each semester, the Provost will meet with the Council on Scholarship and Faculty Development in order to provide a written report detailing, by fund, the dispersal of faculty development resources during the preceding semester, and projecting the funds available for the ensuing semester. The Council will consult with the Provost to establish priorities for faculty development funds for the ensuing term. Programs administered by the Council and discussed in detail below are distinguished professorships & chairs, the Summer Undergraduate Research Fellowships, the Millikin Summer Nyberg Program, the sabbatical leave program for tenured faculty, the junior academic leave program, and additional faculty development programs.

5.1.1 Faculty Growth Plans

The University provides funds to support faculty in accomplishing the goals of their growth plans and in actively engaging in professional development. Funding is available, as resources allow, to aid faculty in pursuing excellence in teaching, scholarly and creative activity, and other work directly germane to their professional growth plans.

Faculty growth plans are funded annually, with the funds administered by the deans. Funding is allocated proportionally to the colleges/schools, with changing distributions paralleling changes in the number of faculty. All full-time faculty are eligible to apply for these funds.

Faculty should submit requests for funding to their dean or director as far in advance as

possible. Funded activities may occur during the summer and winter breaks as well as the fall and spring semesters; joint applications for specific projects are welcome. Approval for funding should be obtained before any commitment is made to an activity, and definitely prior to the time the expense is incurred. Reimbursement forms, available in the deans' offices and the Business Office, must be approved by the chair and/or director and dean.

One activity supported by funding is professional travel, particularly for presentations and other types of active participation in the life of the discipline. Reimbursement may be requested for travel, lodging, meals, and registration costs. Limited resources, high demand on professional development funds, and the number of relevant conferences may preclude funding of all requests. Generally, highest priority will be for those delivering a paper, presenting an artistic performance, or contributing some other formal presentation. Those serving on the program as an officer, committee member, or chair of a session will also be given special consideration. However, even in these cases, relatively expensive conferences and/or multiple trips may require cost sharing. Guidelines and procedures covering allowable per diem expenses will be established by the deans and the Business Office. Expenses reimbursed by the sponsoring organization or individual(s) will be deducted prior to reimbursement by the University.

Faculty will report on funded activities in their annual update of their growth plans. In some cases, another form of self-report may be appropriate and requested by the dean.

5.1.2 Summer Grants Program

As resources allow, the University provides funds to support faculty professional activity during the summer, particularly the scholarly and artistic achievement of junior and newly tenured faculty. Among the activities funded are researching/writing a scholarly work, textbook, monograph, article, series of articles, or software program; creating/producing a work of art; developing/ leading a major community-based project; organizing a regional, national, or international conference, symposium, or other special program or institute; and engaging in advanced study beyond one's field of expertise through institutes, workshops, and the like. Joint applications reviewed by the deans and provost are welcome, and involvement of students in professional projects is encouraged.

5.1.3 Distinguished Professorships and Chairs

As resources allow, distinguished professorships and chairs will be available through the Office of the Provost. The Council on Scholarship and Faculty Development will solicit and review applications and recommend awardees.

5.1.4 Summer Undergraduate Research Fellowships

As resources allow, the University provides funds to support students in working collaboratively with faculty on scholarly projects. This support is in the form of a stipend and housing during the summer. Applications originate with the faculty member, although awards are made to the

student. Summer Undergraduate Research Fellows (SURFs) will be selected by the Council on Scholarship and Faculty Development. The Council will establish application procedures, sending out a solicitation of proposals in early spring. A March 15 application deadline and an April 15 acceptance/notification date will be used, if possible.

5.1.5 Millikin Summer Seminars

The Millikin Summer Nyberg Program affords faculty the opportunity to study in depth a topic or issue that crosses disciplinary and departmental/divisional boundaries and directly affects student learning and faculty development. These seminar-style programs typically involve private study, seminar presentations and discussion, and a project or product appropriate to one's teaching, research, or another professional interest. The Council on Scholarship and Faculty Development will solicit and review applications and recommend awardees to the Office of the Provost.

5.1.6 Sabbatical Leave Program

The University provides a sabbatical leave program, with the number of leaves determined by available funding and the programmatic needs of the various colleges/schools. The sabbatical program supports the ongoing professional excellence of the faculty and allows individuals an extended time for sustained scholarly inquiry, pedagogical innovation, and creative work. Sabbaticals also offer opportunities for professional renewal and in-depth study of new areas of knowledge.

Consistent with the availability of funding and the staffing needs of specific departments/divisions, schools/colleges, or the University as a whole, faculty members with the rank of assistant professor or above are eligible for leave after six years of full-time service at Millikin. If granted, leave is approved for one semester at full base salary. Full-year leaves at two-thirds of the faculty member's base salary will be available annually to one or two faculty with exceptional proposals. All employee benefits remain in effect during a sabbatical leave. While on leave, the faculty member cannot be engaged in employment for remuneration without the prior written approval of the provost.

Sabbatical applications require a detailed proposal and study plan along with identification of the outcomes of the proposed leave and explanation of the project's scope and significance and its direct impact on the faculty member's current and future growth plans. Also included should be a summary of the results of previous sabbaticals or faculty development grants and evidence of the faculty member's capacity to complete or make substantial progress on the proposed project. Generally, full-year proposals should include peer-reviewed preliminary work as supporting documentation.

Sabbatical applications must be approved by the department chair and/or division director and dean, who must provide letters indicating the basis of their support for the project, a proposed

staffing replacement plan, and a financial analysis (of what the loss of this teaching for one semester/year will cost or save the University), all based on available funding. Applications are due to the dean's office by December 1. The dean will give the proposals and his/her recommendations to the provost's office by December 15. The Council on Scholarship and Faculty Development will review applications and make recommendations to the provost by January 25; final decisions on sabbaticals will be announced by the provost's office no later than February 20. **Faculty are obligated to remain on the Millikin faculty for a minimum of two academic years following their sabbatical.** Faculty are eligible for subsequent sabbatical leaves after six additional years of full-time service following the completion of a leave.

5.1.7 Junior Academic Leave Program

A maximum of three one-semester academic leaves are available annually to tenure-track faculty who have completed at least two years of full-time service at the time of their application. The guidelines and review process are identical to those described in section 5.1.6 except for differences created by the applicant's more limited time of service.

6 MISCELLANEOUS POLICIES AND PROCEDURES

6.1 COMPENSATION

6.1.1 Full-Time Faculty

Annually each department chair and/or division director will recommend to the dean a classification of salary increment for each full-time faculty member in his/her department or division. The classification options range from *no merit*, to *merit*, to *high merit*. Each dean reviews these recommendations in consultation with chairs/directors and recommends a classification of increment for each faculty member to the provost. The president and provost, considering the recommendations of the deans, determine the amount of compensation for each faculty member. Incremental salary increases, if awarded, are dependent on budget and revenue estimates and upon the Board's annual approval of the University's pay and benefit program.

Overload Compensation

An overload is defined as additional courses beyond the number specified in the initial letter of hire and/or subsequent contract letters and will be compensated as such.

6.2 OUTSIDE EMPLOYMENT

See the *Employee Handbook and Policy Guide* for specific language.

6.3 RESEARCH AND PECUNIARY RETURN

All faculty members are entitled to full freedom in research and in the publication of results, subject to the satisfactory performance of their other academic duties. To ensure proper accounting for payments and compliance with compensation and tax laws/regulations, research for which a faculty member is to receive payment through the University should be reviewed and approved by the appropriate academic dean, the provost, and the vice president for finance and business affairs.

6.4 DISSENT

Millikin University encourages the free expression and exchange of ideas among members of the University community. Both faculty and students are encouraged to utilize the established channels of communication (including direct access to the president) to discuss the role of the University in personal and social issues and to request adjustments of policies and resolutions of grievances.

If, after utilizing the established channels for redress of grievances, an individual continues to believe that he/she has been denied the freedom of intellectual inquiry, then the University would be remiss if it did not permit the individual to express his/her grievances in legitimate protest. Thus, orderly and peaceful demonstrations on campus are not prohibited. The University, through registration by the Office of Student Development, protects the individual's freedom to protest so long as it does not unreasonably interfere with other protected freedoms. In the University context, these protected freedoms include (but are not limited to) the right to teach and attend

classes; to use the library, health service, and recreation centers; to participate in public meetings; and to conduct normal administrative functions.

At the same time, Millikin is committed to ensuring the safety of individuals, the protection of property, and the continuity of the educational process. The level of University tolerance for a protest may depend not only on whether the protest is orderly or disorderly but also on the place chosen for the demonstration. If picketing or other forms of peaceful protest take place outside University buildings, the University will not interfere except to maintain free passage through areas where members of the University community have a right to be, to curb excessive noise, and to ensure the safety of others. The University has the obligation to provide equitable access to its facilities for the entire University community and may therefore place reasonable limits on the time, place, and manner in which any particular individual or group may occupy its rooms and other property.

Distribution of leaflets is permitted in public corridors of University buildings. Posting notices on designated bulletin boards is permitted with approval of the Office of Student Programs. Students have the right to be interviewed on campus by any legal organization that desires to recruit on campus. However, students may protest against any organization's appearance on campus, provided that the protest does not interfere with any other student's opportunity to be interviewed.

In the event of disruption of the normal operations of the University, including interference with free use of corridors and entrances to rooms and buildings, the University will move with dispatch to restore order. The president or his/her delegate will issue notice to the protesting group to disperse and will indicate the administration's intention to maintain order and to protect the rights of all members of the academic community. If individuals refuse to comply, take actions that violate a University rule (e.g., acts of violence or vandalism, or acts of agitation that create mob action), deliberately encourage others to violate University rules, and/or violate a law of the general community, the University will be forced to make one of the following choices: turn the individual over to civil authorities for punishment, utilize University discipline alone, or use sanctions from both.

Ideas and causes may be supported on campus by lawful means that do not disrupt the operation of the University or interfere with the normal use of University facilities. The University will not tolerate disruptive acts for any reason.

6.5 REVISING THE POLICIES AND PROCEDURES MANUAL

Millikin is committed to an orderly, clear, and precise statement of its philosophy and procedures. In that light, maximum faculty and administrative participation is sought in establishing policies and procedures.

Proposals for revising this *Policies and Procedures: Faculty* can be made by faculty members, the Board of Trustees, the president, the provost, or any University committee or council established pursuant to the policies and procedures in this manual.

However, final authority for the operation of the University is vested with the Board of Trustees. As such, the Board may revise all University policies, including this *Policies and Procedures: Faculty*, as it deems reasonable and necessary. The Board may also implement new policies as it deems reasonable and necessary.

A proposal to alter the manual may be made at any time to the Council on Faculty. The Council will bring the request to the faculty for a vote in a timely manner.

Proposals shall be submitted to the Council on Faculty in the following format:

- Proposals shall be made in the form of text to replace, in whole or in part, some current provision of this *Policies and Procedures: Faculty*.
- Each proposal shall contain no more than one alteration of substance.
- A brief explanation of the reason(s) for the revision shall accompany the proposal.

After they are submitted, proposals shall be considered by the Council on Faculty, which shall pursue one of the following courses of action:

- a. The Council may endorse and forward the proposal to the faculty at the next faculty meeting without change or comment.
- b. The Council may alter or amend the proposal before forwarding it to the faculty. In such instances, the submitter will receive a copy of the altered or amended proposal before it goes before the full faculty and may request in writing that the original proposal also be sent to the faculty for consideration.
- c. The Council may oppose the proposal, attach a statement of its opposition to the original proposal, and return it to the submitter. Should the proposal be opposed by the Council and returned to the submitter, it will not go forward to the full faculty unless the submitter requests this action in writing to the Council.
- d. If the submitter does not agree to suggested alterations or amendments, the committee may object to the proposal and attach its objections and/or suggested amendments before sending the proposal to the faculty.

If a proposed revision to this *Policies and Procedures: Faculty* is approved by the full faculty, the faculty will then vote on whether the revision is to take place immediately upon approval by the Board of Trustees or at the beginning of the next academic year.

If a proposed revision to this *Policies and Procedures: Faculty* is not approved by the full faculty, the proposed revision, along with the outcome of the faculty vote and statement of opposition, will be returned to the submitter.

If the president or the chair of the Board of Trustees receives a request for a revision in the minutes from a faculty meeting, he/she will report at the next available faculty meeting whether or not the Board has approved the revision. In no case will the

president's report be delayed beyond the faculty meeting that immediately follows the next full meeting of the Millikin Board of Trustees.

If the president desires to revise or add to the policies and procedures manual a section that he/she believes does not require a vote of the full faculty, such as an informational appendix, he/she may consult with the Council on Faculty about whether or not the revision requires approval of the full faculty. If the Council agrees that a faculty vote is not required, the president will report the revision or addition at a regular meeting of the faculty, and it will be reported in the minutes after approval by the Board.

The Board of Trustees retains ultimate power to make and approve changes to this *Policies and Procedures: Faculty*, following procedures listed above.

No change will be made to this *Policies and Procedures: Faculty* unless it has been noted in the minutes of a regular or called faculty meeting. The most recent version of this *Policies and Procedures: Faculty* will be available in a timely manner from the provost.

6.6 FINAL EXAMS

Final examinations are to be given during the scheduled final examination period for the fall, spring, and summer terms. It is required that final examinations be given only during the scheduled hours of the examination period, except in the case of independent study, internship, practicum, studio, and activity courses. Instructors of these types of courses may designate the final as optional.

All students enrolled in a course are expected to sit for final examinations.

Under certain circumstances, exceptions to the above final examination policies may be appropriate. Permission for such exceptions must be obtained in writing from the appropriate academic dean, in consultation with the chair/director, at least two weeks before the scheduled exam.

Major tests (those constituting 20% or more of the final course grade) shall not be given during the week prior to the final examination period without previous written approval of the dean or director of the school.

Faculty members are expected to submit final grades to the registrar by the announced deadline. Grades of *incomplete* are to be submitted sparingly.

Faculty may submit a grade change, including the reason for the change, no later than one calendar year following the original grade assignment or immediately following the conclusion of the grade appeal process (see 6.7.3). Extraordinary circumstances for grade changes beyond a calendar year may only be initiated through the provost's office.

6.7 FREEDOM OF EXPRESSION IN THE CLASSROOM

6.7.1 Responsibility to Protect Freedom of Expression

Faculty members should encourage free discussion, inquiry, and expression in the classroom. Students should be evaluated solely on the basis of their academic performance, not on their opinions or conduct in matters unrelated to academic standards. Students are responsible for learning thoroughly the content of any course of study, but they must be free to take reasoned exception to the data or views offered and to reserve judgment about matters of opinion.

6.7.2 Responsibility to Protect Against Improper Academic Evaluation

The faculty member is responsible for establishing and maintaining fair and equitable standards for student academic evaluation. Any student who feels that such standards have not been established and/or maintained shall have the right to be heard through orderly procedure as described in section 6.7.3.

6.7.3 Student Appeal Procedure

A student who believes that he/she has received an unfair final grade or final evaluation should first confer with the instructor to resolve the disagreement. If a justifiable question remains in the student's mind, he/she may next confer with the chair and/or director of the faculty member's department/division. The chair/director may investigate the matter, mediate between the student and instructor, or take any other reasonable action that he/she believes may solve the disagreement. If there is still no resolution after meeting with the chair and/or director, the student may present the case to the dean of the school in which the course was offered. The faculty member reserves final judgment on all matters pertaining to student grades unless the administration is proceeding against that faculty member pursuant to dismissal for cause (Section 2.4.5) or action short of dismissal (Section 2.4.6). The dean may consult with the department chair and/or director and the faculty member. The dean will decide whether or not to begin a University investigation of the faculty member's grading practices. There shall be no further appeals beyond the dean.

If a faculty member has left the University and is unavailable or unwilling to respond to requests for grade changes, the chair and/or director or dean shall have the power to change a grade if he or she deems it necessary.

The appeal process must begin no more than one calendar year following the grade assignment.

6.8 IMPROPER DISCLOSURE OF INFORMATION

Improper disclosure of student information. Faculty members must follow the federal guidelines set forth in the Family Educational Rights and Privacy Act of 1974 (FERPA) regarding the disclosure of confidential student information. Faculty members may request information contained in students' permanent academic records when

needed as part of their official duties. Faculty members may consult with their colleagues about a student to the extent that the consultation reasonably serves, protects, or facilitates the student's health, safety, academic, or career interests, and as long as said consultations maintain the appropriate confidentiality. A faculty member may provide information concerning a student's competence and fitness for a given task, including relevant judgments of character, to other faculty and administrators within the University who have legitimate grounds for seeking information. Care must be taken to avoid indiscriminate disclosure of information about an individual's attitudes, beliefs, and political associations that may have been acquired in the course of teaching, advising, and/or counseling students.

Protection against improper disclosure of information is a serious professional obligation of faculty members and administrative staff that should be balanced with their obligations to the individual student, the institution, and society.

A faculty member may request information from a student's permanent academic record when it is needed to discharge his/her official duties. A faculty member may request certain confidential information (a) with the student's consent or (b) when he/she is conferring with a counselor, dean, or other authorized person concerning the student.

6.9 ACADEMIC DISHONESTY

The intellectual and moral integrity of an academic community depend upon an uncompromising commitment to honesty in the actions of all its members. Any violation of this commitment threatens the unrestricted and honest exchange of knowledge. It is the responsibility of every person in the academic community (students, faculty, and administrators) to see that dishonesty is not tolerated. This responsibility may include reporting known or suspected violations to the appropriate authority.

6.9.1 Academic Integrity Among the Faculty

6.9.1.1 Definition of Academic Dishonesty by Faculty

Academic dishonesty by faculty members includes, but is not limited to, plagiarism, improper evaluation of students, improper disclosure of student information, scientific misconduct, and dishonest claims. Academic dishonesty is prohibited. To avoid acts of academic dishonesty, the faculty must observe and comply with the following policies.

- **Plagiarism.** Plagiarism is presenting as one's own the writing, research, ideas, thoughts, or concepts of another person. The faculty at Millikin must identify the author of all materials not of their own creation. This includes citing the sources of information in papers and other written works for use within and outside of Millikin University. Teaching materials, scholarly works, and professional reports or documents must contain accurate information with attribution to the author(s) of the original idea(s).
- **Improper evaluation.** Student evaluations are the responsibility of

faculty members. Course grades and evaluation criteria should be provided to students in writing. Students must be evaluated solely on the basis of their academic performance, not on their opinions or conduct in matters unrelated to academic standards.

- **Scientific misconduct.** Scientific misconduct means fabrication, falsification, plagiarism, or other practices that seriously deviate from the accepted clear professional standards of the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretation or judgments of data. Faculty must adhere to the University's policies governing scientific misconduct, including section 6.13.
- **Dishonest claims.** Faculty must accurately describe or claim their credentials, awards, degrees, and employment history.
- **Other improprieties.** Other acts that lead to questions concerning the professional integrity of a faculty member will be dealt with by the appropriate dean or the provost on a case by case basis.

6.9.1.2 Initiating a Complaint

All acts of academic dishonesty by a faculty member shall be addressed through the grievance procedures described immediately below.

Internal Complaints against Faculty

Grievance procedures may be initiated by administrators or faculty members against other faculty members reasonably believed to have committed an academically dishonest act. Such grievance procedures shall be initiated as follows:

- Step 1: Within a reasonably prompt period of time, typically less than a month, after discovering a possible act of academic dishonesty, the administrator or faculty member should inform the appropriate supervisor, department chair, division director, academic dean, provost, or affirmative action officer, who should then make reasonable efforts to resolve the matter informally. If an informal resolution cannot be made at this level, then the administrator or faculty member may proceed to step 2.
- Step 2: Within a reasonably prompt period of time after completing step 1, again, less than one month, the administrator or faculty member may send a written request to the Faculty Welfare Committee to begin the formal grievance process described in section 2.5. In the event it is determined that a faculty member has committed an academically dishonest act, the University may initiate proceedings against said

faculty member under section 2.4.5 (Dismissal for Cause) or section 2.4.6 (Action Short of Dismissal).

External Complaints against Faculty

If an accusation of academic dishonesty against a faculty member comes from a source outside the University, it should be directed to the appropriate dean or to the provost. The dean or provost will discuss the accusation with the faculty member and the chair of the department and/or director of the division. If the dean or provost reasonably determines that there are grounds for the accusation, and if an informal resolution cannot be reached, then the dean or provost may initiate action against the faculty member under section 2.4.5 (Dismissal for Cause) or section 2.4.6 (Action Short of Dismissal).

6.9.1.3 Faculty Response to Complaints

If a faculty member is accused of academic dishonesty by another faculty member, an administrator, a student, or someone outside the University, and the issue is not resolved to the accused faculty member's satisfaction, the accused faculty member may initiate grievance procedures under section 2.5.

6.9.2 Academic Integrity Among the Students

See the *Millikin University Student Handbook*.

6.10 ADVISEMENT OF STUDENT ORGANIZATIONS/SUPERVISION OF STUDENTS

Faculty are frequently asked by student organizations to serve as their advisors, subject to the approval of the Office of Student Development. Advisors serve as liaison between the organization and the University administration. They are expected to keep both the student group and the University up-to-date on matters of mutual interest and responsibility. The faculty advisor serves in an advisory, not governing, capacity. It is the organization's responsibility to keep the faculty advisor informed of its activities, problems, and business affairs.

Advisors should review contracts between student organizations and outside agencies, such as publishing companies and performing groups, before they are signed. In many cases, the vice president for finance and business affairs, not the advisor, must sign or countersign for the University. Faculty advisors must check with him/her when a contract is being reviewed.

Frequently, faculty members who are not student organization advisors are invited as guests at social functions involving Millikin students. If these faculty guests observe violations of University policy, they should not feel compelled to assume a direct enforcement role, but they should bring these concerns to the student host in charge of the event. If the student host is unresponsive to the faculty member's concerns, or if the

policy infractions are of a serious nature, the Dean of Student Development should be contacted.

6.11 GOVERNMENT-SPONSORED RESEARCH BY FACULTY: CONFLICT OF INTEREST STATEMENT

Faculty are permitted to engage in government-sponsored research and develop consulting or other relationships with private businesses; however, faculty must avoid unacceptable conflict of interest scenarios such as the following:

- a. undertaking or orienting of the faculty member's research to serve the research or other needs of a private firm, without disclosure and approval of such undertaking or orientation to the University and to the sponsoring agency
- b. purchase of major equipment, instruments, materials, or other items for University research from a private firm in which the staff member has an interest, without disclosure and approval of such interest
- c. transmission to a private firm or other use for personal gain of government-sponsored work products, results, materials, records, or information that are not made generally available
- d. use for personal gain or other unauthorized use of privileged information acquired in connection with the faculty member's government-sponsored activities
- e. negotiation or influence on the negotiation of contracts relating to the faculty member's government-sponsored research between the University and private organizations with which he or she has a consulting or other significant relationship
- f. acceptance of gratuities or special favors from private organizations with which the University does or may conduct business in connection with a government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring government agency under circumstances that might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties
- g. consultation by a faculty member with one or more government contractors, or prospective contractors, in the same technical field as the faculty member's government-sponsored research project

This conflict-of-interest policy does not necessarily preclude faculty members from making appropriate licensing arrangements for inventions or consulting on the basis of government-sponsored research work independent of such work.

The term *privileged information* includes, but is not limited to, medical, personnel, or security requirements or price actions; possible new sites for government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements.

6.12 RESEARCH ACTIVITIES INVOLVING HUMAN PARTICIPANTS AND ANIMALS

In accordance with federal regulations, Millikin University safeguards the rights and welfare of human subjects in any research, development, or related activity, and assures the proper care of laboratory animals used in research.

6.12.1 Establishment of Human and Animal Institutional Review Boards

The University shall establish two review boards—a Human Subjects Institutional Review Board (IRB) and an Institutional Animal Care and Use Committee (IACUC)—appointed by the provost. Each review board shall consist of at least five members with diverse backgrounds and expertise, one of whom must come from the community external to the University. A further stipulation of appointment to the IACUC is that one of the members must be a licensed veterinarian.

6.12.2 Responsibilities of the IRB and IACUC

The IRB and IACUC and their staffs shall be responsible, in conjunction with the provost of Millikin University, for assuring that all University personnel and student researchers comply with applicable federal regulations and guidelines. The IRB and IACUC shall review and approve, require modifications of, or disapprove all University non-exempt research involving humans or animals in accordance with the administrative policies and procedures established and approved by these boards. In addition, the IRB and IACUC shall monitor and conduct continuing review of research at least once per year. It shall continue to be the responsibility of the administrative officers of Millikin University and each principal investigator/researcher to carry out the decisions of the IRB and IACUC.

6.12.3 Authorities of the IRB and IACUC

The IRB and IACUC have the authority to inspect research facilities and obtain records and other relevant information relating to the use of humans and animals in research projects. Further, the IRB and IACUC have the authority to take actions that are, in their judgment, necessary to ensure compliance with federal guidelines and regulations, other applicable federal and state law, and the policies and procedures established and available on their respective web sites. These actions may include the suspension or termination of approval of research that is not being conducted in accordance with the IRB's and IACUC's requirements or that has been associated with unexpected serious harm to humans or that violates animal care guidelines.

6.12.4 Reporting Requirements of the IRB and IACUC

The IRB and IACUC shall report to the provost and, as required by laws or guidelines, to federal government officials:

- any unanticipated risks to human participants, or serious or continuing noncompliance with IRB requirements
- any violations of animal care guidelines, or serious or continuing noncompliance with IACUC requirements
- any suspension or termination of IRB or IACUC approval of research

6.12.5 Administrative Policies

The IRB and IACUC, with responsible oversight by the provost, shall establish appropriate administrative policies and procedures to implement this policy, available on their designated University web sites. In determining policy matters pertaining to human research participants, the University and the IRB will be guided by the "Principles for Use of Human Subjects in Research" (approved by the American Psychological Association) and the Code of Federal Regulations (45 CFR 46). In determining policy pertaining to animal research subjects, the University and the IACUC will be guided by the "Principles for Use of Animals in Research" (approved by the American Psychological Association), the "Guide for the Care and Use of Laboratory Animals" (approved by the National Institutes of Health), the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS 1996), and the Federal Animal Welfare Act (CFR 1985). It is essential that researchers, applicable chairpersons, and deans of academic units be fully familiar with these materials. Copies of these regulations are on file with the provost.

6.13 SCIENTIFIC MISCONDUCT

Millikin University policies on dealing with and reporting instances of scientific misconduct and conflicts of interest have been adopted in compliance with Federal Public Health Regulation 42 CFR Part 50, Subpart A. The University's policy applies to cases of alleged or apparent misconduct in science in connection with biomedical or behavioral research or research training, applications for support of research or research training, or activities related to such research that are supported with funds made available under the Federal Public Health Service Act or with other funds. These policies and procedures do not apply to situations involving allegations of fiscal improprieties or criminal violations, or issues concerning the ethical treatment of human or animal subjects.

All interested faculty and staff members should read and understand these policies, copies of which are available at the office of the provost.

6.14 FACULTY POLITICAL ACTIVITY

Faculty members, as citizens, are free to engage in political activities. Any member of the faculty who wishes to engage in direct political activity that will involve a substantial amount of time away from the performance of his or her University responsibilities (e.g., holding or running for political office, managing a campaign, or directing group action on

behalf of a political candidate or issue) is expected to work out a mutual agreement for leave of absence with his/her department chair and/or division director, dean, and the provost before undertaking such activity.

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

6.15 CONSENSUAL SEXUAL ACTIVITIES WITH STUDENTS

Given the fundamentally asymmetrical nature of the faculty–student relationship, voluntary consent by the student in an amorous relationship is suspect. In addition to the possible sexual exploitation of the student involved, other students, staff, and faculty may be affected by such relationships. Therefore, consensual sexual and amorous relationships will be considered unethical and are prohibited between a student and any member of the faculty or administrative staff who teaches, supervises, evaluates, or otherwise is in a position to exercise power or authority over the student. Efforts by members of the faculty or administrative staff to initiate such relationships are also prohibited. Millikin University expressly prohibits all forms of sexual misconduct, including sexual harassment (see *Employee Handbook and Policy Guide*).

6.16 KNOWLEDGE OF UNIVERSITY POLICIES

In addition to the policies in this manual, each faculty member will also receive a copy of Millikin's *Employee Handbook and Policy Guide*. That handbook includes policy language applicable to all University employees, including but not limited to the following:

- equal employment opportunity
- accommodation of applicants/employees with disabilities
- nondiscrimination
- Family Medical Leave Act leave
- workplace harassment and workplace discrimination
- workplace searches
- computer/e-mail/Internet use

Each faculty member is responsible for reading this *Policies and Procedures: Faculty* and the applicable provisions of the *Employee Handbook and Policy Guide*, familiarizing himself or herself with their contents, and adhering to all of the Millikin University policies and procedures set forth there or elsewhere.

7 FACULTY GOVERNANCE

7.1 FACULTY MEMBERSHIP

7.1.1 Definition of Faculty for Purposes of Governance

The voting faculty of Millikin University shall consist of all professors, associate professors, assistant professors, instructors, and lecturers who hold full-time contracts.

Emeritus faculty, part-time faculty, and members of the administrative staff may be invited to attend the meetings of the faculty as nonvoting members.

7.1.2 Adjunct (Part-Time) Rank

All holders of adjunct rank (i.e., adjunct instructor, adjunct assistant professor, adjunct associate professor, adjunct professor) are nontenurable part-time faculty (section 2.1.2). Adjunct faculty do not have the privilege of voting in department, division, college, or University meetings; however, they may be invited to attend and participate in discussions at such meetings.

7.2 ORGANIZATION

7.2.1 Faculty Meetings: Procedures

The faculty shall normally meet once each month from August to May. Special meetings may be called at any time by the University president or upon a petition of any 10 members of the faculty filed with the provost's office, provided that notice of not less than 24 hours be given.

A faculty convener shall preside at all meetings of the faculty or shall designate another faculty member to preside. The convener shall be elected annually at the April meeting. Robert's Rules of Order shall be followed in all meetings. A quorum shall consist of a majority of the voting members of the faculty.

The faculty shall elect annually, at the August meeting, a parliamentarian who shall advise the faculty convener and the faculty regarding parliamentary procedure. A nominating committee consisting of the provost, the chair of the Department of Political Science, and the chair of the Department of Communication shall submit the names of competent and willing candidates to the faculty.

Student representatives selected by the Student Senate are invited to attend all meetings of the entire faculty. They have the privilege of the floor but are not eligible to vote.

7.2.1.1 Designated Meeting Time

Given that full-time faculty members need the opportunity attend meetings regularly in order to participate in issues of faculty governance, Monday afternoon from 4:00-5:30

p.m. is established as the designed day and time for full faculty meetings, while traditional classes are in session.

If at all possible, chairs, in conjunction with deans/directors, shall provide full-time faculty members the option of creating a teaching schedule that allows them to attend meetings during this established day and time.

7.2.2 Academic Structure

The University is divided into four colleges/schools:

- the College of Arts and Sciences,
- the College of Fine Arts,
- the College of Professional Studies, and
- the Tabor School of Business.

The College of Arts and Sciences is further divided into three divisions: Humanities, Social Sciences, and Natural Sciences and Mathematics.

The College of Professional Studies is further divided into two divisions. One division is the School of Nursing. The other division consists of the Department of Exercise Science and the School of Education.

Faculty from all four colleges/schools participate in councils and committees as members at large or as representatives of the seven "divisions" of the University. For the purpose of committee structure, the College of Fine Arts and the Tabor School of Business are represented in the same way as the divisions of the College of Arts and Sciences and the College of Professional Studies.

The chair and/or director of each division shall conduct division meetings. Only full-time faculty members may vote in the division meetings.

Departments/divisions are units of each school or college, and they are chaired by a faculty member appointed by the appropriate academic dean. A department meets upon call by the chair to consider matters primarily involving departmental curricula, personnel selection, and student advising.

7.2.3 Standing University Councils and Committees

The principal distinction between councils and committees is that councils (a) have the authority to bring forward recommended policy; (b) are composed of elected members representing each of the colleges, schools, and divisions; and (c) have membership with stated periods of service. The faculty representing the colleges, schools, and divisions must be tenured or tenure-track. The faculty serving in at-large positions are not required to be tenured or tenure-track. One exception is that all faculty representatives on the Council on Faculty must be tenured.

The standing University councils are the Council on Faculty, the Council on Curriculum, and the Council on Students and Academic Standards. The councils should meet at least monthly during the academic year.

Minutes of these meetings shall be distributed regularly to all faculty members, and reports are to be given at each faculty meeting.

The president, provost, and academic deans are nonvoting, ex officio members of all councils, standing committees, and their ad hoc committees. One appointed academic dean will serve as a voting member of the Council on Curriculum, and one appointed academic dean will serve as a voting member of the Council on Students and Academic Standards. One appointed academic dean will serve as a nonvoting member of the Council on Faculty. No academic dean will be a member of the Faculty Welfare Committee. The provost appoints each of these deans.

Robert's Rules of Order shall be followed in all meetings of councils, standing committees, and ad hoc committees. A quorum shall be a majority of the membership except during the months of June, July, and August, when a quorum shall be defined as one-third of the membership.

Faculty members elected to represent their division on a council shall be selected by the division and their names reported to the provost two weeks prior to the April faculty meeting. Members of councils to be elected at large shall be nominated from the floor at the April faculty meeting and voted on by secret ballot at the May meeting.

Faculty elected to a council serve a two-year term and may be re-elected for one additional two-year term. Approximately half of the membership of each council is to be elected each year. A faculty member may serve on only one council at a time. If a member is unable to complete his or her full term, he or she may be replaced either by election at large or by the academic unit, as appropriate.

When defining council and committee membership, the term *division* refers to the College of Fine Arts and the Tabor School of Business in addition to the three divisions within the College of Arts and Sciences and the two divisions within the College of Professional Studies.

Prior to the end of the fall semester, each council will select a meeting time for the following year. This time will be agreed to by all faculty whose current terms are not expiring. This meeting time will be announced to all faculty at the last full faculty meeting of the fall semester. Faculty intending to seek election or re-election to a council for the following year are expected to arrange their teaching schedules so that they can meet at the designated time.

7.2.3.1 Council on Curriculum

This Council has the following membership: two faculty chosen by Fine Arts, one faculty

chosen by each other division; two faculty elected at large; one dean appointed by the provost to represent the deans of the College of Arts and Sciences, the College of Fine Arts, the College of Professional Studies, and the Tabor School of Business; and one student representative elected by the Student Senate and approved by the dean of Student Development. The student representative will be a nonvoting member of the Council and must be a junior or senior. The registrar also serves as a nonvoting, ex officio member of this Council.

All curriculum changes should be brought to the Council after prior approval by the appropriate academic unit and/or the responsible administrator. The Council will approve or reject each proposal or return it to the originating academic unit/administrator for revision. Matters that require action by the full faculty will be brought forth in a faculty meeting with the Council's recommendation.

The Council may approve curriculum changes within a major or a program as long as those changes have no University-wide impact. University-wide curriculum changes (such as changes to the University Studies program or the addition or deletion of a major) must be brought forth to the full faculty for a vote.

The Council on Curriculum may give final approval on matters including, but not limited to, the adding or deleting of courses; changes in course titles, catalog descriptions, and prerequisites for courses taken by non-majors; changes in degree programs, majors, or minors; the adding or deleting of courses approved for general education credit; changes in interdisciplinary programs; changes in departmental graduation requirements beyond University requirements; student petitions involving academic matters; and the adding of courses not listed in the catalog (for one semester).

The Council will bring forth to the full faculty recommendations including, but not limited to, proposals to change general education or graduation requirements; proposals for new majors and/or new degrees; and proposals that would affect faculty staffing, such as substantially altering or eliminating programs, departments, divisions, schools, or colleges.

The Board of Trustees must give final approval on proposals that would affect faculty staffing through the substantial alteration or elimination of programs, departments, divisions, schools, or colleges.

7.2.3.2 Council on Faculty

This Council has the following membership: two faculty chosen by Fine Arts, one faculty chosen by each other division; two faculty elected at large. One dean appointed by the provost to represent the deans of the College of Arts and Sciences, the College of Fine Arts, the College of Professional Studies, and the Tabor School of Business is a nonvoting member. The elected faculty representative to the Board of Trustees is an ex officio, nonvoting member.

The Council on Faculty reviews the validity, reliability, usefulness, and fairness of established procedures and/or instruments related to the University-wide evaluation of faculty and reports the results of such reviews to the faculty. The Council conducts research on possible new procedures and/or instruments related to the University-wide evaluation of faculty and makes recommendations to the faculty for potential changes.

The Council is also responsible for soliciting nominees for the at-large positions on the councils and standing committees, and for the positions of faculty convener and faculty representative to the Board of Trustees. The Council on Faculty and the dean of Student Development shall appoint two faculty representatives to serve as advisors to the Student Activities Fee Committee (SAFC). These SAFC advisors serve until the Council on Faculty deems it necessary to appoint new advisors.

The full-time teaching faculty who are members of the Council on Faculty also constitute the Faculty Welfare Committee. The representative dean on the Council and the representative to the Board of Trustees are not members of the Faculty Welfare Committee. The chair of the Council on Faculty also serves as chair of the Faculty Welfare Committee.

The Faculty Welfare Committee shall be consulted and charged by the provost with holding discussions in order to make recommendations on proposals that might affect faculty staffing as a result of restructuring or eliminating programs, departments, divisions, schools, or colleges. The Committee shall be involved early in the process of deliberation and negotiation with the provost on such proposals. Administrators, in good faith and commitment to University faculty, shall have the discretion to determine what is a timely notice.

The Faculty Welfare Committee is charged with gathering information, commentary, and facts from faculty and administrators, including the president of the University, on proposed changes affecting University staffing. The Committee will submit a written report of its recommendations to the Council on Faculty for further deliberation and action.

The Council on Faculty shall then consider the Committee's findings and make recommendations to the Council on Curriculum, or to the University faculty, or to both, before a formal recommendation is made by the Council to the University's Board of Trustees. The nature of the Council's report/recommendations will dictate whether the report should be given in an executive session of the faculty.

7.2.3.3 Council on Students and Academic Standards

This Council has the following membership: two faculty chosen by Fine Arts, one faculty chosen by each other division; two faculty elected at large, and one representative from the academic deans appointed by the provost. The director of student success, University registrar, dean of student life, chair of the Institutional Review Board, and director of admission shall serve as nonvoting, ex officio members. One student who is

an elected member of student government will be appointed by the dean of student development to serve as a nonvoting member of the Council. The student representative may be present for all Council business except when the Council reviews and acts on individual student records (e.g., marginal admissions or probationary suspension).

The Council on Students and Academic Standards advises the deans, the provost, and the vice president for enrollment and marketing on policies related to undergraduate student orientation, registration, academic progress, academic scheduling, advising, and retention.

The Council consults with the appropriate administrative offices, solicits data on current programs and activities, and recommends to the president, the provost, and/or the faculty new policies, plans, objectives, or procedures to facilitate student success and the achieving of institutional retention and graduation goals.

The Council shall review all policies regarding academic regulation and standards. Academic regulations and standards include student academic load, auditing, limits on types of credit, correspondence courses, withdrawal procedures, grading policies, incompletes, pass-fail option, suspension and warning standards, academic progress, and any and all other policies reasonably considered to be academic in nature. The Council shall bring policy recommendations to the faculty for its approval.

The Council recommends policies to the faculty concerning admission or readmission of all students. The Council evaluates the credentials of all marginal candidates for admission or readmission to undergraduate and graduate programs, and makes recommendations on all of these cases.

The Council serves in an advisory capacity to the Offices of Student Development and Student Success on the academic aspects of curricular and co-curricular matters such as student life, student government, student organizations, student athletics, student publications, student housing and living conditions, and student discipline. The Council functions as a judicial board when necessary.

The Council recommends to the faculty standards for Dean's List designation and for graduation honors. It also selects students to be recommended for University academic awards, reviews departmental/divisional standards for academic awards and graduation honors, and advises the president and the provost on appropriate forms of recognition for student academic achievement.

The Council serves in an advisory capacity to the Institutional Review Board on issues of review protocol; IRB training; and compliance with federal, state, and local laws. The chair of the Institutional Review Board shall offer periodic reports to the Council.

7.2.3.4 Council on Faculty Scholarship and Development

This Council has the following membership: two faculty chosen by Fine Arts, one faculty chosen by each other division; two faculty elected at large; and one dean appointed by the provost to represent the deans of the College of Arts and Sciences, the College of Fine Arts, the College of Professional Studies, and the Tabor School of Business.

Faculty membership should include faculty with experience, interest, and knowledge in the areas of scholarship and artistic achievement and faculty development.

The Council is responsible for advising the provost on policies related to scholarship and faculty development, including distinguished professorships & chairs, the Summer Undergraduate Research Fellowships, the Millikin Summer Nyberg Program, the sabbatical leave program for tenured faculty, and the junior academic leave program. Additionally, the Council will provide the provost with recommendations on priorities, programs, and new opportunities in scholarship and faculty development (see Section 5.1).

The Council is responsible for consulting with the Provost on current faculty development opportunities and any similar programs established in the future.

7.2.3.5 Advisory Committee on Promotion and Tenure

This Advisory Committee has the following membership: two faculty members elected by Fine Arts, one faculty member elected by each other division, plus the following administrators, who are nonvoting, ex officio member: the president, the provost, and the deans of the College of Arts and Sciences, the College of Fine Arts, the College of Professional Studies, and the Tabor School of Business.

The elected faculty shall serve two-year terms, beginning and ending in December. Committee members from the Division of Natural Sciences and Mathematics, the School of Education and Department of Exercise Science, the Tabor School of Business, and the College of Fine Arts shall be elected in odd-numbered years. Committee members from the Division of Humanities, the Division of Social Sciences, and the School of Nursing shall be elected in even-numbered years.

The provost convenes the Advisory Committee on Promotion and Tenure by October 29 each year and delivers promotion and tenure documents to the Committee members as described in section 3.1.2.4.

Members of this Committee shall have access to the case portfolios for all faculty members being considered for promotion or tenure and shall advise the provost on matters of promotion and tenure of the faculty. (See section 3.1.2.4.)

7.2.3.6 Advisory Committee on the James Millikin Scholars Program

Members of this Advisory Committee shall be appointed by the provost in consultation with the honors director. The honors director is appointed by and reports to the provost and is empowered to act on behalf of the Committee.

This Committee provides oversight of the Millikin Honors Program, including the James Millikin Scholars (JMS) Program. The Committee consults with the provost, the academic deans, the Office of Admission and Student Financial Services, and other administrative offices as appropriate and necessary.

The Committee cooperates with the Office of Admission in the recruiting, interviewing, and selecting of an annual complement of highly qualified candidates for the Honors Program.

The Committee monitors the academic performance of student participants in the JMS Program, advises the honors director, and approves staff for honors courses and internships. The Committee promotes the Honors Program, initiates curricular changes and submits them to the Council on Curriculum for action, and expends Committee funds as necessary, consistent with program objectives. The Committee assists the provost in the academic coordination and administration of the Presidential and Provost Scholars Program.

7.2.3.7 Committee on Teacher Education Programs

This Committee has the following membership: one faculty representative of each of the teacher education programs, appointed by the chair and/or director of the corresponding department; the director of teacher education; full-time faculty members of the Department of Education; and the dean of the College of Professional Studies. The presidents of the Student Education Association and the Music Educators Association (or other officers chosen by those organizations) are also members. All are voting members except the dean of professional studies. The director of teacher education serves as chair.

The Committee plans, approves, and monitors the University's teacher education programs in accordance with University, state, and national policies and guidelines. Implementation of these policies is delegated to the director of teacher education. The Committee handles certification matters and periodic accreditation reviews as required by the Illinois State Board of Education and/or the National Council for Accreditation of Teacher Education (NCATE). Each April the Committee reports to the University faculty on the activities and status of the teacher education programs.

7.2.3.8 Advisory Committee on the Faculty Agenda

This Committee has the following membership: the chairs of the Council on Faculty, the Council on Curriculum, and the Council on Students and Academic Standards; the faculty convener; the faculty representative to the Board of Trustees; and the provost. The faculty convener will serve as chair.

The Advisory Committee will meet before each meeting of the full faculty to discuss and coordinate the business of the councils and the agenda for the faculty meeting.

7.3ROLE IN GOVERNANCE

Millikin faculty exercise a role in governance by provision of the *Corporate Bylaws of Millikin University*. Various articles of the bylaws both limit and define that role.

7.3.1 Board Limitations on Faculty Governance

7.3.1.1 Supervisory Role of the Board Executive Committee

Article XIII of the *Corporate Bylaws of Millikin University* specifies for the executive committee of the Board of Trustees a supervisory function:

Between meetings of the Board, the executive committee shall have general supervision of the administration and property of the corporation, except that, unless specifically empowered by the Board so to do, the executive committee may not award degrees, amend the corporate bylaws, appoint or remove the president of the corporation or take any other action specifically reserved for the Board by law or by resolution of the Board. The executive committee may reinstate trustees pursuant to Section 2.11 [of Article II].

7.3.1.2 Role of Board Executive Committee Relative to Honorary Degrees

Article XIII of the *Corporate Bylaws of Millikin University* specifies for the executive committee of the Board a role in the granting of honorary degrees:

The executive committee shall serve as the committee on honorary degrees. The executive committee shall confer with the president or his or her representatives and shall present its nominations for recipients of honorary degrees to the Board at least thirty (30) days prior to the conferring of the honorary degrees.

7.3.1.3 Role of the Board Committee on Educational Policies

Article XII of the *Corporate Bylaws of Millikin University* specifies for the educational affairs committee of the Board the following responsibilities:

The educational affairs committee shall:

- (A) Direct the corporation's comprehensive educational philosophy, educational priorities, facilities and resources, college/school and academic programs, faculty affairs including personnel and evaluation policies and governance, student life services, and related support areas such as enrollment management, library and information services.

- (B) Review progress on short-term and long-term planning goals.
- (C) Evaluate and recommend academic proposals for Board approval.
- (D) Provide external perspective and guidance to the corporation's academic leadership.
- (E) Sponsor special sessions designed to inform the Board of important educational issues.
- (F) Contribute to trustee understanding through agenda discussion about topics of strategic significance such as faculty productivity, curricular strengths and weaknesses, and assessments of the leading fields of study.
- (G) Encourage a system of faculty performance assessments that contributes to the strategic goal of faculty quality, including the highest integrity and discipline for the purpose of tenure awards and a process for post tenure review.

7.3.1.4 Role in the Granting of Degrees

Article XXII of the *Corporate Bylaws of Millikin University* describes the Board's role in the granting of degrees:

The Board, acting upon the recommendation of the president and the faculty shall authorize the granting of academic degrees.

7.3.1.5 Role in Establishing Standards for Degrees

Article XXII of the *Corporate Bylaws of Millikin University* limits the standards for degrees that may be offered:

All academic degrees granted or awarded by the Board or the executive committee shall be such college degrees or diplomas as are recognized or approved by the Higher Learning Commission.

7.3.2 Standards of Corporation Social Conduct

Article XIX of the *Corporate Bylaws of Millikin University* specifies social conduct for the faculty:

Standards of social conduct are subject to consecutive review by appropriate corporation committees, the president and the Board.

7.3.3. Faculty Representation to the Board of Trustees

Article II of the *Corporate Bylaws of Millikin University* states that

The Board will annually elect one (1) faculty representative as an advisor to the Board pursuant to Section 2.17 [of the bylaws] who shall be nominated by the faculty during the spring semester of the academic year through a process established by the faculty. The faculty representative shall serve a maximum of three (3) consecutive one-year terms. Said faculty representative will be presented to the Board for election at its May Commencement meeting, will be invited to attend all meetings of the Board except those conducted in executive session and as otherwise determined by the chair, will not have voting privileges, and shall not be included as one of the number of trustees.

From the Board of Trustees Policy and Procedures, page 37, July 2009:

In addition, the faculty member shall:

1. Be invited to attend appropriate meetings of committees of the Board,
2. Prepare written reports for distribution to the Trustees prior to each board meeting and then be given agenda time in full board session to deliver an oral summary – these reports should be focused on issues of institutional strategy and policy and should express points of view held by a preponderance of faculty voices.

The procedure for selection of the faculty representative to the Board of Trustees is as follows: the representative to the Board of Trustees shall be nominated by the faculty in the spring semester and voted upon by secret ballot at the May meeting of the full faculty. In addition to the responsibilities listed above, the faculty representative to the Board of Trustees will serve as an ex officio, nonvoting member of the Council on Faculty and will serve on the Advisory Committee on the Faculty Agenda.

Appendix A: Style Sheet

Style Sheet

project: *Policies and Procedures: Faculty*
prepared by: Becky Rauff, February 2015

Spelling, capitalization, and other treatment of specific words/phrases

<p>AB</p> <p>advisor Advisory Committee on Promotion and Tenure a.k.a. assistant professor associate professor Board Board of Trustees bylaws</p>	<p>CD</p> <p>chair (lc) cocurricular Committee on Faculty Scholarship and Development consider [<i>avoid as afterwards,</i> <i>per GMAU</i>] <i>Corporate Bylaws of Millikin University</i> Council on Curriculum Council on Faculty Council on Students and Academic Standards coursework dean (lc) department chair (not departmental) director (lc) division director (not divisional)</p>
<p>HIJ</p> <p>Honors Program Honors Scholars instructor James Millikin Scholars judgment</p>	<p>KLM</p> <p>layoff lifelong multifaceted</p>

<p>QRS readmission re-elect reevaluate service-learning (adj.) service learning (n.) Student Activities Fee Committee</p>	<p>TUV tenure-track (adj.) tenure track (noun phrase) theater time frame University (cap. for Millikin) University service vice president for enrollment and marketing vice president for finance and business affairs</p>
<p>Punctuation Use serial comma. Use en-dash in <i>student–advisor</i>. Use commas/semicolons and a final period for lists that complete a sentence.</p>	<p>Capitalization Lowercase words/phrases in a list. Use headline-style capitalization in headings [<i>see CMS 8.157</i>]. Lowercase cross-refs to <i>section, step</i>, etc. Lowercase the first word of a full sentence after a colon.</p>
<p>Other Italicize foreign words/phrases unless they are commonly used in English. Use letters for sequenced lists and bullets for all other lists.</p>	

CMS = The Chicago Manual of Style, 16th edition
GMAU = Garner’s Modern American Usage, 3^d edition