2018-2019 OCCIDENTAL COLLEGE FACULTY HANDBOOK

2018-19 Annotated Version (annotations in red)

MISSION OF THE COLLEGE

The mission of Occidental College is to provide a gifted and diverse group of students with a total educational experience of the highest quality – one that prepares them for leadership in an increasingly complex, interdependent and pluralistic world

The distinctive interdisciplinary and multicultural focus of the College's academic program seeks to foster both the fulfillment of individual aspirations and a deeply rooted commitment to the public good.

INTRODUCTION

This Handbook serves as a guide for tenured and tenure-track faculty members throughout their academic careers at Occidental College. This document delineates their responsibilities as teachers, scholars, mentors and guardians of the academic program. Guidelines for tenure and promotion, organization and governance, and college policies that pertain to members of the Occidental community appear within its pages. The document also includes information about the college's employment benefits and regulations.

This Handbook also describes the non-tenure track (NTT) appointments, processes and procedures for promotion, and includes information regarding benefits and service expectations.

This Handbook does not detail every aspect of institutional life for a faculty member. Therefore, we depend upon the Faculty Council and the Dean of the College to be resources on all matters concerning faculty and both to be responsible for the contents of the Handbook and for communicating its content to the faculty.

Proposals for modifications to the Handbook may originate from the faculty (individual faculty, faculty committees or groups, the Faculty Council), the Dean or the President. Proposals for changes from the faculty must be submitted first to the Faculty Council and the Dean, and then communicated to the faculty as a whole by the Faculty Council. Any changes should be the result of adoption through a faculty majority vote, after proper consultation with the faculty. Final approval by the President is required for all such changes. The President will inform the Board of Trustees about the Handbook changes and if appropriate seek their approval. The date(s) of such approval(s) and the parties to the approval must appear as noted below.

The Dean and the President reserve the right to modify, amend, delete or add policies and procedures to the Handbook. The Dean and the President should consult with the faculty through the Faculty Council regarding these changes. If changes are made by either the Dean or the President, without faculty approval and vote as described above, the change will be identified as such and as described below.

The Handbook is released annually in August before the beginning of the academic year and posted on the web by the Dean of the College. All faculty are subject to this current version of the Handbook. Any changes that subsequently occur during the academic year must be recorded as annotations, and posted in an annotated version. Any changes by any party go into effect during the next academic year unless otherwise stated. The next year's handbook will incorporate all annotations. Three years of handbooks (with their annotated versions, if applicable) will always be available online.

The Dean of the College is responsible for maintaining the archive of all past and current versions of the Handbook.

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I. THE RESPONSIBILITIES OF FACULTY MEMBERSHIP

A. General Faculty Responsibilities

As stated in the By-Laws of the College (approved 2004):

"The Board shall delegate to the faculty the following powers and duties:

1. To prescribe requirements for admission, courses of study, conditions of graduation, and determine the nature of degrees to be conferred and the conduct of the educational work of the College as a whole, subject to approval by the President; and
2. To recommend for Board approval all candidates for degrees in course."

Occidental College expects of its faculty members a primary commitment to teaching and the aims of liberal education. The college also expects that its faculty will maintain high standards of scholarship and engage in professional activities appropriate to their field or discipline. And further, Occidental faculty members are expected to participate in various activities that constitute the total program of the College. In addition to scholarly and professional qualifications, faculty members are assumed to possess personal attributes of maturity and integrity that will govern their relationships with colleagues, students, community partners, and their conduct outside the College. Occidental does not expect uniformity of thought or action among its faculty on social or personal matters; indeed, diversity is welcomed and encouraged. At the same time, however, attitudes and actions of individual faculty members should not be such as to reflect discredit upon the College as a whole.

By accepting appointment, members of the faculty acknowledge their commitment and adherence to the objectives of the College and a willingness to assist in their realization. First among these objectives is to maintain an academic program of highest quality, characterized by excellence in teaching, scholarship, and creative activity. The second is to sustain the ideals of a free, democratic society through responsible citizenship and public service on the part of all who bear the College's name. It also seeks to enhance and enrich the varieties of collegiate experience, recognizing that education is not defined solely by the formal curriculum of courses and credits. To provide an education that is intellectually rigorous and socially relevant succinctly defines the purpose of Occidental College.

Occidental College strives to encourage all its faculty members to work for continued improvement in the realization of these objectives, through the exercise of critical intelligence and constructive action, according to their special gifts.

B. Faculty Responsibilities and Academic Freedom

The following statement was adopted by the faculty and endorsed by the Board of Trustees in 1971. It proceeds from the Association of American University Professors and the Association of American Colleges' 1940 Statement of Principles on Academic Freedom and Tenure:

The faculty of Occidental College recognizes that the academic profession, guided by a deep conviction of the worth and dignity of the advancement of knowledge, requires special freedoms and that its claim to the exercise of those freedoms imposes special responsibilities.

The professor's primary responsibility to his or her subject is to seek and express an ever broadening and deepening understanding of the field. To this end he or she devotes his or her energies to developing and improving his or her competence as scholar and teacher. He or she accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. He or she practices intellectual honesty. Although he or she may follow subsidiary interests, these interests must never hamper or compromise his or her commitment to honest inquiry.

As a teacher, the professor encourages the free pursuit of learning in students. He or she holds before them the best scholarly standards of discipline. He or she demonstrates respect for the student as an individual,

and adheres to his or her proper role as intellectual guide and counselor. He or she makes every reasonable effort to foster honest academic conduct and to assure that his or her evaluation of the students' work reflects his or her most conscientious judgment of its merit. He or she respects the confidential nature of the relationship between professor and student. He or she avoids any exploitation of students for private advantage, and acknowledges significant assistance from them. He or she protects their academic freedom.

As a colleague, the professor has obligations that derive from common membership in the community of scholars. He or she respects and defends the free inquiry of associates. In the exchange of criticism and ideas he or she shows due respect for the opinions of others. He or she acknowledges his or her academic debts and strives to be objective in his or her professional judgment of colleagues.

As a member of his or her institution, the professor seeks above all to be an effective teacher and scholar. He or she observes the regulations and policies of the institution, as stated in the Faculty Handbook, Standing Orders of the Board of Trustees, and the By-Laws of the College, published so as to give the faculty adequate notice of them, provided they do not contravene academic freedom; he or she maintains, however, the right to criticize them and seek their revision. He or she determines the amount and character of the work he or she does outside the institution with due regard to the paramount responsibilities within it. When considering the interruption or termination of his or her service, he or she recognizes the effect of the decision upon the program of the institution and gives due notice of his or her intentions.

As a member of the community, the professor has the rights and obligations of any citizen. He or she measures the urgency of these obligations in the light of his or her responsibilities to the subject, to students, to the profession, and to the institution. When he or she speaks or acts as a private person, he or she avoids creating the impression that he or she speaks or acts for the college. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom and responsibilities.

Membership in the academic community imposes on students, faculty members, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways that injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence, but also be given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students because of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or his or her own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, sex, race, religion, degree of political activism, or personal beliefs.

It is a teacher's mastery of his or her subject and his or her own scholarship that entitles him or her to his or her classroom and to freedom in the presentation of the subject. Thus it is improper for an instructor persistently to intrude material that has no relation to the subject, or to fail to present the subject matter of the course as announced to students and as approved by the faculty in its collective responsibility for the curriculum.

Because academic freedom has traditionally included the instructor's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute, and the instructor's attention to his or her obligations as a citizen and moral agent preclude the fulfillment of substantial academic obligations, he or she cannot escape the

responsibility of that choice, but should either request a leave of absence or resign his or her academic position.

For more than a century the Occidental faculty has acted upon two principles: That colleges and universities serve the common good through learning, teaching, research, and scholarship; and that the fulfillment of this function necessarily rests upon the preservation of the intellectual freedoms of teaching, expression, research, and debate. All components of the academic community have a responsibility to exemplify and support these freedoms in the interests of reasoned inquiry.

Occidental College resolutely reaffirms its commitment to academic freedom. The faculty recognizes that its responsibility to defend its freedoms cannot be separated from its responsibility to uphold those freedoms by its own action.

II. APPOINTMENT

A. Types of Appointments

"Regular" faculty appointments are those in which the appointee is eligible to be a candidate for a tenured appointment after the completion of a probationary period. Regular appointments are normally made after a national search.

"Special" appointments may range from a single course up to a full time teaching load. Faculty members who are regularly employed full time at other institutions, but who are teaching at Occidental for a limited period under exchange or similar arrangements, will be designated by the word "Visiting" preceding their regular rank. Persons who give performance lessons will be designated "Teachers of Applied Music" or a similar title depending on area of performance. Special appointments are not eligible for tenure nor is there any implied permanence of employment.

Other appointments not covered above, ranging from a single course up to a full-time teaching load will be designated as non-tenure track (NTT) appointments. Full-time NTT faculty teach six courses or the equivalent. Part-time NTT teach five or fewer courses.

In unique circumstances the Dean may approve other titles for specific faculty.

The remaining sections of II and the following section III refer to regular faculty appointments.

B. Initial Appointments

Initial appointment for regular faculty is usually for a three-year period. These regular appointments are made by the President upon the advice of the Dean of the College after considering the recommendation of the search committee.

A letter of appointment for all faculty shall normally come from the Dean of the College and shall serve as the contractual instrument for all initial appointments, and shall set forth specifically title and rank, salary and collateral benefits, length of appointment, and any qualifying conditions or special provisions. Other understandings or expectations communicated to prospective faculty members by department members shall not bind the College unless specifically confirmed in writing by the President or the Dean of the College.

C. Appointment Ranks

Regular faculty appointments shall be made to one of the four academic ranks: Instructor, Assistant Professor, Associate Professor, and Professor. Faculty appointed prior to completion of the terminal degree shall be appointed as Instructor until the terminal degree is completed in a timely manner. After completion of the degree, a regular or special faculty appointment is made.

D. Degree Requirements

Appointment at the rank of Assistant Professor or above usually requires the appropriate terminal degree for that particular field.

III. REAPPOINTMENT, TENURE AND PROMOTION

To ensure the highest possible standards of individual performance, as well as to provide the mentoring and support faculty members need if they are to continue to improve their performance, all faculty members on regular appointment receive periodic reviews. All faculty will normally undergo the following reviews over their tenure at the College: Annual Reviews, a Pre-Tenure Review, a Tenure Review, an Associate Professor Review, and a Promotion to Full Professor Review. In addition, Full Professors will be regularly reviewed. Details for each of these reviews are in the subsequent sections. The Dean of the College may recommend or require additional reviews and may stipulate the processes and procedures under which such reviews will take place.

A. General Principles for Reappointment, Tenure and Promotion

1. Appointment to the faculty does not carry presumption of promotion or tenure. The granting of tenure does not presuppose advancement in rank. Although tenure decisions must be made within a specific period, there is no fixed length of service that automatically qualifies a faculty member for subsequent advancement to higher rank.

2. Tenure is understood as continuous appointment as a member of the faculty of the College, without annual or periodic renewal of contract.

3. Matters of personality, life-style, and individual taste are not used as evaluative criteria in matters of tenure and promotion.

4. Occidental College is an Equal Employment Opportunity employer and does not discriminate against employees or applicants because of race, color, religion, gender, pregnancy, national origin, ancestry, citizenship, age, marital status, physical disability, mental disability, medical condition, sexual orientation, or any other characteristic protected by state or federal law. The College actively seeks racial, gender, and ethnic diversity in the faculty and staff, and provides equal employment opportunities for women and minorities at all levels within the institution. The College is not only committed to equal employment opportunity in employment, but to a program of multicultural education involving cultural and ethnic diversity among all constituents of the College community.

   Nondiscrimination has long been a matter of policy and principle at Occidental. It is reaffirmed here in compliance with Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, the Americans with Disabilities Act of 1990, Section 504 of the Rehabilitation Act of 1973, the Immigration and Nationality Act, Title IX of the Education Amendments of 1972, regulations of the Internal Revenue Service, and with all applicable laws of the State of California.

   Equal employment opportunity will be extended to all persons in all aspects of the College-Employee relationship, including recruitment, hiring, placements, transfers, promotions, compensation, benefits, training, social & recreational programs, discipline, layoff, and termination. To ensure that meaningful equal employment opportunity exists, a procedure is available for the resolution of any complaints alleging discrimination on the basis of any of the protected characteristics mentioned above. For grievance procedures please refer to Faculty Grievance Procedures, VI.G.

   The Director of Human Resources has overall responsibility for ensuring equal opportunity and affirmative action with respect to the hiring and treatment of Administrators and Staff. The Dean of the College oversees these responsibilities with regards to the faculty. That responsibility is shared by every person involved in hiring decisions and by all who function as supervisors of employees. To achieve the College's goal for diversity among its faculty and staff employees, it is essential that each member of the Occidental community understands and supports the commitment to affirmative action and equal opportunity.

5. The College also subscribes to the AAUP's Committee on Academic Freedom and Tenure (Committee A) statement "On Collegiality as a Criterion for Faculty Evaluation" adopted in November 1999. This statement can be found at www.aaup.org/statements/Redbook/collegia.htm. It is reprinted here in Appendix 1 to this handbook.

6. See Section VI.G for Grievance Procedures related to matters of reappointment, tenure, and promotion.

B. Criteria for Reappointment, Tenure and Promotion

Conversion from the rank of Instructor to Assistant Professor is contingent upon completion of the appropriate terminal degree. This is specified at the time of initial appointment and does not require a departmental recommendation or action by the Advisory Council. Timing associated with the tenure process begins at the beginning of the next school year after this conversion of rank.

In all other cases the College acts according to the following criteria in considering faculty members for reappointment, tenure and promotion. Tenure is granted only to persons of demonstrated success in each of these criteria. Within the three criteria for evaluation established below, departmental and institutional considerations may play a role in reappointment, tenure or promotion decisions. Effective teaching is a necessary condition for retention. Excellence in professional achievement or outstanding service to the College cannot compensate for ineffective teaching.

1. Teaching

In general an effective teacher is one whose work is characterized by commitment to subject, to student, and to constant improvement in teaching. The effective teacher has a systematic and coherent knowledge of the field and keeps current with its developments, and is able to communicate this knowledge. An effective teacher is actively concerned with the intellectual development of all students, and employs pedagogical approaches both in and outside the classroom to create an inclusive learning environment that is responsive to, and promotes the success of, a diverse group of students. Effective teaching may include community-based learning, community-engaged teaching, and mentoring undergraduate research (including community-based research). Effective teaching encourages critical thinking, welcomes diversity of opinion, is cognizant and respectful of difference, and is considerate and fair. The effective teacher also welcomes and profits from constructive criticism.

Academic advising of students is an essential part of the faculty member's teaching responsibilities. These duties include ensuring that students make normal progress towards graduation; assisting students in academic difficulty; and counseling students on current and future career options. Counseling and mentoring effectiveness across a diverse group of students will be included in all evaluations of a faculty member's performance.

2. Professional Achievement

Professional achievement is characterized by regular involvement in original research, scholarship, or artistic creation and expression in traditional and emerging scholarly forms and contexts; by efforts to communicate the results of professional activity beyond the campus at a level recognized by departmental and other faculty colleagues; and by recognition from peers outside the College, through awards, grants, or invitations to collaborate, publish, lecture, teach, perform, or exhibit. Publication where appropriate is a major index of scholarly achievement, although the volume of published material is not the primary consideration. Additional considerations include the quality of the scholarly products and the progress towards completing future work. Professional achievement may be supplemented but not replaced by participation in professional societies, and by editorial and consulting services. A record of professional achievement as evaluated in part by persons outside the College who are qualified to render informed assessment, is expected for promotion to Associate Professor and to Full Professor.

Outstanding teaching and exemplary service to the College may compensate for modest professional achievement in cases of promotion to full professor.

3. Service to the College

Service to the College may take a variety of forms, including service on regular and ad hoc committees, the assumption of administrative**,** governance**,** or organizational duties either within or outside departments and programs as the need arises, and participation in various programs of benefit to the College. Both within and beyond these traditional forms of service, service that promotes the mission of excellence, and equity, and community is both expected and valued. Consistent with the College's deeply rooted commitment to the public good and/or reflective of the professional scope of the faculty member, this may include service with organizations outside the College. Service with organizations outside the College may not replace service within the College. Each faculty member's service will vary with circumstances and with interests.

C. Processes, Principles, and Materials Required for Reviews

1. Review Committees

In the spirit of ensuring the highest possible standards of individual performance, as well as to provide the consistent mentoring and support to faculty members, review committees shall be established for each regular faculty member. These committees will be appointed by the Dean of the College, in consultation with the Department Chair, Associate Dean, and the faculty member under review, and will consist of all tenured department and program members (if applicable) and at least one tenured Occidental faculty member from outside the department. In cases where the department has three or fewer eligible tenured members, additional Occidental tenured faculty from outside the department will be appointed for a minimum of four total members. None of the outside members of the Review Committee should be the current or a past Faculty Council appointed mentor (see V.C.1). In the event that an ~~external~~ outside committee member is a close research collaborator or has other possible or perceived conflicts of interest, the Dean of the College should be consulted. By April 30[1] of the first year, the membership of the committee should be finalized.

As department members become tenured, they join the Review Committee for their colleagues to write annual, pre-tenure, tenure, Associate Professor and promotion to Full Professor reviews. However, if two (or more) faculty members are reviewed in the same year in the same category (Associate Professor Review, or promotion to Full Professor Review) each will be excluded from the review committee of their colleague(s) also under consideration.

The Review Committee should appoint its own chair who may change over time. All members on such review committees are expected to contribute to all of the above reviews, regardless of whether they are on campus or not, whether they are on leave or sabbatical. However, faculty members on leave, while participating, should not be given primary responsibility for completion of the report. A faculty member unable to participate because of exceptional circumstances must have prior approval from the Dean. Materials can be electronically shared so that all tenured faculty members participate in these important reviews and sign the final document.

2. Annual Reviews

All untenured regular faculty shall undergo an annual review except in their first year of appointment and in years in which they are undergoing the pre-tenure or tenure reviews.

a. Process and Principles

[1] Deadlines are given in this document for various reviews. If a deadline should fall on a Saturday or Sunday, then said deadline will be postponed to the first Monday following said deadline.

(1) The Review Committee Chair shall work with the candidate to be certain that the review file is completed in a timely manner. By April 30 of the prior academic year, the Chair of the Review Committee will confirm the current membership of the Review Committee with the Dean. The candidate submits a portfolio (see b) below) to the Review Committee by October 30.

(2) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate in teaching, professional achievement, and service to the college. The Review Committee will write an honest assessment of the candidate's strengths and areas where improvement is expected.

(3) The Review Committee will provide the candidate a copy of the review, signed by all of the members of the Committee. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity to read the document and has received a copy. The signed review will be submitted by the Review Committee Chair to the Dean of the College by December 15. A copy of the review will also be retained by the Department Chair.

(4) All documents ~~which~~ that are part of the review, except for the student course evaluations, must be submitted ~~both in hard copy and~~ electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.

(5) The Dean will meet with candidates in their second year by April 1 to discuss their first year review.

b. What the Candidate Provides to the Review Committee

(1) a current curriculum vitae;
(2) copies of all annual reports which discuss teaching, professional achievement and service;
(3) copies of any Review Committee Reports;
(4) relevant course syllabi, exams, and related materials;
(5) student course evaluations with summary sheets;
(6) all peer teaching observations and evaluations during the period of review (as described in VII.I);
(7) course grade comparison sheets;
(8) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period under review;
(9) publications, manuscripts, and other evidence of scholarship and professional achievement;
(10) any other documentary evidence that might assist in an evaluation.

3. Pre-Tenure Reviews

Faculty will be reviewed during their third year of appointment as a regular faculty member.

a. Process and Principles

(1) The Review Committee Chair shall work with the candidate to be certain that the review file is completed in a timely manner. By April 30 of the faculty member's second year, the Chair of the Review Committee will confirm the current membership of the Review Committee with the Dean. The review portfolio as described below in b) must be completed and submitted to the Dean's Office by August 15. After August 15 no other new information will be accepted except when requested by the Advisory Council or approved for inclusion by the Advisory Council at the candidate's request.

(2) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate in teaching, professional achievement, and service to the college in accordance to the criteria listed in section III.B. The Review Committee must decide whether or not to recommend reappointment. This recommendation is forwarded to Advisory Council both

electronically and in hard copy form. A three year reappointment normally indicates regular progress towards tenure and promotion. This review document must include the recommendation by the Review Committee and must be signed by all members of the Review Committee, and may include signed statements of dissenting views. In each case, the entire review document shall be made available to the candidate in advance of the deadline, September 15, when the Review Committee must submit the report to the Dean. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity to read the document and has received a copy. The candidate may submit a confidential response to the review to the Dean of the College within one week. This letter is exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(3) The Advisory Council reviews the materials and makes a recommendation to the Dean of the College, who in turn makes a recommendation for or against reappointment, subject to approval by the President. The Dean of the College will communicate the final decision to the candidate by February 15.

(4) All documents ~~which~~ that are part of the review, except for the student course evaluations, must be submitted ~~both in hard copy and~~ electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.

b. What the Candidate Provides to the Dean

It is the candidate's responsibility to present her or his best case through a portfolio of relevant materials. Each faculty member under review is responsible for assembling this portfolio for submission to the Dean. The following is the College's recommendation of what should be included in the portfolio.

(1) a narrative that contextualizes the evidence in all three criteria for review. In the section on professional achievement, there should be a discussion of future plans for professional work;
(2) a current curriculum vitae;
(3) copies of all annual reports which discuss teaching, professional achievement and service;
(4) copies of any Review Committee Reports;
(5) relevant course syllabi, exams, and related materials;
(6) student course evaluations with summary sheets;
(7) all peer teaching observations and evaluations during the period of review (as described in VII.I);
(8) course grade comparison sheets;
(9) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period under review;
(10) publications, manuscripts, and other evidence of scholarship and professional achievement;
(11) any other documentary evidence that might assist in an evaluation.

The candidate must also provide a list of 20 students who have been enrolled in one or more of the faculty member's classes since appointment as a regular faculty member. This list must be sent electronically to the Dean by April 30 of the second year.

In addition, to be considered for the Early Career Leave, the candidate must include a separate one-page statement of plans for future professional development, including a detailed proposal for this semester leave. See VI.D for additional information on the Early Career Leave Policy.

c. Role of the Department Chair

The Department Chair will solicit letters from Occidental faculty and staff, in consultation with the faculty member, evaluating the faculty member's observed teaching, and/or program of professional development, and service to the college by April 30. These letters should be sent both in hard copy and electronically by the faculty or staff directly to the Dean by September 15. These letters are

exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

d. What the Review Committee Provides to the Dean

The Review Committee submits its report and any statements of dissenting views to the Dean of the College by September 15.

e. What the Dean Provides to the Advisory Council

In addition to all the materials provided to the Review Committee, the Dean of the College will provide the following to the Advisory Council:

(1) Confidential letters solicited from students discussing the faculty member's teaching and advising. These letters will be solicited by the Dean of the College from the list of students provided by the candidate and from a random list of 20 students enrolled in one or more of the candidate's courses since appointment as a regular faculty member. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(2) Untenured regular faculty members in the department of a person under review may communicate directly and confidentially in writing both in hard copy and electronically by September 15 with the Dean of the College with regard to reappointment recommendations. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

f. Examination of Files

All materials in his or her file, other than the confidential letters and confidential communications listed above, will be accessible both to the Review Committee and to the candidate until September 15.

g. Advisory Council Recommendation

At the conclusion of the pre-tenure review, the Council shall normally recommend to the Dean of the College that the faculty member reviewed either be given a three year contract or not have her or his contract renewed (in the latter circumstance the faculty member is normally given a one-year terminal contract). The Council may also recommend one or two-year reappointments. One and two year reappointments are not eligible for an Early Career Leave. The review at the end of a one or two-year reappointment will follow the format of the Pre-Tenure Reviews, and will result in the recommendation either that the contract not be renewed, or that the faculty member be evaluated for tenure in their sixth or seventh year.

4. Tenure Reviews

Faculty will normally be eligible for a tenure review during their sixth year of appointment as a regular faculty member. However, for faculty members having previous full-time teaching or professional experience who are initially appointed at the rank of associate or full professor, tenure shall normally be considered no later than the third year of regular appointment at the College.

The President, acting on the Dean of the College's recommendation, or at his/her discretion, may also grant a one-time one year extension to the length of time before a candidate's tenure review to candidates who have had children during this period, or other similar personal situations in which such action has the result of providing equitable treatment for the candidate in the review process. Such a request by the candidate must be made to the Dean of the College or the President by April 15 of the prior academic year.

a. Process and Principles

(1) The Review Committee Chair shall work with the candidate to be certain that the review file is completed in a timely manner. By April 30 of the prior academic year, the Chair of the Review Committee will confirm the current membership of the Review Committee with the Dean. The review portfolio as described below in b) must be completed and submitted to the Dean's Office by September 15. After September 15 no other new information will be accepted except when requested by the Advisory Council or approved for inclusion by the Advisory Council at the candidate's request.

(2) The candidate and the Department Chair each provide a list of at least four external reviewers who may be qualified to evaluate the candidate's professional work. The candidate and the Department Chair shall consult to ensure that at least four of the reviewers submitted by the Department Chair are distinct from the reviewers submitted by the candidate. These lists must be sent electronically to the Dean of the College by April 30. Both lists must include a short rationale for the choice of each of these reviewers and a description of the faculty member's relationship to the reviewers, if any. Materials to be included in mailings to external reviewers must be transmitted electronically to the Dean's office by August 1.

(3) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate in teaching, professional achievement, and service to the college in accordance to the criteria listed in section III.B. The Review Committee must decide whether or not to recommend tenure and/or promotion to Associate Professor. This recommendation is forwarded to the Advisory Council both electronically and in hard copy form. This review document must include the recommendation by the Review Committee and must be signed by all members of the Review Committee, and may include signed statements of dissenting views. In each case, the entire review document shall be made available to the candidate in advance of the deadline, October 15, when all materials are due in the Dean's Office. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity to read the document and has received a copy. The candidate may submit a confidential response to the review to the Dean of the College within one week. This letter is exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(4) All documents ~~which~~ that are part of the review, except for the student course evaluations, must be submitted ~~both in hard copy and~~ electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.

(5) The Advisory Council reviews the materials and makes a recommendation to the Dean of the College, who in turns makes a recommendation regarding tenure and promotion subject to approval by the President and the Board of Trustees. The Dean of the College will normally communicate the final decision to the candidate immediately following the spring meeting of the Board of Trustees.

(6) Normally, the decision to recommend tenure and promotion to Associate Professor shall be made at the same time, except in extraordinary circumstances.

b. <u>What the Candidate Provides to the Dean</u>

It is the candidate's responsibility to present her or his best case through a portfolio of relevant materials. Each faculty member under review is responsible for assembling this portfolio for submission to the Dean. The following is the College's recommendation of what should be included in the portfolio.

(1) a narrative that contextualizes the evidence in all three criteria for review. In the section on professional achievement, there should be a discussion of future plans for professional work;
(2) a current curriculum vitae;

(3) copies of all annual reports which discuss teaching, professional achievement and service;
(4) copies of all Review Committee Reports and any correspondence from the Advisory Council;
(5) relevant course syllabi, exams, and related materials;
(6) student course evaluations with summary sheets;
(7) all peer teaching observations and evaluations during the period of review (as described in VII.I);
(8) course grade comparison sheets;
(9) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period of review;
(10) publications, manuscripts, and other evidence of scholarship and professional achievement;
(11) any other documentary evidence that might assist in an evaluation.

The candidate must also provide a list of 20 students who have been enrolled in one or more of the faculty member's classes since appointment as a regular faculty member to the Dean's Office by April 30.

c. Role of the Department Chair

The Department Chair will solicit letters from Occidental faculty and staff, in consultation with the faculty member, evaluating the faculty member's observed teaching, and/or program of professional development, and service to the college, by April 30. These letters should be sent electronically by the faculty or staff directly to the Dean by October 15. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

d. What the Review Committee Provides to the Dean

The Review Committee submits its report and any statements of dissenting views, signed by the candidate, to the Dean of the College by October 15.

e. What the Office of the Dean of the College Provides to the Advisory Council

In addition to all the materials provided to the Review Committee, the Dean of the College will provide the following to the Advisory Council:

(1) Confidential letters solicited from students discussing the faculty member's teaching and advising. These letters will be solicited by the Dean of the College from the list of 20 students provided by the candidate and from a random list of 20 students enrolled in one or more of the candidate's courses since appointment as a regular faculty member. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(2) Untenured regular faculty members in the department of a person under consideration for promotion may communicate directly and confidentially in writing both in hard copy and electronically with the Dean with regard to reappointment recommendations by October 15. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(3) The Dean of the College will solicit at least four confidential letters from persons in the faculty member's field regarding his or her professional work for use in the Advisory Council review. These letters may or may not be solicited from the individuals suggested by the candidate or by the Department Chair. These letters are solicited by the Dean of the College, exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

f. Examination of Files

All materials in his or her file, other than the confidential letters and confidential communications listed above, will be accessible both to the Review Committee and to the candidate until October 15.

5. Associate Professor Review

The Associate Professor Review normally takes place in the fifth academic year after promotion to Associate Professor.

a. Process and Principles

(1) The Review Committee chair shall work with the candidate to be certain that the review file is completed in a timely manner. By April 30 of the prior academic year, the Chair of the Review Committee will confirm the current membership of the Review Committee with the Dean. The review portfolio as described below in b) must be completed and submitted to the Dean's Office by June 30. After June 30 no other new information will be accepted except when requested by the Advisory Council or approved for inclusion by the Advisory Council at the candidate's request.

(2) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate in teaching, professional achievement, and service to the college in accordance to the criteria listed in section III.B. The Review Committee must evaluate the review file and submit a written discussion of their view of the candidate's progress toward promotion to full professor and a recommendation about when the candidate should come up for promotion to full professor. This recommendation must be signed by all members of the Review Committee, and may include signed statements of dissenting views. This recommendation is forwarded to the Advisory Council both electronically and in hard copy form. In each case, the entire review document shall be made available to the candidate in advance of the deadline, September 1, when all materials are due in the Dean's Office. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity to read the document and has received a copy. The candidate may submit a confidential response to the review to the Dean of the College within one week. This letter is exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(3) All documents ~~which~~ that are part of the review, except for the student course evaluations, must be submitted ~~both in hard copy and~~ electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.

(4) The Advisory Council reviews the materials and evaluates the progress the faculty member has made toward promotion toward full professor. They make a recommendation to the Dean of the College concerning the timing of the candidate's application for consideration for promotion to full professor. The Dean then communicates her or his recommendation directly to the candidate by December 15.

b. What the Candidate Provides to the Dean

It is the candidate's responsibility to present her or his best case through a portfolio of relevant materials. Each faculty member under review is responsible for assembling this portfolio for submission to the Dean. The following is the College's recommendation of what should be included in the portfolio.

(1) a narrative that contextualizes the evidence in all three criteria for review. In the section on professional achievement, there should be a discussion of future plans for professional work;
(2) a current curriculum vitae;
(3) copies of all annual reports which discuss teaching, professional achievement and service;
(4) relevant course syllabi, exams, and related materials;
(5) student course evaluations with summary sheets;

(6) course grade comparison sheets;
(7) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period of review;
(8) publications, manuscripts, and other evidence of scholarship and professional achievement.
(9) any other documentary evidence that might assist in an evaluation.

c. Role of the Department Chair

The Department Chair will solicit letters from Occidental faculty and staff, in consultation with the faculty member, evaluating the faculty member's observed teaching, and/or program of professional development, and service to the college by April 30. These letters should be sent electronically by the faculty or staff directly to the Dean of the College by September 1. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, by the Hearing Board.

d. What the Review Committee Provides to the Dean

The Review Committee submits its report and any statements of dissenting views to the Dean of the College by September 1.

e. What the Office of the Dean of the College Provides to the Advisory Council

In addition to all the materials provided to the Review Committee, the Dean of the College will provide the following to the Advisory Council.

Untenured faculty members in the department of a person under consideration may communicate directly and confidentially both in hard copy and electronically with the Dean with regard to reappointment recommendations by September 1. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

f. Examination of Files

All materials in her or his file other than the confidential letters and communications listed above will be accessible both to the Review Committee and to the candidate until September 1.

6. Promotion to Full Professor Reviews

An Associate Professor shall be eligible for promotion in their seventh year in rank. However, in cases of exceptional achievement in all areas of teaching, professional achievement, and service, the faculty member may apply for accelerated promotion in their sixth year in rank. The Dean of the College will communicate to the faculty member the Advisory Council's recommendation for an accelerated promotion during the Associate Professor review process.

If a faculty member has not applied for promotion by their tenth year in rank, a review portfolio must be submitted in this tenth year. Promotion in the tenth year of an associate professorship requires evidence of effective teaching, which must be accompanied by additional evidence of professional achievement and service. If promotion does not result from this review, the faculty member will work with the Dean of the College and their department to develop a plan to work toward promotion. Subsequent reviews for promotion to Full Professor will occur at least every five years (see section 6 for guidelines) unless a candidate initiates his or her review as in a 1) below.

a. Process and Principles

(1) A faculty member can initiate his or her own promotion application to Full Professor in any year that he or she chooses, on or after the initial year of eligibility. Notification of a person's intentions to apply for Full Professor must be submitted to the Department Chair and to the Dean by April 1 of the previous year.

(2) The Review Committee chair shall work with the candidate to be certain that the review file is completed in a timely manner. By April 30 of the prior academic year, the Chair of the Review Committee will confirm the current membership of the Review Committee with the Dean. The review portfolio as described below in b) must be completed and submitted to the Dean's Office by August 31. After August 31 no other new information will be accepted except when requested by the Advisory Council or approved for inclusion by the Advisory Council at the candidate's request.

(3) The candidate and the Department Chair each provide a list of at least four external reviewers who may be qualified to evaluate the candidate's professional work. The candidate and the Department Chair shall consult to ensure that at least four of the reviewers submitted by the Department Chair are distinct from the reviewers submitted by the candidate. These lists must be delivered to the Dean of the College by April 30. These lists must include a short rationale for the choice of each of these reviewers and a description of the faculty member's relationship to the reviewers, if any. Materials to be included in mailing to external reviewers must be transmitted electronically to the Dean's office by August 1.

(4) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate in teaching, professional achievement, and service to the college in accordance to the criteria listed in section III.B and the principles adopted by the College. The Review Committee must decide whether or not to recommend promotion to Full Professor for the candidate. This recommendation is forwarded to the Advisory Council both electronically and in hard copy form. This recommendation must be signed by all members of the Review Committee, and may include signed statements of dissenting views. In each case, the entire review document shall be made available to the candidate in advance of the deadline, September 30, when all materials are due in the Dean's Office. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity to read the document and has received a copy. The candidate may submit a confidential response to the review to the Dean of the College within one week. This letter is exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(5) All documents ~~which~~ that are part of the review, except for the student course evaluations, must be submitted ~~both in hard copy and~~ electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.

(7) The Advisory Council reviews the materials and makes a recommendation to the Dean of the College, who in turns makes a recommendation for promotion subject to approval by the President and the Board of Trustees. The Dean of the College normally communicates the final decision to the candidate immediately following the spring meeting of the Board of Trustees.

c. <u>What the Candidate Provides to the Dean</u>

It is the candidate's responsibility to present her or his best case through a portfolio of relevant materials. Each faculty member under review is responsible for assembling this portfolio for submission to the Dean. The following is the College's recommendation of what should be included in the portfolio.

(1) a narrative that contextualizes the evidence in all three criteria for review. In the section on professional achievement, there should be a discussion of future plans for professional work;
(2) a current curriculum vitae;
(3) copies of all annual reports which discuss teaching, professional achievement and service;
(4) copies of the Review Committee's Associate Professor Review and Advisory Council response;
(5) relevant course syllabi, exams, and related materials;
(6) student course evaluations with summary sheets;
(7) course grade comparison sheets;

(8) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period of review.
(9) publications, manuscripts, and other evidence of scholarship and professional achievement.
(10) any other documentary evidence that might assist in an evaluation.

The candidate must provide a list of 20 students who have been enrolled in one or more of the faculty member's classes since promotion as Associate Professor electronically to the Dean's Office by April 30.

c. Role of the Department Chair

The Department Chair will solicit letters from Occidental faculty and staff, in consultation with the faculty member, evaluating the faculty member's observed teaching, and/or program of professional development, and service to the college by April 30. These letters should be sent electronically by the faculty or staff directly to the Dean of the College by September 30 These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, by the Hearing Board.

d. What the Review Committee Provides to the Dean

The Review Committee submits its report and any statements of dissenting views, signed by the candidate, to the Dean of the College by September 30.

e. What the Office of the Dean of the College Provides to the Advisory Council

In addition to all the materials provided to the Review Committee, the Dean of the College will provide the following to the Advisory Council.

(1) Confidential letters solicited from students discussing the faculty member's teaching and advising. These letters will be solicited by the Dean of the College from the list of 20 students provided by the candidate and from a random list of 20 students enrolled in one or more of the candidate's courses since the tenure review. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(2) Untenured regular faculty members in the department of a person under review may communicate directly and confidentially with the Dean in writing both in hard copy and electronically by September 30. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

(3) The Dean of the College will solicit at least four confidential letters from persons in the faculty member's field regarding his or her professional work for use in the Advisory Council review. These letters may or may not be solicited from the individuals suggested by the candidate or the Department Chair. These letters are solicited by the Dean of the College, exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

f. Examination of Files

All materials in his or her file, other than the confidential letters and confidential communications listed above, will be accessible both to the Review Committee and to the candidate until September 30.

7. Full Professor Reviews

The College's goal is for Full Professors to be reviewed every five years. These reviews are to facilitate continued professional renewal for all Full Professors. There are two options for Full Professor evaluations: faculty may participate in the Co-mentoring Program or assemble a portfolio to be reviewed by the Advisory Council.

Option 1: Co-mentoring Program. In this program Full Professors join a co-mentoring group of Full Professors once they have been promoted to the rank of Full Professor. Each faculty member is reviewed once every five years by their co-mentoring group. These co-mentoring groups with membership of no more than ten faculty members, meet at least once a year to discuss a colleague's teaching, professional achievement, and service to the college. The faculty member under consideration provides at least the most recent three years of his or her annual reports as well as student course evaluation summaries and evidence of professional involvement. She or he is encouraged to share a document which consists of a narrative of his or her work during the past five years, including issues the faculty member would like to bring to the co-mentoring group. These groups are meant to promote collegiality and to provide an atmosphere where all concerns of the faculty member are addressed and where colleagues can be helpful when discussing areas of concern. All documents provided to the co-mentoring group from the faculty member under evaluation are for the exclusive use of the co-mentoring group. The Dean will be informed that the review took place, and the faculty member under review will be given a stipend for participation.

Option 2: Review by Advisory Council. The Review Committee for the Full Professor is confirmed by April 30 of the previous year. The formation of the Review Committee follows guidelines from III.C.1. During the first stage of the review, the faculty member submits a self-evaluation of teaching, professional achievement, and service, during the previous five years. This self-evaluation, and a portfolio of student course evaluations and summaries, course grade comparison sheets (obtained from the Dean's Office), and summary grade reports of the last five years shall be submitted to the Dean by November 15. The Review Committee examines the portfolio assembled by the faculty member. The Review Committee will write a document assessing the faculty member's teaching, professional achievement and service. The Review Committee will provide the faculty member with a copy of the review, signed by all members of the Committee. The candidate will sign the document before it is submitted, indicating that he or she has received a copy. The signed review will be submitted by the Review Committee Chair to the Dean by December 15 for discussion by the Advisory Council. If in the opinion of the Council no further action is necessary, the Dean of the College shall communicate this to the faculty member by May 1. However, if the Council determines that a second-stage review is warranted due to concern about performance in one or more of the evaluative criteria, it shall then conduct a more thorough review of the faculty member's teaching, professional achievement, and service to the College in the previous five years, and recommend appropriate action to the Dean of the College.

D. Advisory Council

1. Advisory Council Membership

a. The Advisory Council shall consist of eleven members as follows: eight tenured members of the faculty elected at large by the entire faculty for staggered three year terms; the Dean of the College (ex-officio); two tenured members of the faculty appointed by the President for three year terms after consultation with the elected members of the Advisory Council and the President of the Faculty Council. The Dean of the College shall serve as Chair with voting privileges.

b. A member of the Advisory Council who is to be absent from the College for two consecutive semesters shall be replaced by election. A member elected to fill a vacancy shall serve the remainder of the term of the person being replaced.

c. Election of Advisory Council members shall occur annually in the spring semester. Members so selected shall assume office at the beginning of the fall semester and serve for a period of three years. Council members serving a two or three year term shall not be elected to succeed themselves.

2. Advisory Council General Responsibilities

a. The Council shall meet regularly with the President, give advice on matters relating to the status of individual faculty members, conduct regular and systematic reviews of faculty members, and make

recommendations regarding promotion, granting of tenure, reappointment, termination, and the approval of sabbatical leaves. The Dean reviews applications for sabbatical leaves and consults with the Advisory Council as needed.

b. The Council may develop a procedure and timetable for the review and reappointment of faculty on "special" appointments.

c. At the request of the Dean of the College, or on its own initiative, the Advisory Council may make recommendations to the Dean of the College on matters of policy related to the Advisory Council's function and processes.

d. Confidentiality is crucial and expected of all Advisory Council deliberations. However, summary reports of Council decisions on topics other than individual personnel cases may be made available to the faculty from time to time.

e. Upon recommendation from the Dean of the College, the Advisory Council shall consider investigating cases where there are indications that a tenured faculty member may not be performing her or his duties satisfactorily. At the conclusion of its investigation, the Council may recommend further actions, which may include, but are not limited to, specifying actions on the part of the faculty member to remedy difficulties or deficiencies reported in its findings. It may also initiate procedures leading to warning, reprimand, or dismissal, as set forth in Section VI.K. below.

f. The Council meets informally with untenured faculty on a regular basis**.**

3. Advisory Council Ground Rules

The rules that follow proceed from a commitment by the Council to reach consensus in its deliberations and to maintain continuity of Council interpretations. The Council regularly reconsiders these rules, and may make changes in them from time to time. Faculty will be notified of any significant deletions, additions or alterations to these rules and the rules will be revised in subsequent versions of the Faculty Handbook.

a. In order to preserve the confidentiality of Advisory Council deliberations, members should not initiate personal inquiries or engage in private discussions regarding any individual or department to be considered by the Council, unless specifically requested to do so by the Dean or the Council itself.

b. Only the Dean of the College or the President makes announcements of reappointment, tenure and promotion decisions.

c. Special meetings may be called by the Dean of the College or the President, or at the request of any two elected Council members. Except for persons specifically invited by the Council or the President, attendance at meetings shall be limited to Council members and the President.

d. The Dean of the College shall record the decisions of the Council on all matters.

e. Seven of the eleven members of the Council constitute a quorum, which is sufficient for any official action. Every effort is made to schedule meetings at times when at least nine Council members will be present.

f. Although the President is not a member of the Council, Council meetings to discuss promotion or tenure recommendations are not usually held in the President's absence.

g. In tenure and promotion decisions, or in second stage full professor reviews, Council members shall have access to all previous Dean's summaries of Council personnel recommendations.

h. No minutes of Advisory Council meetings are kept.

i. All Council members, including the Dean of the College as Chair, have one vote. The President does not vote.

j. Proxy voting by members unable to attend a meeting is not permitted, although they may present their opinions in writing on any issue to be voted on in their absence.

k. Affirmative motions for tenure and/or promotion require a 2/3 majority of those present as does a vote to defer until a subsequent year. Thus, if eleven Council members are present at the time of voting, eight affirmative votes are required; seven when there are ten Council members present; six when there are eight or nine; and five when there are seven present.

l. The aim of all deliberations by the Advisory Council shall be to achieve consensus. This requires that all members participate in the discussion. The Dean shall summarize the discussion and in due course call for any appropriate motion. For tenure or promotion, a vote is then taken. Using written ballots, members record their votes and then reveal them openly around the table.

m. Voting on procedural matters requires a majority vote without a paper ballot, unless one is requested.

n. A member of the Council must withdraw from participation in Advisory Council deliberations under the following circumstances:

(1) if the Advisory Council member is being reviewed regarding promotion from Associate Professor to Full Professor, in cases of candidates also being reviewed regarding promotion to Full Professor that same academic year.
(2) if the person under review is, or has been, in her or his department or program.
(3) if he or she is, or has been, a member of the Review Committee of the candidate under consideration.
(4) if he or she is, or has been a Faculty Council mentor of the candidate under consideration.
(5) if he or she has been a co-author of scholarship which will be part of the candidate's dossier.
(6) if, in his or her judgment, the Advisory Council member has a personal relationship with a candidate, or members of the recommending Review Committee, which could make it difficult for she or he to judge a case fairly.
(7) if, in his or her judgment, the Advisory Council member believes there are any circumstances external to a candidate's tenure file that could make it difficult for him or her to judge a case fairly.

At the beginning of the academic year, members of Advisory Council will be asked to identify all case of conflict of interest with the cohort of candidates who will be reviewed during that year.

In cases where there may remain a question of a potential conflict of interest, other members of the Advisory Council can, by a majority vote, decide an Advisory Council member should withdraw from consideration of that case. Such a vote will be preceded by a discussion in which the Advisory Council member in question will not participate.

4. Advisory Council Deliberation and Communication Procedures

a. The Advisory Council will undertake a full review of a candidate even if the recommendation from the Review Committee is negative.

b. In the event that the initial Council vote on tenure or promotion agrees with a negative recommendation of the Review Committee, this action is tabled until the Dean discusses the Council's concerns with the candidate. These discussions will remain confidential between these parties and the Advisory Council. Normally, the candidate has two weeks to respond in writing both in hard copy and electronically to the concerns of the Advisory Council.

c. In the event that the initial Council vote on tenure or promotion disagrees with a positive recommendation of the Review Committee, this action is tabled until the Dean discusses the Council's concerns with members of the Review Committee and, in a separate meeting, with the candidate. These discussions will remain confidential between these parties and the Advisory Council. Normally, the Review Committee and the candidate have two weeks to respond in writing both in hard copy and electronically to the concerns of the Advisory Council.

d. In the event that the initial Council vote on tenure or promotion disagrees with a negative recommendation of the Review Committee, this action is tabled until the Dean discusses the Council's views with members of the Review Committee. These discussions will remain confidential. Normally, the Review Committee has two weeks to respond in writing both in hard copy and electronically to the concerns of the Advisory Council. If the subsequent Council vote agrees with this negative recommendation of the Review Committee, this action is again tabled until the Dean discusses the Council's concerns with the candidate. These discussions will remain confidential between these parties and the Advisory Council. Normally the candidate has two weeks to respond in writing both in hard copy and electronically to the concerns of the Advisory Council as in b) above.

e. All cases are subject to at least two votes. After all individual cases are considered in a category (pre-tenure reviews, tenure reviews, Associate Professor reviews, and promotion to Full Professor reviews) the Council reconsiders each case in the cohort. If reconsideration of a positive decision results in a negative vote, the case must be considered a third time at a subsequent meeting.

f. In cases in which the Advisory Council votes finally not to recommend tenure or promotion, the Dean of the College shall normally notify that faculty member immediately following the spring meeting of the Board of Trustees, and the Dean shall provide the reasons for the decision.

g. The faculty member may request, in writing, within two weeks of the meeting with the Dean of the College, a written statement from the Advisory Council setting forth the reasons that contributed to the vote not to recommend tenure or promotion. This statement will include a summary without attribution of the contents of confidential letters received by the Council.

h. If the candidate disputes the Council's action, he or she may ask the Faculty Council to appoint a Hearing Board. (For grievance procedures, see VI.G.)

i. All Council decisions on promotion and tenure are recommendations to the Dean of the College, who in turn presents a recommendation to the President, who in turn decides whether or not to transmit them to the Board of Trustees for formal action. If the President decides not to transmit a recommendation to the Board, the Council will be consulted first.

j. Only after Board action is taken will tenure and promotion announcements be made by the Dean to the Review Committee and to the community.

IV. NON-TENURE TRACK FACULTY

Types of faculty appointments are described in Section IIA. Non-tenure track faculty teach, provide service, and enhance the academic experience of our students. The policy below aims to clarify the responsibilities of and commitments to NTT faculty in order to best serve Occidental students. Specifically, this policy reflects the College's effort to move forward with greater clarity, consistency, and equity in hiring, review, retention, compensation and promotion of NTT faculty.

A. NTT Appointments

Decisions regarding the appointment of NTT faculty take into account the overall composition of the faculty and the fiscal condition of the College. Depending on the nature of the appointment, the length of the employment agreement could range from one semester up to a period of three years. In some cases, NTT faculty may be reappointed beyond three years.[2]

As stated above, these NTT positions are either part-time or full-time.

A letter of appointment shall come from the Dean and shall serve as the contractual instrument for the initial appointment, and shall set forth specifically title and rank, salary, benefits, length of appointment, service expectations, and any qualifying or special provisions for both part-time and full-time NTT faculty.

The NTT faculty will normally receive contracts for renewal appointments no later than May 31.

Reappointment of NTT faculty requires evidence of effective teaching. Effective teaching is defined in the 'Criteria for Reappointment, Tenure, and Promotion' section of the Faculty Handbook (see section III.B.1) for regular faculty. (Note: As opposed to regular faculty, formal academic advising serves to fulfill service obligations for full-time NTT faculty (see section IV.C.3)).

Professional activity required for promotion to the NTT Associate or Professor ranks is defined as a demonstrated commitment to remain current in discipline-specific theories and research. Professional activity may include reviews of textbooks, participation in pedagogical workshops, attendance at conferences, traditional publication, creative activity, etc.

B. Part-Time NTT Professor

This appointment category includes faculty members who are hired to teach at the College part-time for a defined term with no tenure commitment. Designations for part-time NTT faculty include a rank that corresponds to their education, experience, and performance at the College (Assistant, Associate or Full). The Dean of the College is responsible for approving the appropriate title for each part-time NTT in consultation with the department.

1. General Principles

a. Part-time NTT faculty members are initially appointed for one semester or one-year. The Dean makes these appointments, after considering the recommendation by the Department Chair.
b. Part-time NTT faculty are eligible for renewal appointments of up to one-year.
c. Part-time NTT faculty are not eligible for College benefits.
d. Part-time NTT faculty are exempt from departmental and College service responsibilities.
e. All part-time NTT faculty are eligible for all pedagogical advancement opportunities offered by the Center for Teaching Excellence (CTE).
f. After one year of employment, all part-time NTT faculty are eligible for faculty enrichment funds to develop a new course or participate in substantial pedagogical innovation according to the standards established by the Faculty Enrichment Grant Program.

[2] The College recognizes that there are long-term NTT faculty whose particular situations do not follow this proposed structure. The College will work with them on an individual basis aiming to bring balance and equity to the process as we transition to the new policy outlined here.

2. First Year Review

At the conclusion of the first semester of a part-time NTT contract, the Department Chair will discuss the possibility of reappointment for the next academic year with the NTT faculty member. During the Spring semester, the Department Chair reviews course evaluations and syllabi of the NTT faculty member pursuing reappointment. Based on this review, the Chair submits a reappointment recommendation to the Dean by March 1st. This recommendation will include a justification for renewal as it relates to departmental needs (i.e. future hiring, course enrollments, subject matter). The Dean will consider the justification for reappointment and decide whether renewal is warranted. This decision will be based on the faculty member's performance, on departmental needs, on the overall composition of the faculty, and on the fiscal condition of the College. If the renewal is approved, the continuing part-time NTT faculty member will receive up to a one-year appointment. In special cases, the contract length may require adjustment based on departmental needs.

3. Process and Principles of the Three Year Reviews

An evaluation should be conducted every three years of a part-time NTT faculty appointment during the Spring semester to determine reappointment eligibility. The Department Chair, in consultation with other department faculty, is responsible for conducting the evaluation following the parameters outlined below. While the criteria for reappointment are similar to the first-year review, the College expects an increased level of classroom performance.

a. The Department Chair will work with the faculty member to be certain that the review is completed and submitted to the Dean no later than March 1st.
b. The Chair will meet with the faculty member at the beginning of the Spring semester to discuss her/his teaching experience. After this meeting, the Chair will compose a brief evaluation document that addresses the NTT's teaching effectiveness. This evaluation should also include a statement regarding recommendation for reappointment and a justification for renewal as it relates to departmental needs (i.e. future hiring, course enrollments, subject matter). Both the Chair and the NTT faculty member will be required to sign the evaluation document prior to its submission to the Dean.
c. The faculty member will submit the following materials to the Chair 1-week prior to the scheduled evaluation meeting:
    (1) current curriculum vitae
    (2) copies of any Chair reviews
    (3) relevant course syllabi, exams, and related materials
    (4) student course evaluations with summary sheets
    (5) course grade comparison sheets
    (6) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period under review any other documentary evidence that might assist in an evaluation including any peer teaching observations and evaluations during the period of review.
d. The Dean of the College reviews the evaluation document and decides whether renewal is warranted. This decision will be based on the faculty member's performance, on departmental needs, on the overall composition of the faculty, and on the fiscal condition of the College.
e. If the renewal is approved, the continuing part-time NTT faculty member will receive up to a one-year appointment. In special cases, the contract length may require adjustment based on departmental needs. During years when formal reviews are not conducted, part-time NTT faculty will receive up to one-year appointments based on the needs of the department.

4. Process and Principles for Promotion

a. After six years and a minimum of teaching 21 courses at the part-time NTT Assistant Professor rank, the faculty member will become eligible for promotion to the part-time NTT Associate Professor rank.
b. After six years and a minimum of teaching 21 courses at the part-time NTT Associate Professor rank, the faculty member will become eligible for promotion to the Full Professor rank.

c. The Department Chair will work with the faculty member to be certain that the review file is completed in a timely manner.
d. The Chair, in consultation with other department faculty, will review the evidence provided by the candidate, review the NTT's professional activity, and assess the candidate in teaching. The Chair must draft a review document describing the faculty member's progress in the aforementioned areas and decide whether or not to recommend promotion to NTT Associate/Full Professor. This recommendation must be signed by the Chair. The review document shall be made available to the candidate at least 48 hours in advance of the deadline. The candidate will sign the document before it is submitted to the Dean, indicating that s/he has had an opportunity to read the document and has received a copy. The candidate may submit a confidential response to the review to the Dean of the College. The review document must be submitted to the Dean by March 1st.
e. The faculty member will submit the following to the Chair by February 1st:
    (1) narrative that contextualizes the evidence in the two criteria for promotion (teaching and professional activity)
    (2) current curriculum vitae
    (3) copies of any Chair reviews
    (4) relevant course syllabi, exams, and related materials
    (5) student course evaluations with summary sheets
    (6) course grade comparison sheets
    (7) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period under review
    (8) any other documentary evidence that might assist in an evaluation including any peer teaching observations and evaluations during the period of review.

The Dean of the College reviews the materials and decides whether promotion to Part-Time NTT Associate/Full Professor is warranted. The faculty member will be notified of the decision no later than May 1st. If the candidate is denied promotion, he or she may continue to teach at the College under his or her existing contract terms. If the candidate disputes the Dean's action for promotion, he or she may ask the Faculty Council to appoint a Hearing Board (for grievance procedures, see VI.G.)

C. Full-Time NTT Professor

This appointment category includes faculty members who are hired to teach at the College full-time for a defined term with no tenure commitment. Designations for Full-time NTT faculty include a rank that corresponds to their education, experience, and performance at the College (Assistant, Associate or Full). The Dean of the College is responsible for approving the appropriate title for each Full-Time NTT in consultation with the department.

1. General Principles

a. Initially, Full-time NTT faculty members are generally appointed for a one-year contract. The Dean of the College makes these appointments after considering the recommendation of the Department Chair.
b. Full-time NTT faculty are eligible for renewal appointments of one-, two-, or three-year durations.
c. All full-time NTT faculty are required to submit 1-2 page annual reports. The annual reports include the following components: list of courses taught, enrollment, role of course in curriculum, teaching innovations, teaching strengths and weaknesses, student mentoring, service to the Department, and a summary of professional activity (optional). Annual reports should be submitted to the Dean's office by the end of June.
d. All full-time NTT are eligible for all pedagogical advancement opportunities offered by the Center for Teaching Excellence (CTE).
e. After one year of employment, all full-time NTT faculty are eligible for faculty enrichment funds to develop a new course or participate in substantial pedagogical innovation according to the standards established by the Faculty Enrichment Grant Program.
f. After three years of continual employment, all full-time NTT faculty will receive $1200 every three years. Monies will be deposited into a professional development fund to be used for research, travel to professional conferences, and/or to participate in professional continuing education or scholarship activities.

2. Benefits for Full-time NTT Professors

Full-time NTT faculty are eligible for the following:

a. Medical and Hospital Insurance (eligibility established on first day of the month following initial appointment as in VIII.D.)
b. Dental Insurance (eligible after one year of full-time appointment.)
c. Participation in the College's defined contribution retirement plan (eligibility established after one year of full-time employment)
d. Life Insurance (eligibility established after one year of full-time employment)
e. Disability Insurance (eligibility established after one year of full-time employment)
f. Worker's Compensation Insurance (as in VIII.H.)
g. Disability Leave (in accordance with state laws)
h. Family Leave (in accordance with federal and state laws)
i. Tuition Exchange Program (eligible after five years of full-time employment)
j. Full tuition remission for dependent children who are admitted to Occidental and enrolled in the College (eligible after 5 years of full-time employment)

3. Service Expectations for Full-time NTT Professors

a. Service responsibilities will be limited in the first year of employment for full-time NTT faculty. First-year NTT faculty will be exempt from formal student advisement. Service responsibilities will increase gradually in the second and third year of full-time employment. The extent and nature of the service assignments will be determined after consultation with the Dean, the Department Chair, and the NTT faculty member.
b. During the third year of employment at the College, the departmental service obligations for full-time NTT faculty may include advising students, mentoring of student comprehensive projects, independent studies, internships, or student research projects.
c. Under certain circumstances, College service may be a substitute for traditional departmental service.

4. First Year Review

At the conclusion of the first semester of a Full-Time NTT contract, the Department Chair will discuss the possibility of reappointment for the next academic year with the NTT faculty member. During the Spring semester, the Department Chair reviews course evaluations and syllabi of the NTT faculty member pursuing reappointment. Based on this review, the Chair submits a reappointment recommendation to the Dean by March 1st. This recommendation will include a justification for renewal as it relates to departmental needs (i.e. future hiring, course enrollments, subject matter). The Dean will consider the justification for reappointment and decide whether renewal is warranted. This decision will be based on the faculty member's performance, on departmental needs, on the overall composition of the faculty, and on the fiscal condition of the College. If the renewal is approved, the continuing full-time NTT faculty member will receive a 2-year appointment. In cases where the Dean is not able to extend a 2-year offer, a one-year appointment will be offered.

5. Process and Principles of the Three Year Reviews

An evaluation should be conducted every three years of a full-time NTT appointment during the Spring semester to determine reappointment eligibility. The Department Chair, in consultation with other department faculty, is responsible for conducting the evaluation following the parameters outlined below. While the criteria for reappointment are similar to the first-year review, the College expects an increased level of classroom performance.

a. The Department Chair will work with the faculty member to be certain that the review is completed and submitted to the Dean no later than March 1st.
b. The Chair will meet with the faculty member at the beginning of the Spring semester to discuss her/his teaching experience. After this meeting, the Chair will compose a brief evaluation document that

addresses the faculty member's teaching effectiveness. This evaluation should also include a statement regarding recommendation for reappointment and a justification for renewal as it relates to departmental needs (i.e. future hiring, course enrollments, subject matter). Both the Chair and the faculty member will be required to sign the evaluation document prior to its submission to the Dean.

c. The faculty member will submit the following materials to the Chair 1-week prior to the scheduled evaluation meeting:
    (1) current curriculum vitae
    (2) copies of all annual reports
    (3) copies of any Chair reviews
    (4) relevant course syllabi, exams, and related materials
    (5) student course evaluations with summary sheets
    (6) course grade comparison sheets
    (7) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period under review
    (8) any other documentary evidence that might assist in an evaluation including any peer teaching observations and evaluations during the period of review

d. The Dean of the College reviews the evaluation document and decides whether renewal is warranted. This decision will be based on the faculty member's performance, on departmental needs, on the overall composition of the faculty, and on the fiscal condition of the College.

e. If the renewal is approved, the continuing full-time NTT faculty member will receive a three-year appointment. In cases where the Dean is not in a position to extend a three-year offer, a one- or two-year appointment will be offered. In instances where NTT faculty are not offered three-year appointments, formal reviews will only be conducted after 3 years of employment.

f. In the event that extraordinary circumstances may affect the position of a full-time NTT on a multi-year contract, <u>every</u> effort will be made by the Dean to retain the course load or full-time equivalent status of the NTT faculty member during the term of the appointment.

6. <u>Process and Principles for Promotion</u>

a. During the sixth year of a full-time appointment at the College at the full-time NTT Assistant Professor rank, the faculty member will become eligible for promotion to the full-time NTT Associate Professor rank.

b. During the sixth year of a full-time appointment at the College at the full-time NTT Associate Professor rank, the faculty member will become eligible for promotion to the full-time NTT Full Professor rank.

c. The Department Chair will work with the faculty member to be certain that the review file is completed in a timely manner.

d. The Chair, in consultation with other department faculty, will review the evidence provided by the candidate and assess the candidate in teaching, departmental service, and professional activity. The Chair must draft a review document describing the faculty member's progress in the aforementioned areas and decide whether or not to recommend promotion to full-time NTT Associate/Full Professor. This recommendation must be signed by the Chair. The review document shall be made available to the candidate at least 48 hours in advance of the deadline. The candidate will sign the document before it is submitted to the Dean, indicating that s/he has had an opportunity to read the document and has received a copy. The candidate may submit a confidential response to the review to the Dean of the College. The review document must be submitted to the Dean by March 1st.

e. The faculty member will submit the following to the Chair by February 1st:
    (1) narrative that contextualizes the evidence in the three criteria for promotion (teaching, service, and professional activity)
    (2) current curriculum vitae
    (3) copies of all annual reports
    (4) copies of any Chair reviews
    (5) relevant course syllabi, exams, and related materials
    (6) student course evaluations with summary sheets
    (7) course grade comparison sheets
    (8) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period under review

(9) any other documentary evidence that might assist in an evaluation including any peer teaching observations and evaluations during the period of review

f. The Dean of the College reviews the materials and decides whether promotion to Full-Time NTT Associate/Full Professor is warranted. The faculty member will be notified of the decision no later than May 1st.

g. If the candidate is denied promotion, he or she may continue to teach at the College under his or her existing contract terms.

h. If the candidate disputes the Dean's action for promotion, he or she may ask the Faculty Council to appoint a Hearing Board (for grievance procedures, see VI.G.)

V. FACULTY ORGANIZATION AND GOVERNANCE

Occidental College has a strong tradition of faculty governance. Beyond their responsibilities for the curriculum and student life, faculty members serve on certain Trustee committees except for the Board's Executive, Trustee Affairs, and Audit Committees (without vote); they participate in discussions on planning leading to the preparation of the College's annual budget; as voting faculty members of the Budget Committee; and they have primary responsibility for all decisions regarding faculty appointment, retention, tenure, and promotion.

A. Meetings

1. Regular meetings of the faculty are scheduled from August to May and upon the call of the Dean of the College. The Dean of the College is the presiding officer and chair. The Dean of the College may, upon occasion, appoint the Faculty Council President as chair. Procedures will follow the current version of Robert's *Rules of Order*. Attendance at these meetings is expected of all faculty members on regular appointment. A special meeting shall be called at any time upon written request of ten percent of the regular faculty to the Dean of the College. Audio and/or visual recording of faculty meetings is not allowed. Exceptions to this policy require approval by the Dean of the College 24 hours in advance of the faculty meeting. When such permission is granted, the community in attendance will be notified of any recording when the meeting is called to order.

2. The agenda for a faculty meeting is established by the Dean of the College in consultation with the Faculty Council President. Any faculty committee, individual faculty member, or administrative officer may propose matters to be included in the agenda. The Dean of the College shall distribute the agenda for each regular and special faculty meeting by electronic mail at least twenty-four hours in advance of the meeting. This agenda shall identify all issues on which faculty action is proposed and must include any resolutions to be acted upon by the faculty. Policy questions and major changes in the educational program not included in the agenda must be deferred to a subsequent meeting unless two-thirds of those present and voting approve immediate action.

3. Administrative officers not otherwise designated as faculty members, professional librarians, emeriti faculty, and members of the Board of Trustees may attend faculty meetings without vote, and are entitled to recognition by the chair on any matter before the faculty for discussion.

4. The President, the Dean of the College, and members of the teaching faculty may invite occasional visitors to attend faculty meetings.

5. A maximum of ten students designated by the Associated Students of Occidental (ASOC), and reported in advance to the Dean of the College, may attend faculty meetings without vote, and are entitled to recognition by the chair on any matter before the faculty for discussion.

6. The faculty may decide, by majority vote of those attending, to go into executive session, at which time only those entitled to vote are to remain.

7. The Faculty Council President may call a teaching faculty meeting at any time to discuss issues of concern. Administrators and others may attend only if invited by the Faculty Council President.

8. Twenty-five percent of the faculty members on regular appointment shall constitute a quorum for the transaction of business at any regular meeting of the faculty. Fifty percent of the faculty members on regular appointment shall constitute a quorum for the transaction of business at any special meeting. The quorum threshold number for special meetings is determined by counting the number of regular faculty not on sabbatical or on leave during that semester. Regular faculty, including those on sabbatical or leave, may of course attend and participate in all such meetings. These quorum threshold numbers for both regular and special meetings are announced at the first faculty meeting of each semester.

9. The Dean of the College shall arrange for the preparation of official Minutes of all regular and special meetings of the faculty.

10. The Minutes shall be kept in the office of the Dean of the College and posted online.

11. Official announcements of faculty actions and faculty matters of general interest to the public or the college community are made by the Dean of the College or the Faculty Council President.

B. Voting

1. All members of the faculty on regular appointment are eligible to vote.

2. All full time non-tenure track (NTT) faculty who have taught full time for more than one year at the College obtain voting rights. All such persons will familiarize themselves with the academic program and faculty issues. Such persons so designated would be eligible to serve on all committees except Advisory Council and Faculty Council.

3. Unless modified by faculty vote, a simple majority of those eligible, present, and voting is sufficient for passage of a motion. Voting shall ordinarily be by voice or a show of hands, but upon request of any voting member of the faculty a written ballot shall be taken.

C. Committees

To carry out various responsibilities, the faculty is organized into committees under the general supervision of the Faculty Council. The Faculty Council, Advisory Council, and the Academic Planning Committee (APC) are the key committees along with the Sub-Committee on Finance (SCOF) which is a sub-committee of the Faculty Council. Members of SCOF, along with the Faculty Council President (ex-officio) serve on the Budget Advisory Committee. With the exception of the Advisory Council, the Faculty Council, and the elected members of the Academic Planning Committee, faculty membership on regular faculty committees is appointed by the Faculty Council in consultation with the Dean of the College. The Faculty Council shall maintain a full list of faculty committees and their members, distribute it annually at the first faculty meeting, and post it online. Additionally, the Faculty Council annually establishes a panel of faculty members available for assignment to Faculty Hearing Boards, Sexual Misconduct Hearing Boards, Student Conduct Hearings, and the Judicial Hearing Panels. A random list of faculty is created by ITS and given to the Faculty Council President to provide members for the Faculty Hearing Boards, the Student Conduct Hearings, and the Judicial Hearing Boards at the beginning of each academic year. Members of the Sexual Misconduct Hearing Boards are faculty volunteers who agree to be trained in issues of sexual misconduct. Ad Hoc Committees may be appointed by the President or Dean of the College (after consultation with the Faculty Council), or by the Faculty Council itself.

1. The Faculty Council consists of five voting faculty members and a Faculty Council President. At least one of the five members is to be untenured. Untenured faculty serve a one- year term, with the option of a one-year exemption from committee service in the following year. Untenured faculty who have submitted their files for tenure in an election year will not be eligible for election as an untenured member of FC the following year. The tenured members are elected for three-year staggered terms. However, the Faculty Council President, also elected directly by the faculty, only serves a two-year term. If the service on FC of an untenured faculty member overlaps with a year in which they will have tenure, and they are the only untenured member of FC, another election will be held to replace them with an untenured person to fill out their vacancy. If another untenured faculty member is already serving on FC, the faculty member will not be replaced and simply finish their two year term. A member of the Faculty Council who is on leave from the College for two consecutive semesters shall be replaced by an election. A member elected to fill a vacancy shall serve the remainder of the term of the person being replaced. The terms of the outgoing Faculty Council President and Faculty Council members shall end at the conclusion of the last general faculty meeting of the year. The terms of the incoming Faculty Council President and the Faculty Council members shall begin immediately following the last general faculty meeting of the year.

The Faculty Council deliberates on matters of general concern and interest to the faculty and serves as an advisory, consultative and supervisory group to faculty committees. It conducts elections to the Advisory Council, Faculty Council, and the Academic Planning Committee.

The Faculty Council also assigns a senior faculty member to each new regular tenure-track faculty member by December 1 of their first year. These faculty mentors are drawn from outside the faculty member's department and are intended to provide an outside perspective throughout the tenure process. Ideally, the senior faculty member will have Advisory Council experience, but it is not required. Mentors are not intended to be advocates for tenure, but advisors who have no formal responsibilities in the evaluation and recommendation process.

The Faculty Council President attends Board of Trustees meetings and, upon request by the Chair of the Board, reports faculty concerns and views to the Board.

2. The Advisory Council membership is detailed in III.D.1.

3. The Academic Planning Committee (APC) includes the Dean of the College, the Associate Dean of Curriculum, three elected faculty members (who serve three year terms), two faculty members appointed by Faculty Council (who serve two year staggered terms), the Chair of the Affirmative Action Committee, and the Faculty Council President. The Associate Dean serving as Core Director is a non-voting member of the APC. Because of the breadth and significance of the task of planning, diversity of gender, ethnicity, and academic discipline are considered to be important membership criteria. The three elected faculty members shall represent the divisions of Arts and Humanities, Social Sciences, and Science and Mathematics, shall be elected by the faculty within each respective division, and shall serve staggered terms to insure continuity. An elected member of the APC who is on leave from the College for two consecutive semesters shall be replaced by an election. If an FC appointed member is on leave from the college for two semesters, that member will be replaced by another FC appointment. In either case the new member will serve the remainder of the term of the person being replaced. The Dean of the College shall appoint the Chair of the APC.

   The Academic Planning Committee considers the overall direction of the College's academic program, including proposals generated by the APC itself and proposals submitted to the Committee for consideration. The Committee makes recommendations to the Dean of the College regarding faculty hiring, faculty expansion, allocation of faculty resources, and long-range faculty planning following guidelines established by the Dean. The Committee also receives and makes decisions about proposals for new courses, oversees general education and curricular policy, and makes recommendations to the faculty regarding academic requirements, new departments and programs, and substantial changes to existing departments and programs.

4. No member of Advisory Council shall serve on other committees except in extraordinary circumstances.

5. All committee chairs, except the Advisory Council send written reports to the Faculty Council President at the end of the academic year. These reports normally are posted online.

6. Faculty Council, in consultation with the President, also appoints faculty members to serve on Trustee Committees. These committees may include: Academic Affairs; Budget and Finance; Buildings and Grounds; Honorary Degrees; Institutional Advancement; Student Affairs; and Investment. Faculty will not serve on the Executive, Trustee Affairs, or Audit Committees.

D. Faculty Elections

1. Faculty elections for Faculty Council (see V.C.1), Advisory Council (see III.D.1) and the Academic Planning Committee (see V.C.3) are conducted by the Faculty Council according to procedures adopted by the Faculty Council. These procedures should ensure that the election for the Faculty Council President occurs first, followed by elections for Faculty Council, Advisory Council and the Academic Planning Committee.

2. A faculty member who is taking a year's leave from the College will not be put on the ballot for Faculty Council President, Faculty Council, Advisory Council, or the Academic Planning Committee.

3. After serving a full term on the Advisory Council or Faculty Council, or a full elected term on the Academic Planning Committee, an individual faculty member may choose to receive one year free of committee assignments. A full term for untenured faculty on Faculty Council is a one-year term, followed by the option of a one-year exemption from committee service.

4. After serving a full term on the Advisory Council or the Faculty Council, or a full elected term on the Academic Planning Committee, an individual faculty member may choose for the next five years to take his or her name off the ballot for the elected body on which he or she has just served.

5. Individual faculty members who have been elected or appointed to the Faculty Council, the Advisory Council, and/or the Academic Planning Committee and have served a full term four or more times may petition the Faculty Council asking to be excused from the nomination list for the rest of their career at the College.

6. Any faculty member elected Faculty Council President may choose to take his or her name off the ballot for any future election of Faculty Council President.

7. Untenured faculty are excluded from the ballot for Faculty Council President.

E. Department Chairs

1. Chairs of academic departments are appointed by the Dean of the College in consultation with members of the department. Such appointments are normally for a three-year period and may be extended.

2. The chair is responsible to the Dean of the College for specific administrative duties as described below and to full-time colleagues on all matters relating to departmental policy. On policy matters the chair is expected to give full consideration to divergent opinions within the department and to take note of them in statements of departmental position.

3. The specific administrative duties of the chair include the following:

   a. Curriculum. Overall planning of the curriculum and presentation to the Academic Planning Committee.

   b. Faculty assignments. Designation of faculty members to teach specific courses within the department curriculum, and in the Cultural Studies Program.

   c. Budget. Preparation of the annual budget request for equipment, supplies, and services for presentation to the Dean of the College. The chair must authorize all departmental requisitions within the budget, and may delegate this responsibility temporarily during an absence, with the approval of the Dean of the College. It is the chair's responsibility to maintain records and inventories in an orderly manner, and to establish appropriate procedures for protecting and maintaining equipment. Evaluation. Ensure that evaluations are conducted and completed by Review Committees.

   d. Vacancies and searches. Coordinate search committees and search processes. Affirmative Action/Equal Employment Opportunity search procedures must be followed. Employee supervision and evaluation. Supervision of students and employees of the College assigned to the department to perform various tasks in carrying on departmental programs. Supervision includes assigning employees to specific duties, providing or arranging for special instruction or training, preparing periodic evaluations of employees' performance, and authorizing time cards for payroll purposes. If grievances or disagreements arise in non-faculty personnel matters, chairs should consult with the Director of Human Resources. Assessment and Program Review. The chair is responsible for the submission of the annual department assessment report to the Dean of the College by June 1 following the guidelines set for by IRAP (Institutional Research, Assessment and Planning). Moreover, the chair leads the effort for program review every eight years: a process which includes a self-study, external review and the creation of an action plan following the review.

F. Annual Faculty Reports

Each member of the faculty is required to submit an annual report and CV to the Dean of the College. This report is normally due June 30th, completed on-line, after teaching evaluations from the previous year become available. These annual reports are read by the Dean of the College and the appropriate divisional Associate Dean. Information from these reports concerning professional and civic accomplishments and activities will be made available to the Communications Office and other administrative units. The entire report and CV will become part of the confidential file used by the Review Committee and the Advisory Council in the tenure and promotion process, and, in the case of a tenure/promotion grievance, by a Hearing Board.

VI. FACULTY PERSONNEL POLICIES

A. Changes to Faculty Appointments and Termination of Appointments

Faculty members holding regular positions shall be notified in writing by the Dean of the College of any changes in appointment, rank, or salary. Such changes shall normally become effective on August 15 of the ensuing academic year. Notifications of promotion or tenure shall be made as soon as possible after formal action by the Board of Trustees.

The College recognizes that many departments are related to one another by subject matter or discipline, and that departmental lines are somewhat arbitrary and therefore impermanent. It may be necessary at times to transfer tenured faculty from one department or program to another, or to rearrange department lines. Such transfers or rearrangements may be undertaken when, in the judgment of the Academic Planning Committee and the Dean of the College, after consultation with the faculty members and departments and programs involved, they would best serve the long-range educational program of the College. When such transfers involve shifts in teaching responsibilities, adequate resources shall be made available for appropriate retraining or redirection of competence.

Processes and procedures related to the termination of a regular faculty member are presented in three areas of the handbook. Issues surrounding termination as a result of regular review processes are presented in III.C. Issues related to termination by cause are presented in VI.K. Termination due to financial exigency is presented in VI.M.

B. Resignation

Unless mutually agreed upon between the faculty member and the College, it is expected that resignations will become effective only at the end of the academic year. It is further expected that the faculty member will recognize the effect of the resignation on the academic program of the College, and inform the Dean of the College when actively considering the interruption or termination of service. Resignations to become effective at the end of the academic year should be submitted in writing to the Dean of the College by May 15 or within thirty days following receipt of information concerning appointment for the following year, whichever is later. Unexpected resignations after this date are considered a breach of professional ethics.

C. Sabbatical Leaves

1. The purpose of these leaves is to provide release time for intellectual enrichment and professional growth. Eligibility for sabbatical leaves is established upon the granting of tenure. Subsequent sabbaticals may be granted at four year intervals following initial eligibility. Time away from the College on leaves of absence, as described below, does not apply toward eligibility for sabbatical leaves.

2. Sabbatical leaves are granted for one semester with full salary or one year with half salary. Those on sabbatical leave for one semester will have a three course teaching load during the other semester of the academic year. Full college contributions to insured benefit plans will continue during sabbatical leaves regardless of whether on full or partial salary. Contributions to the retirement plan will be pro-rated, i.e., they will be paid at the established percentage but only on the salary actually earned during the period of the leave if on partial salary. Persons approved for leave at less than full salary should contact Human Resources regarding pay and benefit adjustments prior to the beginning of the sabbatical year.

3. The Advisory Council will review sabbatical applications and make recommendations to the Dean of the College who then confers with the President. The President makes all final decisions. Applications must be submitted to the Dean of the College by December 15 of the previous academic year. These applications should include a detailed statement of specific plans and a program of study or other professional activity during the leave period, including anticipated results. Applications must be accompanied by a statement from the department chair indicating how the faculty member's teaching assignments will be covered during the leave period.

4. Persons granted sabbatical leave are obligated to return to the College for the full academic year following completion of the leave period. A written report summarizing activities and accomplishments while on sabbatical leave must be submitted to the Dean of the College by September 15 of the following academic year. These reports become a part of the faculty member's permanent record and may be used by the Advisory Council in consideration of subsequent sabbatical requests.

5. Approval of sabbatical leaves is subject to available financial resources, departmental priorities, and educational program needs, and to Advisory Council evaluation of the leave application. The Council may recommend that the faculty member undertake certain activities during the leave period as a condition of its approval. Accomplishments during prior leaves will also be considered.

6. Faculty members on sabbatical leaves are excused from committee service (except as described in III.C.1.) during the time of their leave. It is their responsibility, in consultation with their Department Chairs, to insure that their advisees are assigned to other colleagues during their leave.

D. Early Career Leave

As part of the process of the Pre-Tenure Review, faculty who wish to be considered for the Early Career Leave must include, as part of their packet of materials submitted to the Dean of the College, a separate one-page statement of plans for future professional development, including a detailed proposal for this research leave. This proposal will be evaluated during the normal review process by the Advisory Council, and upon their recommendation, the Dean of the College may grant the candidate a one-semester paid leave in the year following this review. Normally, only candidates who receive the maximum reappointment leading toward tenure will be considered for this leave.

E. Retirement

Occidental College has no fixed retirement age. If there is an early retirement program in effect, faculty who are eligible for the program will be so notified and the policy in effect will be detailed. Regular faculty who retire after at least ten years of full time service will be granted Emeritus status.

F. Leaves of Absence

1. Faculty members may apply for leaves of absence without salary to pursue professional activities, for other purposes that will enhance their service to the College, or for personal reasons. Such leaves are ordinarily not granted for a period longer than one academic year. Certain fringe benefits may continue during the leave period. Faculty members whose leave of absence is approved should consult the Human Resources Office about benefits well in advance of the leave period.

2. Requests for leaves of absence must be approved by the Dean of the College. Applications should be submitted to the Dean of the College as far in advance as possible. These applications should include information similar to that required for sabbatical leaves, including a statement from the department chair.

3. Faculty members on leaves of absence are excused from committee service. It is their responsibility, in consultation with their department chairs, to insure that their advisees are assigned to other colleagues during their leave.

4. Unless otherwise specified at the time approval is granted, persons on leaves of absence are expected to return to the College for a full academic year following completion of the leave period.

5. Time on leaves of absence does not normally count towards sabbatical leave.

G. Faculty Grievance Procedures

Faculty members having a personal complaint regarding actions of any committee, administrative officer, or member of the faculty may seek redress through a Hearing Board. These complaints may include, but are not

limited to, matters of salary, tenure, and promotion, assignment of space or facilities, and discriminatory or inequitable treatment. Faculty members have the responsibility to serve on Hearing Boards according to the procedures outlined below.

1. For complaints against the Advisory Council relating to Reappointment, Tenure and Promotion

   On receipt of a faculty member's complaint, the Faculty Council will appoint a Hearing Board within two weeks to investigate the matter. Hearing Boards shall consist of five tenured faculty members drawn from a randomly generated list of all eligible, tenured faculty that the Faculty Council requests from Information Technology Services each year (See Section V. C). The following faculty are not eligible to serve on Hearing Boards: all members of the department or program involved and/or the Review Committee; current Faculty Council members; members of the faculty with administrative appointments, with the exception of department chairs; faculty who are on leave or sabbatical; members of the Advisory Council who reviewed the case or of the current Advisory Council; and anyone who has written confidential letters related to the case. For each grievance case, the Faculty Council selects the first three members of the Hearing Board from the top of the random list. At the conclusion of the selection of the first three members of the Hearing Board, the Faculty Council will continue to use the randomly generated list to select two additional members of the Hearing Board. These two selections will be made to assure diversity on the Hearing Board in terms of gender, discipline, race and/or any other characteristic that, in the opinion of the Faculty Council, is necessary to afford both the reality and the perception of a fair hearing. All individuals selected for the Hearing Board must state (1) their willingness to serve and (2) the absence of a conflict of interest in the particular case before the Board. For any subsequent requests for a Hearing Board, the Faculty Council continues to move down the random list following the above process.

   The complainant is notified of the composition of the Hearing Board immediately by the Faculty Council President. The complainant has the right to ask that (at most two) faculty members be removed from the Board. The complainant must notify the Faculty Council President within two days if he/she wishes to eliminate one or two members of the original list. If he/she wishes to eliminate two, then the Faculty Council will replace the two within a week and the Hearing Board is finalized. If he/she wishes to eliminate one, a replacement is found as soon as possible. If the complainant wishes to eliminate the replacement, he/she must notify the Faculty Council President within two days and another replacement is found. These selections follow the procedures and principles of the above paragraph and should be finalized within one week. Once the Hearing Board is finalized, the Dean and the complainant are notified by email of the composition of the Board.

   Within one week of that notification the Hearing Board must convene to select a chair and inform the Faculty Council President, the Dean of the College and the complainant of that selection. Within two weeks of that notification, the complainant must email an electronic version of the full written report with the complainant's grievance with all pertinent information and data to the Chair of the Hearing Board who will forward the documents to the entire Hearing Board. The Chair of the Hearing Board shall request in writing by email that the Dean submit copies of the Review Committee's report and the Dean's summary letter of the Advisory Council's action. The Dean has one week from receipt of request to submit these materials. The Hearing Board must decide within two weeks of receipt of these materials as to whether a detailed investigation is warranted and notify the complainant in writing of its decision. If an investigation is warranted, the Hearing Board must complete its work within six weeks of that notification.

   The Hearing Board may gather information from all sources it deems appropriate. The complainant has the right to appear before the Hearing Board for an oral presentation.

   The Hearing Board must keep a written record of its proceedings. The record should include a calendar of their meetings, who was interviewed, and short summaries of each proceeding. After completion of the proceedings a sealed confidential copy will be filed with the Office of the Dean of the College with those records.

   Documents before the Hearing Board and/or issued by the Hearing Board should be treated as confidential by all parties.

When the material is referred to in either the Advisory Council report or the complainant's grievance, the Hearing Board will have access to: confidential letters from colleagues, students and outside evaluators with identification of the writer of the letter removed; teaching evaluations; and previous department or Advisory Council reviews.

In its deliberations, the Hearing Board should be guided by the following questions: Were faculty handbook policy and procedures followed? Was appropriate evidence bearing on the decision sought out and considered? Were only relevant and proper standards or concerns considered? If the Hearing Board determines the case is without merit based on these questions , the Hearing Board issues a written statement explaining their finding which is given to the Advisory Council, the Dean of the College, and the complainant by email and the grievance process is concluded. The complainant may, at his or her own discretion, comment on the findings orally to the Board or in writing within 10 days from receipt of the report, and may request that the Hearing Board respond in writing to that statement.

If the Hearing Board feels the complainant's case has merit, it returns the case to the Advisory Council, along with a written report summarizing the points which it determines should be addressed by the Advisory Council. The complainant and the Dean of the College receive a copy of this report.

In cases where the Hearing Board feels the complainant's case has merit the Advisory Council makes the final decision as to the resolution of the grievance. In cases where the Hearing Board feels the complainant's case has no merit, the original decision by the Advisory Council stands.

The complainant may appeal the final decision of the Advisory Council to the President within one week of notification of the decision. The President's decision, which must be communicated with the complainant and copied to the Dean of the College and the Advisory Council within two weeks of the appeal, is final.

Faculty Council may amend the deadlines established in this procedure if it finds such alteration to be necessary to the successful and fair function of the Hearing Board.

2. <u>For complaints against any party other than Advisory Council</u>

On receipt of a faculty member's complaint, the Faculty Council will appoint a Hearing Board within two weeks to investigate the matter. The complaint may be based on actions of committees or individual members of the College administration or faculty, and may deal with salary, review or tenure matters not directed at the Advisory Council, assignment of space or facilities, and inequities of treatment. The Hearing Board is not a decision making body, but is empowered to investigate the matter, take evidence, and make recommendations to appropriate individuals or groups in order to facilitate a resolution.

The composition of a Hearing Board is determined by the Council, which each year requests a randomly generated list of all eligible tenured faculty (see above and Section V.C.). Hearing Boards shall consist of five tenured faculty members drawn from that randomly generated list. . The following faculty members are not eligible to serve on Hearing Boards requested in these cases: all members of the department or program involved and/or Review Committee; current or past members of Advisory Council who adjudicated the case when the complaint is against either the Dean or the President regarding a tenure decision; current Faculty Council members; members of the faculty with administrative appointments, with the exception of department chairs; faculty who are on leave or sabbatical; and anyone who has written confidential letters related to the case. For each grievance case, the Faculty Council selects the first three members of the Hearing Board from the top of the random list. At the conclusion of the selection of the first three members of the Hearing Board, the Faculty Council will continue to use the randomly generated list to select two additional members of the Hearing Board. These two selections will be made to assure diversity on the Hearing Board in terms of gender, discipline, race and/or any other characteristic that, in the opinion of the Faculty Council, is necessary to afford both the reality and the perception of a fair hearing. All individuals selected for the Hearing Board must state (1) their willingness to serve and (2) the absence of a conflict of interest in the particular case before the board.

The Dean of the College and the complainant are notified by email of the formation of the Hearing Board by the Faculty Council President. A copy of that complaint will also be sent to the person(s) or group(s) the complaint is against. This procedure applies when the complaint is against the Dean of the College. Both the complainant and the person or group the complaint is against have the right to veto one member of the Hearing Board each. If they wish to do so, they must notify the Faculty Council President by email within two days with their request. The Faculty Council then adds new members to the Board if needed following the procedures and principles of the above paragraph. The Hearing Board is then finalized within a week. The Faculty Council President informs all parties of the composition of the Hearing Board. Within one week the Hearing Board must convene select a chair and inform the Faculty Council President, the Dean of the College and the complainant of that selection. Within two weeks of that notification, the complainant must email an electronic version of the full written report with all pertinent information and data to the Chair of the Hearing Board who will forward the documents to the entire Hearing Board.

The Hearing Board may gather information from all sources it deems appropriate. The complainant has the right to appear before the Hearing Board for an oral presentation.

The Hearing Board must keep a written record of its proceedings. The record should include a calendar of their meetings, who was interviewed, and short summaries of each proceeding. After completion of the proceedings a sealed confidential copy will normally be filed with the Office of the Dean of the College with those records. However, if the complaint is against the Dean a sealed confidential copy will be sent to the President; if the complaint is against the President, a sealed confidential copy of the above will be given to the Chair of the Board of Trustees.

Documents before the Hearing Board and/or issued by the Hearing Board should be treated as confidential by all parties.

The Hearing Board must decide within two weeks as to whether a more detailed investigation is warranted and notify the complainant in writing of its decision. If further evidence must be gathered, the Hearing Board must complete its work within six weeks.

Upon completion of the investigation the Hearing Board must submit a summary of its findings to the complainant. If, in the opinion of the Hearing Board, the case is without merit then the written report must attempt (within established policy regarding confidentiality) to address complainant's concerns directly. The complainant may, in his or her own discretion, comment on the findings orally to the Board or in writing within 10 days from receipt of the report. If, in the opinion of the Hearing Board, the case has merit, the Hearing Board may take one or more of the following actions:

a. Return the case to the person or group the complaint was against with a recommendation for reconsideration in the light of additional information or apparent irregularities. If the complaint is against the Dean, the President must be sent the Hearing Board's report. If the complaint is against the President, the Chair of the Board of Trustees must be sent the Hearing Board's report.

b. Advise the complainant to appeal the case to the appropriate authority.

c. Refer to the faculty, or suitable committee, or administrative officer any policy issues arising from the case.

All the timing guidelines of this grievance process refer to regular teaching days, exclusive of reading periods, final examination periods, and summer session. The Faculty Council may amend these deadlines if it finds such alteration to be necessary to the successful and fair function of a Board.

Decisions may be appealed to the President (or the Chair of the Board of Trustees if the complaint is against the President) whose decision is final.

H. Outside Employment

1. Occidental College encourages faculty involvement in activities that contribute significantly to the reputation of the College and to the professional and scholarly stature of the faculty member, provided these activities do not interfere with the basic responsibilities to teaching,scholarship, and service to the department and the College and other duties within the College and that they are consistent with the College's conflict of interest policy. When these standards are met, work such as serving with professional associations, editing, reviewing, writing, consulting, performing, and public service activities, whether paid or unpaid, are considered a desirable part of the faculty member's total activity.

~~2. In order that such activities may be properly recognized and appraised according to professional standards, and in order that the administration may be informed and able to discharge its responsibilities to its constituency and its donors and contractors, each full-time faculty member is expected to report in advance to his department chair and to the Dean of the College any proposed commitments for outside employment extending over one or more semesters during the academic year and, where appropriate, provide an explanation of how they contribute to effective teaching and professional growth.~~

2. All outside employment should be described in the faculty member's annual report to the Dean of the College. Faculty members must request in writing permission to engage in paid outside employment that extends over one or more semesters during the academic year and that could interfere with the faculty member's responsibilities to the College. This written request must be submitted to the chair of the department and the Dean of the College well in advance of the semester in which the work is to take place. The document must explain how expectations for department and College service will be met, and where appropriate, how the outside employment will contribute to effective teaching and professional growth.

3. Faculty members who accept full-time employment at Occidental College are considered to have accepted the conditions for faculty service **to their department and** to the College as enumerated in this Handbook. If a faculty member appears unable to meet these responsibilities, and if in the judgment of their department chair and the Dean this inability results from time given to outside employment, the Dean may require that the outside employment be discontinued.

4. Faculty members who intend to make use of College resources (for example, staff or student assistants, a College laboratory, or certain resources of the library) in their outside employment must obtain written approval from their department cc hair and the Dean of the College. This approval must specify 1) which College resources will be used, 2) the duration of use (start and stop dates, or an ongoing arrangement), and 3) why using College resources is appropriate and necessary.

5. Although the same principles apply to outside teaching, special mention should be made of this because it is more likely to interfere with the faculty member's primary professional responsibility to Occidental College. Outside teaching should be restricted to limited periods and should be done only when it will contribute significantly to one's professional and scholarly growth, or when it helps to meet immediate emergency needs of a neighboring institution. As aforementioned, faculty members are expected to submit a written request as well in advance as possible and receive approval from their department chair and the Dean of the College prior to accepting teaching appointments in other institutions.

I. Membership in Outside Organizations

A faculty member is free to discharge responsibilities and express opinions as a private citizen by membership in various outside organizations, and by related activities. One should, however, be mindful at all times of one's responsibilities as a member of the academic profession and community, and should further attempt to make clear that views and opinions expressed are personal and not necessarily those of the College.

J. Emeriti Faculty

Regular faculty who retire after at least ten years of full time service will be granted Emeritus status.

The College may grant special privileges to Emeriti faculty as it deems appropriate. The Office of the Dean of the College will provide a list of these privileges upon request.

Tenure shall continue to apply to those who anticipate retirement and who make mutually agreeable arrangements for part-time employment at the College.

K. Procedures for Actions Leading to Warning, Reprimand, or Dismissal

The following was also adopted by faculty and endorsed by the Board of Trustees in 1971 from the Association of American University Professors and the Association of American College's 1940 Statement of Principles on Academic Freedom and Tenure. By vote of the faculty in 1994, allegations of misconduct based on cases of sexual harassment are handled separately (consult the Human Resources office for a statement of the Unlawful Harassment and Sexual Harassment Policy).

Professional incompetence or unfitness to continue as a member of the faculty may be considered "adequate cause" for the beginning of procedures for warning, reprimand, dismissal, or other sanctions. Cases of dismissal of a faculty member prior to the expiration of a term of appointment should be rare. Any final decision on dismissal must take into account the faculty member's entire record as a teacher and scholar. When charges are brought against a faculty member, the hearing and the judgment are the responsibility of the faculty acting through its Hearing Committee referred to below, subject to the authority of the Board of Trustees to render a final decision. The academic strength of Occidental College requires that its faculty have first-hand concern with its membership and any judgment of professional competence.

1. When reason arises to question the fitness of a faculty member of the College who has tenure or whose term of appointment has not expired, the Dean of the College should ordinarily discuss the matter with him or her in personal conference. The matter may be resolved by mutual consent at this point.

2. If no resolution is reached, the issue shall be referred to the Faculty Council. The Faculty Council shall informally inquire into the situation, shall effect an adjustment if possible, and if none is effected, shall determine whether formal proceedings should be begun by the Advisory Council. If the Dean of the College, even after considering a judgment of the Faculty Council adverse to the holding of the proceedings, expresses conviction that a proceeding should be undertaken, or should the faculty member demand a hearing in writing, action should be commenced by the Advisory Council under the procedures which follow.

3. Formal charges, leading to possible warning, reprimand, termination, or other sanctions, shall be heard by the elected members of the Advisory Council, who shall be known hereafter as the Hearing Committee. This Hearing Committee excludes the Dean of the College and the appointed members of the Advisory Council. The Hearing Committee shall elect their own chair from among their members and shall establish a reasonable time table for the grievance procedures and any appeals.

    a. In all such cases the faculty member is informed in writing by the Hearing Committee before the hearing begins of the charges against him or her, and has the opportunity to respond in writing to these charges and to be heard in his or her own defense. In the Hearing, the Hearing Committee (on behalf of the College), the Dean of the College (on behalf of the accuser(s)), and the faculty member being charged may have advisers of their own choice to act as counsel and may call a reasonable number of witnesses to testify. A full stenographic record of the hearing in its entirety is to be prepared and made available to all parties concerned.

        The President must attend the hearing.

    b. The Dean of the College may designate an appropriate representative to assist in developing the case; but the Hearing Committee should determine the order of proof, should normally conduct the questioning of witnesses, and, if necessary, should secure the presentation of evidence important to the case.

    c. The faculty member or his or her adviser and the Dean of the College and his or her representative should have the right, within reasonable limits, to question all witnesses who testify orally.

d. The faculty should have the opportunity to be confronted by all witnesses adverse to him or her. Where unusual and urgent reasons move the Hearing Committee to withhold this right, or where the witnesses cannot appear, the identity of the witness, as well as his or her statements, should nevertheless be disclosed to the faculty member.

e. Any decision to warn, reprimand, or dismiss a faculty member requires a two-thirds majority of the members conducting the hearing, the vote in each instance to be taken by secret ballot. A warning shall be transmitted only to persons involved in the Hearing. All members of the faculty shall be advised of a reprimand or dismissal.

The decision may be appealed to the President with or without counsel.

f. The President shall transmit to the Board of Trustees the full report of the Hearing Committee, stating its action, or her or his decision after an appeal. Acceptance of the Hearing Committee's decision will normally be expected. If the Board of Trustees chooses to review the case, its review should be based on the record of the previous hearing, accompanied by opportunity for oral and written argument by the principals at the hearing or their representatives. The decision of the Hearing Committee shall either be sustained or the proceeding shall be returned to the Hearing Committee with objections specified and with or without suggesting a different decision. In such a case the Hearing Committee will reconsider, taking account of the stated objections and any other decision recommended, and receiving new evidence if necessary. It will frame its decision and communicate it in the same manner as before. Following study of the Hearing Committee's reconsideration, the Board of Trustees shall make a final decision.

4. Suspension of the faculty member prior to or during the proceedings involving him or her is justified only if immediate harm to the faculty member or to others is threatened by continuance. Unless legal considerations forbid, any suspension should be with pay. The full Advisory Council shall advise the President whether the faculty member shall be suspended. However, as the College officer directly responsible for enforcement of all policies and regulations of the College, the President is authorized to suspend without such prior advice if he or she determines that the situation is extremely urgent, but in such instances he or she shall convene the Advisory Council as soon as practicable and seek its advice.

L. Sexual Harassment Policy

The College's policies and procedures on Unlawful Harassment and Sexual Harassment are on file in the Human Resources Office. Copies can also be obtained from all Designated College Officers (DCOs).

M. Financial Exigency

One or more faculty members may be terminated for reasons of the financial exigency of the College, but in such event the full Advisory Council, acting in its capacity for the determination of tenure and promotion, shall advise the President as to which members of the faculty are to be terminated.

VII. THE ACADEMIC PROGRAM

Academic regulations and requirements are published in the annual Catalog and from time to time by the Dean of the College. Additional policies concerning the academic standing of students and procedures for the adjudication of matters of academic dishonesty are described in the Student Handbook. It is the responsibility of all faculty members to be familiar with these regulations and to assist in their observance and enforcement.

A. Academic Ethics

1. All faculty and students are assumed to accept the principles of intellectual honesty. It is expected that students will neither give nor receive unauthorized aid in examinations or other course work.

2. Faculty members must assume the responsibility for discouraging acts of dishonesty.

3. Allegations of academic dishonesty should be presented to the Judicial Examiner for appropriate adjudication as described under Academic Policies in the Student Handbook.

B. Teaching Assignment

1. The normal teaching assignment for full-time regular faculty members is five courses per year. The Dean of the College, through the Associate Deans, may adjust the normal load in consultation with the Department Chair.

2. Faculty members asked by students to supervise research or independent study should not normally accept more than four such projects nor supervise the same student in more than two projects in a single academic year.

3. Faculty members asked by students to serve as one of the three persons on a committee to supervise an Independent Pattern of Study (IPS), which the student pursues in lieu of a major, should not normally accept responsibility for participation on more than three IPS committees.

C. Office Hours

Full time faculty members are expected to observe a minimum of three posted office hours per week, and to make reasonable accommodation to confer with students unable to meet with them during regular office hours. When, as a result of unexpected circumstances, a faculty member is unable to keep an office hour or scheduled appointment, he or she should post an appropriate notice and attempt to inform students who have made an appointment.

D. Academic Advising

1. All regular faculty members who have been at Occidental for at least one year are expected to serve as academic advisers. Other faculty members with faculty voting rights (see V.B.2) may serve as academic advisors when appropriate.

2. Faculty advisers assist students in planning a program of study in light of their expressed interests and college requirements. This planning should not be limited to a single semester but should extend through the student's college career.

3. When faculty advisers are aware of student problems of a nonacademic nature, they are urged to consult with the Dean of Students.

E. Class Attendance

The recording of attendance is at the discretion of the faculty member. When aware of the student's absence for more than one week, or in the event of problems requiring special attention or assistance, faculty members should notify the Dean of Students.

F. Grading and Grade Reports

1. The criteria for grading student work and the manner in which grades for a course are derived are determined by the faculty member(s) teaching that course. Faculty members should inform students early in the term of any special factors or considerations bearing on the assignment of grades.

2. Faculty should report the names of students whose work in a course is barely passing or failing to the Registrar at a specified time during the term. When assigning a grade of F in a course, the faculty member must indicate whether or not the student was included on the low-grade list earlier in the term.

3. Course grades should be submitted according to the deadline established by the Registrar at the close of each semester. The Registrar will provide faculty with information on policies related to grade reporting.

4. After course grades have been submitted to the Registrar, a student's grade may be altered only by following the change of grade policy that can be obtained in the Registrar's office.

5. Course grades may be released only by the Registrar. Grades in comprehensive examinations may be released by the department chairs.

6. Faculty members should retain their personal records of student grades for a minimum of one calendar year following completion of the course.

7. Faculty members should be aware of certain federal regulations regarding students' rights to privacy in dealing with students' grades. The policy regarding these rights may be obtained from the Registrar.

G. Return of Examinations and Course Work

Coursework assigned during the semester must be evaluated promptly, and students should get access to it. Final examinations and other course work may be returned to students or retained by the faculty member. However, if retained, students must be given an opportunity to review them upon request for a period of one calendar year following completion of the course.

H. Course Schedules

1. Course schedules, including the days and hours of class meetings and the faculty member teaching the course, are prepared by the department chair and approved by the Associate Deans. These schedules, and any changes in these schedules, are announced by the Registrar.

2. When a small enrollment is anticipated, the course schedule may include the designation "To Be Arranged," and the time and place of class meetings determined by the faculty member in consultation with the students as soon as possible after the beginning of the term. The Registrar must be informed promptly of the arrangements made for class meetings for all courses so listed.

3. Room assignments are made by the Registrar. Except for certain spaces containing special facilities or fixed equipment, all classrooms are considered available for use by all departments and are not reserved for the exclusive use of a department or individual faculty member. Insofar as possible, preferences for certain rooms will be accommodated.

4. Changes in the designated time or place for class meetings may not be made without consultation with the Registrar and approval by the Department Chair and Associate Dean.

I. Peer Evaluation of Teaching

1. Peer evaluation of each tenure-track faculty member based on classroom visitations must occur for at least one course in the candidate's first two terms of teaching, at least one more course before the candidate's pre-tenure review, and at least one more course between the candidate's pre-tenure review and the tenure review.
2. For each evaluation, the candidate chooses one or more observers from the Occidental faculty in consultation with the candidate's Department Chair or, at the discretion of the candidate, with the assistance of the Dean's Office. At least one observer for at least one of the evaluations must be a departmental colleague from the candidate's review committee.
3. The candidate and observer(s) agree on a schedule of one or more class visitations for each evaluation and then meet prior to each visit to discuss the upcoming class and agree on what aspects of the class the observer(s) will focus on for evaluative purposes.
4. The candidate and at least one observer meet again within two weeks after each class visitation to discuss the class.
5. Within two weeks of the final post-class meeting, the observer(s) must submit to the candidate's Department Chair a written summary, signed by the candidate and the observer(s), of the evaluative feedback that the observer(s) communicated to the candidate. The Department Chair will send an electronic copy of the signed summary to the Dean’s Office by the end of the semester
6. The written summary of each evaluation becomes part of the candidate's tenure and promotion file and is therefore available to members of the candidate's review committee and to Advisory Council. In all other respects, the summary and related aspects of the visitation(s) and evaluation are strictly confidential.

VIII. SALARIES AND BENEFITS

All the salary and benefit provisions in Section VIII are described in summary fashion. In every case, full and complete legal descriptions of these benefits are available from the Human Resources Office.

A. Salary Payments

1. Unless otherwise specified in individual cases, annual salaries are based on faculty service during the two semesters of the academic year extending from the end of August to mid-May. New appointments are effective August 15 as are changes in rank or salary. Salary notifications for the ensuing academic year are sent by the Dean of the Faculty before the end of spring semester, and salary payments are made in twenty-four semi-monthly installments.

2. The College is required by law to make the following payroll deductions from the semi-monthly salary payments: Social Security, Medicare, Federal and State income tax withholding, and the State Disability Tax. Other deductions may be made, upon request, for one or more of the following purposes: retirement annuities, including supplemental payments; medical coverage, and other insurance; charitable contributions (through the United Way); contributions to the College for the Student Emergency Fund, Dependent Care Account (see section P) or other purposes; and Credit Union savings or loan payments.

3. In addition to specified salary payments, the College provides various collateral benefits, as described below, which are considered part of the total compensation of faculty members. These benefits are subject to periodic review by the Board of Trustees, and may be modified by trustee action in light of existing financial conditions and other factors. Specific questions regarding salary payments or collateral benefits should be discussed with the Director of Human Resources**.**

B. Social Security and Medicare

Federal law requires that a specified percentage of salary be deducted from each salary payment until the stipulated maximum deduction for the calendar year has been reached. The College contributes in the same amount and for the same period as the faculty member. The percentage deducted and the annual maximum are subject to change annually by Congress. In addition to providing retirement income, beginning at age sixty-two or later, the Social Security program provides Survivors' Income Protection and disability benefits and the Medicare program provides medical insurance benefits.

C. TIAA-CREF Retirement Annuities

1. As a supplement to Social Security, the College participates in the Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA-CREF), which provides additional retirement income and other benefits through the purchase of annuity contracts. These contracts are fully vested and the property of the faculty member, subject to certain conditions regarding cancellation upon termination of employment at Occidental College.

2. Regular Faculty members holding full-time appointment in one of the four commonly recognized academic ranks are eligible for participation on the first day of the month following initial appointment. Benefits for full-time non-tenure track (NTT) faculty are described in IV.C.2.

3. All eligible faculty members receive an automatic 4% of their salary as the College's base contribution toward the purchase of an annuity contract. In addition, Instructors or Assistant Professors without tenure may, at their option, contribute up to 4% more of their salaries to TIAA-CREF. The College will match any such contributions, up to the maximum of 4%; 8% of salary is, then, the College's maximum contribution to the Plan. Tenured faculty members, or faculty holding the rank of Associate Professor or Professor, are

required to contribute 4% of their salaries, and receive the maximum 8% contribution from the College. Additional tax-sheltered contributions above the 4% of salary applied to the regular TIAA-CREF plan may be made by the faculty member as part of his or her regular annuity contract or under provisions for purchase of a supplementary contract.

4. Under regulations of the Employee Retirement Income Security Act (ERISA), the College is required to provide a copy of the "Summary Plan Description" and other information, which is prepared by the Human Resources Office, and all persons holding annuity contracts receive individual reports annually from TIAA-CREF.

D. Medical and Hospital Insurance

Medical and hospital insurance coverage is available to all regular full-time faculty members holding an appointment for at least one year's duration, for which eligibility is established on the first day of the month following initial appointment. Participation is voluntary. The College offers three prepaid (HMO) health care plans under which modest co-payments are required and the participants use the physicians, hospitals and other facilities designated by the carrier. Various co-payments are required for certain procedures and services depending on the plan selected. Each plan also provides coverage for dependents, if desired. The College contributes substantially toward the premiums for all three plans. Specific information regarding premium rates and more detailed information is available in the Human Resources Office. Benefits for full-time non-tenure track (NTT) faculty are described in IV.C.2.

E. Dental Insurance

The College pays toward the cost for dental insurance for all regular full-time faculty members (as defined in Section II.A) beginning on the first of the month following three months of employment. The College offers two different types of dental insurance plans. One plan provides 70% reimbursement for diagnostic and preventive procedures and 50% reimbursement for other covered dental expenses with a yearly deductible applied to non-preventive procedures. The other plan is a pre-paid (HMO type) dental plan in which services are provided through a limited panel of dentists. The pre-paid dental plan covers most expenses for basic dental work in full and requires a modest co-payment for more specialized treatment. If dependent coverage is desired under either plan, the College pays a portion of the additional premium. Specific information regarding premium rates and benefit levels information is available in the Human Resources Office.

F. Life Insurance

The College pays the full cost for term Group Life Insurance for all regular full-time faculty members, with Coverage beginning the first day of the month following initial appointment. The policy provides a benefit amount equivalent to base annual salary (rounded up to the nearest $1,000) each year. Additional term Group Life Insurance may be purchased by individual faculty members.

G. Disability Insurance

1. Following completion of twelve months' continuous service, regular full-time faculty members are covered under a TIAA Long-Term Disability (LTD) plan, the full cost of which is paid by the College. Full-time faculty members are immediately eligible for benefits, if covered by a TIAA LTD plan elsewhere, within three months of the beginning of service at Occidental College. The TIAA plan provides a monthly income benefit on a percentage basis to a maximum of $5,000, coordinated with other income benefits such as Social Security or Worker's Compensation, and becomes effective only after six consecutive months of total disability. Short term Disability benefits are provided during the first six months of such disability prior to the time that the TIAA plan takes effect. The LTD plan also provides for a waiver of monthly TIAA/CREF payments during the period of disability.

2. Under the California Unemployment Insurance Code, all faculty members are entitled to tax-free short-term disability income payments when unable to work because of illness or an injury which is not job-related. Inasmuch as the cost of these payments is covered by a mandatory salary deduction, faculty members when eligible are urged to apply for this benefit, for which they have, in effect, already been paying through salary deductions.

H. Workers' Compensation Insurance

Workers' Compensation Insurance is designed to cover all occupational injuries and illnesses, and covers all authorized medical expenses, as well as temporary or permanent disability income and death benefits. To be eligible for this coverage, state law requires that any injury or illness incurred as a result of and during the course of employment be reported promptly to the College Health Center and the Human Resources Office. The full cost of Workers' Compensation Insurance is paid by the College.

I. Sick Leave

The College does not have a structured program of sick leave for faculty members, but arrangements for continuation of salary are made, as appropriate, on an individual basis, to a maximum of one semester during the regular academic year.

J. Pregnancy Disability Leave

Pregnancy disability may be granted on the same terms and conditions as those for illness or disability, with the duration of the leave to be determined by the College in consultation with the faculty member in compliance with federal and state laws regarding family leave. A woman who is on pregnancy disability may be eligible for disability insurance benefits if her physician certifies that she is unable to do her regular work. To apply for these benefits, contact the Human Resources Office.

K. Family Leave

The College complies with federal and state laws regarding family leave benefits which pertain to both medical leaves for the employee and leaves to care for a seriously ill family member. To apply for these benefits, contact the Human Resources Office.

L. Domestic Partner Policy

For the purpose of benefits and services provided to domestic partners of Occidental College employees, a domestic partner is generally defined as someone with whom the employee is not married, shares basic living expenses and maintains a committed relationship.

A Statement of Domestic Partnership, to be executed and signed by the employee and his/her domestic partner, specifies that these individuals:

1. Are not related by blood closer than would bar marriage in the state of California;

2. Are not married, related by marriage nor have had another domestic partner within the prior six months;

3. Are each other's sole domestic partner and neither has a difference domestic partner;

4. Share basic living expenses and are responsible for each other's welfare;

5. Share a mutual permanent residence and maintain a committed relationship with the current intent to continue doing so indefinitely;

6. Must notify the College of a change in the domestic partner relationship which will result in loss benefits if the relationship has ended; and

7. Are of at least the age of consent in the state of California (18 or older) and reside in California.

M. Unemployment Insurance

The California Unemployment Insurance program provides weekly income benefits based on a complicated earnings formula for a maximum period of twenty-six weeks, for persons whose employment is terminated through no fault of their own and for reasons other than resignation or dismissal for cause, and who are physically able and available for work and are actively seeking other employment. The College is billed directly by the State of California for all unemployment compensation claims and is charged for the full cost of all such claims by eligible employees.

N. Travel Accident Insurance

The College pays the full cost of premiums on a group travel insurance plan for all full-time faculty members while traveling on College business. Specific information regarding this travel policy, and all other benefits enumerated above, is available in the Human Resources Office.

O. Tuition Remission and Tuition Grants

1. Children of all regular full-time faculty members with five or more years of service are eligible for various tuition benefits. To be eligible, children must be listed as the faculty member's dependent for Federal Income Tax purposes or be under age 30 and dependent on the faculty member for more than one-half of their support.

2. They will receive full tuition remission at Occidental College if they have met regular admission requirements and are enrolled in a specific undergraduate degree program.

3. The College also provides grants in payment of tuition, or instructional fees charged in lieu of tuition, for children of all full-time faculty members appointed or employed prior to July 1, 1974. Such grants are tenable at any accredited undergraduate college. The amount payable in any one academic year shall not exceed the amount of tuition currently charged at Occidental.

4. If they were appointed or employed after July 1, 1974, the College provides their children a tuition grant not to exceed the least of (1) one half the amount of tuition currently charged at Occidental College, (2) the amount of tuition, or instructional fees charged in lieu of tuition, at the institution attended, and (3) the direct charges for tuition and fees at the institution attended less any financial aid grants (excluding loans and work eligibility) awarded to the student.

5. Payments of tuition grants shall be made directly to the institution attended. If a child receiving a tuition grant does not complete his or her course of study, any tuition refund shall be paid to Occidental College on a pro-rated basis.

6. The College may require an eligible child to apply for financial aid at the institution he or she attends, and to provide the College with a copy of the financial aid decision.

7. Tuition grants may be applied to instructional fees charged in lieu of tuition. Qualifying students must be in a specific undergraduate degree program in an accredited institution.

8. Tuition remission is not available to children or spouses of faculty members on temporary, special, visiting, or adjunct appointments, or holding the title of Lecturer or Teacher, even though they may be teaching full time.

9. Spouses or domestic partners (as defined by the College) of full-time faculty may receive one-half tuition remission for attendance at Occidental College, whether or not enrolled in a specific degree program.

10. Tuition remission benefits are available to adjunct faculty on a pro-rated basis, as provided in Section IV.A. of the Faculty Handbook.

11. Tuition benefits are available to dependent children of faculty members who qualify for the benefit and either die or become permanently and totally disabled as explained in section O.

12. Application for tuition remission or a tuition grant must be submitted to the Human Resources Office prior to the start of each academic term for which benefits are desired.

P. Death/Disability Benefit to Supplement Tuition Benefit Policy

Permanent and Total Disability is defined as an injury or illness which renders the employee unable to work in any job for which he/she is or may become reasonably fitted by virtue of his/her education, training or experience and the employee is not engaged in any occupation or employment for wage or profit.

The College shall make a determination as to whether a Disability, as defined herein, exists on the basis of objective medical evidence. The College reserves the right to secure medical opinions from physicians of its choice, and retains sole discretion in granting or denying access to this benefit in cases of conflicting medical opinion with no further liability.

In the event of the death or qualifying permanent and total disability of an eligible employee, said employee's dependent children enrolled in college under either provisions O.2, O.3, or O.4. above at the time of the death or disability termination of the parent will be granted continuation of that benefit under the same terms applicable when they began receiving the benefit, for the duration of four academic years (or eight semesters) of undergraduate study.

Moreover, dependent children who have not yet reached college age at the time of the death or qualifying disability termination of the employee will be granted the same tuition benefits (under provisions O.2, O.3, or O.4. above) if the parent had at least 5 years' service with the College. To qualify for this benefit, the dependent must begin enrollment in a regular undergraduate college prior to his or her 21st birthday. If application to and enrollment in a college is not accomplished by that time, the dependent will no longer be able to claim this tuition remission benefit.

The availability of this tuition remission benefit is subject to all applicable sections of the College policy on tuition remission, including but not limited to the dependent child's meeting regular admission requirements of the College and applying for other non-institutionally administered financial aid for which he or she may be eligible.

Following the eligible employee's death or the College's receipt of a medical certification of the employee's permanent and total disability, the Personnel Office will present a Tuition Remission Eligibility Certificate to the employee's family for each dependent child not currently enrolled in college. To claim this benefit, the employee, spouse or legal guardian, or the dependent child if over 18 years of age, must return the Certificate to the Human Resources Office at the time of enrollment.

The Certificate will specify the duration of the dependent child's future right to tuition remission at Occidental College or, if eligible, at any other college. To be eligible, the child must have qualified as the employee's

dependent for tax purposes at the time of death or disability. Dependents of disabled employees must also qualify as the employee's legal dependents for tax purposes upon and during enrollment at Occidental.

Q. Dependent Care Account

The College offers regular full-time faculty members (as defined in II.A.) the opportunity to pay for qualified dependent care expenses with pre-tax salary dollars through a dependent care spending account. Faculty members participating in the Dependent Care Account (DCA), may set aside part of their salary each payday through payroll salary reduction and request reimbursement from this account after a dependent care expense is incurred. Detailed information regarding the DCA program is available in the Human Resources Office.

R. Occidental College Child Development Center

The Occidental College Child Development Center (CDC) provides an exemplary program in early childhood education for the benefit of children of Occidental College employees and members of the community. The CDC offers a model of educational excellence in early childhood by providing appropriate activities and experiences that challenge the child and optimize advancement in the following areas: physical social, emotional, creative, and intellectual.

The hours of operation are from 7:00 am until 6:00 pm Monday through Friday. Children between the ages of 2 and 5 may attend up to 10 hours per day. Employees are encouraged to contact the CDC for specific information regarding the curriculum as well as special tuition discounts that may apply.

APPENDIX

On Collegiality as a Criterion for Faculty Evaluation

In evaluating faculty members for promotion, renewal, tenure, and other purposes American colleges and universities have customarily examined faculty performance in the three areas of teaching, scholarship, and service, with service sometimes divided further into public service and service to the college or university. While the weight given to each of these three areas varies according to the mission and evolution of the institution, the terms are themselves generally understood to describe the key functions performed by faculty members.

In recent years, Committee A has become aware of an increasing tendency on the part not only of administrations and governing boards but also of faculty members serving in such roles as department chairs or as members of promotion and tenure committees to add a fourth criterion in faculty evaluation: "collegiality."[1] For the reasons set forth in this statement, we view this development as highly unfortunate, and we believe that it should be discouraged.

Few if any responsible faculty members would deny that collegiality, in the sense of collaboration and constructive cooperation, identifies important aspects of a faculty member′s overall performance. A faculty member may legitimately be called upon to participate in the development of curricula and standards for the evaluation of teaching, as well as in peer review of the teaching of colleagues. Much research, depending on the nature of the particular discipline, is by its nature collaborative and requires teamwork as well as the ability to engage in independent investigation. And committee service of a more general description, relating to the life of the institution as a whole, is a logical outgrowth of the Association′s view that a faculty member is an "officer" of the college or university in which he or she fulfills professional duties.[2]

Understood in this way, collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of scholarship, teaching, and service. It is rather a quality whose value is expressed in the successful execution of these three functions. Evaluation in these three areas will encompass the contributions that the virtue of collegiality may pertinently add to a faculty member′s career. The current tendency to isolate collegiality as a distinct dimension of evaluation, however, poses several dangers. Historically, "collegiality" has not infrequently been associated with ensuring homogeneity, and hence with practices that exclude persons on the basis of their difference from a perceived norm. The invocation of "collegiality" may also threaten academic freedom. In the heat of important decisions regarding promotion or tenure, as well as other matters involving such traditional areas of faculty responsibility as curriculum or academic hiring, collegiality may be confused with the expectation that a faculty member display "enthusiasm" or "dedication," evince "a constructive attitude" that will "foster harmony," or display an excessive deference to administrative or faculty decisions where these may require reasoned discussion. Such expectations are flatly contrary to elementary principles of academic freedom, which protect a faculty member′s right to dissent from the judgments of colleagues and administrators.

A distinct criterion of collegiality also holds the potential of chilling faculty debate and discussion. Criticism and opposition do not necessarily conflict with collegiality. Gadflies, critics of institutional practices or collegial norms, even the occasional malcontent, have all been known to play an invaluable and constructive role in the life of academic departments and institutions. They have sometimes proved collegial in the deepest and truest sense. Certainly a college or university replete with genial Babbitts is not the place to which society is likely to look for leadership. It is sometimes exceedingly difficult to distinguish the constructive engagement that characterizes true collegiality from an obstructiveness or truculence that inhibits collegiality. Yet the failure to do so may invite the suppression of dissent. The very real potential for a distinct criterion of "collegiality" to cast a pall of stale uniformity places it in direct tension with the value of faculty diversity in all its contemporary manifestations.

Relatively little is to be gained by establishing collegiality as a separate criterion of assessment. A fundamental absence of collegiality will no doubt manifest itself in the dimensions of scholarship, teaching, or, most probably, service, though here we would add that we all know colleagues whose distinctive contribution to their institution or their profession may not lie so much in service as in teaching and research. Professional misconduct or malfeasance

should constitute an independently relevant matter for faculty evaluation. So too should efforts to obstruct the ability of colleagues to carry out their normal functions, to engage in personal attacks, or to violate ethical standards. The elevation of collegiality into a separate and discrete standard is not only inconsistent with the long-term vigor and health of academic institutions and dangerous to academic freedom, it is also unnecessary.

Committee A accordingly believes that the separate category of "collegiality" should not be added to the traditional three areas of faculty performance. Institutions of higher education should instead focus on developing clear definitions of scholarship, teaching, and service, in which the virtues of collegiality are reflected. Certainly an absence of collegiality ought never, by itself, to constitute a basis for nonreappointment, denial of tenure, or dismissal for cause.

Endnotes

1. At some institutions, the term "collegiality" or "citizenship" is employed in regulations or in discussions of institutional practice as a synonym for "service." Our objection is to the use of the term "collegiality" in its description of a separate and additional area of performance in which the faculty member is to be evaluated.

2. The locus classicus for this term is the "1940 Statement of Principles on Academic Freedom and Tenure": "College and university teachers are citizens, members of a learned profession, and officers of an educational institution." (AAUP, *Policy Documents and Reports*, 9th ed. [Washington, D.C., 2001], 3.)