# TABLE OF CONTENTS

### CHAPTER I

**GENERAL POLICIES**
- Introduction
- Tenure-line Faculty
- Non-tenure-line Faculty
- Faculty emeriti/emeriti

### CHAPTER II

**FACULTY APPOINTMENTS**
- General Rules
- Initial Appointment
- Initial Appointment Procedure
- Reappointment
- Grounds for Non-Reappointment

### CHAPTER III

**EVALUATION OF FACULTY**
- The Purposes of Evaluation
- When Faculty are Evaluated
- Evaluation Standards and Criteria
- Evaluation Procedure
- Evaluation by Head Officer and Dean
- Procedure for an Appeal
- Procedure for a Hearing
- Faculty Evaluation Files

### CHAPTER IV

**TENURE AND PROMOTION OF FACULTY**
- Tenure
- Promotion

### PART A - INTRODUCTORY STATEMENT

### PART B - CATEGORIES OF THE FACULTY
- Tenure-line Faculty
- Non-tenure-line Faculty
- Faculty emeriti/emeriti

### PART C - ROLE OF THE FACULTY
- Faculty as Scholars
- Faculty as Teachers
- Faculty as Colleagues
- Relations with University
- Faculty as Citizens

### PART D - PROFESSIONAL DUTIES AND RESPONSIBILITIES
- General
- Specific Duties
- Extra Employment
- Professional Ethics

### PART E - ACADEMIC FREEDOM
- Definition
- Specific Applications
- Enforcement

### PART F - AMENDMENTS TO FACULTY CODE
- Initiation
- Agreed Amendment
- Conference Committee
- Reports by Conference Committee
- Adoption of Amendment

### PART G - INTERPRETATION OF THE FACULTY CODE
- Responsibility
- Appeal

### TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>General Policies</td>
</tr>
<tr>
<td>2</td>
<td>Faculty Appointments</td>
</tr>
<tr>
<td>3</td>
<td>Evaluation of Faculty</td>
</tr>
<tr>
<td>4</td>
<td>Tenure and Promotion of Faculty</td>
</tr>
<tr>
<td>5</td>
<td>Professional Duties and Responsibilities</td>
</tr>
<tr>
<td>6</td>
<td>Academic Freedom</td>
</tr>
<tr>
<td>7</td>
<td>Amendments to Faculty Code</td>
</tr>
<tr>
<td>8</td>
<td>Interpretation of the Faculty Code</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Tenure-line Faculty</td>
</tr>
<tr>
<td>2</td>
<td>Non-tenure-line Faculty</td>
</tr>
<tr>
<td>3</td>
<td>Faculty emeriti/emeriti</td>
</tr>
<tr>
<td>4</td>
<td>Faculty as Scholars</td>
</tr>
<tr>
<td>5</td>
<td>Faculty as Teachers</td>
</tr>
<tr>
<td>6</td>
<td>Faculty as Colleagues</td>
</tr>
<tr>
<td>7</td>
<td>Relations with University</td>
</tr>
<tr>
<td>8</td>
<td>Faculty as Citizens</td>
</tr>
<tr>
<td>9</td>
<td>Specific Duties</td>
</tr>
<tr>
<td>10</td>
<td>Extra Employment</td>
</tr>
<tr>
<td>11</td>
<td>Professional Ethics</td>
</tr>
<tr>
<td>12</td>
<td>Definition</td>
</tr>
<tr>
<td>13</td>
<td>Specific Applications</td>
</tr>
<tr>
<td>14</td>
<td>Enforcement</td>
</tr>
<tr>
<td>15</td>
<td>Initiation</td>
</tr>
<tr>
<td>16</td>
<td>Agreed Amendment</td>
</tr>
<tr>
<td>17</td>
<td>Conference Committee</td>
</tr>
<tr>
<td>18</td>
<td>Reports by Conference Committee</td>
</tr>
<tr>
<td>19</td>
<td>Adoption of Amendment</td>
</tr>
<tr>
<td>20</td>
<td>Responsibility</td>
</tr>
<tr>
<td>21</td>
<td>Appeal</td>
</tr>
<tr>
<td>22</td>
<td>The Purposes of Evaluation</td>
</tr>
<tr>
<td>23</td>
<td>When Faculty are Evaluated</td>
</tr>
<tr>
<td>24</td>
<td>Evaluation Standards and Criteria</td>
</tr>
<tr>
<td>25</td>
<td>Evaluation Procedure</td>
</tr>
<tr>
<td>26</td>
<td>Evaluation by Head Officer and Dean</td>
</tr>
<tr>
<td>27</td>
<td>Procedure for an Appeal</td>
</tr>
<tr>
<td>28</td>
<td>Procedure for a Hearing</td>
</tr>
<tr>
<td>29</td>
<td>Faculty Evaluation Files</td>
</tr>
</tbody>
</table>
**CHAPTER V**

** SEPARATION FROM THE UNIVERSITY ................................................................. 25 

  - **Section 1 - Dismissal Defined** ................................................................. 25 
  - **Section 2 - Grounds for Dismissal** ......................................................... 25 
  - **Section 3 - Procedures for Dismissal** ..................................................... 26 
  - **Section 4 - Appeals Procedures** ............................................................. 29 

**PART B - SUSPENSION................................................................................. 29 

  - **Section 1 - Suspension Defined** ............................................................. 29 
  - **Section 2 - Grounds** ............................................................................ 29 
  - **Section 3 - Procedure** ........................................................................ 29 

**PART C - RESIGNATION ................................................................. 30 

**PART D - RETIREMENT .......................................................................... 30 

  - **Section 1 - Normal Retirement** ............................................................ 30 
  - **Section 2 - Early Retirement** ............................................................... 30 

**CHAPTER VI................................................................................................. 31 

**GRIEVANCES............................................................................................. 31 

  - **Section 1 - When Used in this Chapter** ............................................... 31 
  - **Section 2 - Prehearing Settlement Conference** ..................................... 31 
  - **Section 3 - Grievance Hearing** ............................................................. 32 
  - **Section 4 - Grievance Procedure** ......................................................... 32 
  - **Section 5 - President's Action** .............................................................. 33 
  - **Section 6 - Respondent's Action** ......................................................... 33 

**APPENDIX .................................................................................................. 34
PART A - INTRODUCTORY STATEMENT

The objectives of the University of Puget Sound are to maintain a university of excellence devoted to liberal education, to foster instruction in branches of learning which promote the student's mental, moral, and physical development, and to confer degrees, both earned and honorary, on properly qualified individuals. The university was founded in 1888 by what is now The United Methodist Church and is governed today by a wholly independent Board of Trustees. The university guarantees academic freedom and fosters scholarly excellence, humane ideals in teaching and administration, and an atmosphere conducive to an understanding of all beliefs. As an institution whose primary aim is to provide an excellent liberal education, the University of Puget Sound emphasizes training in rational thinking and disciplined expression, the systematic pursuit of knowledge in the humanities, fine arts, sciences and social sciences, and a ceaseless examination of values and assumptions. The university also maintains graduate and professional programs, appropriately founded on a liberal education.

PART B – CATEGORIES OF THE FACULTY

Section 1 – Tenure-line Faculty

Tenure-line faculty members are those appointed to the ranks of assistant professor, associate professor, or professor, who are eligible for reappointment and promotion to higher rank, and who are eligible for tenure consideration.

a. An appointment without tenure is subject to renewal on an annual basis. Initial tenure-line faculty appointments are usually without tenure.

b. An appointment with tenure is continuous unless terminated for reasons specified in Chapter V.

Section 2 – Non-tenure-line Faculty

Non-tenure-line faculty members are those appointed as instructor, adjunct faculty, visiting faculty, or other positions that might be created. Non-tenure-line faculty are appointed on a contract basis. Such contractual relations may continue indefinitely but shall not lead to tenure. Non-tenure-line faculty members’ roles, rights, and responsibilities are the same as those of tenure-line faculty as described in Chapter 1 of the Faculty Code with exceptions as noted in this code.

a. Instructors are full-time or part-time faculty members in departments, schools, or programs where class load requires teaching service greater than can be accommodated by tenure-line faculty. Instructors are employed essentially as teachers, typically to teach lower level or prerequisite courses.

b. Visiting faculty are temporary faculty members, who may be appointed visitors in any rank for a specified period.
c. Adjunct faculty are those persons appointed, usually part-time and usually temporarily, to fill specific needs in the curriculum and those persons who, because of particular professional skills and stature, are appointed to specific teaching and/or research responsibilities. This appointment may be honorary and may be continuous at the discretion of the university.

Section 3 – Faculty emeriti/emeritae

Faculty emeriti and emeritae are former tenure-line faculty who have retired in good standing from the university. Faculty emeriti and emeritae may be employed as adjunct faculty or according to policies approved by the Board of Trustees.

PART C - ROLE OF THE FACULTY

Section 1 - Faculty as Scholars

Faculty, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subjects is to seek and to state the truth as they see it. To this end, professors devote their energies to developing their scholarly competence. They accept the obligation to exercise critical self-discipline and honesty. Although professors may follow subsidiary interests, these interests must never seriously compromise their freedom of inquiry.

Section 2 - Faculty as Teachers

a. As teachers, faculty encourage the free pursuit of learning in students. They hold before their students the best scholarly standards of personal discipline. They demonstrate respect for the student as an individual, and serve as intellectual guides and counselors. Faculty make every reasonable effort to foster honest academic conduct and to assure that the evaluation of students reflects each student's academic achievement. Faculty respect the private nature of the relationship between instructor and student, avoid any exploitation of students for private advantage, acknowledge significant assistance from them, and protect their academic freedom.

b. Faculty members may not refuse to teach students properly enrolled in class by the university. However, a faculty member may challenge the enrollment of a student should that student be a disruptive influence to the class.

Section 3 - Faculty as Colleagues

As colleagues, faculty members have obligations that derive from common membership in the community of scholars. Faculty respect and defend the free inquiry of associates and the exchange of criticism and ideas, showing due respect for the opinions of others. Professors acknowledge academic debts and strive to be objective in professional judgment of colleagues. Tenure-line faculty accept a personal share of faculty responsibilities for the governance of the institution.

Section 4 - Relations with University

a. Upon appointment to the faculty, a faculty member accepts responsibility for the advancement of the university as a teaching-learning center and accepts the authority of the university, its government and governing procedures.
Membership in the academic community obliges each person to respect the right of others to express differing opinions, to insist on intellectual honesty, to promote free inquiry, and to participate in that community with fairness, integrity and respect for others.

c. The expression of dissent and the attempt to produce change should not be carried out in ways which impede the functions of the university, injure individuals, damage institutional facilities or disrupt the classes of one’s students or colleagues.

d. The university does not discriminate in its relations with faculty on account of matters having no bearing on academic performance.

Section 5 - Faculty as Citizens

a. The faculty member is a private citizen, a member of a learned profession, and an officer of an educational institution. When one speaks or writes as a citizen, one should be free from institutional censorship or discipline, but one’s special position in the community imposes obligations. As a learned person and educator, the faculty member should remember that the public may judge the profession and the institution by personal utterances. Therefore, the faculty member should at all times be accurate, exercise appropriate restraint, and make every effort to indicate that a faculty member is not an institutional spokesperson.

b. As members of the community, faculty have the rights and obligations of all citizens.

PART D - PROFESSIONAL DUTIES AND RESPONSIBILITIES

Section 1 - General

All faculty members have responsibilities to the university community in the areas of teaching, advising, and departmental service. Tenure-line faculty are also responsible for university service and to their particular disciplines in scholarly activities and consulting. The University of Puget Sound insists upon a standard of excellence in teaching. Therefore, all professional activities of a faculty member are expected to contribute to the achievement and maintenance of that standard.

Section 2 - Specific Duties

a. Academic year. Faculty are to be available for normal duties in connection with the arrival of the students for advising and registration for fall term and until after commencement and final submission of grades for spring term. Faculty members are to use fully the academic term by meeting all classes through the final exam week, keeping office hours, meeting students for scheduled appointments, and fulfilling other duties that support the teaching-learning environment. During the remainder of the summer months, faculty members are free to engage in scholarly research and study or to pursue non-university activities.

b. Teaching load. The normal teaching load is six units per year.

c. Academic advising. Faculty members are expected to advise a reasonable number of students. Thus, they shall be available at appropriate times and show the interest essential to good advising.
d. Scholarly activities. The faculty member's professional development has a direct
bearing not only on the person's expertise, but also on the quality and effectiveness of
the person's teaching. The university encourages creative work such as research,
publication, and performance in the arts. Instructors are expected to remain current in
the relevant parts of their discipline which bear upon their teaching duties. They are
not required to engage in scholarly research and writing; however, the department
may encourage them to do those things which will add to their repertoire of
professional awareness and abilities.

e. University service. Reasonable participation in university service is expected of
tenure-line faculty members. Service that advances the mission of the university
includes participation in departmental and university governance, in co-curricular
programs, in promoting intellectual vitality and a high quality of life on the campus,
and in activities which help convey the nature and purpose of the university to its
constituencies.

f. Adjustments. Unusual requirements of a particular discipline and/or duties assigned
by the university may necessitate adjustments in the normal balance of teaching and
other duties. Each department, school, and program may propose guidelines for load
differentials based upon the nature of teaching and other professional activities.
These guidelines must be approved by the Professional Standards Committee and the
Academic Vice President and Dean of the university (hereinafter referred to as the
dean). Individual cases of differential professional load within departments,
professional schools or programs shall be approved by the dean of the university.

Section 3 - Extra Employment

a. Extra teaching. Off-campus teaching and overload teaching within the university
may not be undertaken to such an extent as to interfere with the faculty member's
performance of regular university duties during the academic year. A full-time faculty
member shall not engage in teaching courses at other institutions where the effect is
direct competition with the university.

b. Consulting. The university recognizes that faculty members sometimes act as
professional consultants. Such activity reflects favorably on the quality of the faculty
and on the importance of the university to the community. However, consulting
should not be undertaken if it might weaken or interfere with a faculty member's
university duties.

c. Relation to university advancement. Extra employment, whether as off-campus or
overload teaching, as a consultant, or otherwise, cannot compensate for a lack of
teaching excellence, professional development, or scholarly attainment when a
faculty member is evaluated for purposes of promotion, tenure, retention, or increases
in salary. Therefore, faculty members must exercise discretion in engaging in such
employment and must bear the risk that it might harm university advancement.

Section 4 - Professional Ethics

Professors are bound to observe acceptable standards of professional ethics. In general, a
professor should not compromise the interests of the university or of one's students in
favor of one's own. If questions of professional ethical import arise which cannot be
resolved, the party or parties may refer the issue to the Professional Standards Committee
for recommendation to the parties.
PART E - ACADEMIC FREEDOM

Section 1 - Definition

a. Academic freedom is the right of all members of the academic community to study, discuss, investigate, teach, conduct research, publish or administer freely as appropriate to their respective roles and responsibilities. It is the obligation of all members of the university academic community to protect and assure these rights within the governing framework of the institution.

b. Academic freedom should be distinguished clearly from constitutional freedom, which all citizens enjoy equally under the law. Academic freedom is an additional assurance to those who teach and pursue knowledge, and, thus, properly should be restricted to rights of expression pertaining to teaching and research within their areas of recognized professional competencies. Beyond this, expressions by members of the academic community should carry no more weight or protection than that accorded any other citizen under the guarantee of constitutional rights. That is, outside of one’s professional field, one must accept the same responsibility which all other individuals bear for their acts and utterances.

Section 2 - Specific Applications

a. A faculty member must be able to participate in the democratic process of the institution, must be able to learn and teach what scholarship suggests is the truth, must be able to question even what is believed to have been settled, and must be able to publish what scholarship has discovered without fear of reprisal.

b. A faculty member is entitled to freedom in research and in publication of the results, subject to the adequate performance of the faculty member’s other academic duties.

c. A faculty member is entitled to freedom in the classroom in discussing the relevant subject matter. It is the faculty member’s mastery of the subject and scholarship which entitles him or her to the classroom and this freedom in the presentation of the subject. Thus, it is improper for faculty persistently to intrude material which has no relationship to the subject, or to fail to present the subject matter of the course.

Section 3 - Enforcement

If a faculty member’s rights as provided by Chapter 1, Part D (p.4) of the faculty code have been denied, that faculty member may initiate a grievance action as provided in Chapter VI hereof. In case of a dismissal, the faculty member may request a hearing board to review the case as provided in Chapter V of this code.

PART F - AMENDMENTS TO FACULTY CODE

Section 1 - Initiation

Amendments to this code may be proposed by either the faculty or the Board of Trustees. Initial amendments proposed by the faculty shall be presented to each faculty member, in writing, at least two weeks before a final vote is taken on same. Such changes shall be read in a faculty meeting prior to the meeting at which the final vote is taken. The body proposing the amendment shall adopt by a majority vote a motion to that effect and shall transmit a copy of that motion, together with a summary of the reasons therefore, to the other body.
Section 2 - Agreed Amendment

An amendment initiated by either the faculty or the Board of Trustees becomes effective if the body receiving the amendment from the proposing body adopts it by a majority vote in the same form as it is received.

Section 3 - Conference Committee

Should the receiving body not adopt the amendment in the form originally proposed then it shall (a) so notify the proposing body and (b) designate some of its members of one of its standing committees to confer with persons or committee similarly designated by the proposing body. The persons or committee so designated shall constitute an ad hoc conference committee, which shall meet, organize itself as it sees fit, and discuss the proposed amendment. A majority of the representatives of the faculty shall together have one vote, and a majority of the representatives of the trustees one vote. If possible, the two groups shall conclude upon a common proposal to report to their parent bodies. Otherwise, they shall conclude upon separate proposals and shall note the proposals of the other group.

Section 4 - Reports by Conference Committee

The groups from the conference committee described in the preceding section shall report to their parent bodies any proposal for amendment upon which they have concluded. They shall also make suitable explanation of the deliberations of the conference committee and shall describe any conclusions of the other group that differ from their own, so that the parent bodies may be fully informed. If the parent bodies both see fit, they may refer the matter to the conference committee for further deliberation and report.

Section 5 - Adoption of Amendment

Following deliberation and report by the conference committee, as provided for in Section 4 amendments to this faculty code may be adopted by majority vote of the faculty and majority vote for the same amendment by the Board of Trustees. The amendment shall be effective when adopted by both bodies.

PART G - INTERPRETATION OF THE FACULTY CODE

Section 1 - Responsibility

It shall be the duty of the Professional Standards Committee to issue interpretations of the faculty code. Any member or members of the academic community may request an interpretation of the faculty code, and/or the Professional Standards Committee may initiate the interpretation. If the Professional Standards Committee deems an interpretation to be of significant merit it shall issue a formal written interpretation which shall be delivered to the Faculty Senate for inclusion within the Senate minutes. Such interpretations shall also be forwarded to the Academic and Student Affairs Committee of the Board of Trustees for its concurrence. If there is a disagreement, the two committees, or their representatives, shall meet to formulate a unified interpretation. If they cannot agree, the matter shall be submitted for binding arbitration under the rules of the American Arbitration Association.

Section 2 - Appeal
Any member or members of the university community who are aggrieved by an interpretation of the faculty code by the Professional Standards Committee may appeal that interpretation to the Faculty Senate. Initiation of an appeal, in writing, shall take place within ten (10) working days following publication of the interpretation in the Senate minutes. Findings of the Faculty Senate shall be forwarded to the Academic and Student Affairs Committee of the Board of Trustees for its concurrence. If there is disagreement, the provisions of Chapter 1, Part F, Section 1 shall apply.
CHAPTER II

FACULTY APPOINTMENTS

Section 1 - General Rules

Rules governing all appointments are:

a. Faculty members are appointed on the basis of their qualifications as professionals in their fields.

b. The terms and conditions of faculty appointment shall be as provided in this faculty code and as contained in an annual written contract signed by the president or the dean, and by the faculty member. This code and the contract shall comprise the entire agreement between the parties. Extensions or modifications of the terms of an appointment or special understandings shall be in writing and become part of the contract. In case the provisions of a contract conflict with this code, the contract shall control. Specific exceptions to the code shall be identified in the contract and be made known to the faculty member and the head officer.

c. Schools, departments and programs shall develop criteria for all faculty appointments and work closely with the president and the dean in developing policies in this area.

Section 2 - Initial Appointment

a. Initial faculty appointments at the university may be for periods of one, two, or three years.

b. Qualifications for initial appointment include earned degrees appropriate to the position to be filled, promise in teaching and professional growth, successful participation in professional activities, and qualities conducive to success in performing the duties for which appointed. (See Section 1, c. p.7.)

Section 3 - Initial Appointment Procedure

Initial appointment is made by the president after the following actions have been taken.

a. Before the search begins, the head officer (refers to a department chairperson, school director, director of a program or a dean of a school) must consult the dean concerning: (1) The level of the appointment; (2) appropriate salary range and fringe benefits; (3) a job description, including the areas of expertise needed and course load; and (4) possible recruitment activities, attempting to identify recruitment sources which might effectively generate minority and female candidates in addition to traditional recruitment sources.

b. When the dean has approved the search, faculty recruitment will proceed according to guidelines prepared by the Professional Standards Committee and the dean of the university. Changes in these guidelines require the approval of the Professional Standards Committee and the dean of the university.

c. At the conclusion of the search the head officer or search committee chairperson, in consultation with department faculty and students, should select an individual and make a recommendation to the dean and the president. The president shall normally
adopt the recommendation of the head officer or search committee chairperson. If such adoption is not forthcoming, the president shall forward the reason for not doing so to the school, department, program or search committee. After further review, the head officer or search committee chairperson shall resubmit a recommendation from the school, department, program or search committee. The president will be responsible for the final decision.

Section 4 - Reappointment

Tenure-line faculty members serving on appointments without tenure shall be considered for reappointment by the dean during the term of appointment. The provisions of this section shall also apply to faculty members who are full-time instructors except those holding appointments as visiting faculty. If the decision is reached not to reappoint (See Chapter III, Section 2), the dean will notify the faculty member in writing at the earliest possible time, and in accordance with the following standards:

a. Not later than March 1 of the first year of academic service.
b. Not later than December 15 of the second consecutive year of academic service.
c. Not later than June 30 preceding the final contract year, after two or more consecutive years of academic service.

Section 5 - Grounds for Non-Reappointment

The university may refuse to reappoint faculty without tenure for any reason not forbidden by this faculty code. Upon written request by faculty members who are not reappointed, the dean shall inform them in writing of the reason they were not reappointed.

Non-reappointment of tenured faculty members is governed by Chapter V of this faculty code.
CHAPTER III

EVALUATION OF FACULTY

Section 1 - The Purposes of Evaluation

The purposes of evaluation are to develop and maintain university excellence and a high degree of professional competence in the individual faculty member. The evaluation process shall be directed to (1) providing documentation necessary for achieving a fair and impartial decision when the faculty member is eligible for a change of status and (2) providing timely and accurate assessment of faculty performance and any suggestions for improvement.

Section 2 - When Faculty are Evaluated

Faculty shall be evaluated at specified points in their careers with the university, in the manner provided in this chapter.

a. Evaluation shall occur prior to all decisions to: (1) promote a faculty member; (2) grant or deny tenure to a faculty member without tenure; and (3) not reappoint a tenure-line faculty member without tenure.

b. An evaluation by the head officer shall be made at the conclusion of each year for the first two years of the appointment of a faculty member without tenure, or earlier if a question of non-reappointment is at stake. A copy of the head officer’s report shall be sent to the individual under evaluation and to the dean. A copy of the head officer’s report shall be placed in the faculty member’s evaluation file (Chapter III, Section 9). Except in cases of non-reappointment (Chapter II, Section 5), no further action is required.

Persons in the rank of instructor, assistant professor, and associate professors normally shall be evaluated every three years, and professors normally shall be evaluated every five years unless an earlier evaluation is requested by the faculty member, the head officer, or the dean. Unless a more frequent evaluation schedule is specified in the initial appointment letter, evaluations after the third year of employment normally will not be undertaken at intervals shorter than three years. At least one year shall pass between the completion of a normally scheduled evaluation and any new evaluation undertaken solely at the request of the evaluee.

Section 3 - Evaluation Standards and Criteria

a. The Professional Standards Committee, in consultation with the Faculty Advancement Committee (hereinafter referred to as the Advancement Committee) and the dean, shall agree upon and publish periodically a statement of university evaluation standards.

b. Departments shall state in writing the criteria, standards and needs of the department used in departmental evaluation process in relation to the University's standards and needs. The Professional Standards Committee shall approve departmental criteria and standards.

c. In all reviews, the provisions of Faculty Code, Chapter I, Parts B and C shall serve as fundamental definitions of faculty responsibility.
d. The essential criterion for the awarding of tenure is the appraisal of excellence as a professional, rather than measurement of the faculty member's ability to avoid some deficiency. Specifically, the factors to be considered in making the tenure decision are: (1) proven excellence in teaching, (2) distinct evidence of professional growth, (3) a record of service to the university and (4) the needs of the department, school, or program and the university. Unless there is affirmative evidence of excellence in areas (1) and (2), a record of service in area (3) and demonstrated need in area (4) of this paragraph, tenure should not be granted. All persons participating in the evaluation for tenure and in the tenure decision shall be guided by these criteria. Responsibility for demonstrating he or she meets the standards for tenure or promotion rests with the evaluatee.

e. Faculty promotion shall be based upon the quality of a person's performance of academic duties. Specifically, decisions whether to promote shall be based upon the quality of the faculty member's performance in the following areas, listed in order of importance: (1) teaching; (2) professional growth; (3) advising students; (4) participation in university service; and (5) community service related to professional interests and expertise. Because the university seeks the highest standards for faculty advancement, mere satisfactory performance is no guarantee of promotion. In addition, appointment in the rank of associate professor and professor normally requires a doctoral, or other equivalent terminal degree. Advancement to the rank of full professor is contingent upon evidence of distinguished service in addition to sustained growth in the above-mentioned areas.

Section 4 - Evaluation Procedure

Evaluation begins at the department, school, or program level and proceeds through the Faculty Advancement Committee and the dean to the president. When Board action is required, the president forwards a recommendation and the evaluation file to the Academic and Student Affairs Committee of the Board of Trustees. The evaluation process is designed to provide a substantial body of credible evidence in writing as the basis for a fair and impartial review.

The evaluation process should be fair and ensure that adequate consideration is given the faculty member involved. Fairness and adequate consideration shall be achieved consistent with the criteria and procedures outlined in Chapter III, Sections 2-4.

a. Evaluation within the department, school or program is a significant professional responsibility, and the departmental evaluation process should be an ongoing one. When a faculty member is subject to review, the departmental evaluation normally proceeds as follows. Any exception or addition to these procedures must be approved by the Professional Standards Committee:

(1) The head officer shall gather information in writing about the faculty member being evaluated from the faculty member; from colleagues in the department, school or program; and from other sources if they seem relevant. Examples of information from other sources include statements about the evaluatee's teaching from colleagues with whom the evaluatee team-teaches in interdisciplinary programs, statements from university colleagues about the evaluatee's university service contribution, or statements from outside the university about an evaluatee's professional growth or community service. Within the department, written information is gathered through the following process:
(a) The evaluee prepares a file for departmental review. The evaluee is responsible for providing for review a statement of professional goals and objectives, teaching materials, documentation of scholarly and professional activity, and evidence of university service, student advising, and community service related to professional interests and expertise. The file shall also include student evaluations from the evaluee’s most recent two semesters of teaching; in the case of a tenure evaluation, student evaluations shall be from the most recent four semesters of teaching.

(b) Departmental colleagues review the evaluee’s file. Faculty should be familiar with (1) the evaluee’s professional objectives and philosophy, both as outlined in the evaluee’s statement and as demonstrated in practice; (2) the evaluee’s teaching performance/effectiveness, including the organization and construction of courses and the exhibition of pedagogical skill, as assessed through examination of course materials, an ongoing process of class visitation, and the careful review of student evaluations; (3) the evaluee’s record of professional growth, as assessed through examination of evidence in the evaluation file and ongoing attendance to the evaluee’s scholarly and creative activity; (4) the evaluee’s contributions through university service, as documented in the evaluee’s file; (5) the evaluee’s service as an advisor; and (6) the evaluee’s involvement in community service related to professional interests and expertise.

(c) Departmental colleagues participating in the evaluation write letters. The letters of colleagues shall be substantive assessments of the evaluee’s performance based on the factors in paragraph (b). When the evaluee is eligible for a change in status, the letters shall forward the writers’ independent recommendations. Normally, letters are forwarded to the head officer; individual faculty members may send their observations and recommendations directly to the dean.

(d) The faculty member being evaluated shall have the right to examine letters of evaluation. The faculty member may choose to waive this access. The decision of the faculty member to waive or not waive confidentiality shall not be a factor in evaluating the faculty member.

(2) When the information has been assembled and evaluated by the department, a departmental recommendation shall be reached by members of the department other than the evaluee through a deliberative procedure based upon the above information considered in light of departmental and university needs (tenure cases only) and standards. There should be evidence that the department had available the necessary materials and documentation and that adequate consideration has been given to the candidate’s qualifications.

(3) Variations in the department, school or program evaluation process:

(a) If the head officer wishes, he or she may appoint two faculty members from the department, school, or program to assist in the departmental evaluation. In small departments, one or both of these assistants may be appointed from the faculty of a related department or school.

(b) When the head officer is the subject of the evaluation, the other tenure-line faculty of that unit shall select some person to perform the functions the
head officer performs. Such person may be a member of that unit or may, in the case of a small department, be a faculty member of a related department.

(c) When a faculty member being evaluated is jointly appointed in more than one department, or has significant teaching responsibility in an interdisciplinary program, there may be more than one evaluation committee.

(d) Where a faculty member is appointed fully in an interdisciplinary position, composition of an evaluation committee and selection of the person who will function as head officer will be determined by the dean in consultation with the valuee.

(e) Other variations in procedure are permitted provided they are mutually agreed to by the valuee, head officer, the dean, and the Advancement Committee. At any time during the evaluation, these same parties may resolve questions about the departmental review process by mutual agreement in writing.

b. Process governing progress of the evaluation from the department, school or program to the Advancement Committee: Transitional steps in the evaluation process enable the valuee to receive the departmental recommendation, to review the file, and to raise concerns about the fairness and adequacy of the evaluation.

(1) The departmental recommendation shall be forwarded by the head officer to the dean and the Advancement Committee, together with all written materials used in reaching that recommendation.

(a) The criteria used in the deliberative process shall be stated in writing and also forwarded to the dean to become part of the valuee’s file.

(b) A copy of all documents listed in Section 4.b.(2) below shall be forwarded.

(c) If the head officer disagrees with the department, school, or program recommendation, that individual shall submit a minority recommendation.

(2) At the time the file and departmental recommendation are forwarded to the dean and the Advancement Committee, the head officer, in writing, shall provide the valuee with:

(a) a list of those individuals participating in the department's deliberative process and those who submitted letters to the head officer;

(b) a summary of the department's deliberations;

(c) the departmental recommendation; and a list of those individuals whose recommendations served as bases for the departmental recommendation

(d) and, when applicable, notification that the chair has made a minority recommendation.
(e) The head officer also shall provide an evaluee who has chosen confidential letters (see Chapter III, Sections 4.a.(1)(d) and 7), with a summary of the letters submitted to the head officer.

Prior to the review of the Advancement Committee, the faculty member is responsible for inventoried the contents of the evaluation file. The office of the dean shall notify the faculty member when the file is complete and ready for review. The faculty member shall have five (5) working days from the date of notification to review the non-confidential materials in the file.

If after reviewing the file (non-confidential letters) or reviewing the file and receiving the head officer's summary of letters (confidential letters) the individual faculty member feels that he or she has been unfairly or inadequately evaluated by the department, school or program, that individual has the right to pursue those concerns (1) informally or (2) formally. (1) The evaluee may pursue a challenge informally within five (5) working days of reviewing the file by notifying the head officer in writing of concerns about the departmental process and the contents of the file that are relevant to questions of fairness and adequacy. The head officer and the evaluee shall attempt to resolve issues informally. A copy of the evaluee's statement of concerns and a written statement on the results of the informal resolution process prepared by the head officer shall be forwarded to the Advancement Committee and included in the evaluee's file. No informal resolution between the head officer and the evaluee may remove materials from the file or set aside the provisions of this Code. (2) The evaluee may pursue a challenge to the departmental evaluation formally by initiating an appeal as provided for in Section 6 of this chapter within ten (10) working days of reviewing the file. The appeal is limited to issues affecting fairness, completeness, and adequacy of consideration by the department in conducting the evaluation. If no challenge is raised informally or formally within the time limits specified, the Advancement Committee shall proceed with its deliberations.

c. Evaluation by the Advancement Committee, including the Dean:

(1) In cases with confidential letters, including a claim under Chapter III, Section 4.b.(4), the Advancement Committee must make the affirmative determination that the head officer's summary of the departmental letters is a fair and accurate reflection of the letters involved. If necessary, the Committee may consult with the head officer and evaluee concerning changes in the summary, and shall inform the evaluee when the summary is determined to be fair and adequate.

(2) The Committee shall provide the evaluee with the revised summary and, if the evaluee feels that he or she has been unfairly or inadequately evaluated by the department, school, or program, he or she shall have five working days after receipt of this summary to issue notification in writing to the Faculty Advancement Committee, if desired.

(3) The Committee shall provide the evaluee with a summary of letters sent directly to the Advancement Committee. If the evaluee feels that he or she has been unfairly or inadequately evaluated by one or more of these letters, he or she shall have five working days after receipt of this summary to issue notification in writing to the Faculty Advancement Committee, if desired. Letters sent directly to the Advancement Committee and received after the due date of the file shall not be included in the file.
(4) Before proceeding to a recommendation, the Advancement Committee through the Committee’s careful review of the evaluation file shall determine whether the department, school, or program gave adequate consideration to the evaluee. The candidate's file, when considered as a whole, must indicate that faculty involved in the departmental evaluation process had a sufficient degree of familiarity with the candidate's professional performance.

(a) The Advancement Committee shall consult with the head officer from the department, school or program or the person(s) serving as head officer for the evaluation, as provided for in Section 4.a.(3)(b) through (d) above:

- if the Committee is not assured that the department, school, or program gave adequate consideration of the faculty member involved;
- or if the committee feels that additional information is needed.

(b) In any of these instances, the Advancement Committee shall raise its concerns regarding the department/school evaluation process and, when appropriate, suggest remedies in writing. The department may then respond. The Committee’s concerns, suggested remedies (if any), and the department response shall be included in the faculty member’s evaluation file. A copy of all written documents will be provided to the evaluee.

(c) If, after consultation, the Committee and the department, school, or program continue to disagree about the adequacy of consideration given the evaluee, all written materials related to the issue, including minority reports, shall be forwarded to the president at the completion of the Advancement Committee’s evaluation, along with the Committee’s recommendation, for consideration as part of the president’s review of the file.

(d) In the case of a dispute under 4.c.(4)(a) the Advancement Committee shall notify the evaluee and the head officer when it has determined that adequate consideration has been given to the faculty member or that the best possible resolution has been reached.

At any stage of the process described in Section 4.c.(4), the Advancement Committee, the department, and the evaluee may resolve issues by mutual agreement in writing.

(5) Having determined that it has the materials and documentation necessary for making a fair and impartial evaluation, or at the conclusion of the dispute process in Section 4.c.(4) above, the Advancement Committee shall proceed to a recommendation based on the evidence at hand. This recommendation shall reflect the independent judgment of the Committee. The committee’s recommendation shall be based on the criteria for reappointment, tenure, and promotion, as called for in Chapter II, Section 3 and Chapter III, Section 3 and be made in light of department/school/program needs, criteria and standards and their consistency with university standards. The recommendation of the Advancement Committee shall be based upon the candidate's record of performance as measured against appropriate University and department/school standards for reappointment/tenure/promotion.

(a) If the Advancement Committee’s majority recommendation is contrary to that of the department, school, or program, department representative(s) shall be consulted formally. If the consultation leads to a unified position,
no further action is necessary. If, after consultation, the Committee and
the department, school, or program continue to disagree, all
recommendations, including those of any minority, and all information
gathered in Chapter III, Section 4 shall be forwarded to the president.

(b) If the Advancement Committee’s majority recommendation is negative or
if the Committee is evenly divided and cannot make a positive
recommendation, the dean shall notify the evaluee of the right to request a
meeting with the Advancement Committee prior to the transmittal of the
recommendation of the Advancement Committee to the president. The
purpose of this meeting is to discuss the recommendation based upon the
written record of the file.

(c) The Advancement Committee shall then transmit to the head officer and
the evaluee a final recommendation.

(6) The evaluee, after receiving a copy of the final recommendation, may within
five (5) working days initiate and appeal as provided in Section 6 below. This
appeal is limited to questions of fairness, completeness, and adequacy of
consideration of the evaluee during review by the Advancement Committee and
may not consider questions about the review at the departmental level. The
Advancement Committee must hold in abeyance forwarding its
recommendation to the president until the hearing board has reached a decision.

(7) If there is no appeal within the required time, the Advancement Committee shall
then transmit to the president its final recommendation. In addition, the
president shall receive any minority recommendation(s) from the Advancement
Committee and all information gathered in the evaluation process. Any
minority recommendation(s) from the Advancement Committee should be
shared in writing with the Committee before the committee’s recommendation
goes forward to the president.

d. Process of the evaluation after review by the Advancement Committee:

(1) Since a primary function of the evaluation process is to develop and maintain a
high degree of professional competence in the individual faculty member,
timely and accurate feedback is essential. Within a reasonable period, but no
later than four months after receiving the report of the evaluation from the
Advancement Committee—or in the case of a tenure decision, upon report of a
favorable decision by the Board of Trustees—the head officer shall review with
each evaluee the results of the evaluation.

(2) If the evaluation was not made for the purpose of altering the status of the
evaluated faculty member's appointment, no presidential action shall be called
for. In that event, the President shall take note of the evaluation and
accompanying information and shall return the same to the dean, to be included
in the faculty member's ongoing evaluation file (see Section 7 below).

e. Evaluation and Decision by the President: If the particular case requires a
recommendation on promotion or tenure, the president shall review the file forwarded
by the Advancement Committee and formulate an independent judgment.

(1) If the president believes that there is inadequate information upon which to base
the recommendation or has questions concerning the prior consideration of the
file, the president may return the file to the Advancement Committee. The
president shall raise any questions in writing and the Advancement Committee
will respond in writing. The president’s questions and the Advancement
Committee’s response shall be included in the faculty member’s evaluation file.

(2) The president shall notify the evaluatee of the recommendation the president
intends to submit to the Board of Trustees. Within five working days of
notification, the evaluatee may request a conference with the president.

(3) If, after meeting with the president, the evaluatee believes that the president has
acted with abuse of discretion or unlawful discrimination in reaching a decision,
the evaluatee may prepare within five (5) days a statement addressed to the Board
of Trustees specifying the grounds for such a charge. When the conference has
been completed or when the time period for the request has lapsed, the
president’s recommendation and other evaluation materials shall be forwarded
to the Board of Trustees. If there is a statement from the evaluatee as provided
for in the previous paragraph, that statement shall be forwarded along with the
president’s recommendation.

Section 5 - Evaluation by Head Officer and Dean

In certain circumstances evaluation of senior faculty may proceed under an alternative
process involving only the head officer and the dean. As is the case with the process
described in Chapter III section 4, this alternative process is designed to provide a
substantial body of evidence in writing as the basis for a fair and impartial review.

a. Persons in the rank of associate professor who are not candidates for tenure or
promotion and professors in years 5, 15, and 25 of service in that rank may elect to
bypass the procedures for evaluation detailed in Chapter III, section 4 and have their
next scheduled review conducted by the head officer and dean under the procedures
described in this section.

b. Faculty members who are eligible and choose to be evaluated under the process
described in this section must consult with their head officer at least two months prior
to the start of the semester in which the evaluation is scheduled. The head officer
shall determine whether a full review under Chapter III, section 4 is warranted or if
the review will proceed under the procedures described in this section. In making this
decision the head officer shall consider information gathered from student evaluations
of teaching, evidence gathered from any class visitations and the results of previous
evaluations. Selection of a mode of review will neither presume nor preclude any
assessments as to the merits of the file. The head officer shall report the decision to
the dean. Unless the head officer or the dean calls for a full review, the process shall
proceed under the procedures described in this section.

c. The evaluatee shall prepare a file as described in Chapter III, section 4a and submit it to
his or her department one month before the review date. All departmental colleagues
eligible to participate in evaluations, under standards approved by the Professional
Standards Committee under Chapter III, section 3b of the Faculty Code, will have the
option of reading the file.

d. After reviewing the file the head officer shall write a letter of evaluation and forward
the file and letter to the dean. The dean shall write a letter of evaluation and forward it
to the head officer. Copies of both letters shall be forwarded to the evaluatee.
e. At the conclusion of this review process, the evaluee, the head officer or the dean may call for a full review under the procedures of Chapter III section 4 to be conducted during the subsequent academic year. In such a case the faculty evaluee shall prepare a file as described in Chapter III, section 4a. The head officer shall add to this file, for departmental review, all of the materials from the previous file, including the evaluation letters of the head officer and the dean.

f. Evaluations conducted under the procedures described in the section are not subject to the process described in Chapter III section 6 and may not be appealed.

g. No evaluation conducted under the procedures described in this section may be used in a determination of adequate cause for dismissal as described in Chapter II, section a (1).

Section 6. Procedure for an Appeal

Unless otherwise provided, the provisions of this section apply to all appeals authorized in Chapter III, Section 4.

a. Initiation of an Appeal:

(1) The evaluee must submit a list specifying alleged violations of the code to the chairperson of the Professional Standards Committee within the time limits provided in section 4.b.(4) or 4.c.(6), whichever is applicable.

(2) At the time the list of alleged violations is submitted to the chairperson of the Professional Standards Committee, the evaluee must provide a copy of the list of alleged violations to either the department, school, or program or the Advancement Committee as appropriate to the violations specified. The chairperson of the Professional Standards Committee shall confirm with respondent(s) their timely receipt of the list of alleged violations.

(3) Any response(s) from the department, school, or program; the Advancement Committee; or the president shall be submitted to the chairperson of the Professional Standards Committee within ten (10) working days of the respondent(s)’ receipt of the list of alleged violations. The chairperson of the Professional Standards Committee and the chair of the hearing board may grant an extension for submission of a response if a respondent demonstrates that s/he was unable to take receipt of the list of alleged violations at the time they were provided by the evaluee due to circumstances beyond his or her control. Any respondent(s) who respond(s) must provide the evaluee with a copy of the response.

(4) The chairperson of the Professional Standards Committee shall transmit the list of alleged violations to the chairperson of the hearing board as soon as that person is elected.

b. Hearing Board Roster: A hearing board roster will be established annually by the Faculty Senate executive officers. The Board will consist of 42 tenured faculty members selected at random, subject to their consent.

(1) Members will serve staggered three-year terms with 14 members selected each year.
(2) Faculty who are on leave remain on the roster but are not considered for service on a hearing board. However, members who go on leave in the third year of their term or members who resign from the roster will be replaced for full three-year terms using the process described above.

(3) If a faculty member is selected to the Advancement Committee during a term of service on the hearing board roster, s/he will be replaced for a full three-year term using the process described above.

c. Formation of a Hearing Board: Upon receipt of the list of alleged violations (Section 5.a(2)), the chairperson of the Professional Standards Committee shall form within five (5) working days a hearing board composed of five (5) members from the hearing board roster.

(1) Excluded from the hearing board will be members of the appellant's department and all others with direct interest in the matter as determined jointly by the chairperson of the Professional Standards Committee and chairperson of the Faculty Senate (or a designated member of the above mentioned bodies if the chairperson(s) may be affected by the exclusion principle). If either of the chairpersons or designees votes for elimination, the faculty member is not selected.

(2) Also exempt from selection are members of the hearing board roster in current service on a hearing board.

(3) The following process shall be used to constitute a hearing board:

(a) Six names shall be selected at random by the chairperson of the Faculty Senate and the chairperson of the Professional Standards Committee from those names remaining on the hearing board roster after the exclusions noted in paragraphs (1) and (2) have been taken into account.

(b) The parties may then challenge any name on the list on account of interest or bias. The order of challenge shall be determined by lot, with each side alternating. Challenges on account of interest or bias shall be ruled upon jointly by the chairperson of the Professional Standards Committee and the chairperson of the Faculty Senate. If either votes for elimination, the person is eliminated, and an additional name is selected from the hearing board roster.

(c) The parties may then exercise no more than two challenges against the six names remaining on the list without stating cause. If any person is eliminated, an additional name shall be selected from the hearing board roster.

(d) The first five faculty members selected to the list shall constitute the hearing board. The sixth named faculty member will stand as an alternate. This faculty member will not participate in the appeal unless one of the five hearing board members is unable to serve from the beginning of the hearing board process (Section 5.c(6) below).

(4) The normal presumption is that faculty members will serve on a hearing board to which they are selected. The chairperson of the Faculty Senate and the chairperson of the Professional Standards Committee may, if both agree,
exempt a faculty member from service based on (1) a self-disclosed conflict of interest, (2) hardship, (3) other good cause shown.

(5) In the event that one member is unable to complete service after the hearing board process has begun, the hearing board shall continue with four members if the appellant and the university representative agree. If either party objects, a new hearing board will be formed. If more than one member is unable to complete service, a new hearing board will be formed using the process outlined in Section c above.

(6) The hearing board shall hold its first meeting within five (5) working days of its selection and shall elect a chairperson. The board shall also select a secretary to record the actions of the board.

d. Determination of Probable Cause:

(1) The board shall have access to all files and records involved in the evaluation process together with a list of violations alleged by the evaluatee and any responses by the department, school, or program or the Advancement Committee.

(2) Within ten (10) working days of receipt of any and all responses under Section 5.a(3), the hearing board shall determine whether, based on the record and the allegations of violations, there exists probable cause for an appeal.

(3) If the hearing board decides that probable cause for an appeal does not exist, it shall so notify the appellant and the president, at which time the president will forward the recommendations and evaluation materials to the Board of Trustees as specified in Section 4.e.(4).

(4) If two (2) or more members of the hearing board determine that probable cause for an appeal exists, a hearing will be held by the hearing board pursuant to Chapter III, Section 6.

Section 7 - Procedure for a Hearing

a. The chairperson of the board shall preside and shall handle administrative duties, such as giving notices and speaking for the committee. He or she shall rule on matters of procedure and evidence, subject to being overruled by a majority of the committee.

b. In proceedings before the board, the respondent shall be represented by a person or persons designated by the president or the dean. The appellant may attend all hearings in person and may be assisted by an academic advisor and acted for by lawyer or non-lawyer counsel chosen by the faculty member.

c. Hearings shall not be open to the public, and the only persons present shall be those persons whose presence is allowed by these sections of this chapter pertaining to the appeal. However, at the request of either party, a representative of an educational association or other appropriate association shall be allowed to observe hearings with the concurrence of the board.

d. In all cases, the university shall provide an electronic record and, if requested by either party, a verbatim transcript of the proceedings paid for by the requesting party.
Records made of the hearings shall be retained by the university for six years after the committee makes its report.

e. The function of the hearing board shall be to determine whether there have been violations of the code, as alleged by the appellant.

f. The evidence on review shall be substantially confined to the written record that has been compiled in the evaluee's file through the point at which the review occurs. This is the material upon which the decision has been made to this point, and it should not be significantly expanded at the hearing by the admission of testimony and information not previously considered. Parties may offer to present additional evidence that they deem relevant and the hearing board in its discretion may hear or decline to hear such additional evidence. The hearing board shall base its decision preponderantly upon the written record on which the matter has earlier been decided by the department or school or the Advancement Committee, confining its review and its judgments to the stage of evaluation that is under appeal. If witnesses testify, they may be cross-examined by other parties present. Testimony of witnesses by signed written statements may be allowed if, in the Board's discretion, that is the most feasible way of presenting their evidence and if the opposing party is not substantially prejudiced by lack of the ability to cross examine. The board shall have no duty to seek or to present evidence but may do so if, in its judgment, justice requires.

g. The hearsay rule or the other exclusionary rules of evidence used in courts of law shall not apply.

h. Insofar as practicable, each party shall assist the other in obtaining witnesses and evidence when the party's assistance is necessary or helpful. Each party shall make specifically requested and relevant documents or other tangible evidence in its possession available to the other for presentation to the Board.

i. No person involved in the hearing shall make public statements, directly or indirectly, about matters presented in the hearing.

j. Within ten (10) working days after completion of the hearing, the Board shall make its decision. The decision shall be based on whether the evidence in the record and that received at the hearing clearly shows that there have been violations of the code as alleged by the appellant. The decision of the hearing board will be limited to issues affecting the fairness, completeness, and adequacy of consideration of the evaluee.

k. The decision of the majority of the hearing board, and any dissent, shall be transmitted in writing to all parties to the appeal. That decision may include a direction that the matter be returned to the department or Advancement Committee for correction of deficiencies. The board chair will enclose in a sealed envelop the exhibits received in the hearing and the electronic record and deliver the envelop to the dean for the preparation of transcripts or retention as required in Section 6.d.

Section 8: Faculty Evaluation Files

a. The dean shall maintain an ongoing evaluation file on each faculty member.

b. This file shall be used only in the evaluation process and shall contain only information pertinent to that process, such as (1) a statement of department, school, or program evaluation criteria and standards; (2) the evaluee’s evaluation statement and
curriculum vita; (3) student evaluations submitted as part of the evaluation process; (4) evaluation letters prepared by colleagues; (5) the department summary of deliberation and recommendation; (6) the Advancement Committee’s recommendation; (7) if applicable, the president’s recommendation to the Board of Trustees; and (8) other material clearly relevant to the faculty member’s role as a professional educator which may be the result of the Professional Standards Committee’s or the Dean’s application of other university policies, provided that the faculty member is notified that the material is being added to the file.

c. The file shall not include unattributed materials except for student course evaluations.

d. The file shall not accumulate materials for more than two consecutive evaluations.

All materials in the faculty member’s evaluation file shall be open to the Advancement Committee, the dean, the president, and the Board of Trustees. The file shall be open to the faculty member involved, except when the faculty member has waived access to letters of evaluation as provided for in Section 4.a.1.(d), in which case confidential letters may not be read by the faculty member. Without the express consent of the faculty member, the evaluation file shall be closed to all others.
CHAPTER IV

TENURE AND PROMOTION OF FACULTY

Section 1 - Tenure

a. "Tenure" is the right of faculty members to hold their positions until retirement, resignation or dismissal from the university without reduction of salary, without demotion in rank and without termination, unless such reduction, demotion or termination be for adequate cause (see Chapter V, Part A, Section 2a) for discontinuation of an existing program, school, or department; (see Chapter V, Part A, Section 2b) or for institutional financial exigencies (see Chapter V, Part A, Section 2c); or unless other sanctions be the result of the grievance process (see Chapter VI, Section 4c) as provided for in this faculty code.

b. Tenure offers protection for academic freedom and security. It must be earned through superior professional achievement. Tenure is a career-long commitment by the university to the faculty member and should be regarded by both parties with great care. The tenure decision is usually the most important decision the university makes concerning a faculty member's entire career.

c. Tenure may be conferred only by action of the university Board of Trustees. Such action occurs upon recommendation by the president, following the completion of the evaluation procedure provided for in Chapter III of this faculty code.

d. The service previous to tenure is a trial period in which the faculty member's fitness for tenure is tested. The criteria for the awarding of tenure are contained in Chapter III, Section 3 d.

e. The decision to grant tenure must be made not later than during a tenure-line faculty member's sixth year of tenure-line service at the University of Puget Sound. If tenure is not granted, the next year's contract shall be terminal.

(1) Tenure may be granted earlier for relevant previous experience or exceptional achievement.

(2) Approved leaves may be exempted from computation time for tenure consideration in accordance with published university policies or by agreement between the faculty member and the dean.

f. Faculty members who have had full-time faculty service in other institutions before employment by the University of Puget Sound shall be evaluated for tenure at a time specified in the faculty member's initial contract. If tenure is not granted at the time specified in the initial contract, the next contract shall be terminal. In no case shall the time for consideration of tenure exceed the time set in Section 5 for faculty persons without previous experience.

g. Dismissal of tenured faculty shall occur only under the following conditions:

(1) A faculty member who has tenure may be dismissed by the university only for adequate cause, for institutional financial exigencies, or for discontinuation of an existing program, school, or department, as provided for in Chapter V of this code.
(2) A tenured faculty member who is dismissed by the university shall receive salary through the academic year following the academic year in which the dismissal notice is given, whether or not that person is assigned appropriate duties in the university for that year. However, salary shall not be paid or owing if the termination was for cause as defined in Chapter V, Part A, Section 2.a., (2) or (3) of this code.

Section 2 - Promotion

a. Promotion is advancement in rank by a tenure-line faculty member. As outlined below, tenure-line assistant professors are eligible for promotion to the rank of associate professor and tenure-line associate professors are eligible for promotion to the rank of professor.

b. Tenure-line faculty are considered for promotion to the next higher rank at the following points in their time of service at the University of Puget Sound.

(1) Assistant professors are normally considered for promotion during their sixth year in that rank at the university unless otherwise specified in their letter of appointment; and

(2) Associate professors are most often considered for promotion during their sixth year in that rank at the university, but the decision when to request consideration for promotion rests with the faculty member.

(3) Approved leaves are generally included in computing time for promotion provided that the work done on leave has a direct correlation to one’s academic and professional responsibilities. This procedure must be approved in advance by the faculty member’s head officer and the dean.

(4) A faculty member who wishes early promotion and believes grounds exist for it shall request it in writing to the head officer and the dean. The dean shall then initiate the evaluation proceedings.

c. Faculty promotion shall be based upon the quality of a person’s performance of academic duties. The criteria for promotion are specified in Chapter III, Section 3 e. Promotion shall be made only after evaluation of the faculty member in the manner provided in Chapter III of this code.
CHAPTER V  
SEPARATION FROM THE UNIVERSITY  

PART A - DISMISSAL  

Section 1 - Dismissal Defined  

Dismissal is the termination of a tenured faculty member at any time or of a non-tenured faculty member before the end of the contract term of employment. Dismissal does not include the non-reappointment of a non-tenured faculty member (see Chapter II) or separation from the university as a result of suspension, resignation or retirement (see Chapter V, Parts B-D).

Section 2 - Grounds for Dismissal  

The only grounds for dismissal are those specified in this section.

a. Adequate cause. Adequate cause for dismissal may be found to exist in the following categories: (1) professional incompetence; (2) serious departure from appropriate professional role (see Chapter I, Part B); and (3) failure to perform university duties as provided in the faculty member's contract, whether due to volition or physical/mental dysfunction.

b. Discontinuation of a department, school, or program. The decision to discontinue a department, school, or program rests with the Board of Trustees upon recommendation by the president. The president shall consult with the Faculty Senate prior to making such recommendation. Among those questions to be addressed by the president before the Faculty Senate shall be: (1) the basis upon which discontinuation of the program, department or school was deemed necessary, and (2) whether discontinuation, though necessary, requires any faculty member to be dismissed. If a faculty member's program, department, or school has been discontinued, the university shall make reasonable efforts to place the faculty member in other suitable employment within the university before deciding to dismiss the person from university employment. When possible, placement shall be in a vacant faculty position similar to that discontinued, but if that is not possible, then placement may be offered in other faculty positions or in vacant administrative or staff positions, provided the faculty member is qualified for any such position. If more than one position is available for which the faculty member is qualified, he or she shall be allowed to state a preference for a new position. If placement in another position would be facilitated by a reasonable period of training, the university shall offer financial and other support for that purpose.

c. Financial Exigency. As used herein, a "financial exigency" exists within the university when lack of expendable funds forces the university to curtail aspects of its academic program to an extent that selected faculty members must be dismissed, as that term is defined and used in this chapter.

(1) Before determining that faculty shall be dismissed on account of a financial exigency, the university shall make reasonable efforts to reduce expenditures in every other way, including curtailing hiring of new faculty, non-reappointment of faculty, and encouraging early retirement.
(2) The determination that a financial exigency exists shall be made by the president after a thorough consideration of other alternatives. Prior to making a recommendation to the Board of Trustees the president shall inform the Faculty Senate of his/her intention in writing.

(3) Upon receipt of the president's letter the Faculty Senate has twenty (20) working days within which to consider if in their judgment a financial exigency does exist and to forward that judgment to the president.

(4) The final decision regarding the declaration of a state of financial exigency is made by the Board of Trustees upon recommendation by the president.

(5) If a state of financial exigency is declared, the Faculty Senate shall recommend criteria to be used in selecting programs to be curtailed or individuals to be dismissed. The Faculty Senate may make specific recommendations as to programs or individual faculty to be thus affected. While the Faculty Senate's recommendations shall not bind the president and the trustees, they shall be accorded great weight.

(6) If the university dismisses faculty for financial exigency, it shall not at the same time renew non-tenured appointments or make new appointments except in extraordinary circumstances where serious distortion of the academic program would otherwise result.

(7) If the university dismisses faculty members for financial exigency, it shall not fill their positions with other persons for a period of three years without first offering the dismissed members reinstatement to their former positions and giving them reasonable time to accept the offers.

Section 3 - Procedures for Dismissal

a. Adequate cause as defined in Chapter V, Part A, Section 2.a.(1) and as applied to tenured faculty is established through a procedure employing the evaluation process described in Chapter III. When a faculty member has received an evaluation which clearly shows a lack of competency to the extent that it brings into question the faculty member's continued employment with the university (i.e., an evaluation which shows severe inadequacy in (1) currency in several aspects of the person's stated area of expertise and/or (2) effectiveness in teaching methods), the following process shall ensue:

(1) The dean shall give the faculty member written notice of the same.

(2) If requested by the faculty member, the dean shall hold a conference with the faculty member and the head officer to discuss the reasons for the unsatisfactory evaluation.

(3) If the faculty member is not in agreement with the decision of the department and the Advancement Committee, he or she may request an appeal at this time (see Chapter III, Sections 7 and 8).

(4) If the faculty member does not appeal, or if an appeal is not upheld, then the faculty member, the head officer, and the dean shall draw up an agreement which includes a specific faculty development plan, including goals and a
schedule for performance appraisal with specific criteria for the evaluation clearly stated.

(5) The performance appraisal shall include an annual review of progress with the dean and the head officer.

(6) Three years after the unsatisfactory evaluation (or earlier if requested by the individual), a second evaluation shall be conducted and the department and Advancement Committee shall be made aware of the seriousness of this evaluation. If the second evaluation is also unsatisfactory, the university may continue the individual if it is in the best interests of the university to do so; the university may ask the individual to resign or retire; or the university may give the individual notice of dismissal. If notice of dismissal is given, the faculty member may ask for a hearing as provided in Chapter III, Sections 7 and 8 (c).

b. When the dean alleges there exists adequate cause for the dismissal of a tenured or non-tenured faculty member under Chapter V, Part A, Section 2.a. (2) or (3), or of a non-tenured faculty member under Chapter V, Part A, Section 2.a. (1), the dean shall present to the faculty member a written charge specifying the grounds which form the basis for the allegations, including a list of the specific acts or actions relevant to the allegations. The faculty member shall, within five (5) working days, have the right to request consultation with the Professional Standards Committee. If no request is forthcoming, the dean is free to notify the faculty member of his/her dismissal. If a request is made, the Professional Standards Committee shall consult with the parties involved and attempt to resolve the problem. If no resolution is possible, then the faculty member may request a hearing as described in Section 4 of this chapter. In dismissals made under this section (Section 3) the question before the hearing board shall be whether "adequate cause," as defined in this chapter, exists for dismissal of the faculty member. The dean or the dean's designee shall present to the hearing board the written charge of the notice-of-intent to dismiss, listing the ground or grounds upon which the university intends a dismissal for adequate cause and specifying with reasonable particularity the alleged facts in support thereof. In proceedings before the board, the university shall have the burden of proving facts sufficient to sustain the charges made. In particular, if the alleged cause for professional incompetency involves physical or mental inability to perform duties, there shall be medical evidence of the same. The university shall present evidence of consultation with one or more licensed physicians or licensed psychologists, as appropriate. Additional medical reports from licensed professionals may be presented by the faculty member. The hearing board may, at university expense, have examinations made by licensed physicians or licensed psychologists, and the faculty member shall consent to such examinations.

c. Dismissal on account of discontinuation of department, school, or program. Whenever it becomes necessary for the university to dismiss a faculty member on account of discontinuance of his or her program, department, or school and efforts to place the person in another vacant university position are unsuccessful, the following steps shall be taken:

(1) The dean shall notify the faculty member in writing of the intended dismissal, giving a statement of the reasons therefore.

(2) The notified faculty member shall have ten (10) working days from receipt of the dismissal notice to give the dean written notice that the faculty member requests a review of the matter through the process described in Part A,
Section 4 of this chapter and to submit the list of alleged code violations. Upon receipt of the request, the dean shall refer the matter to a hearing board, sending the board such materials pertaining to the matter as are in the dean's possession. The university shall take no further action to dismiss until the hearing board has reported to the president.

(3) The function of the hearing shall be as specified in Chapter III, Section 8.e. Among the questions before the hearing board shall be: (1) whether discontinuation of the program, department, or school was necessary; (2) whether discontinuation, though necessary, requires the faculty member to be dismissed; and (3) whether the faculty member should be placed in other university employment. The university shall have the burden of producing evidence to sustain its decision to dismiss on the second and third questions. On the first question the determination by the trustees that discontinuation was necessary shall create a presumption to that effect, so that the faculty member shall have the burden of producing evidence to overcome such presumption.

(4) If the notified member makes no request for appeal within the ten days referred to above, the dean shall forward the recommendation for dismissal and materials in support thereof to the president. The president shall consider the recommendation and materials and shall recommend to the Board of Trustees that they dismiss the faculty member if the president determines upon that disposition of the matter.

(5) Whenever the Board of Trustees has acted to dismiss a faculty member on account of discontinuation of the member's program, department, or school, such faculty member shall receive salary through the academic year following the academic year in which the dismissal notice is given whether or not that person is assigned appropriate duties in the university for that year.

d. Dismissal on account of financial exigency.

(1) Whenever it becomes necessary for the university to dismiss a faculty member on account of financial exigency the steps and procedure outlined in Section 3.c. (1), (2), (4) and (5) of this part, pertaining to dismissal for discontinuation of a program, department, or school, shall be followed. In applying Section 3.c. (1), (2), (4) and (5) the due and reasonable allowance shall be made for obvious differences in language, reading "dismissal on account of financial exigency" in place of "dismissal for discontinuation of a program, department, or school" and the like.

(2) The function of the hearing shall be as specified in Chapter III, Section 7.e. Among the questions before the hearing board shall be: (1) whether a bona fide financial exigency exists; (2) whether, though a financial exigency exists, it justifies dismissal of the particular faculty member; (3) whether the university is renewing fixed-term appointments, except in extraordinary circumstances where serious distortion of the academic program would otherwise result; and (4) whether the university has engaged, or attempted to engage, other persons for the faculty member's position. The university shall have the burden of producing evidence to prove the affirmative of questions 1 and 2; provided that if the university Faculty Senate has advised the president in the affirmative on either of these questions, that shall create a presumption to that effect, so that the faculty member shall have the burden of producing evidence to overcome such presumption. The faculty member shall have the burden of producing
evidence to prove the affirmative of questions 3 and 4, but if evidence is introduced that the university is renewing fixed-term appointments (Question 3), the university shall have the burden of proving the existence of the exception stated.

Section 4 - Appeals Procedures

a. The composition of, and procedures followed by, the hearing board shall conform to those described in Chapter III, Sections 7 and 8 a-i (p.14), with due and reasonable allowance made for obvious differences in language, reading "faculty member" for "appellant," "dismissal" for "evaluation," and "university" for "department" or "Advancement Committee."

b. The decision of the majority of the hearing board, and any dissent, shall be transmitted in writing to the president.

c. Upon receiving the report from the hearing board, the president shall submit the full report to the Board of Trustees, along with his/her own recommendation.

d. The review by the Board of Trustees shall be based on the record of the previous hearing. The board shall provide an opportunity for written statements to be submitted by the parties and may, at its discretion, hear oral argument.

e. The decision of the hearing board either shall be sustained or the matter returned to the hearing board with specified objections.

f. The hearing board shall then reconsider the matter, taking into account the stated objections of the Board of Trustees and receiving new evidence if necessary. It shall then submit its decision to the Board of Trustees.

g. The Board of Trustees shall make a final decision after reviewing the decision of the hearing board.

PART B - SUSPENSION

Section 1 - Suspension Defined

If a faculty member is relieved temporarily of his/her duties, the faculty member is considered suspended. Salary is continued during the period of suspension.

Section 2 - Grounds

A faculty member is suspended only if immediate harm to the university, the faculty member, or others is threatened by the member's continuance.

Section 3 - Procedure

Suspension is made by the dean with the concurrence of the Professional Standards Committee.

a. The Professional Standards Committee shall determine, based on the evidence presented to it, including the advice of appropriate professionals, if the dean's decision to suspend a faculty member is justified. The Professional Standards Committee shall also determine the time period for which the suspension is to be
effective and on what basis the decision to reinstate shall be made. In developing the
criteria for reinstatement, the committee shall describe specific aspects of the faculty
member's behavior to be changed.

b. The faculty member shall be notified in writing of (1) the suspension, (2) grounds for
the suspension, (3) period of the suspension, and (4) criteria for reinstatement.

c. The faculty member has five (5) working days within which to request an appeal of
the suspension. This request shall be processed using the procedure described in
Part A, Section 4 of this chapter. The question before the hearing board shall be
whether the decision to suspend was made in conformity with this Chapter V, Part B.

If the board finds that there is a code violation, the matter shall be referred back to the
Professional Standards Committee.

PART C - RESIGNATION

A faculty member may separate from university employment at the end of any academic
year. To do so, the faculty member shall notify the dean no later than May 15 of that
year, or no later than 20 working days after receiving the university's notice of the terms
of his or her faculty reappointment for the next academic year, whichever time occurs
first. If a faculty member feels that observance of these time limits would, because of
unusual circumstances, cause undue hardship or cause loss of professional advancement
or opportunity, the faculty member may request the dean to waive the limits.

PART D - RETIREMENT

Section 1 - Normal Retirement

Normal retirement for a faculty member is at the end of the contract year in which age 65
is attained.

Section 2 - Early Retirement

Tenured faculty members may retire at the end of the contract year in which they reach at
least age 55 and receive early retirement compensation. Faculty with 10 years in the rank
of Professor may retire at any age. For each year by which early retirement precedes age
65, up to a maximum of five years, the faculty member will receive compensation based
upon a percentage of the amount specified on the main campus salary schedule for
persons of the same rank and level as the individual electing early retirement. Thus, early
retirement payments for one year would be made to those choosing to retire at age 64,
payments for two years would be made for those choosing to retire at age 63, etc., with
payments for five years being made for those choosing to retire at age 60 years or
younger.

Levels of compensation will be calculated on the basis of years of service. Tenured
faculty members with fewer than 20 years of service at the University of Puget Sound
will receive for each early retirement year 30% of the amount specified on the main
campus salary schedule for persons of the same rank and level, plus 30% of the value of
associated benefits. Tenured faculty members serving at the University of Puget Sound
for 20 years or more will be eligible for compensation at 35% per early retirement year
on the same terms.

The retiree may make arrangements with the university for methods of payment which
would be most beneficial to the individual.
CHAPTER VI

GRIEVANCES

Section 1 - When Used in this Chapter

a. The term "grievance" includes a faculty originated complaint or a university originated complaint.

b. The term "faculty originated complaint" is a complaint by a faculty member that the university, an officer including another faculty member, or an official body thereof has, by act or omission, violated obligations accorded that faculty member by the contract of employment or by provisions of this faculty code; provided, that a faculty originated complaint does not include obligations conferred by Chapter I, Part F, and Chapters III, IV, and V of this code. Those chapters provide for appeal of the alleged violations.

c. The term "university administration originated complaint" is a complaint by the university alleging that a faculty member has by act or omission violated obligations conferred by contract of employment with the university or by provisions of this code.

d. The term "grievant" refers to the originator of the complaint.

e. The term "respondent" refers to the person(s) complained against.

f. The term "parties" refers to the grievant, the respondent, and the university.

g. The term "committee" refers to the Professional Standards Committee.

Section 2 - Prehearing Settlement Conference

a. Within thirty (30) working days of the alleged violation, the grievant shall give written notice thereof to the respondent; provided, that the notice may be served on the dean if the grievant is without knowledge of the identity of the respondent.

A grievance notice presented after thirty working days of the alleged violation will be considered only if the grievant demonstrates that he or she did not know, or could not have known, about the alleged violation until a later time. In such an instance, the grievance notice must be given within thirty working days of the date upon which the grievant gained knowledge of the alleged violation.

b. The notice shall state the relevant facts with reasonable particularity, cite those portions of the appointment contract or the faculty code alleged to be violated, and include proposed remedies.

c. Within five (5) working days of notice the respondent shall conduct formal discussions with the grievant and other appropriate persons with the intent of reaching a satisfactory settlement of the grievance, and which, if found, shall terminate the grievance process. Any party may terminate the prehearing settlement conference if they feel that further discussions will be unsuccessful.
Section 3 - Grievance Hearing

a. If the prehearing settlement conference is terminated without settlement of the grievance, then within five working days of said termination the grievant may serve the written notice required in Section 2 (p.26) to the dean. Included with said notice shall be identification of the individuals who attended the conference and a demand for a grievance hearing.

b. The dean shall, within five (5) days of the service of said notice, forward the notice and all attendant materials to the committee.

Section 4 - Grievance Procedure

a. Upon receipt of the grievance the committee shall fix a time, not later than fifteen (15) days of receipt for a hearing and shall give the dean, the grievant, and respondent five days notice thereof.

b. The function of the hearing committee shall be to determine whether there have been violations of the code, as alleged by the grievant, and to recommend what sanctions, if any, should be imposed upon the respondent(s).

c. Procedures

(1) Presiding Officer. The committee chairperson shall preside, handle administrative duties, and rule on matters of procedure and evidence; provided that decisions by the chairperson are subject to being overruled by a majority of the committee.

(2) Representation. The university shall be represented by person(s) designated by the dean. The grievant and respondent may attend all hearings in person and be acted for by lawyer or non-lawyer counsel chosen by the grievant/respondent.

(3) Closed Hearings. Hearings shall not be open to the public, and the only persons present shall be those whose presence is allowed by this chapter. However, at the request of either party, and with the concurrence of the committee, a representative of an educational association or other appropriate association shall be allowed to observe hearings.

(4) Records. In all cases, the university shall provide an electronic verbatim record, and if requested by either party, a verbatim transcript of the proceedings paid for by the requesting party. Records made of the hearing shall be retained by the university for six years after the committee makes its report.

(5) Order of Presentation. The grievant shall make the initial presentation to the committee. At the conclusion of that presentation any party may request that the hearing be terminated for lack of any probable merit for the grievance. The committee shall then meet in executive session to approve or reject the request. If the request is approved by a majority of the committee then the grievance shall be dismissed and such dismissal is final. If the request is denied by a majority of the committee then the respondent shall go forward with the respondent's presentation.

(6) Evidence. Each party shall offer such evidence as the committee deems relevant, and each party may cross-examine the other's witnesses. Witnesses
may be allowed to testify by affidavit if, in the committee’s discretion, that is the
most feasible way of presenting their evidence and if the opposing party is not
substantially prejudiced by lack of cross examination. The committee shall
have no duty to seek or to present evidence but may do so if, in its judgment,
justice requires. In such a case, the committee shall have right of access to all
pertinent materials, regardless of classification. The hearsay rule or other
exclusionary rules of evidence used in courts of law shall not apply.

(7) Discovery. Insofar as practicable, each party shall assist the other in obtaining
witnesses and evidence when the party's assistance is necessary or helpful.
Each party shall make specifically requested and relevant documents or other
tangible evidence in its possession available to the other for presentation to the
committee.

(8) Public Statements. No person involved in the hearing's proceedings shall make
public statements, directly or indirectly about the matters in the hearings.

(9) Final Report. After completion of the hearing, the members of the committee
shall meet in executive session to consider their decision on the matters before
them. The committee may consider only evidence presented to it in hearing.
The decision of the majority shall be transmitted to the president as the
committee's decision, but dissenting members may also transmit statements of
their position. Said report(s) shall be delivered to the president within ten (10)
working days of the termination of the hearing unless the committee extends the
time. The committee shall send the president a copy of the grievant's notice of
complaint, a summary of their hearings, and tangible items of evidence they
received in their hearings.

Section 5 - President's Action

The president shall consider the report and materials submitted therewith. Within twenty
(20) working days of receiving the committee’s report, the president shall do the
following:

a. finally determine what action, if any, the university shall take in response to the
grievance complaint;

b. transmit the final determination to the committee, to the grievant and to the
university officer or employees whose actions gave rise to the grievance complaint;

c. transmit to the committee, should the final determination by contrary to that reached
by the committee, the reasons for the determination;

d. direct appropriate university officers to take any required action.

Section 6 - Respondent's Action

The respondent shall comply with the decision within thirty (30) working days or sooner.
Failure to comply may be considered a violation of contract, and Chapter I, Part C of the
faculty code.
APPENDIX

PROFESSIONAL STANDARDS COMMITTEE INTERPRETATIONS
OF THE FACULTY CODE

The Faculty Code (Chapter I, Part G, Sections 1 and 2) provides that the Professional Standards Committee shall make interpretations of the provisions of the Code as necessary. This Appendix contains current interpretations.

Interpretation of “working days” in the Faculty Code (citations provided below); (Report to Faculty Senate 31 January 2005):

Many processes described in the Code (such as but not limited to processes for appealing interpretations of the Code; for conducting evaluations, appeals of evaluations, and hearing boards; for dismissing a faculty member; and for conducting grievances) specify a particular number of "working days" during which a stage of the process is to be completed. In these Code processes, "working days" means those weekdays during the regular academic year (i.e., fall and spring semesters) when classes are in session, plus the weekdays of reading and final examination periods. If all parties consent, Code processes can proceed on non-working days. Completing one stage of a process during non-working days does not, however, oblige parties to complete all subsequent stages of the process during non-working days.

This interpretation applies to the phrase “working days” as it appears in these and any other places in the Code, now and in the future:

Chapter I, Part G, Section 2
Chapter III, Section 4. b (3)
Chapter III, Section 4. b (4) [twice]
Chapter III, Section 4. c (2)
Chapter III, Section 4. c (3)
Chapter III, Section 4. c (6)
Chapter III, Section 4. e (2)
Chapter III, Section 6. a (3)
Chapter III, Section 6. c
Chapter III, Section 6. c (6)
Chapter III, Section 6. d (2)
Chapter III, Section 7. j
Chapter V, Part A, Section 2. c (3)
Chapter V, Part A, Section 3. b
Chapter V, Part A, Section 3. c (2)
Chapter V, Part B, Section 3. c
Chapter V, Part C
Chapter VI, Section 2. a [thrice]
Chapter VI, Section 2. c
Chapter VI, Section 3. a
Chapter VI, Section 4. c (9)
Chapter VI, Section 5
Chapter VI, Section 6
CHAPTER I

Interpretation of Chapter I, Part C, Section 2, and Chapter I, Part D, Section 4.
Professional Ethics of Faculty and Relationships of a Sexual Nature (Report to Faculty Senate 18 April 1984):

Concern has been expressed, both locally and nationally, regarding relationships of a sexual nature between students and faculty. The argument has been raised that such relationships are between consenting adults and thus outside the purview of the University. Such an argument fails to recognize the inherently unequal power relationship that exists between professors and students and the attendant opportunity for exploitation of the student for personal advantage. Such a relationship may adversely affect the ability of the professor to deal impartially and professionally with all students.

In those cases where the faculty member is in a position of professional responsibility with respect to the student, the Professional Standards Committee rules that sexual relationships violate acceptable standards of professional ethics as required by the Faculty Code, Chapter I, Part D, Section 4 and impair the role of teacher as defined in Chapter I, Part C, Section 2.

Interpretation of Chapter I, Part C, Section 2, a. Guidelines for the Use of Course Assistants (Report to Faculty Senate 5 May 1986):

The responsibility for teaching and instruction at the University of Puget Sound resides with the faculty members. The university recognizes, however, that in special cases it is appropriate or necessary to utilize the services of students as course assistants. Course assistants do not replace full or part time faculty. Rather they extend and augment the ability of a faculty member to fulfill the objectives of a particular class. The use of course assistants in no way reduces, replaces, or eliminates the authority or responsibility a faculty member has for a course as specified in the Faculty Code.

Duties and Responsibilities of Course Assistants

Specific activities for course assistants will of necessity vary (from department to department and from course to course). Each department must develop a clear statement for each course concerning the use of course assistants. The statement should discuss, at least, the following: (1) faculty supervision, (2) the role of course assistants in the classroom or laboratory, (3) the specific tasks assigned to course assistants, (4) the degree and type of interaction between the course assistants and students, (5) the role of course assistants in grading and evaluating student work, (6) the expected number of hours of work, and (7) the method of evaluating performance. This statement should be made available to all prospective course assistants and reviewed specifically with all course assistants at the beginning of their employment.

Supervision and Responsibility of Course Assistants

Each course assistant must be under the direct guidance and supervision of a faculty member. Unless there are unusual circumstances, the supervising faculty member should be the person responsible for the course in which the course assistant is employed. It is the responsibility of the supervisor to see that the course assistant successfully fulfills the requirements of the job. The supervisor will meet in a timely fashion with the course assistant to develop appropriate material for the course and to assess the course assistant’s performance.
The supervisor, or faculty member responsible for the course, should inform the students enrolled in the course about the role and duties of each course assistant. Students should also be informed that they have the right to appeal decisions made by any course assistant to the faculty member or supervisor.

Confidentiality of Sensitive Material

In some cases course assistants will have access to confidential information (e.g., grades, performance records, or evaluations) about the students enrolled in the class. It is normally inadvisable for one student to obtain confidential information about another student. Thus, the department and the supervisor must make every effort to restrict course assistants' access to such information to a minimum. Course assistants must be made aware of the sensitive nature of this information and directed to treat it in the strictest of confidence. Abuse of this privilege should be grounds for dismissal of a course assistant from employment.

Selection of Course Assistants

Each department must develop a procedure for selecting course assistants which is consistent with both the needs of the department and with the prevailing regulations and rules applicable to equal employment. Selection criteria should correspond to the departmental statements about the duties and responsibilities of the course assistant position.

The primary concern of the department in selecting course assistants must be the ability of individuals to perform satisfactorily the expected functions of a course assistant. To the extent possible, departments should select students who qualify for university matching funds under existing work-study programs.

Applications for positions should be solicited from all qualified students. Notification to both selected individuals and unsuccessful applicants should be in writing. The department should ensure that each selection is based on rational criteria and procedures so that they are not perceived as arbitrary or capricious. The department should be willing to discuss its decisions with unsuccessful applicants.

After the selection process is completed the department is responsible for working with the university's Office of Student Employment to execute the appropriate documents.

Role of Professional Standards Committee

Since course assistants perform some of the activities and have some of the responsibilities of faculty members, it is in the interest of the university to monitor their use. Thus, each department employing course assistants should submit to the Professional Standards Committee a document which explains the duties, responsibilities, and supervision of course assistants. The committee will review this document and determine whether it is appropriate. When the department obtains committee approval it may then employ course assistants in accordance with these procedures and the departmental document.

Interpretation of Chapter I, Part C, Section 2, and Chapter I, Part D, Section 4. Spouses/Children Taking Courses from Faculty (PSC made voluntary 26 September 1986; accepted by Faculty Senate 3 November 1986):
Background: The University of Puget Sound provides tuition-free enrollment for children and spouses of faculty members. While those family members seldom register for a course taught by their parent or spouse, they may choose to do so or need to do so as part of a program of study. The University acknowledges that such situations exist or may exist. These guidelines are intended to apply in such cases.

There is no presumption that a faculty member will give favored treatment to a spouse or child in his/her courses. Indeed, the opposite may be a more likely result. Other students, however, may perceive that the relative may receive, or is receiving, favored consideration. In order to protect the integrity of individual faculty members, the following recommendations are given:

1. When a spouse or child is enrolled in a faculty member's course, that relationship should be openly acknowledged.

2. Significant papers, exams, or other course assignments should be evaluated by the process of "blind review," as follows:
   a. A department colleague should be asked to serve as a reviewer of evaluations/grades.
   b. Papers/projects should be first graded and critiqued by the instructor of record, but with grades for a selected group of papers not yet recorded.
   c. That selected group of papers/projects should be submitted to the "blind review" colleague. All references to names of the paper/project authors should be deleted.
   d. The selected group of papers/projects should include the spouse or child's effort.
   e. The selected group of papers/projects should include a range of grades or scores for comparison purposes.
   f. The "blind review" colleague should acknowledge that similarities or differences in grading/evaluation show consistency. (The reviewer should not be asked to certify that he/she would grade the same way.)
   g. This "blind review" acknowledgement should be recorded by the instructor of record and by the reviewer.
   h. The "blind review" procedure should be announced to other students in the class.

If there are questions or concerns about instructor objectivity in evaluating spouse/child efforts, the Professional Standards Committee is available for consultation. Serious challenges should follow university procedures for grievances.

Interpretation of Chapter I, Part D, Section 4, and Chapter I, Part E, Section 3.
Procedures to Follow in Cases of Faculty Misconduct (PSC Memorandum 13 November 1990):

In the spirit of preserving the individual rights of all parties concerned in cases of alleged professional ethical misconduct, the Professional Standards Committee recommends that the following procedures be followed by those making complaints or allegations:

a. First notify the faculty member of suspected misconduct on his or her part. There may be an explanation that resolves the matter satisfactorily.
b. Failing to receive an explanation that is satisfactory, or not wishing to deal
directly with the person suspected of misconduct, one should take the matter
to the Chair of that person's department. The Chair may resolve the matter to
everyone's satisfaction.
c. If these steps do not resolve the problem, the matter may be brought to the
attention of the Professional Standards Committee.

Even if a faculty member does not choose to follow steps a. and b., the matter
may be brought directly, and in confidence, to the Professional Standards Committee.
The Committee considers that every attempt ought to be made to resolve questions of
ethical conduct within the procedures established by the Professional Standards
Committee.

CHAPTER III

Interpretation of Chapter III, Section 2. Delaying a Scheduled Evaluation (Report
to Faculty Senate 18 November 2004):

In this section, the Code describes the normal intervals for scheduled evaluations
and provides for the possibility of early evaluations. There may also be circumstances in
which a faculty member requests a delayed evaluation. Over the years, practice has
evolved to allow the Academic Vice President discretionary authority to permit the
postponement of a scheduled evaluation. This informal arrangement has received formal
expression with reference to the particular circumstances covered by the University's
"Faculty Medical and Family Leave Policy and Faculty Disability Policy." That
document states, "The request for the delay in evaluation will be submitted in writing to
the department chair. The chair will make a recommendation to the Academic Vice
President, who will review the request and approve the delay when circumstances
warrant."

To maintain consistency in the handling of requests for delayed evaluations, the
procedures quoted above should be followed in all cases. Whenever possible, faculty
members should anticipate the need for a delayed evaluation, take steps to insure that
student evaluations are administered as required, and seek the recommendation of the
department chair and the approval of the Academic Vice President well in advance of the
time for the normally scheduled evaluation.

Interpretation of Chapter III, Sections 3 and 4, and Chapter I, Part B, Section 2, a.
Evaluation of Instructors (Report to Faculty Senate 5 May 1986):

The evaluation procedure to be followed (for instructors) is roughly the procedure
outlined in the Faculty Code, Chapter III. An informal evaluation is to be done within the
department in each of the first two years, with a summary report sent to the Dean for
information. In the third year, and every third year thereafter, a formal evaluation, as
outlined in the Code, will be held. The evaluation of instructors will be based upon the
quality of their performance in the following areas, listed in order of importance:

1. Teaching
2. Professional Development: Instructors are expected to remain current in the
relevant parts of the discipline and to keep abreast of those developments in
the discipline which bear upon their teaching duties. They are not required to
engage in scholarly research and writing; however, the department may
encourage them to do those things which will add to their repertoire of professional awareness and abilities.

3. Advising Students
4. Participation in Departmental Service

Finally, the standards to be employed in assessing professional performance will be those used for all other evaluations in the department, except as they pertain to scholarly work and University service.

Interpretation of Chapter III, Sections 2, 3 and 4. Sequence of Evaluation (PSC approved 30 April 1986; approved by Faculty Senate, 5 May 1986):

Evaluations of career faculty* are made:

1. at the conclusion of each year for the first two years of a non-tenured appointment,
2. every three years for assistant and associate professors,
3. every five years for full professors, and
4. prior to decisions to: (a) promote a faculty member, b) grant or deny tenure, or (c) not reappoint a non-tenured faculty member.

* [Now called tenure-line faculty.]

PROCEDURES OF EVALUATION

(A) The annual evaluations during the first two years of a non-tenured appointment are made by the head officer of the Department, School, or Program. A copy of the report will be sent to the individual evaluated, the Dean, and the Faculty Advancement Committee. This document is for informational purposes and no further action is required; however, the Professional Standards Committee urges evaluatees to initiate interaction with the head officer and/or colleagues for constructive utilization of this evaluation process.

(B) All other evaluation procedures are amply outlined in the Faculty Advancement Committee document and the Faculty Code.

ADDITIONAL COMMENTS

(A) Each Department, School, or Program should have on file with the Dean a written statement of the criteria, standards, and needs of the Department which are used in the deliberation. This statement includes criteria for faculty teaching, professional growth, and service. This document is written with respect to the University’s standards and needs. Evaluatees are encouraged to obtain this document early in their first year from their Department, School, or Program and to discuss its meaning with the head officer.

(B) The first annual evaluations and the first three year evaluation are important events. These evaluations constitute the only official feedback from the Department, School or Program and from the University that the evaluatee will get prior to being considered for tenure. For the three year evaluation, great care should be taken on the part of the evaluatee in preparing the documents for submission to the Department, School, or Program and it is incumbent upon the evaluatee to initiate a dialogue with the head officer and/or colleagues upon receipt of the Faculty Advancement Committee’s letter in order to maximize the constructiveness of the evaluation process.
(C) Neither this document nor the Faculty Advancement Committee’s document is to be considered definitive. For the complete explanation of the sequence and procedures of faculty evaluation at the University of Puget Sound, faculty are referred to the Faculty Code, particularly Chapter 3. Finally, we would like to stress that although the process of faculty evaluation is set forth in the Faculty Code, the evaluation itself is a subjective evaluation on the part of the Department, School, or Program, the Faculty Advancement Committee, the President, and finally the Board of Trustees.

Interpretation of Chapter III, Section 4, a (1) (b). Class Visitation (PSC Minutes 22 March 1993):

Although "an ongoing process of class visitation" allows flexible implementation, an evaluation without a reasonable number of class visitations by members of the evaluee's department, school, or program is in violation of the Code.

Interpretation of Chapter III, Section 4. Department Discussion of Candidate's Evaluation Being Attended by Candidate or Candidate's Spouse who is also a Member of the Department (PSC Minutes 16 October 1989):

Candidates should not be present during the department's discussion of their evaluation. Also, the proper approach would be for spouses to excuse themselves from the departmental meeting deliberating the case of their mates.

Interpretation of Chapter III, Section 6, c. Time Frame for Setting Up a Hearing Board (PSC Minutes 8 February 1993):

An appeal begins at the moment the chair of the Professional Standards Committee receives in writing from the evaluee the specified alleged violations of the Faculty Code. The Committee understands that even under conditions of best effort the process of forming a hearing board may press the five-day limit, but this will not negate proper procedure.

Interpretation of Chapter III, Section 8. Access to Letters in Open Evaluation Files (PSC Minutes 6 May 1993):

In the case of an open file, the faculty member being evaluated has access to letters in the evaluation file. If the faculty member desires copies of the letters, the faculty member may seek copies from the writers. Photocopies of the letters will not be made from the faculty member's file itself.

Unified Interpretation of Chapter III, Sections 4, a (1) and 4, a (1) (c). Letters of Evaluation from Persons Outside the Department (Approved 14 February 2000 by the Professional Standards Committee and 12 May 2000 by the Board of Trustees):

The Professional Standards Committee offers the following interpretation of the procedures regarding submission of letters of evaluation* (or any other written material) from persons outside the department during the process of faculty evaluations.
July 2005  FACULTY CODE – Page 41

The Faculty Code (Chapter III, section 4, a (1)) states that "the head officer shall gather information in writing about the faculty member being evaluated from the faculty member; from colleagues in the department, school or program; and from other sources if they seem relevant." It further states (Chapter III, Section 4, a (1) (c)) that "individual faculty members may send their observations and recommendations directly to the dean." The PSC interprets these comments to provide for three ways in which letters (or other written material) from persons outside the department may be included in faculty evaluations.

1. The faculty member being evaluated may include any documents she or he wishes into the evaluation file. Thus, evaluees wishing to guarantee the inclusion of outside letters into the evaluation file can receive those letters and put them in the file before it is submitted for consideration by departmental colleagues.

2. Any persons who wish may submit letters directly to the head officer. The head officer may then include the materials from this person "if they seem relevant." All materials must be received at least ten working days before the deadline for submission of the completed file to the Academic Vice President's Office to allow department members the time to review these materials prior to the department deliberation. Letters arriving after that deadline will not be included in the evaluee's file. (The deadline for submission of files is established each fall in a document that is distributed to all faculty members.) Head officers are reminded that, if the evaluee has chosen confidential letters, the head officer must provide the evaluee with a list of those individuals who submitted letters and a summary of the substance of the letters (Faculty Code: Chapter III, Section 4, b (2) (a) and Section 4, b (2) (b)).

3. Any University of Puget Sound faculty member may submit letters directly to the Academic Vice President's office as long as those letters are received by the date of the deadline for departmental submission of a completed file to the Academic Vice President's office. Letters arriving after that deadline will not be included in the evaluee's file. Any letters other than those from UPS faculty members that are sent to the Academic Vice President's Office will be forwarded to the head officer and will be handled according to the provisions in part 2 above.

* [Note: As defined for purposes of interpretation, a letter of evaluation is a document submitted in paper form bearing the signature of the author (PSC, April 2003).]

CHAPTER IV

Interpretation of Chapter IV, Section 2, b (4). Expectations for Early Promotion (Memorandum to Professional Standards Committee from Faculty Advancement Committee, 9 February 1987 requesting discussion and approval)

Early promotion is an unusual and exceptional circumstance in the process of advancement. The schedule for advancement and tenure as outlined in the Faculty Code represents the agreement of the faculty on when its members ought to come up for evaluation. If, however, an individual has assembled a sustained record of achievement of exceptional merit in all the categories by which a faculty member is evaluated, he or she might request to be promoted or granted tenure before the usual time as stipulated by the Faculty Code. In such instances, the university might well wish to consider early promotion as an indication of its special appreciation for and commitment to faculty members of exceptional achievement. In any case, it is incumbent upon the faculty
member and his/her department in cases of early promotion to demonstrate that the
above-mentioned criteria have been met.

CHAPTER V

Unified Interpretation of Chapter V, Part A, Section 2, b. Discontinuation of a
department, school, or program (Approved 3 May 1995 by the Professional
Standards Committee and 12 May 1995 by the Trustee Academic and Student
Affairs Committee):

From this date forward discontinuation of a department, school, or program shall
be taken to mean that the unit is no longer operated by the University. In each such case,
the consultation stipulated in this paragraph shall be required, regardless of whether
dismissal of faculty is involved.

CHAPTER VI

Interpretation of Chapter VI. Grievances arising from allegations of sexual
harassment. (Sexual Harassment Policy adopted by Faculty Senate 17 January
1983):

The University of Puget Sound reaffirms the principle that its students, faculty,
and staff have a right to be free from sex discrimination in the form of sexual harassment
by any member of the academic community.

Sexual harassment is defined as actions intended to coerce an unwilling person
into a sexual relationship, to subject a person to unwanted sexual advances, to punish a
refusal to comply with such intentions or to create a sexually intimidating or hostile
working or educational environment. This definition will be interpreted and applied
consistent with accepted standards of mature behavior, academic freedom, and freedom
of expression.

Situations believed to involve sexual harassment may be discussed in confidence
with the Director of Human Resources and Affirmative Action, the Dean of Students, the
Dean of the University, or any member of the above named staffs. If the complaint
requires a formal or informal hearing, the appropriate procedures of the Academic
Handbook, the Faculty Code, the Personnel Policies and Procedures Manual, or the
Student Conduct Code may be applied.

Complaints about sexual harassment will be responded to promptly and equitably.
University policy explicitly prohibits retaliation against individuals for bringing
complaints of sexual harassment. Formal procedures will not be initiated without a
written, signed complaint. An individual found to be guilty of sexual harassment is
subject to disciplinary action for violations of this policy, consistent with existing
procedures.