

# College Protocols, Policies, and Procedures

October 2011 Version

**College of Arts and Sciences**



**Santa Clara University**

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# **Policies and Procedures for Tenured and Tenure-Track Faculty Recruitment and Appointment**

(Revised August 2010)

## **General Appointment Information**

Some important highlights from University Faculty Personnel Policies and Procedures related to tenured and tenure-track appointments are summarized as follows:

- the standard academic-year course load for tenured and tenure-track faculty is seven courses (or the equivalent), generally with an annual one-course reduction for faculty who are engaged in active scholarly or creative work;
- the standard appointment is for the academic-year and begins September 1;
- a faculty member with an academic-year appointment is expected to teach at least one course each quarter (fall, winter, and spring) (course clustering procedures are discussed in the University Policy on Flexible Course Scheduling, section 3.6.3.1, *Faculty Handbook*);
- the annual salary is paid in 24 equal semi-monthly installments beginning September 1 and ending the following August 31;
- eligibility for benefits is determined in accordance with the terms of the appointment, section 3.8.2 of the *Faculty Handbook* and other applicable University policies and procedures;
- offer letters are prepared by the Office of the Dean and letters of appointment for tenured and tenure-track faculty are issued from the Office of the Provost and signed by the President.

**Duties and Functions** (see *Faculty Handbook*, section 3.6.2 and 3.6.3 for details)

## **Guidelines for Tenure-Track Position Proposals**

When beginning the process of requesting a new faculty position, the department chair should start by reviewing the University Policy on Recruitment and Appointment to Faculty, *Faculty Handbook* section 3.2 on Recruitment of Faculty and the Office of Affirmative Action Faculty Search Process document. Departmental proposals for tenure-track positions are typically due in February of each year. In addition to the criteria described in the University Policy on Recruitment and Appointment of Faculty, proposals should include:

- a detailed position description suitable for advertising the position, with a specification of the required minimum professional qualifications;
- a statement indicating how this position would respond to the multi-year, long-term goals and needs of the department, will address persistent programmatic need, if any, as revealed by program review and improvement efforts- including a five year hiring plan;
- a description of a general recruitment plan the department will use to identify the best qualified candidates and ensure an inclusive search process (including the ad and a draft evaluation rubric);

In evaluating the proposals, the dean will carefully weigh several factors including but not limited to:

- faculty resources and enrollment (persistent programmatic need, percentage of courses taught by non-tenure-track faculty, percentage of courses taught by non-tenure-track faculty, average enrollment

relative to capacity, numbers of course sections offered annually, total numbers of units offered annually);

- department needs (demographics and disciplinary coverage);
- University needs (potential contribution to diversity goals, Core contributions, potential for RLC involvement, potential for connections to Centers of Distinctions);
- College needs (contributions to College requirements and initiatives, interdisciplinary programs, and waiver programs; potential contribution to diversity goals); and
- program review and improvement outcomes.

**Position Approval.** Following the College Guidelines on Tenure-Track Proposals (above), the dean recommends to the provost new and replacement faculty positions. The provost then approves the allocation of such positions and authorizes searches to fill the positions.

## Recruitment and Appointment Process

**Evaluation Rubric and Job Description.** Upon notification from the dean that the position has been approved for a search, the department chair and/or search committee chair, in consultation with the search committee and the faculty, will refine the information from the tenure-track proposal by preparing a more detailed recruitment plan. The recruitment plan must include a more specific recruiting strategy, an evaluation rubric and a revised job ad.<sup>1</sup> This evaluation rubric should include all specific hiring criteria that will be used to screen and evaluate candidates throughout the hiring process. The final job ad must reflect the criteria with which that the candidate will be judged. Once the dean has approved the detailed recruitment plan, the evaluation rubric, and job description, no additional hiring criteria may be added without permission from the dean.

### Details Regarding the Detailed Recruitment Plan

- 1) The search committee chair must submit a detailed recruitment plan to the dean for approval. The recruitment plan must include:
  - a) A candidate evaluation rubric based on the specific hiring criteria as described below
  - b) Two job advertisements – one in the HR format and the second in a format for external venues. To save space in external venues, departments may use the full job ad or an abbreviated job ad.<sup>2</sup> Abbreviated job ads may simply list the name of the university, the department, the disciplinary area of the vacancy, a reference to the university website where the full job ad may be viewed and a notation that we are a EEO/AA employer. All full job ads must include:
    - i) specify clear qualifications for the position and all specific hiring criteria as listed in the evaluation rubric,
    - ii) list a final deadline for applications,
    - iii) state that Santa Clara is a Jesuit, Catholic university (not underlined in the ad),

<sup>1</sup> All candidates must be evaluated in the same way using these same criteria. The specific hiring criteria for the position include: University criteria outlined in the *Criteria for Selection* section of the University Policy on the Recruitment and Appointment to Faculty, College criteria outlined in College Policy on the Rank Ordering of Candidates for Tenure-Track Positions, department specific criteria such as developing an undergraduate research program, and other general criteria that assess skills related to essential functions of the position, such as oral presentation skills, interaction with students, breadth and depth of knowledge in discipline and subdiscipline, etc.

<sup>2</sup> For example, an abbreviated ad may read as follows: Santa Clara University, Department of Gardening, Tenure-track Position Available 2009/10. For more information or to apply, [www.scu.edu/hr/careers/faculty.cfm](http://www.scu.edu/hr/careers/faculty.cfm). EEO/ AA employer.

- iv) If the ad is posted on the SCU HR website, it will automatically include the Clery language. If you are posting in another venue that does not include a reference to the SCU HR ad, then you shall include the following EEO/AA and Clery wording for ads outside the university: “Santa Clara University is an Equal Opportunity / Affirmative Action employer, committed to excellence through diversity, and, in this spirit, particularly welcomes applications from women, persons of color, and members of historically underrepresented groups. The University will provide reasonable accommodations to all qualified individuals with a disability. Also, in accordance with the federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, the University annually collects and makes publicly available information about campus crimes and other reportable incidents ([www.scu.edu/cs/](http://www.scu.edu/cs/)).”
  - v) Since all departments should evaluate candidates using the same basic criteria, the following materials must be requested in job advertisements: (1) curriculum vitae, (2) graduate transcripts, (3) three letters of recommendation, (4) sample syllabi, (5) teaching evaluations, (6) personal statement(s) covering teaching philosophy, research plan, and experience working with people of diverse cultures and identities, (7) at least one example of representative scholarship e.g. published article or book chapter, dissertation chapter, video or audio recording of an artistic performance etc.(as long as one has the copyright privilege to use said recordings.
- c) A Specific Recruitment Strategy
- i) When and where the position will be advertised - including recognized prominent national publications for the subject area (print and web versions), the Human Resources web page, the department web site, and the department office.
  - ii) To meet Homeland Security regulations, for all tenure-track faculty searches, at least one advertisement stating the title, duties, and responsibilities of the position must be placed in a hard-copy national professional journal or the *Chronicle of Higher Education* (an online posting does not fulfill this requirement). The advertisement should have run at least thirty days before an offer is made to ensure that qualified U.S. nationals have an opportunity to respond to the advertisement. **The department may post the ad themselves or participate in a joint ad with the College or other SCU departments.**
  - iii) All tenure-track hires must include placement in as broad an academic audience as possible (i.e., *Chronicle of Higher Education*);
  - iv) Strategies for increasing the diversity of the applicant pool, including but not limited to targeting organizations that serve underrepresented groups, including the National Minority Faculty Identification Program (now known as The Registry, <http://www.theregistry.ttu.edu/>); the College, the provost, and the director of affirmative action strongly encourage departments to conduct searches early in the academic-year in order to obtain the greatest available pool of qualified and diverse applicants;
  - v) The members of the search committee;
  - vi) How recruitment materials will be handled. (The dean encourages departments use sustainable, and if possible, paperless, searches by using password protected, electronic means to store applicant submissions
  - vii) Proposed dates for interviews and any conferences that will be used as recruiting venues.

The department chair will send the recruitment plan to the Office of the Dean for approval. Ads may not be posted until the Office of the Dean has approved the entire recruitment plan.

## Evaluation Rubric Criteria

- 2) The department chair and the search committee must use the following College and University hiring criteria to create the evaluation rubric (additional departmental or disciplinary criteria may and should be added):
- a) Scholarly potential
    - i) Accomplishments to date
    - ii) Work in progress
    - iii) Research plans for the future
    - iv) Connection to resources / individuals that will support the person's productivity and maturation as a scholar
    - v) Potential for success as a teaching scholar
  - b) Teaching potential
    - i) Demonstrated potential to teach in the areas assigned to this position
    - ii) Demonstrated ability or interest in contributing to the Core and major
    - iii) Prior success in teaching at the lower-division and upper-division level as demonstrated by syllabi and teaching evaluations
    - iv) Interest and potential in mentoring undergraduates in research and/or internships
  - c) Contribution to University, College, and department priorities
    - i) Understanding and support of the University's Jesuit mission
    - ii) Potential connection to one of the Centers of Distinction, RLCs etc.
    - iii) Ability or potential to contribute to one or more specific departmental objectives
    - iv) Ability or potential to contribute to one or more specific College strategic goals
    - v) Ability or potential to contribute to one or more specific University strategic goals
  - d) Potential to enrich the University's community of scholars
    - i) Ability or desire to take part in course development or research across disciplinary boundaries
    - ii) Long-term potential to serve as a department chair or take on other important faculty leadership roles
    - iii) Experience or interest in working with diverse constituencies
  - e) Collegiality<sup>3</sup>
    - i) Ability to achieve collegial relations within the department and University for the purpose of helping the department achieve one of the other criteria listed.
  - f) Potential to meet the criteria for promotion and tenure
    - i) Potential for "superior accomplishment" in teaching; scholarly work and other professional accomplishments; and service to the University, the profession, and the community.

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<sup>3</sup> According to the Faculty Handbook (section 3.4.2), "collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of scholarship, teaching, and service." It is rather a quality whose value is expressed in the successful execution of these three functions. Collegiality means that faculty members cooperate with one another in sharing the common burdens related to discharging their responsibilities of teaching, scholarship or creative work, and service, and do so in a conscientious and professional manner. Collegiality is not the same as conformity or intellectual agreement and may not be interpreted in a way that violates the principles of academic freedom. In those rare instances in which lack of collegiality becomes an issue in the evaluation of faculty for promotion and tenure, it may be considered only insofar as it has a negative effect on the functioning of the department, college or school, or University."

***Search and Hiring/Recruitment Procedures for Tenure-Track Faculty.*** All departments (and programs) must follow College faculty hiring procedures. All procedures for tenure-track hiring must include the following:

- 1) After receiving written authorization from the dean to conduct a search, the department chair, in consultation with senior faculty, is responsible for appointing a search committee consistent with the approved Recruitment Plan described above. The search committee will consist of at least three people, but may be larger at the discretion of the chair. Typically, tenured and tenure-track faculty serve on the search committee. Faculty from other departments may also be invited to serve on the search committee. Pursuant to Faculty Handbook section 3.2.2.1, non-tenure-track faculty do not participate in ranking candidates or making recommendations for hire. The role of non-tenure-track faculty and all other persons in the process is advisory to the tenure-track faculty.
- 2) All faculty participating in the process in the department will be given copies of, and asked to review, the College search procedures (this document), the University Policy on the Recruitment and Appointment to Faculty and affirmative action materials on faculty search processes. All faculty should be reminded that email may never be used to circulate evaluative comments about candidates. Email may be used to discuss process issues only. All department faculty should also be reminded that the search process must be confidential; the interviews must follow the same process for each candidate and must comply with fair employment practices. Finally, faculty should be reminded that departmental discussions of candidates must focus only on the candidate's job-related qualifications and those specific hiring criteria that were listed in the evaluation rubric that informed the job description. Departments may use password-protected electronic means to collect and store applicant information.
- 3) The department chair and the search committee chair should consult with the faculty representative on the University Council on Inclusive Excellence early in the search process to discuss recruitment strategies. They may also wish to consult the affirmative action officer about any technical questions related to the search process. The search committee chair must attend the Roundtable discussions scheduled by the University Council for Inclusive Excellence for the year of the search.
- 4) The chair will submit a recruitment plan, which includes the evaluation rubric and job ads for approval. Please see previous section for a more detailed explanation.
- 5) In the spring or fall, the dean or the dean's representative will call a meeting of all search committee members. At this meeting, the faculty again will be asked to review the documentation and principles described in Step 1 above. At that point, the dean will remind all search committee members that the specific hiring criteria described in the evaluation rubric may not be changed or augmented without permission of the dean.
- 6) As application materials and reference letters come in, they will be logged by the office manager in the Faculty Applicant Flow Log, a spreadsheet with dates of receipt for each piece of the application and each support document. The office manager will send an acknowledgement of receipt for each application. In the acknowledgment the applicant should be made aware that they will be notified once all application materials are received and their file is complete. The demographic information form required by the Affirmative Action Office will be included with the initial acknowledgement, to be returned directly to that office. The demographic survey may alternatively be conducted by email. Files will be stored in a secure location.
- 7) A few days before the application deadline date, the office manager will inventory incomplete applications and notify applicants, by email if possible, which items are missing. Five days will be

granted for receipt of these materials.

- 8) For each application (complete or incomplete), the office manager and search committee will begin to make entries in the AAO Faculty Applicant Flow Log specifying (a) the applicant name, (b) the date the application (CV) was received, (c) the zip code for the applicant's residence, (d) a source code identifying where the applicant learned of the position (e.g., PE for periodical) and (e) a status code (Q, qualified; N, not qualified; A, accepted; S, short listed; I, interviewed; W, withdrew; D, declined offer). A separate column is reserved for the ranking of the final candidates.
- 9) Shortly after the application deadline, the search committee will begin reviewing the applications with a view towards quickly eliminating applicants who do not meet the minimum qualifications and selecting a "short list" of typically ten to fifteen candidates to be considered by the department. Deliberations will focus on the specific hiring criteria for the position as defined in the candidate evaluation rubric developed as part of the recruitment plan (step 5).
- 10) Any internal candidates must be treated the same as external candidates and confidentiality should be carefully maintained.
- 11) The College now requires that either a telephone interview or a preliminary interview at an annual conference be conducted before the department determines the on-campus interview list. Each interview should be conducted following the same procedure and using a common set of interview questions. Phone interviews must be conducted after the application deadline. See the following in the College of Arts and Sciences Protocol Book:
  - Telephone Interview Protocol for Tenure-Track Searches
  - College Guidelines on Conducting Interviews at a Conference
- 12) When applicants ask questions about the progress of the search with respect to their candidacy, please respond as follows.

*To guarantee fairness with respect to all other applicants, no avoidable advantage or disadvantage must accrue to any one candidate. We may not, for example, either initiate discussion of, nor answer questions about, such matters as the progress of the search, the chances of the candidate relative to others in the applicant pool, the makeup of the applicant pool, our own point of view on the candidate's qualifications, or what we think the point of view of others will be. Any such conversations or advice, whether positive or negative, might be construed to prejudice the search process. In unusual circumstances, the chair or search committee chair shall contact the dean to seek an exception to this policy.*
- 13) Similarly, when there is an internal candidate for an open position, the hiring department should take extra steps to ensure that confidentiality and fairness are maintained at all steps of the hiring process. The goal is to ensure that the internal candidate is neither advantaged nor disadvantaged by their current status in the department. Please follow the policy in the paragraph above.
- 14) All participants in the search process should be familiar with Santa Clara University Policy 305 regarding confidentiality. <http://www.scu.edu/hr/policy/305.cfm>
- 15) The provost or dean has the authority to cancel a search if there is a breach of confidentiality.
- 16) Depending on the process approved in the recruitment plan, the search committee or tenure-track faculty will convene to choose the three candidates to be interviewed from among those on the short

list. To begin the meeting, the selection criteria for the position, the candidate evaluation rubric, and fair employment practices (College Resource Binder, Appendix 4) will be reviewed.

- 17) The search committee chair or department chair will make a written recommendation to the dean following the College Policy on the Rank Ordering of Candidates for Tenure-Track Positions (College Resource Binder, Chapter 1, p. 8), including a brief summary of the hiring criteria described in section 4 (a-f) . The department chair and/or search committee chair will meet with the dean to discuss the recommendations. The search committee chair will provide a ranking based on the discussions with the tenure-track faculty and the candidate evaluation rubric. A department must seek approval of the dean to present fewer or more than 3 final candidates for a position. The department may not contact candidates about interviews until after the dean has approved the interview list.
- 18) Soon after the candidates to be interviewed have been approved by the dean in writing, the search committee will invite the candidates to campus for two-day interviews. The search committee will send electronically to each candidate the following materials (available as PDF files on the College website) :
  - Message from the Dean
  - College of Arts and Sciences Faculty Employment Application
  - College of Arts and Sciences Faculty Search Survey
- 19) Each interview will follow the same format. Interviews will include individual discussions with all departmental tenured and tenure-track faculty, the dean (or a representative), the provost (or a representative), and possibly other individuals that could provide information and background to the candidate to assist in developing an accurate picture of the character of the university and the resources available.

It is highly recommended that candidates be asked if there are persons or units that they would like to include in the interview schedule. Also, responding to feedback from recent past interview candidates, the College encourages hiring departments to include ample time with students in the interview visits.
- 20) Department members participating in the search interviews and students participating in the search interviews must be familiar with the principles in the document “Employment Inquiries – What can employers ask applicants and employees?” from the California Department of Fair Employment and Housing (see College website for a PDF copy).
- 21) Meetings will be arranged, if possible, with Human Resources to discuss benefits, and with the provost’s office to discuss the university housing plan. As part of the interview, the candidate will deliver a research seminar and will also conduct an actual or a simulated class lecture in a topic related to the probable teaching assignment. Class lectures will be structured so that they are as comparable as possible for the candidates. Students in attendance will be asked to fill out evaluation forms, which will be distributed to the faculty for their deliberations.
- 22) At least 48 hours prior to the candidate’s meeting with the dean, the department will send to the Office of the Dean the following materials: a) copy of job advertisement, b) candidate’s CV, c) letter of application, d) letters of recommendation, and e) visit schedule.

The dean will, as part of the interview, discuss salary, rank, relocation, and start-up needs with each candidate. *The candidate should be prepared to discuss what sorts of resources he or she will need as startup. (This is particularly important for candidates in the experimental sciences or studio arts.)* Failure to discuss start up at the time of the campus interview almost always results in a delay for the

provost to approve the offer letter. The hiring department has no authority to offer any resources to a candidate (i.e., a particular office or lab, housing, course releases, or professional development funds). The candidate must submit a completed job application on or before the day of the interview meeting with the dean.

- 23) At the earliest moment following the completion of the last interview, the tenure-stream faculty will again convene to rank the candidates. The discussion will be guided by the candidate evaluation rubric and will focus on qualifications of the candidates and the specific criteria for the position following fair employment practices. The ranked list, together with an explanation of the ranking and a designation of each candidate as acceptable or not acceptable, will be conveyed in writing to the dean by the search committee chair and/or the department chair. The department chair and/or the search chair will meet with the dean to discuss the recommendation for hire. This will be accompanied, or closely followed by, a narrative report from the department chair, in consultation with the chair of the search committee, describing the search and the applicant pool developed. *The department must guard against making or appearing to make an informal oral offer prior to provost approval.*

The College now requires that a check of one or more references be conducted before recommending that the dean make an offer to a candidate. Some departments have chosen to do reference checks for all three campus interview candidates before inviting them to campus, both as a matter of convenience and to learn more about the candidates.

- 24) When the dean approves a candidate, an offer letter will be drafted and the dean will request the approval of the provost to extend the offer. The dean will ask the department when it wants to have the decision from the candidate. The official offer will be made by the dean. *All negotiations, including financial considerations, with the candidate will be conducted entirely by the dean.*

The dean will typically send the offer letter as a PDF attachment in an email with a request to discuss the offer with the candidate over the phone. After the dean has discussed the offer with the candidate, the dean will contact the department chair. The department members may then contact the candidate to encourage them to accept the offer.

- 25) Every offer letter contains the statement that “this offer is contingent on your ability to provide documentation that supports your legal right to work in the United States at Santa Clara University.” For tenure-track appointments, the University may provide assistance in securing such documentation. If a candidate requires such assistance (e.g. visa extension), he or she should discuss the matter with the dean at the time of the offer, if not earlier. The dean will consult with the provost and Human Resources on the best course of action. If the decision is to move forward and provide assistance, the candidate may accept the offer. The chair must consult with the senior assistant dean or assistant dean to ensure the process is started immediately. The visa or other process may take many months and needs to be started immediately upon acceptance of an offer to ensure that the appointment can be completed and the faculty member can legally be employed in September. The College typically pays some, but not all, of the legal expenses related to this process. For more information on legal expenses, please see the Office of the Provost document “Sponsorship of Foreign Nationals:”  
<http://cms.scu.edu/provost/policies/upload/Sponsorship-of-Foreign-Nationals-1-15-10-2.pdf>

- 26) After the candidate accepts the offer, the Office of the Dean will prepare a Recommendation for Appointment to the Faculty (RAF) form for the department chair’s and dean’s signatures.

The Office of the Dean will forward to the Office of the Provost:

- the signed offer letter

- the candidate's graduate transcript, requested by the candidate to be sent to the Office of the Dean
- the completed RAF and required supplemental materials (Step 22)

The Office of the Provost will issue the letter of appointment and complete the hiring process.

- 27) If none of the approved candidates accepts an offer, the tenure-stream faculty will be asked to recommend further candidates or recommend terminating the search. This recommendation will be considered at a department meeting. If the search is to continue, candidates for interview will be selected by the department and the process will continue as described before.
- 28) Following the successful or unsuccessful conclusion of the search, the search committee will gather the following documents and send them to the Affirmative Action Office:
- a) the recruitment plan (Step 4)
  - b) the faculty applicant flow log (Step 8)
  - c) the narrative statement describing the search (Step 23)
  - d) any other relevant documents
- 29) Tenure-track appointments should be completed no later than May 1.

### **Other Appointment Details**

***Relocation Reimbursement.*** Relocation expenses will be reimbursed in accordance with University Relocation Guidelines. Newly hired assistant professors are eligible for reimbursement up to \$4,000 for actual moving expenses following the University guidelines. Newly hired associate and full professors are eligible for reimbursement of up to \$4,000 with additional expenses reimbursed upon negotiation at the time of the employment offer. Details are described in the University Relocation Guidelines and the College Policy and Procedures for Faculty Relocation. **Relocation reimbursements cannot be made until the faculty member begins his or her appointment (typically September 1). The University guidelines require that relocation reimbursement claims must be submitted within one year of the starting date of the employee's appointment (typically September 1.) Advances are not available.**

***Professional Development Grants.*** Newly hired assistant, associate, and full professors will receive \$5,000 in professional development funds for faculty starting fall 2007 or later. For untenured faculty, the funds are available only during the probationary years. For newly hired faculty with tenure, the funds must be spent within five years.

***Start-Up Funds for Equipment and Supplies.*** New faculty can negotiate with the dean for start-up funds at the time of their offer of employment. Details are described in the College Policy and Procedures on Professional Development Grants, and Start-Up Funds. New computers are to be paid for from startup funds or professional development grants.

***Evaluation.*** Tenured and tenure-track faculty must be evaluated in writing on a regular basis (section 3.3 *Faculty Handbook*). The department may recommend that the person remain on an annual evaluation cycle. The dean has the final decision on that recommendation. For more details, see section on College Policies and Procedures for Faculty Evaluation.

***Supplemental Assignments.*** Tenured and tenure-track faculty may have supplemental assignments to their academic-year appointment (e.g. summer-session courses, course releases for school programs, or overloads) and such assignments are described in a separate supplemental assignment letter. For more details, see section on College Policies and Procedures for Supplemental Assignments.

## **Recruitment of Exceptional Faculty Working Protocol of the College of Arts and Sciences**

(Established October 1, 2011)

One of the five strategic priorities of Santa Clara University's *Strategic Plan* (2011) is "To strengthen Academic Community" In that priority, the University commits to "recruit and retain a diverse community of faculty, staff, and students" Another strategic priority is "Global Understanding and Engagement." In furtherance of that priority, the University commits to "attract more international students and visiting scholars" and to "build partnerships with other universities in the international network of Jesuit universities and other targeted institutions." The third priority impacted by faculty recruitment is "Excellence in Jesuit Education" where the university commits to advancing the University's mission and identity as a Jesuit, Catholic Institution."

As such, we are committed to the following:

- Recruit and retain faculty and staff with outstanding professional qualifications and a commitment to advance the University's vision, mission, and values.
- Increase diversity among faculty, staff, and students, with special emphasis on members of historically under-represented ethnic groups.
- Intensify efforts to recruit and retain members of the Society of Jesus.

Recruitment of faculty must normally follow standard search procedures. However, in rare situations, exceptions may be granted by the provost for recruiting exceptional faculty that meet one of these three strategic priorities. Such exceptions may be requested when *all* following criteria are met:

- 1) The candidate has exceptional and notable qualifications and promise in teaching and scholarship;
- 2) The candidate would make an extraordinary contribution to advancing the strategic and distinctive mission and goals of the department, College or School, and University;
- 3) The candidate is tenurable; and
- 4) *Either* a national search is unlikely to yield a reasonable pool of similarly qualified candidates *or* recruitment must be expedited to meet time demands created by a competitive job market for similarly situated candidates.

When a candidate is identified as possibly meeting the criteria for a REF exception, the chair discusses the case with the dean, who then consults with the provost and the director of the Affirmative Action Office. The dean and provost will consider the REF criteria, University, College, and department need; and available resources. The director of the Affirmative Action Office will provide consultation regarding the University's obligations under the law as well as utilization and pool availability information. The ability of a candidate to advance the diversity goals set forth by the Presidential Task Force on Diversity (1993) and the University's *Strategic Plan* (2011) may also be positive considerations.

With the approval of the dean and provost, the chair contacts the candidate, determines interest, and invites the candidate to submit materials that would allow the department to prepare a proposal for a REF exception. In some cases, it may be appropriate for the dean, provost, or President to initiate the discussion with the chair or the candidate, but in every case the chair must submit a proposal for a REF exception to the dean.

This proposal must include the following:

- A cover letter by the chair requesting a REF exception to recruit the candidate and summarizing the extent and degree of faculty support within the department
- The candidate's CV
- A statement describing the candidate's superior achievement and promise in teaching, scholarship, and service, including exceptional and notable accomplishments
- A statement describing how the candidate's exceptional and notable accomplishments would advance the strategic mission and goals of the department, College or School, and University
- An explanation of why a national search is unlikely to yield a reasonable pool of similarly qualified candidates or why recruitment must be expedited to meet time demands created by a competitive job market for similarly situated candidates
- A discussion of what departmental need the proposed hire would fill
- A recommendation for rank and tenure status
- A description of interview plan including a timeline
- A description of any start-up needs including equipment or laboratory requirements

The dean reviews the proposal and then forwards all materials along with a recommendation to the provost. The provost makes the final decision on whether to grant an exception to a standard search process.

With the provost's approval, the chair invites the candidate to campus for a formal interview. After the interview is complete, the tenured and tenure-track faculty of the department consider the candidate as they typically would any candidate in a regular search. The chair then provides a summary of the recruitment and decision-making process, including the results of a vote by the tenured and tenure-track faculty in addition to standard hiring justifications for review by the dean and provost. With the provost's approval, an offer is extended following standard procedures. As stated in the Faculty Handbook (3.2.2.1), appointment with tenure also requires approval of the President.

## Policy on Rank Ordering of Candidates for Tenure Track Positions

(Established January 9, 2002)

Tenure-track candidates invited for on campus interviews will be evaluated using these five standards (also see University Policy on the Recruitment and Appointment to Faculty):

- 1) **Scholarly potential, short-term and long-term trajectory** (e.g., quality of scholarly preparation, accomplishments to date, work in progress, connection to resources and individuals that will support the person's productivity and maturation as a scholar, or the like.)
- 2) **Range and potential quality of teaching in both the core and the major** (e.g., prior successes teaching at the lower-division level and /or upper-division level, specific courses the person is likely to be assigned in support of the departmental major and the SCU Core, evidence of enthusiasm and potential for initiative in course development, or the like.)
- 3) **Connection to one or more departmental and college strategic objectives** (e.g., specific connection with a strategic goal /objective / initiative of the department or College such as, connection with the Environmental Studies Institute, or expectations around participation with Residential Learning Communities, or an important connection to a specific interdisciplinary minor, or the like.)
- 4) **Advancement of University mission and campus priorities** (e.g., a specific connection with one of the three SCU Centers of Distinction, understanding of and support for SCU's Strategic Plan or educational mission.
- 5) **Advancement of Enrichment of SCU Community of teacher-scholars / team work / leadership potential** (e.g., distinctive capacities to enhance SCU as a community of learners and teaching-scholars, evidence and potential for successful collaborative work for the common good, potential to serve as a department chair or in other important faculty leadership roles in due time.)

By whatever process has the most intellectual integrity and makes the most sense, given the cultures of departments, rank order each candidate on each standard. For example, if the finalists are Rose, Susan, and Tyler, then the information the chair should provide to the dean might look like the following:

1. Scholarly potential: Susan, Rose, Tyler
2. Teaching: Tyler, Susan, Rose
3. Dept / College strategic objectives: Tyler, Susan, Rose
4. University mission / campus priorities: Rose, Susan, Tyler
5. Community of scholars / team work / leadership potential: Susan, Rose, Tyler

**The dean will secure written permission from the provost before any offer is made.** The candidates should be informed that it may be a few days from the end of the final interview before they are contacted.

Regarding studio arts, physical sciences, candidates who do international research, or candidates who require the use of science labs, special equipment, or studios: Please provide to the dean for each finalist, your **written proposal regarding all expected construction / utilities / equipment / materials / technical support needs / research travel, whatever as may be required for the scholarly research of the final candidates**. These questions require resolution prior to the dean's recommendation to the provost.

## Policies and Procedures for Senior Lecturer Appointments

(Revised October 2006 and 2008)

### General Appointment Information

Some important highlights from the University Faculty Personnel Policies and Procedures are summarized as follows:

- Qualifications for a Senior Lecturer appointment are described in sections 3.1.2.1.3 and section 3.4A.2.1 of the *Faculty Handbook*

“In addition to meeting the qualifications for appointment as a Lecturer, a Senior Lecturer shall at a minimum have nine years of fulltime service as a Lecturer at the University, or equivalent academic experience.”

(3.1.2.1.3)

“Promotion to Senior Lecturer is not automatically granted for length of service; it is a recognition of an exemplary record of achievement. In addition to meeting the requirements set in 3.1.2.1.3, candidates shall be expected to demonstrate a record of extraordinary teaching and to meet or exceed the standards for reappointment of Lecturers as described in 3.4A.1.1.” (3.4A.2.1)

- The standard academic-year course load for newly appointed Senior Lecturers is seven courses;
- A Senior Lecturer holds a full-time continuing appointment primarily for teaching in an area of persistent programmatic need.
- All continuing faculty are full-time (3.1.2.1.)
- The standard appointment is for the academic-year and begins September 1;
- T faculty member with an academic-year appointment is expected to teach at least one course each quarter (fall, winter, and spring) (course clustering procedures are discussed in the University Policy on Flexible Course Scheduling, section 3.6.3.1 of the *Faculty Handbook*);
- The annual salary is paid in 24 equal semi-monthly installments beginning September 1 and ending the following August 31;
- Each appointment is for the stated term only and does not fulfill any conditions for tenure at the University (3.1.2.1);
- Eligibility for benefits is determined in accordance with the terms of the appointment, section 3.8.2 of the *Faculty Handbook* and other applicable University policies and procedures;
- Senior lecturers are subject to the limitations on consulting and other paid professional activities specified in section 3.7.4.3 of the *Faculty Handbook*.

- Senior Lecturers are eligible for sabbatical and personal leaves as specified in section 3.7.3 in the *Faculty Handbook*.
- Annual evaluations will occur for the first three years and then evaluations will be on three year cycles.
- Faculty in Lecturer positions are subject to the limitations on consulting and other paid professional activities specified in section 3.7.4.3 of the *Faculty Handbook*. [Specifically, “since the acceptance of a full-time appointment at Santa Clara University involves a commitment that is full-time in the most inclusive sense (3.6.2), full-time faculty must have the written approval of the dean and provost before accepting a teaching appointment at another educational institution during the period of service specified in the Letter of Appointment.”]
- Offer letters are prepared by the Office of the Dean and letters of appointment for Senior Lecturers are issued from the Office of the Provost and signed by the provost

**Duties, Functions, and Expectations** (see section 3.6.2 and 3.6.3 of the *Faculty Handbook* for further details)

- 1) Teaching (70%)
  - a. Teach courses as assigned. The full-time teaching load for Senior Lecturers is seven courses. Teaching a course typically includes developing syllabi, assignments, readings, and course schedule before the course begins; developing appropriate teaching preparations for each class meeting; selecting course materials and ordering books; conducting and appearing on-time for all scheduled class meetings; submitting course grades by quarterly deadlines; and administering all required course evaluations.
  - b. Use appropriate measures of student performance, provide timely feedback to students, and assign grades that are an accurate and fair evaluation of student work;
  - c. Post and maintain regular office hours at times reasonably convenient for students;
  - d. Demonstrate a command of the discipline and skill in presenting it effectively;
  - e. Serve as an advisor to assigned students providing informed advice;
  - f. Develop courses for which they are responsible and contribute to general curriculum development.
- 2) Professional activity (15%)
  - a. In support of teaching excellence, professional activity should be maintained including attending professional conferences, presentations at professional conferences, or occasional publications related to the discipline and/or pedagogy.
- 3) Service (15%)
  - a. Service at the department, College, and University levels including: attending faculty meetings or other appropriate department gatherings and participating constructively; serving on committees; participating in student recruitment and retention activities as deemed appropriate by the department chair or department culture; participating in professional organizations and activities; and performing community service in virtue of their professional expertise and association with the University.

### **Senior Lecturer Appointment Process**

The process for appointment to Senior Lecturer is now set forth in the Faculty Handbook section 3.4A.2.

For candidates who wish to apply for promotion to Senior Lecturer during the 2011-12 academic-year, the timeline is being developed by the Office of the Provost and will be posted on their website by January 2012.

Pursuant to Faculty Handbook section 3.4A.2.3,

- The process begins with the candidate submitting an application to the dean.
- Each department shall review applications for promotion to Senior Lecturer in accordance with procedures set by the dean. All tenured faculty and Senior Lecturers shall be eligible to participate in the review of applications. With the approval of the dean, faculty in a large department who are eligible to participate may elect a committee of eligible faculty to conduct the review on behalf of the whole department.
- If the recommendation of the department is negative, the chair shall convey that recommendation along with a report explaining it to the dean. The dean shall notify the candidate of the negative decision. This decision is not subject to appeal.
- If the recommendation of the department is positive, the chair shall convey that Recommendation, along with a report explaining the recommendation to a Committee on Promotion to Senior Lecturer.
- The Committee on Promotion to Senior Lecturer will be elected by eligible faculty in the college or school.
- This Committee shall be different from the college Rank and Tenure Committee. It shall consist of three tenured faculty members and two Senior Lecturers who are elected by their respective peers in the college or school. If fewer than two Senior Lecturers in the college or school are eligible to serve, the committee shall consist of the three tenured faculty members and either one or no Senior Lecturer.
- The College Committee on Promotion to Senior Lecturer shall thoroughly review all aspects of the candidate's application and the report of the department. Informed by this review, its members shall cast secret ballots indicating their judgment of the strength of the application. Committee members from a candidate's department who have voted on the application at the department level may participate in the committee's discussion but may not cast a ballot in the committee.
- The committee shall prepare a report of its evaluation and recommendation that reflects and includes the results of the balloting. It shall submit this report to the dean,
- The dean shall make a recommendation to the Provost.
- The Provost shall make the final decision after consideration of the recommendations made and of the needs of the University.

***Request for Reconsideration of Denial of Promotion:***

Under 3.4A.2.4, a Lecturer who has been denied promotion to Senior Lecturer by the Provost will be informed of that decision in writing.

- The Lecturer has 30 calendar days to file with the President a petition for reconsideration by the President. The petition shall be submitted in writing and list the reasons for the request for reconsideration.
- The President shall respond within 30 days of receipt of the petition.
- Requests for reconsideration of a denial of promotion are restricted to the following grounds: (1) The existence of significant and relevant new material that has become available since the appellant's petition for promotion was considered, or (2) Significant inconsistency in the application of standards or procedures between the appellant's evaluation and others of the same year.
- Upon receiving a valid request to reconsider a denial of promotion, the President shall ask for recommendations on whether to reverse or to reaffirm the decision from the appropriate college or school committee, the appellant's dean, and the Provost.
- The committee, dean, and Provost shall make their recommendations directly to the President, who, at his discretion, may discuss the case with any or all of them or with anyone else, including the appellant.
- The President shall then form and communicate his decision, which shall be final, in writing to the appellant.

**Other Appointment Details**

***Evaluation.*** Senior Lecturers must be evaluated in writing on a regular basis (3.3 *Faculty Handbook*). In the College, Senior Lecturers complete an annual written evaluation for each year of the first three years of their appointment as a Senior Lecturer and then transition to a three-year evaluation cycle, unless the department recommends that the person remain on an annual evaluation cycle. The dean has the final decision on that recommendation. For more details, see section on College Policies and Procedures for Faculty Evaluation.

***Supplemental Assignments.*** Senior Lecturers may have supplemental assignments to their academic-year appointment (e.g., summer-session courses, course releases for school programs, or overloads) and such assignments are described in a separate supplemental assignment letter. For more details, see section on College Policies and Procedures for Supplemental Assignments.

***Non-Reappointment:*** The Faculty Handbook provides that the University may elect not to reappoint a Senior Lecturer, provided notice of the decision not to reappoint is given not later than August 31 of the calendar year in which the final one year appointment begins. Grounds for non-reappointment include unsatisfactory performance, lack of persistent programmatic need, or lack of available funds. (section 3.5.3.2)

## Guidelines for Lecturer Recruitment and Appointment

(Established 2006; revised October 2008 and 2011)

### General Information

The Faculty Handbook established the rank of Lecturer as “a renewable-term position primarily for teaching in an area of persistent programmatic need.”

Within the College of Arts and Sciences, the guidelines for Lecturer appointments are as follows:

- The ordinary educational requirement is the doctorate or other appropriate terminal degree. In certain disciplines, especially in the arts and some professional fields, practical experience and credentials other than academic degrees may be taken as equivalent preparation.
- The full-time-equivalent teaching load for faculty with renewable-term appointments is seven courses of conventional unit value per year on the quarter system. (*Faculty Handbook*, 3.1.2.1 ). Any load less than seven is considered less than 100% full-time equivalency. For example, a six-course load is 86% full-time equivalency (6 courses / 7 courses = 0.86 FTE);
- Faculty in Lecturer appointments are appointed primarily to teach in an area of persistent programmatic need pursuant to the Faculty Handbook. Such need shall be identified by the department and approved by the dean and Provost.
- Faculty in Lecturer appointments are appointed for a full academic-year and must teach at least one course each quarter (fall, winter, spring). The Provost and dean may grant an exception for course clustering.
- Renewable-term positions are normally full-time (with a course load of seven) and are never less than half-time (3.5 courses).
- The standard appointment is for the academic-year and begins on September 1;
- The annual salary is paid in 24 equal semi-monthly installments beginning September 1 and ending the following August 31;
- The initial term for a Lecturer position is three years, a second term of three years, and subsequent terms of six years.
- Reappointment to another term is always contingent on superior, not merely competent, performance, persistent programmatic need, and availability of funds.
- Faculty on renewable-term appointments are not tenured and do not accumulate credit towards tenure.
- Eligibility for benefits is determined in accordance with the terms of the appointment, section 3.8.2 of the *Faculty Handbook* and other applicable University policies and procedures;

- Lecturers seeking reappointment to another renewable term must demonstrate superior, not merely competent, performance in teaching, in service and in professional activity that is appropriate to the academic discipline or professional field and that contributes to their primary responsibility for teaching. *Faculty Handbook*, section 3.4A.1.1.
- The established timelines for notification of non-reappointment (*Faculty Handbook*, 3.5.3.3) must be followed.
- After consultation with the provost, the dean will make the final reappointment decision .
- Offer letters are prepared by the Office of the Dean and letters of appointment for all lecturers are issued from the provost's office and signed by the provost;
- Faculty in lecturer positions are subject to the limitations on consulting and other paid professional activities specified in section 3.7.4.3 of the *Faculty Handbook*. [Specifically, “since the acceptance of a full-time appointment at Santa Clara University involves a commitment that is full-time in the most inclusive sense (3.6.2), full-time faculty must have the written approval of the dean and provost before accepting a teaching appointment at another educational institution during the period of service specified in the Letter of Appointment.”]

## **Duties, Functions, and Expectations**

Lecturers with renewable term appointments are expected to be engaged members of the Santa Clara community. Lecturers are also expected to engage in service at the departmental level or higher and in professional activity that is appropriate to the discipline and that contributes to their primary responsibility for teaching. Lecturers shall possess superior abilities as teachers.

Within the College, the teaching duties and functions of all Lecturers are assigned as those described in the *Faculty Handbook* in section 3.4A.1.1 Specifically, all Lecturers are required to perform the specific functions related to teaching, professional activity and service including but not limited to:

### 1) Teaching (70%)

Teach courses as assigned. Teaching includes not only classroom instruction, but also academic advising and curriculum development. Effective teaching requires, at a minimum, competence in the subject and in skills of presenting it, and professionalism in conduct towards students. Academic advising is an extension of teaching Lecturers should expect to be assigned to teach courses in the area of persistent programmatic need that was the basis for the creation of the faculty position. The department may not guarantee a teaching assignment outside of the area of persistent programmatic need without permission of the Office of the Dean. Teaching a course typically includes developing syllabi, assignments, readings, and course schedule before the course begins; developing appropriate teaching preparations for each class meeting; selecting course materials and ordering books; conducting and appearing on-time for all scheduled class meetings; maintaining regular office hours at times convenient to students, submitting course grades by quarterly deadlines; using appropriate measures of student performance and providing timely feedback to students in a way that provides an accurate and fair evaluation of their work, and administering all required course evaluations, both narrative and numerical versions. Curriculum development includes both contributions to departmental and University curricula, such as the development of new courses or significant modification of existing ones, and the creation of pedagogical materials that may be of use to other teachers.

### 2) Professional activity (15%)

Professional activity refers to scholarly or creative work, professional practice, or other active engagement in a discipline or field that enables a Lecturer to remain current in that

area and vital as a teacher. Examples of professional activity include attendance or presentations at conferences, occasional publications that contribute to scholarship or pedagogy in the field, creative work in the arts, and practice in a professional field. Lecturers shall not be held to the same standards of scholarship as tenure-track faculty

### 3) Service (15%)

Service is work other than teaching and professional activity that fosters and advances the missions and goals of the department, the college or school, or the University. It may also include service to the profession, such as participation on committees of a professional organization, and service to the community performed in virtue of a Lecturer's professional expertise or association with the University. The service expected of Lecturers will be appropriate to their expertise and experience and may include attending faculty meetings or other appropriate department gatherings and participating constructively; serving on committees; participating in student recruitment and retention activities as deemed appropriate by the department chair or department culture; participating in professional organizations and activities; and performing community service in virtue of their professional expertise and association with the University.

## Initial Search and Hiring Processes

The process for hiring Lecturers is as follows:

**Position Approval.** The dean, weighing persistent programmatic needs and the availability of financial resources, has submitted an Implementation Plan that identified particular areas of persistent programmatic need. If such a position has been identified and approved by the provost, the dean shall request the provost for permission to begin a search for the position based on available funding. The analysis for persistent programmatic need is described in more detail on the website of the Office of the provost.

**Qualifications.** Candidates for Lecturer positions must have a terminal degree or equivalent academic and professional experience in the area of persistent programmatic need. If a recruitment plan will invite candidates with less than a terminal degree, the recruitment plan must make a case to the dean and provost as to why a degree other than the terminal degree is acceptable. The dean will consult with the provost before approving an ad that indicates acceptance of less than a terminal degree.

**Search Procedures.** All procedures for Lecturer hiring must include the following:

- 1) A rigorous, national search must be conducted. An inclusive recruitment plan must be developed and followed. Failure to follow the approved plan may lead to cancellation of the search.
- 2) The recruitment plan shall include three parts:
  - a) Advertisement for the position.
    - i) Ad must be approved by an associate or assistant dean.
    - ii) The advertisement must include all criteria the department will use to judge the candidates, including the area of persistent programmatic need identified by the Office of the Dean. Also the ad must include a specific application deadline, description of the here areas of evaluation, minimum academic and experiential qualifications, current AA/EEO language, and Clery Act information. Each advertisement must also reference SCU as a Jesuit, Catholic university.

- b) Recruiting plan
    - i) The recruitment plan shall include the process that will be used to narrow the applicant pool. A large department may use a search committee to narrow the applicant pool, with the prior approval of the dean. This request should be part of the recruiting plan. Otherwise, all tenured faculty and Senior Lecturers are eligible to participate and vote in a search for a Lecturer.
    - ii) The recruitment plan shall include a list of venues in which the advertisement will be posted as well as a list of groups or organizations that will be contacted as part of the outreach.
    - iii) The College expects the department to pay special attention to identifying venues that will attract the most diverse pool as possible and requires that the ad be posted on “The Registry”, formerly known as the National Minority Registration registry. Contact the Office of the Dean for the password for that organization.
    - iv) In addition to placement of an advertisement in a national, professional venue for the subject area, the position announcement must be posted on the Human Resources website and the department website for at least *ten* business days.
  - c) Hiring criteria rubric:
    - i) The criteria rubric should contain all criteria listed in the advertisement, and should focus on the area of teaching as described in the Faculty Handbook.
- 3) When internal candidates apply for an open position, the hiring department needs to ensure that confidentiality and fairness are maintained at all steps of the hiring process. The goal is to ensure that the internal candidate is neither advantaged nor disadvantaged by their current status in the department. We may not, for example, either initiate discussion of, nor answer questions about, such matters as the progress of the search, the chances of the candidate relative to others in the applicant pool, the makeup of the applicant pool, our own point of view on the candidate's qualifications, or what we think the point of view of others will be. Any such conversations or advice, whether positive or negative, might be construed to prejudice the search process.
  - 4) Affirmative action hiring procedures shall be followed (including the documentation to be provided to the AAO office as described in the tenure-track search protocol).
  - 5) The campus interview list must be reviewed and approved by an associate or assistant dean before the candidates are invited to campus. The list, with justification and CVs, must be provided to the associate or assistant dean for consideration and approval. The goal is that at least three well-qualified candidates are recommended for on-campus interviews.
  - 6) On-Campus interviews should include a sample lecture or presentation to students. Feedback from students and faculty other than those tenure-stream or Senior Lecturers is advisory only.
  - 7) All finalists must be interviewed by an associate or assistant dean. The associate or assistant dean will provide basic information about the College and University, an overview of benefits, housing availability, a review of the current salary scale, and discussion of moving reimbursement needs. The candidate will also complete a job application that will include providing information needed for salary-step calculations.
  - 8) After the department has ranked the candidates and identified the finalist, the department chair or search committee chair must communicate the ranking to the associate or assistant dean and provide the CV so that the salary-step calculation can be prepared. .
  - 9) The associate dean consults with the dean and then the dean will make a recommendation to the provost about the final candidate.

- 10) After the approval of the provost is received, the associate dean may contact the candidate to make a verbal offer. The department is never authorized to communicate an offer to a Lecturer without the written authorization of the associate dean or dean.

### ***Hiring Procedures***

- 11) The Office of the Dean will prepare the offer letter. After the offer letter has been approved by the provost, the offer letter will be mailed to the candidate.
- 12) Once the signed offer letter is received by the Office of the Dean, the department will be notified and asked to assemble and send to the Office of the Dean the following materials before the official letter of appointment can be issued by the provost's office:
  - a) Recommendation for Appointment to the Faculty form (RAFF)
  - b) Departmental recommendation describing the specific role of the candidate in the department, assessing the potential of the candidate in terms of teaching and service
  - c) Copy of the announcement of position vacancy
- 13) The provost's office issues the letter of appointment and completes the hiring process.
- 14) Lecturer appointments should be completed no later than June 1.

### **Evaluation**

In the College, all Lecturers must be evaluated in writing annually *during the first two terms (six years)*. Each faculty member should submit a faculty activities report by October 1 of each year. The annual evaluation is conducted each fall with final evaluation letters due February 1. The Faculty Handbook does not describe the evaluation cycle after the first six years. The College intends to propose to the provost that after six years and a second decision to renew the position, Lecturers will be evaluated on three-year cycles with a decision to renew or not every six years. A Lecturer in her or his third or subsequent term may be evaluated annually if so determined by the dean in consultation with the department chair.

Each evaluation letter should contain the following:

- 1) Each annual evaluation letter should be no more than 4 pages and should be the Simplified Faculty Evaluation Form.
- 2) Each letter should apply the rubric found in this Protocol book for Lecturers and Senior Lecturers.
- 3) Each letter must state the time period being evaluated. For annual evaluations, the dates would correspond to September 1 to August 31 of the following year.
- 4) The letter must state the weightings used for teaching (70%), professional activity (15%), and service (15%).
- 5) Each letter must describe the process of collegial consultation the chair used in preparing the evaluation. Faculty involved in the evaluation process must be identified, as well as, the associate dean consulted.
- 6) The following must be included in discussions of teaching (1 page):
  - Summary of numeric evaluation scores with a context discussion based on relevant comparison groups such as lower-division courses in the department or area;

- Representative narrative evaluation comments with a context discussion based on relevant comparison groups such as lower-division courses in the department or area;
  - Other kinds of evidence of superior teaching, including, but not limited to peer visits to classes, review of syllabi, review of student learning outcomes or performance, curricular development or participation in curricular development in areas of persistent programmatic need;
  - Number of advisees and quality of advising and mentoring;
  - Highlights of other activities to provide support for the overall teaching evaluation such as evidence of teaching effectiveness, leadership in curriculum development or activities mentoring students on scholarly projects.
- 7) The following must be included in discussions of professional activity (0.5 - 1 page):
- Summary of presentations, publications or scholarly works including a discussion of the quality of the work evaluation based on reading publications, quality of venue, and/or reviewers comments)
  - Attendance or presentations at conferences, occasional publications that contribute to scholarship or pedagogy in the field, creative work in the arts, and practice in a professional field;
  - Highlights of other activities to provide support for the overall professional activity evaluation such as on-going projects and long-term plans.
  - Lecturers shall not be held to the same standards of scholarship as tenure-track faculty
- 8) The following must be included in discussions of service (0.5-1 page):
- Highlights of department, College, University or professional service activities and a discussion of the quality of service contributions.
- 9) The chair must include a statement to the effect that meeting or exceeding expectations in the departmental evaluation are independent of any considerations regarding renewal of the position such as “favorable evaluations and optimistic projections do not bind the University to renew the position.”
- 10) The letter must state that the faculty member may provide a written response to the evaluation and such response shall become part of the faculty member’s personnel file (section 3.3 Faculty Handbook). The letter must also state that the faculty member may appeal the evaluation following the procedure outlined in the College Policy on Faculty Appeal of Evaluation (including the 30 day deadline for appeal).
- 11) The chair must state the intention to recommend one of the following:
- That the faculty member should be appointed for the appropriate number and type of year (e.g., "second year of three year term")
  - That the faculty member should not be reappointed and the faculty member be issued a terminal-year contract as required;
- 12) For faculty currently up for renewal,
- For the annual evaluation, the chair shall not comment on the possibility of another term;

## Renewal Procedures

In the third year of the initial term, the annual evaluation must be completed. In the spring of the third year, the department will conduct a review that will result in a letter that includes a recommendation to renew or not renew for another three-year or six-year term based on performance.

The Office of the Provost is currently developing guidelines that will be published in Fall 2011. Until those are published, the College will follow this procedure.

## Other Appointment Details

**Relocation.** Relocation expenses, as set out in the offer letter, will be reimbursed in accordance with University Relocation Guidelines.

**Professional Development Grants.** Lecturers are eligible to apply for professional development grants from the Office of the Dean. Grants of up to \$500 are typically available and one grant is allowed per year of employment (see College Policy and Procedures on Moving Expense Reimbursement, Professional Development Grants and Start-Up funds).

**Supplemental Assignments.** Lecturers may have supplemental assignments to their academic-year appointment (e.g., summer-session courses, course releases for school programs, or overloads) and such assignments are described in a separate supplemental assignment letter.

**Orientation.** Once the academic-year begins, departments should implement an orientation process appropriate to the terms of the appointment. In particular, issues related to departmental grading standards and academic policies should be reviewed. Chairs and program directors should also have conversations about the appropriate venues for service and the level of service expected from the Lecturer.

**Non-Reappointment:** The Faculty Handbook provides that the University may elect to not reappoint a Lecturer on a renewable term even when the term includes one or more additional years beyond the effective date of non-reappointment, provided written notice of the decision not to reappoint is given at least three months before the end of the terminal academic-year (i.e., May 31). Such decisions may be made based on performance, availability of funds, or programmatic need. (Section 3.5.3.3(1))

## **Guidelines for Fixed-Term Faculty Recruitment and Appointment** (Revised October 2008)

### **General Information**

The Faculty Handbook created a category of faculty with fixed-terms that includes adjunct faculty, research faculty and faculty with appointments in residence (Section 3.1.2.2)

Adjunct faculty hold a non-tenurable fixed-term teaching appointment for one or more of the following purposes: to replace faculty on leave of absence or administrative assignment; to address persistent programmatic need on a part-time basis; to address short-term programmatic need on a full-time basis; to provide expertise in a specialty area; or to explore a new instructional area. (Section 3.1.2.2.1)

Within the College of Arts and Sciences, the guidelines for fixed-term faculty appointments are as follows:

- Fixed term adjunct faculty should have a terminal degree or equivalent academic and professional experience. The appropriate terminal degree or the equivalent combination of academic and professional experience will be recommended by the hiring department and approved by the dean;
- Unless otherwise approved by the dean and provost, the normal rank for fixed-term faculty will be adjunct lecturer.
- The full-time equivalent teaching load for faculty with fixed-term appointments (see 3.1.2.2) is nine courses of conventional unit value per year on the quarter system. Any load less than nine is considered less than 100% full-time equivalency. For example, a seven course load is 78% full-time equivalency ( $7 \text{ courses} / 9 \text{ courses} = 0.78 \text{ FTE}$ ); (section 3.6.3.1)
- fixed-term lecturer appointments can have course loads of nine (100%), eight (89%), seven (78%), six (67%), or five (56%) courses. The normal teaching load in the College of Arts and Sciences will be seven courses. Exceptions will be considered by the dean when the programmatic need of the department or program is different than seven. Any exceptions will be documented in the academic-year course plan.
- Faculty with academic-year fixed-term appointments must teach at least one course each quarter (fall, winter, and spring). Any exception must be approved by the dean and the provost.
- A faculty member with an academic-year appointment must teach at least one course each quarter (fall, winter, and spring);
- The standard appointment is for the academic-year and begins on September 1;
- The annual salary is paid in 24 equal semi-monthly installments beginning September 1 and ending the following August 31;
- Each appointment is for a fixed-term of one year; Should the need for a longer appointment arise, the provost may approve an appointment of up to three years. (Section 3.1.2.2)

- Faculty who teach five or more courses per year on the quarter system shall not remain in a fixed-term appointment for more than six academic-years. Exceptions for faculty holding the rank of Adjunct Professor or its equivalent (see 3.1.2.2.1.2) or Research Professor (see 3.1.2.2.2) may be made in special circumstances with the prior written approval of the provost.
- Each appointment is for the stated term only and does not fulfill any conditions for tenure at the University;
- Eligibility for benefits is determined in accordance with the terms of the appointment, section 3.8.2 of the *Faculty Handbook* and other applicable University policies and procedures;
- The established timelines for notification of non-reappointment (*Faculty Handbook*, 3.5.3.3(2)) must be followed [Specifically, the *Faculty Handbook* states “the University may elect at any time not to reappoint non-tenure-track faculty as follows: . . . Non-tenure-track faculty appointments of one year or less are made with no expectation of reappointment. Thus no notice of non-reappointment is necessary.”
- If a fixed-term faculty has a term of more than one year, Section 3.5.3.3 (1) provides that “the University may elect at any time not to reappoint a non-tenure-track faculty member as follows: (1) The university may elect not to reappoint a non-tenure-track faculty member who holds an appointment with a term of more than one year, even when that term includes one or more additional year beyond the effective date of non-reappointment, provided written notice of the decision not to reappoint is given at least three months before the end of the terminal academic-year. Such decisions may be made based on performance, availability of funds, or programmatic need.”
- Offer letters are prepared by the Office of the Dean and letters of appointment for all fixed-term faculty are issued from the provost’s office and signed by the provost.

## Duties, Functions, and Expectations

Faculty with a fixed-term academic-year adjunct appointments are expected to be engaged members of the Santa Clara community. Within the College, the teaching duties and functions of all fixed-term Adjunct Lecturers are assigned as those described in the *Faculty Handbook* for all full-time faculty (section 3.6.3.1). Specifically, all fixed-term Adjunct Lecturers are required to perform the specific functions related to teaching including but not limited to:

1. Teaching (95%)
  - a. Teach courses as assigned. The full-time teaching load for fixed-term Adjunct Lecturers is nine courses. Teaching a course typically includes developing syllabi, assignments, readings, and course schedule before the course begins; developing appropriate teaching preparations for each class meeting; selecting course materials and ordering books; conducting and appearing on-time for all scheduled class meetings; submitting course grades by quarterly deadlines; and administering all required course evaluations (numerical and narratives).
  - b. Use appropriate measures of student performance, provide timely feedback to students, and assign grades that are an accurate and fair evaluation of student work;
  - c. Post and maintain regular office hours at times reasonably convenient for students;
  - d. Demonstrate a command of the discipline and skill in presenting it effectively;
  - e. Serve as an advisor to assigned students providing informed advice;
  - f. Develop courses for which they are responsible and contribute to general curriculum development.

2. Service (5%)
  - a. Service at the department, College, and University levels including: attending faculty meetings or other appropriate department gatherings and participating constructively; serving on committees; participating in student recruitment and retention activities as deemed appropriate by the department chair or department culture; participating in professional organizations and activities; and performing community service in virtue of their professional expertise and association with the University.

## Search and Hiring Processes

The process for hiring fixed-term lecturers is as follows:

**Position Approval.** Each spring, the dean, weighing programmatic needs and the availability of financial resources, in consultation with the department chair, will authorize fixed-term adjunct lecturer positions specifying course load (typically 7 courses ) and term (typically one year ) associated with the position. Pursuant to Faculty Handbook section 3.2.2.1, “Adjunct faculty hold a non-tenurable fixed-term teaching appointment for one or more of the following purposes: to replace faculty on leave of absence or administrative assignment; to address persistent programmatic need on a part-time basis; to address short-term programmatic need on a full-time basis; to provide expertise in a specialty area; or to explore a new instructional area.”

**Qualifications.** Candidates for fixed-term lecturer positions must have a terminal degree or equivalent academic and professional experience. The appropriate terminal degree or the equivalent combination of academic and professional experience will be recommended by the hiring department and approved by the associate dean as part of the advertisement for the position (*search procedure a*).

**Search Procedures.** Beginning in 2003, all departments (and programs) must follow departmentally established faculty hiring procedures that have been approved by the dean. The approved departmental search and hiring procedures must be followed for all academic-year adjunct lecturer positions. Departments who wish to further modify their searches further should consult with the Office of the Dean. All procedures for fixed-term lecturer hiring must include the following:

- 1) Searches for academic-year Adjunct Lecturers may be regional in focus. The advertisement for the position must be approved by an associate or assistant Dean and, at a minimum, must be posted on the Human Resources website for at least *ten* business days. The advertisement may also be posted on the department webpage or appropriate professional websites, journals, or newsletters as described in departmental hiring procedures. The advertisement must include a specific application deadline, current AA/EEO language, and Clery Act information. Each advertisement must also reference SCU as a Jesuit, Catholic university.
- 2) The department must include attention to the diversity goals of the University and College as part of a recruitment plan.
- 3) When internal candidates apply for an open position, the hiring department needs to ensure that confidentiality and fairness are maintained at all steps of the hiring process. The goal is to ensure that the internal candidate is neither advantaged nor disadvantaged by their current status in the department. We may not, for example, either initiate discussion of, nor answer questions about, such matters as the progress of the search, the chances of the candidate relative to others in the applicant pool, the makeup of the applicant pool, our own point of view on the candidate's qualifications, or what we think the point of view of others will be. Any such conversations or advice, whether positive or negative, might be construed to prejudice the search process.

- 4) The campus interview list, with justification and a CV, must be reviewed and approved by an associate or assistant dean before the candidates are invited to campus. At the time of approval of the finalists, the assistant or associate dean will forward via email the College job application and salary scale to the finalists. The application should be returned to the College by the date of the campus interview.
- 5) The chair will provide basic information about the College and University, an overview of benefits, and housing availability with candidates who interview on campus.
- 6) After the department has ranked the candidates and identified the finalist, the department chair must communicate the ranking to the associate or assistant dean. The associate or assistant dean will work with the chair and the candidate to complete the salary-step calculation so that the offer can be prepared for the top candidate. Sending another copy of the CV will most likely facilitate the process. The associate dean or assistant dean also will have a subsequent discussion of moving reimbursement needs with the successful candidate.

### ***Hiring Procedures***

- 7) With the approval of the associate or assistant dean, the Office of the Dean will prepare the offer letter. The offer letter will include any relocation assistance and will be mailed to the candidate. The department chair will also receive a copy of the offer and can extend an oral offer at that time.
- 8) Once the signed offer letter is received by the Office of the Dean, the department will be notified and asked to assemble and send to the Office of the Dean the following materials before the official letter of appointment can be issued by the provost's office:
  - a) Recommendation for Appointment to the Faculty form
  - b) Departmental recommendation describing the specific role of the candidate in the department, assessing the potential of the candidate in terms of teaching, scholarly activities, and service
  - c) Copy of the announcement of position vacancy
- 9) The provost's office issues the letter of appointment and completes the hiring process.
- 10) Fixed-term academic-year adjunct lecturer appointments should be completed no later than June 1.

### **Other Appointment Details**

***Relocation.*** Relocation expenses will be reimbursed in accordance with University Relocation Guidelines.

***Professional Development Grants.*** Academic-year Adjunct Lecturers are eligible to apply for professional development grants from the Office of the Dean. Grants of up to \$250 are typically available and one grant is allowed per year of employment (see College Policy and Procedures on Moving Expense Reimbursement, Professional Development Grants and Start-Up funds).

***Supplemental Assignments.*** Academic-year Adjunct Lecturers may have supplemental assignments to their academic-year appointment (e.g., summer-session courses, course releases for school programs, or overloads) and such assignments are described in a separate supplemental assignment letter.

***Orientation.*** Once the academic-year begins, departments should implement an orientation process appropriate to the terms of the appointment. In particular, issues related to departmental grading standards and academic policies should be reviewed.

***Evaluation.*** If a faculty member is on a one-year appointment, an annual evaluation is not required. If a faculty member is on a two-year appointment, deadlines for notification of non-reappointment (3.5.3.3 *Faculty Handbook*) must be followed. An evaluation letter is due no later than **March 1** of the first year and must include a recommendation for reappointment. An evaluation letter is not required in the second year. Departments may determine their own process for such evaluation with approval of the dean.

***Subsequent Positions.*** As part of the annual academic-year planning process, fixed-term adjunct lecturer positions are reviewed by the dean to determine programmatic need and available funding. New positions may be authorized based on programmatic need and resource availability. The approved departmental search and hiring procedures must be followed for all positions. Keep in mind that adjunct faculty who teach five or more courses per year on the quarter system shall not remain in a fixed-term appointment for more than six academic-years. There is no expectation of renewal for any academic-year Adjunct Lecturers once their contractual term is fulfilled.

## **Policies and Procedures for Quarterly Adjunct Lecturer Recruitment and Appointment**

(Revised October 2006 and October 2011)

### **General Information**

Some important highlights from the University Faculty Personnel Policies and Procedures are summarized as follows:

- each appointment is for one quarter at a time;
- the normal rank shall be adjunct lecturer;
- total course load shall not exceed three courses per quarter (but the College will maintain a norm of two per quarter);
- total course load for the academic-year may not exceed four courses as a matter of planning; exceptions must be approved by the Office of the Dean and will only be granted in cases of exigency;
- letters of appointment are issued by the Office of the Dean and signed by the dean;
- each appointment is for the stated term only and does not fulfill any conditions for tenure at the University;
- quarterly Adjunct Lecturers are paid in six equal installments over the quarter of employment;
- if total compensation is less than \$6,600, the following statement appears in all letters of appointment: “Because of state law regarding compensation of part-time employees, the University expects that in respect to fulfilling the obligations of this contract you will never work more than eight (8) hours per workday, nor more than forty (40) hours per workweek, during the term of this contract. This is a material condition of this contract and cannot be changed by any representative of the University.”

### **Duties, Functions, and Expectations**

All quarterly Adjunct Lecturers are required to perform the specific functions related to teaching including but not limited to:

- 1) Teach courses as assigned and administer exams as per the Santa Clara University *Schedule of Classes*. Teaching a course typically includes developing syllabi, assignments, readings, and course schedule before the course begins; developing appropriate teaching preparations for each class meeting; selecting course materials and ordering books; conducting and appearing on-time for all scheduled class meetings; submitting course grades to the Office of the Registrar by quarterly deadlines; and administering all required numerical and narrative course evaluations.
- 2) Use appropriate measures of student performance, provide timely feedback to students, and assign grades that are an accurate and fair evaluation of student work;
- 3) Post and maintain regular office hours at times reasonably convenient for students as determined by the chair of the department;

- 4) Demonstrate a command of the discipline and skill in presenting it effectively;
- 5) Develop courses for which they are responsible.
- 6) Administer numerical and narrative course evaluations to each class as assigned by the chair.
- 7) Fulfill other instructional or academic duties, such as attending faculty meetings or department special events, as may be assigned by the dean of the College of Arts and Sciences or the chair of the department.

### **Search and Hiring Processes**

The process for hiring quarterly adjunct lecturers is as follows:

***Position Approval.*** Quarterly adjunct lecturer positions are reflected in approved departmental Academic-year Plans as allocated for the academic-year. The department chair, in consultation with an associate or assistant dean, determines the course assignments for each quarter and distributes the quarterly adjunct lecturer positions as needed throughout the academic-year. The Academic-year Plan is considered the written authorization for the positions.

***Search and Hiring Procedures.*** Beginning in 2003, all departments (and programs) must follow departmentally established faculty hiring procedures that have been approved by the dean. Departments who wish to further modify their searches should consult with the Office of the Dean. All procedures quarterly adjunct lecturer hires must include the following:

- 1) The advertisement for the position must be approved by an associate or assistant dean and, at a minimum, must be posted on the Human Resources website for at least *ten* business days. The advertisement may also be posted on the department webpage or appropriate professional websites, journals, or newsletters as described in departmental hiring procedures. The advertisement must include a specific application deadline, current AA/EEO language, and Clery Act information. Each advertisement must also reference SCU as a Jesuit Catholic university.
- 2) The department must include attention to the diversity goals of the University and College as part of recruitment for all positions
- 3) Interviews are conducted on the department level. The chair asks the candidate to complete an employment application. A candidate only needs to complete an employment application for Santa Clara University once per academic-year. The employment form is available on the Office of the Dean website.
- 4) The chair can extend a verbal offer to the candidate, subject to the candidate being able to present documentation of the right to work at Santa Clara University, and the dean's review of the employment application.

### ***Hiring Procedures***

- 5) By the deadlines provided by the Office of the Dean, the department sends the completed quarterly adjunct lecturer hiring spreadsheet and the completed employment applications to Office of the Dean. Unless there is an emergency, all quarterly adjunct lecturer information should be to the Office of the Dean at least six weeks before the start of the quarter.
- 6) Office of the Dean reviews the employment application and then prepares and sends the letter of appointment to the faculty.
- 7) Faculty member signs and returns letter to Office of the Dean and completes required employment forms in Office of the Dean.
- 8) The Office of the Dean prepares and sends the payroll action request to Human Resources to initiate payment.

**Other Appointment Details**

***Evaluation.*** Departments should establish their own process for evaluation of quarterly adjunct lecturer faculty with approval of the dean.

***Orientation.*** Once the academic-year begins, departments should implement an orientation process appropriate to the terms of the appointment. In particular, issues related to departmental grading standards should be reviewed.

***Subsequent Positions.*** As part of the annual Academic-year Planning process, quarterly adjunct lecturer positions are reviewed by the dean. New positions may be authorized based on need and resource availability. The approved departmental search and hiring procedures must be followed for all quarterly adjunct positions. There is no expectation of renewal for any quarterly adjunct faculty.

## **Policies and Procedures related to Private Instruction Appointments**

(Revised October 2006 and October 2011)

Private instructors will be appointed as an academic staff pursuant to Faculty Handbook section 4.1.3.1.

The department shall recommend qualified candidates and the Office of the Dean shall forward the paperwork to the Office of the Provost and HR to have them added to the pool of fixed-term academic staff for the academic-year. They will be assigned a certain number of students, and a certain number of hours per student. Those hours shall be entered into timesheets via eCampus. The same is true of Private instructors who are not expected to teach students each quarter of the academic-year. They shall be hired in the same manner.

**Supplemental Assignments.** For tenure-track and tenured faculty, Senior Lecturers, and Lecturers, or fixed-term Adjunct Lecturers, private instruction is considered a supplemental assignment and shall be processed as such.

**Evaluations.** As academic staff, each private instructor shall be evaluated on an annual basis in the spring. The chair of the department shall work with the assistant dean to manage this process.

## **Guidelines for Inclusive Excellence Fellows**

(Established October 2008)

### **Purpose**

The Office of the Dean began the *Postdoctoral fellow* program in 2004 with the goal of identifying and mentoring persons who are within two years of receiving their Ph.D. The goal is to help fellows become successful candidates for tenure-track positions at institutions like SCU. Currently, our model does not allow us to guarantee a tenure-track position for our postdoctoral fellows. Therefore, it is intended to mentor and train faculty for the good of the academy as a whole.

### **Job description**

*Postdoctoral fellows* have a two year faculty appointment. In the first year, there is a three course teaching load and a 4 course scholarly release. In the second year, the teaching load increases to four courses per year.

### **General Information**

Within the College of Arts and Sciences, the guidelines for postdoctoral fellow appointments are as follows:

- Postdoctoral fellows must have received a terminal degree no more than 2 years prior to the date of hire. The appropriate terminal degree will be recommended by the hiring department and approved by the dean;
- Postdoctoral fellow appointments have course loads of seven (78%) courses;
- The standard appointment is for the academic-year and begins on September 1;
- The annual salary is paid in 24 equal semi-monthly installments beginning September 1 and ending the following August 31;
- Each appointment is for a fixed-term of not more than two years;
- The Office of the Dean may consider a one-year extension under the following circumstances: if the fellow has a scholarly or creative agenda that is site specific to SCU, or is making a major contribution to the department or program that cannot be offered by regular faculty; Such an extension should not be promised by a department or program
- Each appointment is for the stated term only and does not fulfill any conditions for tenure at the University;
- Eligibility for benefits is determined in accordance with the terms of the appointment, section 3.8.2 of the *Faculty Handbook* and other applicable University policies and procedures;
- The established timelines for notification of non-reappointment (*Faculty Handbook*, 3.5.3.3) must be followed

\* The years as a post doctoral fellow shall not count as one of the six years for the six-year limit that applies to an adjunct faculty member.

- Offer letters are prepared by the Office of the Dean and letters of appointment for all lecturers are issued from the provost's office and signed by the provost.

### **Duties, Functions, and Expectations**

Postdoctoral fellows are expected to be engaged members of the Santa Clara community. Within the College, the teaching duties and functions of all postdoctoral fellows are similar to those of fixed-term Adjunct Lecturers as described in the *Faculty Handbook* for all full-time faculty (section 3.6.3.1). Specifically, all postdoctoral fellows are required to perform the specific functions related to teaching including but not limited to:

1. Teaching
  - a. Teach courses as assigned. The full-time teaching load for postdoctoral fellows is 3 courses the first year and 4 courses the second year. Teaching a course typically includes developing syllabi, assignments, readings, and course schedule before the course begins; developing appropriate teaching preparations for each class meeting; selecting course materials and ordering books; conducting and appearing on-time for all scheduled class meetings; submitting course grades by quarterly deadlines; and administering all required course evaluations.
  - b. Use appropriate measures of student performance, provide timely feedback to students, and assign grades that are an accurate and fair evaluation of student work;
  - c. Post and maintain regular office hours at times reasonably convenient for students;
  - d. Demonstrate a command of the discipline and skill in presenting it effectively;
  - e. Serve as an advisor to assigned students providing informed advice;
  - f. Develop courses for which they are responsible and contribute to general curriculum development.
2. Scholarship
  - a. The first year, the postdoctoral fellow will receive a 4 course release to allow the fellow to pursue important scholarly projects under the guidance and mentorship of the department;
  - b. The second year of the appointment, the postdoctoral fellow will receive a 3 course release to allow the fellow to pursue important scholarly projects under the guidance and mentorship of the department.
3. Service
  - a. Service at the department, College, and University level including: attending faculty meetings or other appropriate department gatherings and participating constructively; serving on committees; participating in student recruitment and retention activities as deemed appropriate by the department chair or department culture; participating in professional organizations and activities; and performing community service in virtue of their professional expertise and association with the University.

### **Search and Hiring Processes**

There are currently two processes for hiring postdoctoral fellows. The preferred method is:

#### **Planned Hiring:**

##### ***Position Approval***

Each spring, the dean, weighing departmental needs and the availability of financial resources, will authorize postdoctoral fellow positions. *Departments will be invited to submit a short proposal for a fellow, including information about how the fellow will fit into the current programmatic teaching needs*

*of the department and how the department, as a whole, will demonstrate commitment to mentoring for the potential fellow. Once departments have submitted proposals, the Office of the Dean will post an ad listing the participating departments.*

**Candidate yielded from other search:**

The second process for hiring a postdoctoral fellow is to identify a young, promising teaching scholar yielded from another search. The department will identify the candidate and request the Office of the Dean to appoint the promising (but unsuccessful) candidate from the other search as a postdoctoral fellow. The Office of the Dean, taking into consideration the qualifications of the candidate, the commitment of the department to mentor the person, available resources and programmatic need, will decide whether such an appointment is possible.

***Qualifications***

Candidates for post doctoral fellowships must have received a terminal degree within 2 years of the start date of the appointment. Candidates must have a scholarly plan that can be executed in the period of the fellowship and must be prepared to teach 3 to 4 courses per year. Candidates must be willing to share their scholarly pursuits with the community via campus-wide talks and must be willing to contribute to the department in important curricular discussions.

***Search Procedures.*** The search process will be managed by the Office of the Dean.

- 1) Searches for fellows will be national in focus. The advertisement for the position will be drafted and posted by the Office of the Dean. The advertisement may also be posted on the department webpage or appropriate professional websites, journals, or newsletters as described in departmental hiring procedures. The advertisement must include a specific application deadline, current AA/EEO language, and Clery Act information. Each advertisement must also reference SCU as a Jesuit Catholic university.
- 2) The department must include attention to the diversity goals of the University and College as part of a recruitment plan.
- 3) When internal candidates apply for an open position, the hiring department needs to ensure that confidentiality and fairness are maintained at all steps of the hiring process. The goal is to ensure that the internal candidate is neither advantaged nor disadvantaged by their current status in the department. We may not, for example, either initiate discussion of, nor answer questions about, such matters as the progress of the search, the chances of the candidate relative to others in the applicant pool, the makeup of the applicant pool, our own point of view on the candidate's qualifications, or what we think the point of view of others will be. Any such conversations or advice, whether positive or negative, might be construed to prejudice the search process.
- 4) The Office of the Dean will review all applications to find the qualified candidates and will narrow down the list of candidates to be invited to campus.
- 5) The Office of the Dean will work with the departments in which the potential candidates will reside to share the CVs and materials and to invite the department to interview the candidate. All finalists will also be interviewed by an associate or assistant dean. The associate or assistant dean will provide basic information about the College and University, an overview of benefits, housing availability, a review of the current salary scale, and discussion of moving reimbursement needs. The candidate will also complete a job application that will include providing information needed for salary-step calculations.
- 6) After the department has decided if the candidate is acceptable for hiring, the department will communicate with the Office of the Dean to determine if an offer can be made.

### ***Hiring Procedures***

- 7) With the approval of the associate or assistant dean, the assistant to the dean will prepare the offer letter. The offer letter will be mailed to the candidate. The department chair will also receive a copy of the offer and can extend an oral offer at that time.
- 8) Once the signed offer letter is received by the Office of the Dean, the Office of the Dean will work with the department to gather the following materials before the official letter of appointment can be issued by the provost's office:
  - a) Recommendation for Appointment to the Faculty form
  - b) Departmental recommendation describing the specific role of the candidate in the department, assessing the potential of the candidate in terms of teaching, scholarly activities, and service
  - c) Copy of the announcement of position vacancy
- 9) The provost's office issues the letter of appointment and completes the hiring process.
- 10) Post doctoral fellow appointments should be completed no later than June 1.

### **Other Appointment Details**

***Relocation.*** Relocation expenses will be reimbursed in accordance with University Relocation Guidelines.

***Professional Development Grants.*** Postdoctoral fellows are eligible to apply for professional development grants from the Office of the Dean. Grants of up to \$2500 are typically available per year of employment; Summer stipends are also provided. (see College Policy and Procedures on Moving Expense Reimbursement, Professional Development Grants and Start-Up funds).

***Supplemental Assignments.*** Postdoctoral fellows are not allowed to accept supplemental assignments to their academic-year appointment (e.g., summer-session courses, course releases for school programs, or overloads) until after the last academic-year of their appointment.

***Orientation.*** Once the academic-year begins, departments should implement an orientation process appropriate to the terms of the appointment. In particular, issues related to departmental grading standards and academic policies should be reviewed.

***Evaluation.*** If a faculty member is on a two-year appointment, deadlines for notification of non-reappointment (3.5.3.3 *Faculty Handbook*) must be followed. An evaluation letter is due no later than **March 1** of the first year and must include a recommendation for reappointment. An evaluation letter is not required in the second year. Departments may determine their own process for such evaluation with approval of the dean.

## **Santa Clara University**

### **Policy on Sponsorship of Foreign Nationals**

(October 2009)

#### **Sponsorship Eligibility**

A foreign national who is appointed to a tenure-stream faculty position is eligible for sponsorship by Santa Clara University for non-immigrant or immigrant status. SCU will support applications for TN or H-1B status and will file PERM Labor Certification applications assuming this can be legally accomplished. Senior Lecturers, lecturers, and instructors are not eligible for this support. Candidates who are offered positions as Senior Lecturers, lecturers, and instructors must be able to present evidence that they are legally authorized to work in the United States or will be at the time of hire.

#### **Definitions**

TN: TN (Trade NAFTA) status is a special non-immigration status unique to citizens of the United States, Canada and Mexico. It allows American, Canadian and Mexican citizens the opportunity to work in each other's countries in certain professional occupations.

H1-B: The H-1B is a non-immigrant visa in the United States under the Immigration and Nationality Act. It allows U.S. employers to temporarily employ foreign workers in specialty occupations.

PERM Labor Certification: A permanent labor certification issued by the Department of Labor (DOL) allows an employer to hire a foreign worker to work permanently in the United States. In most instances, before the U.S. employer can submit an immigration petition to the Department of Homeland Security's U.S. Citizenship and Immigration Services (USCIS), the employer must obtain an approved labor certification request from the DOL's Employment and Training Administration (ETA). The DOL must certify to the USCIS that there are no qualified U.S. workers able, willing, qualified and available to accept the job at the prevailing wage for that occupation in the area of intended employment and that employment of the alien will not adversely affect the wages and working conditions of similarly employed U.S. workers.

#### **Office of the Dean Procedures**

In addition to the recruitment and appointment procedures in the *Faculty Policies and Procedures Manual*, the Office of the Dean will ensure the following steps are taken for all tenured and tenure-track faculty searches:

##### Print Advertisement

For all tenure-stream faculty searches, at least one advertisement stating the title, duties, and responsibilities of the position must be placed in a hard-copy national professional journal or the *Chronicle of Higher Education* (an online posting does not fulfill this requirement). The advertisement should have run at least thirty days before an offer is made to ensure that qualified applicants have an opportunity to respond to the advertisement.

##### **Interview**

To determine whether sponsorship of a prospective tenure-stream faculty member will be needed, a designated member of the Office of the Dean shall ask of every candidate the following question: *If you were offered this position, would you be able to present evidence that you are legally authorized to work in the United States?*

Currently, this question is posed to all finalists in the College's employment application.

### Sponsorship Fees and Costs

- The College/School will be responsible for payment up to \$4,500 of the fees and costs associated with obtaining non-immigrant status for the foreign national. Any remaining fees and costs will be the responsibility of the foreign national.
- The College/School will be responsible for payment of the legally required fees and costs associated with the PERM Labor Certification (step 1 of the legal permanent residency process). The foreign national will be responsible for the fees and costs associated with any remaining steps of the legal permanent residency process, step II of which will be prepared by the University's immigration attorney.
- Any related fees and costs associated with a spouse and/or dependents are the responsibility of the foreign national.
- The College/School, Department, or any other entity of Santa Clara University is not authorized to pay for any other fees or costs associated with the sponsorship of a foreign national or related fees and costs associated with his or her spouse and/or dependents.

### Offer Letter

A tenure-stream offer letter to a foreign national will include the following language:

If you do not have authorization to work in the United States:

- The College/School of X will file a non-immigrant visa petition or other appropriate application to obtain work authorization on your behalf. The College/School will be responsible for payment up to \$4,500 of the fees and costs associated with obtaining non-immigrant status. Any remaining fees and costs will be your responsibility.
- A PERM Labor Certification (step 1 of the legal permanent residency process) may be filed on your behalf should your appointment with the University continue. (***Previous sentence added to tenure-track offer letters only.***) The College/School of X will be responsible for payment of the legally required fees and costs associated with your PERM Labor Certification (step 1 of the legal permanent residency process). You will be responsible for the fees and costs associated with any remaining steps of the legal permanent residency process.
- Please note that the University cannot actually hire you unless you are accorded authorization to work in the United States. We will make every effort to assist you in these processes; however, we cannot make any guarantees as to the success of any petitions or applications filed on your behalf since these matters are not within our control but are decided by the federal government.

### Upon Acceptance of Offer

The Office of the Dean, with the assistance of the Department, prepares the following list of documentation for filing a PERM "Special Recruitment" labor certification application and keeps it on file until it is requested by the immigration attorney:

- 1) The entire journal in which the advertisement for the job opportunity was placed, or the tear-sheet of the advertisement, showing the name and the date(s) of publication. One of these must be kept in the file until the applicant has been granted residence or has departed from SCU.

- 2) Evidence of all other recruitment sources utilized. Such evidence may be printouts of hard-copy or online ads. If actual printouts are not available, evidence may include copies of contracts or invoices for the ads or anything else that will prove the ad ran, in what medium or publication, on what dates. The text of the ads must be included. (Please download ad on first and last day that it is up.)
- 3) A list of the candidates who responded to the ads within the time period designated by the school, along with each resume and cover letter. If possible, the ad to which each applicant responded should be included.
- 4) A list of the names of all candidates who were interviewed, including information about where and when the interview took place, who interviewed the candidate, whether the interview was conducted by telephone or in person, the relevant positive and negative factors influencing each decision (including why candidates were or were not selected), and the relevant factors considered in deciding who would receive a job offer. Reasons need to be legitimate job related reasons that are non-discriminatory.
- 5) Copy of offer letter (or other document) evidencing the date of selection of the foreign national candidate. Note that the Special Recruitment PERM application must be filed within 18 months of this selection date; hence, the date of selection must be verifiable.
- 6) Name(s) of any U.S. candidate(s) who was (were) offered the position before it was offered to the foreign national, and information about why the U.S. candidate did not take the position.

Each Department keeps all resumes sent in response to the ads for the position on file for five (5) years.

Upon receipt of the signed offer letter, the provost's office begins the sponsorship process with the University's immigration counsel.

### **Senior Lecturer, Lecturer, Adjunct Lecturer, and Instructor Searches**

To communicate up front to applicants that Santa Clara University does not sponsor visas or other applications to obtain employment for Senior Lecturers, lecturers, and instructors, the Deans' Offices will take the following steps:

#### ***Advertisement***

Advertisements will include the following statement:

*SCU does not sponsor any visa applications for this position. The successful candidate must be able to provide evidence of identity and legal authorization to work in the United States*

#### ***Interview***

To determine whether the individual will be able to present evidence that he/she is legally authorized to work in the U.S., a designated member of the Office of the Dean shall ask of every candidate the following question:

*If you were offered this position, would you be able to present evidence that you are legally authorized to work in the United States?*

Currently, in the College, this question is posed by having each finalist complete the employment application.

Any questions that arise during this process should be directed to the Office of the Provost.

## **Policies and Procedures related to Special Faculty Appointments for International Scholars**

(Revised October 2006)

From time to time, we have the opportunity to enrich our curriculum with courses taught by distinguished scholars from other countries. The protocol for such appointments is as follows:

1. As part of the Academic-year Planning process or at least six months before the start of the teaching assignment, the chair or director drafts a justification for the appointment and identifies the courses to be taught by the candidate. The chair or director discusses the justification and assignment with the senior associate dean or senior assistant dean.
2. Once the justification is approved by the dean, the assistant dean contacts Human Resources to start the process of obtaining a visa as needed. The distinguished scholar may need to arrive in the United States at least two weeks before the start of the teaching assignment to ensure appropriate documentation, such as a social security number, is in place for employment. The additional time must be considered in the planning process.
3. The assistant dean works with the chair and the provost's office to complete the Special Faculty Appointment procedure outlined in the Faculty Personnel Policies and Procedures manual. [The procedure is a simplified version of that followed for a fixed-term lecturer.]

**College of Arts and Sciences**  
**Telephone Interview Protocol for Tenure-Track Searches**  
(Established October 11, 2007)

**Preparatory procedures**

- Schedule phone interviews with candidates ahead of time.
- Consider sending the main questions ahead of time in an email to the candidates.
- Allow a one-hour time slot but try to keep the call to 45 minutes.
- Maintain consistency throughout the process. Ideally, the entire search committee should be present to make all calls. At the very least, the committee chair and another member should be present for all calls.
- Provide a printed rubric to each committee member to note the quality of responses to each of the questions, with space for notes about candidate comments beyond the set of questions, e.g., the candidate's questions to the committee.
- Call candidate, greet, and introduce all faculty members present.

**Sample Questions***Scholarship*

1. Tell us about your research program.
2. How do you see that program fitting in here at SCU? How do you see undergraduates fitting into this program?
3. What kinds of research space or equipment do you need?
4. For fieldwork, how will you make use of sites in this area?
5. How do you envision funding your work?
6. Including/increasing students from diverse backgrounds in research - thoughts or ideas on that?

*Teaching*

1. Tell us about how you would design your primary upper-division course in the major.
2. What other upper-division courses would you like to teach or feel comfortable teaching?
3. Refer to our discipline's introductory series. How do you see yourself fitting into that series?
4. Refer to the University Core. What course(s) might you teach or design for non-majors? How would you include laboratory experience / community based learning / other pedagogies of engagement?

*Other*

1. Why did you apply to SCU?
2. Do you have any questions for us?

Thank them, and let them know that they can contact the search chair with any further questions. Collect scored rubrics from committee members; add these data to other data points for a holistic judgment of the candidates.

## College Guidelines on Conducting Interviews at Conferences (Established July 2008)

At the request of the chairs, we have developed two alternative ways to interact with potential candidates or candidates at national conferences. These guidelines are drafted under the assumption that a department will interact with candidates or potential candidates at the national conference either before or after the application deadline – *but not both*.

### 1) Conferences that take place **before** the Application Deadline

Departments may conduct interviews at national conferences before the application deadline has passed. In order to ensure the most fair and consistent recruitment process possible, departments must decide in advance how such interactions will be approached. That decision must be clear in the recruitment plan approved by the Office of the Dean.

In all cases, interactions with potential candidates can be informational as described below:

- Department representatives present information about the position, the department, the University etc.
- Department representatives can answer any questions raised.
- There should be no spontaneous interviews. A meeting that begins as an informational session should not become an interview.

If approved in the recruitment plan and, preferably, announced in the job ad, these interactions may also take the form of interviews as long as the following conditions are met:

- At least one member of the search committee must be present.
- Department representatives should use the same list of questions that will be used with candidates during phone interviews conducted after the application deadline has passed. These questions must address the hiring criteria established in the job ad. The same questions must be asked of all candidates.
- Notes must be taken during the interviews, and these notes should be kept through the end of the search. Information from the interviews should be recorded into the rubric being used to evaluate all applicants.

### 2) Conferences that take place **after** Application Deadline

A department may also invite a short-list of roughly ten pre-screened candidates, who best meet the basic hiring criteria established in the recruitment plan and job ad, to interview at a conference that takes place after the application deadline has passed. These interviews may take the place of phone interviews in determining the applicants who will be invited to campus. They must meet the conditions listed below:

- At least one member of the search committee must be present.
- Questions must address the hiring criteria established in the job ad. The same questions must be asked of all candidates.
- Notes must be taken during the interviews, and these notes should be kept through the end of the search. Information from the interviews should be recorded into the rubric being used to evaluate all applicants.

## Summary of Policies and Procedures for Faculty Leaves (Revised October 2006)

**Sabbatical Leaves** – Section 3.7.1.1 of the *Faculty Handbook*. **Tenured faculty** and **Senior Lecturers** are eligible to take a sabbatical of one term, two terms, or a full academic-year once they have accrued six years of full-time service. Rates of pay are described in section 3.7.1.3 of the *Faculty Handbook*. Guidelines for Sabbatical Leaves are in the University documents section.

**Junior Faculty Development Leaves** – Section 3.7.3 in the *Faculty Handbook*. **Tenure-track faculty** are eligible for a one-term junior faculty development leave at full salary following a positive mid-probationary review. Guidelines for Junior Faculty Leaves are on the provost's website.

**Personal Leaves of Absence** – Section 3.7.3 of the *Faculty Handbook and the University Faculty Personnel Policy and Procedures Manual*. Any member of the faculty may be granted leaves of absence for up to one year's duration for emergencies or other personal reasons. A leave of absence may be extended beyond one year only for extraordinary reasons. Leaves of absence must have the recommendation of the department chair, dean and the approval of the provost. In terms of process, the faculty member should request the leave in writing to the chair, dean, and provost (an email to all is sufficient). The request should include a brief description of the reasons for the leave.

**Medical Disability and Family and Medical Leave of Absence** (including pregnancy and parental leave) – Faculty may be eligible for medical and disability and family and medical leaves of absence in accordance with the applicable state and federal regulations, section 3.8.2.1 of the *Faculty Handbook*, and section 600 of the *Staff Policy Manual*. The faculty member must contact Human Resources as soon as possible to complete appropriate paperwork and discuss leave processes.

A faculty member would be eligible for medical disability leave for the period of time for which the health care provider certifies the disability. For Pregnancy Disability, usually this period of time is four weeks prior to the due date and six to eight weeks after the delivery. If the dates provided by the physician indicate a leave of two or more weeks into a given quarter, it is the College's practice that the faculty member's assignment might not include teaching courses but might include advising, research and service for the period of time before or after the dates provided by the doctor. The assignment and specific job expectations would be outlined in a dean's letter developed in consultation with the chair and faculty member.

In addition, the Family Medical Leave Act (FMLA) provides for 12 weeks (or one quarter) of "baby bonding" leave within the first year after the birth or adoption of the child for the parent. The FMLA criteria are 12 months of employment and 1250 hours worked in the 12 months prior to the start of the leave. Hence, after the Pregnancy Disability Leave, a faculty member would be eligible for her FMLA leave immediately following the disability leave unless she is in her first year of employment or has been on an earlier leave such that she has not worked the required number of hours. If she is in her first year of employment or has had other leave, her eligibility would depend on a calculation of hours worked and the limitation of one year since birth/adoption. The same criteria apply to fathers seeking family leave.

Eligibility for any medical leave or FMLA family leave is determined by the Human Resources department.

**Probationary Faculty, Leaves, and the Tenure Clock.** If a *probationary faculty member* is requesting a leave, at the time of the request for the leave he or she typically must also request that the "tenure clock be stopped" if he or she wishes the probationary period to be extended. The chair, dean, and provost must approve any changes in the tenure clock. Please see Faculty Handbook 3.4.1.1 for recent changes to

the policy, including conditions under which extension requests are granted automatically. Even for automatic extensions, the faculty member must submit a Tenure Clock Extension for to the provost as soon as possible after the qualifying event, but no later than September 15 of the penultimate year of the probationary period.

**Bereavement Leaves** – Pursuant to the University Faculty Personnel Policy and Procedures Manual, any *member of the faculty* may take up to five days of paid bereavement leave in the case of the death of a spouse or person who stands in substantially the same relationship, son, daughter, child's other parent, father, mother, brother, sister, father-in-law, mother-in-law, grandchild, grandparents, or anyone with whom the employee has an *in loco parentis* relationship. If additional time off is needed, the provost may approve additional time off without pay subject to the approval of the dean. In terms of process, the faculty member should work with the chair to determine the best course of action. The chair may consult the senior associate dean, senior assistant dean, or dean as needed.

## **Policies and Procedures for Supplemental Assignments**

(Revised October 2006 and October 2008)

### **General Information**

Some important highlights from the University Faculty Personnel Policies and Procedures are summarized as follows:

- Faculty who already have an academic-year appointment (tenured or tenure-track faculty, Senior Lecturers, lecturers, fixed-term adjunct faculty or academic staff, or special faculty appointments) may accept a supplemental assignment such as:
  - A College or University assignment with a course release and/or stipend
  - Teaching overload assignment including private instruction
  - An external grant assignment that does not extend past the term of employment
  - A summer-session assignment
- Faculty will receive a supplemental assignment letter from the administering unit;
- If there is a stipend or other payment for a supplemental assignment, the supplemental assignment letter will indicate that supplemental payments are subject to income tax withholding based on the Internal Revenue and Franchise Tax Board supplemental (flat) tax rates which may be different rates than are applicable to base annual salary. In addition, supplemental payments are not eligible for a contribution to the 401(a)-retirement plan.
- The stipend will coincide with the period of the assignment. For example, assignments that coincide with the academic-year are paid over 20 pay periods, from September 1 to June 30.
- If there is an *increase* in course load such as an overload or summer session assignment, only a supplemental assignment letter will be issued and the letter of appointment will not be modified.
- *The supplemental pay for an overload course will not be paid until the faculty has exceeded the contractual teaching load. For example, if a Senior Lecturer will exceed the 7 course teaching load in spring quarter, the supplemental pay will be initiated and paid during spring quarter when that 8<sup>th</sup> course is taught.*

### **Course Release Approval**

All course releases must be approved by provost, in consultation with the dean and the chair. The faculty member should contact his or her chair via email as soon as possible to start the approval process. The chair then emails the dean with his or her comments and recommendation.

### **College Supplemental Payment Process**

Most school or University assignments will be processed by the administrative unit responsible for payment.

Departments will only need to provide a supplemental assignment spreadsheet to Office of the Dean for teaching overload and summer session assignments. After receiving the spreadsheet, the Office of the Dean will prepare an appropriate supplemental assignment letter and initiate payment process.

## Tenure and Promotion Documents

College of Arts and Sciences *Standards and Procedures for Faculty Promotion and Tenure* (dean and Council of Chairs, 1994; revised 2002 and 2004) is one of several important documents related to tenure and promotion. The College Standards and several University documents listed below and found in the University documents and Faculty Handbook sections of this resource binder, set forth the procedures, standards, criteria, and values operative in this important process. The goal of this collection of material is to clarify this process. In addition to these documents, the Office of the Provost updates and distributes Guidelines and Requirements for the Candidates each spring.

- I) University Standards for Tenure and Promotion (Board of Trustees, 1994)
- II) Uniform Procedures for Tenure and Promotion (University Policy, 1995)
- III) *Faculty Handbook* section 3.4 on Promotion and Tenure (2002)

## College of Arts and Sciences Standards and Procedures for Faculty Promotion and Tenure

### Purposes and Principles

**1.1 Primary Purposes:** The primary purposes of the promotion and tenure process within the College of Arts and Sciences are to strengthen the academic quality of the College as a learning community and to assure scholarly integrity and academic freedom of inquiry. This document expresses the standards for promotion and tenure appropriate to the evaluation of candidates from the College of Arts and Sciences, whose mission is the preparation of leaders through undergraduate Jesuit education in the liberal arts and sciences. The document extends upon and applies the criteria in the *Faculty Handbook* and in the 1994 University Standards for Promotion and Tenure, to the wide range of disciplines represented within the College of Arts and Sciences. Along with the *Faculty Handbook* and the University Standards for Promotion and Tenure, this document should guide candidates of the College and all who participate in the evaluation and recommendation process with regard to those candidates, whether at the departmental, College, or University stages, concerning the expectations for faculty promotion and tenure appropriate to the College of Arts and Sciences.

**1.2 Secondary Purposes:** In order to sustain an orderly and equitable process of building and reviewing the candidate's file, sections of this document discuss procedures and possible sources of evidence. These sections are intended as advisory only. Since the goal of the process is a full and fair-minded evaluation of the candidate's worthiness for promotion and tenure, candidates and evaluators should submit whatever evidence or statements to the file they estimate might be useful, even if the materials are not explicitly listed or described in this document. All parties to the review should adhere to the principles of due process. No part of this document may be correctly interpreted as overriding the prudent, professional judgment of evaluators at any stage of review.

**1.3 Relation to University and Departmental Statements:** This document neither modifies nor adds to the criteria of the *Faculty Handbook* or to University Standards for Promotion and Tenure. However, this document shall take priority over departmental statements regarding promotion and tenure and any other statements, written or implied, as may be part of other Protocols of the College of Arts and Sciences or as may be found in any College or departmental documents, or as may have been included in an individual's annual letters of evaluation or mid-probationary review report. As guidance to candidates and to evaluators, departments are encouraged to suggest specific examples of the kinds and amounts of work, particularly in the category of teaching and scholarship, which are broadly considered appropriate and meaningful within their disciplines. While such suggestions should be given due weight by evaluators at all stages of the process, they are not binding on College and University evaluators.

**2.1 Guiding Principles:** Certain principles apply to the evaluation of candidates for promotion and tenure. This listing of some of the more salient considerations is not intended to be exhaustive. It serves, rather, to orient the candidates and the evaluators toward the expectations appropriate to the evaluation of candidates from the College of Arts and Sciences.

**2.1.1 Quality is the significant factor.** Successful candidates are those who demonstrate that their contributions measure up to the qualitative expectations of the College. *Effective* teaching, *successful* scholarship, and *useful* service are manifest indirectly in quantifiable ways, such as, for example, by the number of new courses designed or students advised and taught, or by the number of refereed publications or creative juried performances, or by the amount of projects one undertakes on behalf of the profession, or by the number of committees on which one served. Without concrete manifestations of these kinds, evaluators will have little or no evidence upon which to estimate the quality of one's teaching, scholarship, or service. However, quantitative thresholds cannot substitute for quality

performance. All things being equal with regard to the quality of the work, candidates with records of sustained effort and greater quantitative output will be evaluated more favorably than candidates with records showing sporadic effort or lesser quantitative output. However, regardless of the evaluation category, no amount of quantitative output can overcome deficits in the quality of the work. Candidates are advised to do fewer things very well, rather than many things poorly.

**2.1.2 *An evaluator's recommendation is to be a holistic judgment.*** An evaluator's recommendation for or against a candidate's promotion or tenure is not a mathematical derivation to be generated by percentage weights of the categories of teaching, scholarship, and service. Although it is convenient for purposes of mentoring new colleagues and for periodic evaluations to suggest percentage weights, such as 40%-40%-20%, for the categories of teaching, scholarship, and service, specific allocations of weights are not appropriate for the purposes of evaluating and recommending candidates for promotion and tenure. On the contrary, that recommendation is to be a holistic professional judgment with regard to the worthiness of the candidate, a judgment made with the long-term good of the College and the University in mind. The College seeks to promote and to tenure colleagues who are the best available representatives of the ideal of the scholar-teacher; that is, colleagues who, in addition to high attainment in teaching, scholarship and service, bring commitment, integrity, intellectual acumen, and energy to their work on behalf of their students, their discipline, the College and the University.

**2.1.3 *The candidate must demonstrate achievement and promise in teaching, scholarly/creative activity, and service.*** Promotion and tenure in the College of Arts and Sciences are not rights, but privileges awarded on the basis of the candidate's demonstration of superior achievement and the promise of continuing or increasing levels of achievement in the years ahead. If, in the judgment of the evaluator, sufficient levels of achievement and promise are not manifest in teaching, scholarship/creative activity, and service, the evaluator is expected to recommend against promotion or tenure. Deficiency in any one category cannot be overcome, even by outstanding accomplishments in the other two categories. The University Standards for Promotion and Tenure states, "the burden of proof rests with the candidate." Evaluations for promotion and tenure, as the *Faculty Handbook* states, are based "upon the recognition by a candidate's peers of academic and professional achievement and upon their judgment that such the achievement will continue." Members of College Rank and Tenure Committees and other evaluators shall measure the candidate's achievement and promise against their experience of the meaning of superior teaching, scholarship, and service within the College and the University as of the time at which the candidate's case is being considered.

**2.1.4 *Collegiality is not a distinct capacity to be addressed independently of the traditional triumvirate of scholarship, teaching, and service. It is rather a quality whose value is expressed in the successful execution of these three functions, and as such is an important consideration in promotion and tenure decisions.*** To improve the overall quality and academic culture of learning of the department, the College and the University, the College places great value on collegiality, the mutually respectful sharing of intellectual authority and professional responsibility for the quality of our curriculum, our instruction, our scholarly/creative work, and our campus culture of learning. Collegiality contributes to the effectiveness of other teachers, the scholarly and creative productivity and accomplishment of one's colleagues, and the long-term well-being and the common good of the department, the College, and the University. Those in the review process shall take into consideration the impact of the candidate's contributions and presence not just on students or others in the same field of scholarly research or creative performance, but on the overall effectiveness and academic quality of the department, the College, and the University. Evaluators at all stages are reminded that collegiality is not the same as popularity and that the thoughtful and professional articulation of divergent views and the considered expression of constructive criticism, even if unwelcome to many, can be evaluated as positive collegial contributions. As stated in the *Faculty Handbook* (section 3.4.2), "In those rare instances in which lack of collegiality becomes an issue in the evaluation of faculty for promotion and tenure, it may be considered only insofar as it has a negative effect on the functioning of the department, college, ... or University."

The College seeks to encourage collegiality in the sense defined here. Collegiality means that a faculty member can be counted upon to discharge his or her professional responsibilities in a reliable, conscientious, energetic, civil, and effective manner. Collegiality is not the same as conformity. The search for wisdom and truth, which is the quest of every academic community, is not enriched by fearful silence or indifferent complacency. Genuine collegiality calls on us to express our considered opinions thoughtfully and to reflect fair-mindedly on the reasons, evidence, and opinions expressed by others. Only in an atmosphere of collegiality can we sustain the dynamic dialogue and debate essential for scholar/teachers committed to the discovery and dissemination of knowledge. Legitimate expectations of collegiality should never be interpreted to mean anything counter to normal principles of academic freedom and should never be used to discriminate with personal, political, religious, ethnic, or sexual bias against any groups or individuals. Collegiality thus combines the essential components of academic inquiry and democratic participation, mutual respect, freedom of speech, open-minded consideration of ideas, and the principles of good citizenship, helping us work together more effectively to advance the cause of learning.

## **Standards in Teaching, Scholarship, and Service**

**3.1 Standards for Promotion and Tenure.** College of Arts and Sciences candidates for promotion and for tenure must demonstrate superior achievement and promise in teaching, scholarship/creative activity, and service. In order to strengthen the academic quality of the College, superior achievement and promise shall be judged in comparison to one's peers in rank and relative to the expectations for the rank toward which the candidate aspires.

**3.2 Standards by Rank.** Superior achievement and promise in all three categories are necessary conditions for promotion and tenure. No candidate can be promoted or tenured if judged to be of less than superior accomplishment and promise in any one of the three categories. The categories of teaching and scholarship/creative activity are considered to be of equal significance, and both are more important than the category of service. While tenure, which is meant to protect academic freedom, creates certain contractual obligations with regard to continued employment, promotion to associate professor and to full professor are somewhat more closely associated with one's stature in the profession and with the overall reputation of the College and University at a regional and national level. Thus differing points of emphasis are warranted in coming to a holistic judgment about an individual candidate's petition for promotion.

The sections below describe in more detail the expectations, priorities, principles, and values of the College as related to tenure and promotion in rank and as related to the categories of teaching, scholarly/creative activity, and service. If in preparing their files candidates find that a given accomplishment is relevant in more than one category, the candidate is advised to present that work in whichever category seems most appropriate and to cross-reference that work in the other relevant category. Since the recommendation is based on a holistic judgment, each evaluator has the prerogative of considering any of the candidate's materials in whatever category or categories that evaluator deems most appropriate.

***3.2.1 Tenure and Promotion to Associate Professor:*** For tenure and for promotion to the rank of associate professor the College places emphasis on teaching effectiveness which results in student learning in both upper-division and lower-division courses, and on scholarship/creative activity which demonstrates that the candidate has successfully embarked upon and systematically pursued a rich and sustaining program of scholarly research / artistic work. Candidates should demonstrate achievement and promise which evaluators judge to be at least equivalent to that of the group of those candidates who were tenured and promoted to the rank of associate professor in the College of Arts and Sciences over the previous three years. Evaluators shall place particular emphasis on the quality of the work accomplished since joining the faculty of the University. Thus, assistant professors during their probationary years are

well advised to focus on building demonstrable success in teaching and scholarship/creative activity, while focusing their academic service contributions on department and program needs.

**3.2.2 Promotion to Professor:** Candidates who seek promotion to full professor should have advanced qualitatively, not just quantitatively, in the areas of teaching, scholarship/creative activity, and service, beyond the levels attained when last promoted. Candidates should have distinguished themselves in either teaching or scholarship/creative activity, or, preferably in both. In recognition of its undergraduate liberal arts and sciences mission, the College places the emphasis for purposes of promotion to full professor on teaching that is effective across a wide spectrum of courses in both the core and the major, and on scholarship/creative activity which focuses on the discovery, integration, or application of knowledge or artistic expression. As senior colleagues and leaders within the academic community, they are expected to have served the College, the University, and the profession in proportion to their abilities and experience. Candidates are well advised to pursue those levels of quality and achievement in all three categories, which bring ever-greater stature to the academic reputation of the College and the University. Candidates for promotion to full professor should demonstrate achievement and promise which evaluators judge to be at least equivalent to that of the group of those candidates who were promoted to full professor in the College of Arts and Sciences over the previous three years.

**3.3 Teaching Effectiveness:** Effectiveness in leading students to learn is the most important element in the evaluation of teaching. Analyses and evaluations with regard to the effectiveness of a candidate's teaching shall be based on the professional judgment and experience of the evaluators in the promotion and tenure review process who are to consider several varieties of evidence, both direct and indirect. Some of the evidence relates to how much and how well the candidate's students have learned what the candidate has been assigned to teach. Some relates to how fully and how well the candidate has discharged academic advising, curriculum development, and course supervision responsibilities, if any. Some of the evidence derives from peer observations of the candidate's actual teaching, and some from comments and opinions expressed by the candidate's current and former students. And, some of the evidence derives from the quality of the instructional materials the candidate develops and uses. Given that we are an undergraduate liberal arts and sciences college, demonstrable effectiveness in teaching a broad spectrum of courses in both the core and in the major and at both the upper-division and lower-division levels is highly desirable.

**3.3.1 Teaching strategies and curricular goals:** Effective teachers plan courses meticulously, provide students with appropriate syllabi, connect assignments and class activities to the stated goals of the course, construct challenging yet fair tests or projects for grades, and provide students with timely feedback and advice about their progress in the course. Some effective teachers prefer to use clear, well-organized lectures, while some build their courses using collaborative learning strategies, individualized instructional techniques, computer assisted instruction, group projects and assignments, case study methodologies, etc. These aspects of how a candidate manages student learning and conducts classes are to be judged by their effectiveness. Nothing in this document is intended to imply that the College limits the creativity of the faculty to a given, required instructional methodology, strategy, or course design.

All faculty are encouraged to use their intelligence and creativity in effectively promoting student learning which contributes in some way to the overall University goals of preparing leaders in the Jesuit tradition and of integrating rigorous inquiry, creative imagination, reflective engagement with society, and a commitment to fashioning a more humane and just world. Expanding students' content knowledge and developing their skills and habits of mind in critical thinking, written and oral communication, and problem solving should be targets of every College of Arts and Sciences teaching and advising experience. Achieving these overall University and College goals is our collective responsibility. In working together to accomplish these goals it is reasonable to expect different departments, different courses, and different individual faculty will contribute in different ways. Effective teaching at the undergraduate level implies that the students will have developed the knowledge, skills, and habits of

mind which the faculty of the department, College, or University intend that a given course or a given program should instill.

**3.3.2 Significant sources of evidence:** Sources of evidence regarding a candidate's teaching include, but are not limited to, colleagues' reports of classroom visitations, exit interviews with graduating students, and thoughtful analyzes of a candidate's syllabi, reading lists, course outlines, handouts, examinations, and grading practices. Other sources include quantitative student course evaluations, written student narrative comments about the candidate's teaching and advising, observations by peers with regard to a teacher's availability for consultation with students outside the classroom, reports from colleagues about the extent to which a candidate's students have been prepared for subsequent learning experiences, test scores or other valid and reliable measures of students' actual learning, and the general reputation acquired by the teacher over the years.

As a general guideline, which may not apply in a given case, among the possible sources of evidence listed above or described below, greater significance is to be attached to valid and reliable measures, qualitative or quantitative, of the candidate's students' actual learning, the judgments of the candidate's faculty colleagues reporting on classroom visitations, the prudent analysis of narrative comments of current and former students with regard to the candidate's teaching and advising, and the judgment of the faculty with regard to the adequacy of course materials and course design in promoting the goals of those courses the candidate has been assigned to teach. Other sources of evidence, while valuable, are generally of lesser significance.

**3.3.3 Materials about teaching effectiveness for the promotion and tenure review file :** While most of the items named and described below are required elements in the promotion and tenure review file, others are optional. It is possible, for example, that a candidate may not have supervised student research, or received an instructional grant. Lack of information under some headings does not, in itself, prejudice a candidacy. A complete teaching portfolio will provide evaluators the opportunity to evaluate fully and fairly the effectiveness of a candidate's teaching. In preparing the teaching portfolio for the promotion and tenure review file, the candidate should include:

- 1) **Annual Teaching Responsibilities Summaries.** Candidates should list by academic-year all Santa Clara University courses taught, their unit value, and enrollments. Candidates should include supervision or coordination of multiple section courses, teaching or lab assistants, or adjunct faculty. Candidates should list and explain reasons for any course reductions or increases relative to the standard teaching load of seven courses. In general, outside-compensated teaching shall not be given positive credit in the evaluation of teaching effectiveness.
- 2) **Representative Samples of Course Materials.** Candidates should include copies of the most recent syllabi of all courses taught at Santa Clara. They should identify and briefly describe, with supporting material, courses designed or significantly revised. Candidates may wish to include former syllabi for comparison purposes. Descriptions should identify such features as course objectives, calendar of assignments and projects, expectations of students, writing guidelines, course-grading policy, and teaching strategies used. Candidates may wish to add a statement about how the course furthers the goals of whatever programs or student interests it serves, e.g., the core, the department's major, an interdisciplinary program, and the like. Supporting materials should include final examinations and may also include mid-term examinations or quizzes, course outlines, representative handouts, and the like. In short, candidates should provide a clear picture of the intended learning outcomes of the course and how these outcomes are brought about.
- 3) **Evidence of Student Learning.** Evidence that students have achieved the goals for which a course or program is designed is one of the best indicators of one's effectiveness as a teacher. Candidates should include any information derived from valid and reliable measures, qualitative

or quantitative, of their students' aggregate achievement. Examples of external indicators of student learning might include: systematic evidence of the level of preparation one's students manifest as they enter subsequent courses and move through a departmental program; representative samples of student work judged by the faculty to meet course objectives, one's students' mean scores on standardized subject matter examinations; one's students' level of success in the production of juried projects; and systematically gathered data on student self-reports of learning. Although not necessarily reflective of the learning of all of one's students, candidates are encouraged to note awards, honors, distinctions, recognitions, acceptances or other indicators of achievement won by individual students for work the candidate directed.

- 4) **Advising and Mentoring.** Personal attention to students is a hallmark of a Santa Clara undergraduate education and a significant factor in the evaluation of one's contributions in teaching. Candidates should describe the responsibilities to, or interaction with, students which are more or less closely related to teaching, as for example, the number of advisees one is assigned annually and the frequency and nature of one's meetings with those advisees. Candidates should include participation in faculty development programs and workshops with respect to advising as well as descriptions of extraordinary advising assignments. If precise numbers are not available, candidates should give averages or summary descriptions. Personal attention to students is not limited to formal advising and teaching duties. Candidates are strongly encouraged to describe their out of class interactions with students and to include mention of any individual students or groups of students for whom the candidate played a significant role as a mentor, whether in a formal or informal capacity.
- 5) **Supervision of Student Research or Artistic Work.** For a variety of educational reasons the College is interested in fostering student research and creative activity. Candidates should list independent studies, practice, internships, field projects, or other research, artistic, or laboratory projects guided, supervised, or directed during their time at Santa Clara.
- 6) **Instructional Development Activities.** Participation in formal or informal programs of pedagogical development, training sessions, workshops on teaching, mutual class visits with colleagues, individual or group curricular development projects, or conference presentations directed toward the improvement of college level curricula or instructional methods are some of the many possible indicators of an active concern to improve one's teaching. Candidates should list and describe projects, activities, and systematic efforts undertaken to improve their own teaching effectiveness.
- 7) **Contributions to the Learning Environment.** Enriching the College's culture of learning is a positive factor in the category of teaching and a manifestation of one's collegiality and scholarly approach to teaching. Contributions to the teaching effectiveness of colleagues at Santa Clara University or in the profession more generally should be included. There are several kinds of examples of this: [A] The production of scholarly and effective learning tools such as textbooks, CD-ROM, and other instructional materials including educational assessment tools, curricular case studies, model reading lists, course guides, instructor's manuals, handbooks, instructional videotapes, etc. [B] Constructive contributions to curriculum development projects or to student learning outcomes assessment projects. [C] Working with colleagues to improve one another's teaching, perhaps by reviewing each other's syllabi and exams or by visiting one another's classes. [D] Activities that contribute to student learning which may be outside one's assigned teaching responsibilities, such as guest lectures or artistic presentations in other faculty members' courses, lectures or informal talks to student groups, participation in student workshops and study groups, and the like. It may be difficult in some cases to decide whether a items of the kind mentioned above fall into the category of teaching or in scholarship or in service. Candidates

should list such items where they think these items might reasonably go and simply cross-reference them elsewhere.

- 8) **Student Evaluations and Peer Evaluations.** The comments of one's current and former students, judiciously interpreted, can be valid and useful indicators of teaching effectiveness. Computer printouts of student end-of-course evaluations are furnished by the departmental chair. If the candidate or the department systematically gathered narrative evaluations, either in individual classes or in departmental exit interviews, these should be included. Chairs should supply these materials, if they are gathered as part of a departmental or College process. It is of considerable help to the Committees on Rank and Tenure to have the department chair's summary, analysis, and interpretation of qualitative and quantitative student evaluations. A candidate may include here any unsolicited letters from students that relate to the candidate's teaching or professional character.
- 9) **Peer Visitation.** Frequently one's faculty peers, familiar with the discipline and the many ways in which it can be taught effectively, visit each other's classes and provide each other with helpful formative and developmental comments. Reports and sophisticated analyzes of the observations of faculty colleagues who have visited a candidate's classes, particularly if these visits are systematic and conducted for the purpose of evaluation, should be included. Such reports can often provide important contextual information to evaluators in the promotion and tenure review process as well as being another source of evidence with regard to one's teaching effectiveness. Either the chair or the candidate may supply these materials.
- 10) **Recognitions, Awards, Honors and the Like.** Candidates should list and describe all awards, prizes, honors, or recognitions received for teaching, advising, curriculum development, or other accomplishments related to the category of teaching. Candidates may list any activities, invitations, or presentations which, in their opinion, speak to their reputations as teaching scholars.
- 11) **Personal Statement.** Although the University does not require a Personal Statement, evaluators find it useful to consider the various direct and indirect indicators of teaching effectiveness in the light of a personal statement from the candidate with regard to his or her teaching. It is strongly suggested that candidates review the statement in University Guidelines and Requirements for Candidates, Section III regarding the use of the Personal Statement.

**3.4 Scholarly/creative activity** The most important element in the evaluation of a candidate's scholarship or artistic activity is peer judgment -- the qualitative determination of the merit of the candidate's scholarly/artistic work -- by the candidate's departmental, College, and University colleagues, by persons the candidate nominates as references, and by specialists identified and contacted by the Rank and Tenure Committees themselves. All outside references should be contacted before their names are provided to the dean to assure their agreement to participate in the evaluation process. In the evaluation of scholarly and artistic work, *quality, more than kind or quantity*, is the most important consideration. Although some might suggest that in a given discipline a certain number of scholarly books, refereed articles, or juried artistic exhibitions may be either a sufficient or a necessary condition for tenure or for promotion, the College neither sets nor accepts any purely quantitative thresholds. However, candidates are advised that evidence of sustained and sustaining productive scholarly and creative work is necessary for a positive recommendation.

**3.4.1 Different kinds of scholarly/creative work:** Scholarly and creative achievements and promise are manifest in different kinds of work even within a single department, field, or discipline. Given its undergraduate liberal arts and sciences character, the College prizes basic research focused on the discovery of new knowledge in a particular disciplinary specialization, and the College also values

that scholarship which is broadly integrative, cross-disciplinary, or oriented more toward interpretation and application. A college of our kind, to be successful, must include many faculty whose scholarly/creative activity is expansive, well-rounded, and integrative. We must also include many faculty whose work is sharply focused on specific questions in disciplinary sub-specialties. All candidates for tenure are encouraged to demonstrate solid capabilities in conducting the basic or paradigmatic scholarly/artistic work of their disciplines. The College values that scholarly and creative activity which meaningfully advances, analyzes, applies, broadens, codifies, connects, deepens, evaluates, extends, explains, integrates, interprets, mediates, synthesizes, or transmits knowledge or creative/artistic expression. Tenured faculty are encouraged to expand the horizons of their scholarly inquiries and creative imaginations. Normally, it is not the nature of the scholarly/creative work, but its quality, which is most important to the promotion and tenure process.

**3.4.2 Expertise and peer judgment:** Among the sources of evidence described below, the greatest significance is attached to the qualitative merit of those actual works which the candidate has produced since joining the tenure-track faculty of the University or since the candidate's last promotion. Evaluators, particularly at the departmental and the College stages, are expected to make a qualitative, not simply quantitative, judgment regarding the scholarly/artistic merit of the candidate's work. Given the amount of specialization in the higher education today and the relatively small size of many departments, it is virtually axiomatic that one's departmental and College colleagues will not have detailed knowledge of a candidate's particular area of scholarly/creative specialization. However, this comparative lack of specialized expertise neither exempts nor disqualifies these evaluators from making a thoughtful qualitative judgment about the merits of the candidate's work. As tenured faculty themselves, their professional knowledge of scholarly/artistic standards and methods qualifies them to make the judgment. The responsibility that tenured faculty have by virtue of the *Faculty Handbook* for making tenure and promotion recommendations requires that they not be exempted from making judgments about scholarship/creative work.

**3.4.3 General guidelines concerning relative significance:** Certain general rules, which may not apply in a particular case, are useful heuristics for evaluating the relative significance of the materials in a candidate's scholarly/artistic activities portfolio:

- 1) **Works that appear in their final, published form are given more weight than pre-publication or unpublished works.** In order to communicate with the scholarly/artistic community, to enhance the reputation of the College and University, and to contribute to greater human understanding and knowledge, the College gives significantly more weight to works that appear in published form than to works in-progress, or to unfinished or finished works which are unpublished. Fully completed manuscripts having been unconditionally accepted for publication shall be weighted and evaluated as if they had appeared in final published form. However, a contract to write a book or present a concert, or the acceptance of a manuscript contingent upon further review, revision, or editing (other than checking page proofs), for example, while a hopeful sign, cannot substitute for accomplishment itself.
- 2) **Refereed, juried, or peer-reviewed work is given more weight than non-refereed work.** For instance, articles, book chapters, competitive externally funded grants, and conference papers that have undergone some peer review are more highly regarded than articles in unrefereed journals, self-published books, administrative reports required as a result of completing a research project, and the like. In general, work which is accepted as a result of more highly competitive, blind peer review processes is given greater weight than work which has undergone only minimal peer review.
- 3) **Repetitive publication of essentially the same work is given less weight than the publication of further developed or new work.** For example, the publication of a project

first as a conference presentation and then later, without further refinement, as a paper in the conference proceedings is regarded as less significant than the publication of two scholarly papers, the second of which further explores the research in the first.

- 4) **A series of works produced as a result of an understandable program of scholarly/artistic inquiry or theme is given more weight than a collection of serendipitous and apparently unrelated works.** In general, the development and pursuit of a sustained and sustaining research/scholarly/artistic set of issues, concerns, themes, or questions is evidence of one's continuing promise as a vital, active, and productive scholar/artist.
- 5) **No greater or lesser significance is attached to single author works as compared to multiple author works.** Disciplines, and even sub-disciplines, differ with regard to the possibility, desirability, or necessity of collaboration on scholarly/artistic projects. Trends toward co-authorship of journal articles and toward undertaking larger, more complex, and more collaborative projects are evident in almost every discipline. At the same time, the paradigm of the solitary scholar working alone and successfully on his or her research remains as valid today as ever. The important consideration in evaluating multiple-author projects is the quality and importance of the contribution made by the candidate to the overall success of the project. This judgment cannot and should not be reduced to a simple mathematical proportion that divides the "credit" for the work by the number of authors.
- 6) **No prejudice attaches to work of an author who pays publication subventions if the work otherwise meets the standards of refereed, juried, peer-reviewed work in the discipline.** In some academic disciplines page costs or subventions to defray the costs of publications or exhibitions are commonly required from authors or artists. Candidates should describe the nature and extent of any subventions or other financial contributions they have made to publishers or artistic venues.

**3.4.4 Materials about scholarly/creative activity for the promotion and tenure file:** Candidates are expected to provide evidence of their scholarly/creative accomplishments and promise. While not all of the items described below will be used by all evaluators, all of them are potentially useful and should be made available. While the intrinsic quality of scholarly or artistic works and publications is their most important feature, and while the Committees make every effort to obtain reliable evaluations of quality by experts in respective fields, extrinsic features like circumstances of publication may at times be indicators of quality. Lack of information under a given heading does not, in itself, prejudice a candidacy.

Publications that appear any time during the review process should be forwarded to the dean to be included in the promotion or tenure file. In preparing the portfolio of their scholarly/artistic accomplishments for the promotion and tenure file, candidates should include:

- 1) **All Peer-Reviewed, Refereed, Juried Scholarly/Artistic Works.** Candidates must submit a comprehensive list, and, if possible, at least one copy, of *all* works which have appeared after some process of professional scholarly/artistic peer review. Beyond the obvious things, such as scholarly books and articles in professional journals, candidates should include competitive external grants received, abstracts and book reviews, editorials and op-ed pieces, materials made available to colleagues through the Internet or electronic journals, and works published through local or lesser known sources. Many candidates, particularly those for full professor, may have generated, over the course of a career, a great many works of this kind. Among these, evaluators in the promotion and tenure process should place the greatest emphasis on those works judged to be among the most demanding and significant.

Because scholarly/creative work varies greatly within and among the various disciplines,

candidates are advised to describe the purpose or nature of each item unless its title and venue are sufficiently informative to someone unfamiliar with the subject or discipline. Candidates are advised to indicate which pieces they regard as their best or most significant works. Unless the artistic venues, presses, publishers, or periodicals are commonly known, candidates are advised to describe them briefly as well. In the case of colloquia papers, workshops offered, poster presentations and the like, candidates should describe the relationship of these to each other and to any other subsequent works.

Candidates in the arts should submit programs of exhibitions, concerts, recitals, theatrical performance, compositions, and the like. Candidates should submit slides, photographs, audio or videotapes, or any other appropriate representation of major exhibitions, compositions, designs, competitions, performances, or galleries. In spite of best efforts to obtain complete sets of reviews, photographs, compact disks, tapes or other recordings of their own shows/exhibits/performances, or other artistic works, it often happens that artists, directors, composers, designers, and performers cannot. This is a circumstance to be explained by the candidate or the chair.

- 2) **Special Developmental Efforts and Accomplishments.** In some cases, before a candidate's program of scholarly inquiry or artistic work can be undertaken, a significant amount of preparatory, developmental work is required. This work may involve the building of equipment, the furnishing of a lab or a studio, or achieving access to archival or off-site materials. Candidates should describe all such efforts, the steps involved and any significant uncontrollable delays or logistical difficulties that may have been encountered.
- 3) **Plans for Future Research or Creative Activity.** Candidates should describe their plans for scholarly/artistic work in the future, list works in progress or projects under development, and briefly describe their present status and estimated date of completion or publication. Plans may be fairly proximate and definite. For example, a candidate might now be engaged in a series of projects or some published works may form the beginnings of a book currently under contract. Other candidates might have more remote or long-term plans, such as pursuing a new interest during a forthcoming sabbatical.
- 4) **Reviews, Awards, Citations and the Like.** Candidates should list or describe all awards, prizes, honors, or recognitions received by virtue of their scholarly or creative work. Where available, numbers of scholarly citations and copies of published reviews should be included. Candidates may include anything that, in their opinion, indicates their professional stature and scholarly reputation.

**3.5 Service to the University, Profession, and the Community.** Dedication, initiative, and useful effort are the most important elements in the evaluation of faculty service. *Dedication* manifests itself in work that advances the explicit and implicit purposes, missions, goals, principles, and values of the University, the teaching profession, and one's academic discipline. *Initiative* manifests itself in anticipating the service needs of the University, in making constructive suggestions regarding the improvement of services and programs. *Useful effort* is meaningful and productive time spent working on those faculty service tasks, often unspectacular, which meet the needs and advance the goals of the University, the discipline, and the scholarly/artistic, and the social communities within which one lives and works. The College places significant weight on time and effort devoted to that faculty service which actually sustains, nurtures, and builds a vibrant, creative, and productive intellectual community and culture of learning.

**3.5.1 Responsiveness, presence, and involvement:** Faculty service contributions are often expressed in terms of being a member of a committee, the director of an academic program, an officer in

a professional association, a member of the editorial board of a journal, and the like. While such listings are useful, they do not, in and of themselves, indicate the scope of one's actual duties nor the quality of one's service. The College's approach to the evaluation of a candidate's faculty service goes beyond such listings and focuses on the scope of the work and the quality and extent of the personal effort the candidates put forth in such roles. Where possible chairs, or others to whom the candidates may have been responsible for the work, should add statements regarding the quality and usefulness of the candidate's contributions. The College is most interested in how the candidate's service, including the candidate's presence on campus and availability to colleagues and students, demonstrates responsiveness to opportunities to provide needed service and willingness to become and to remain actively involved in the life of the department, College, University, and the various broader academic, societal, and professional communities of which the candidate is a member.

**3.5.2 Service "to the University:"** It may seem convenient to describe faculty service to Santa Clara under separate headings of service to the University, to the College, and to the department. However, that tends to limit and compartmentalize the conceptualization of service. Because untenured assistant professors should devote as much energy and time as they can to establish their teaching and scholarship or artistic work, the two most important qualifications for tenure, they are not ordinarily expected to have performed much service outside their home departments. However, with promotion in rank and greater faculty seniority, the College's expectations for service to the University and to the profession, broadly understood, significantly increase. For example, tenured faculty should expect that in the normal course of their career they will be asked to serve a period of years as department chair, even though inevitably service as chair will be a major interruption in their scholarly/artistic work and will draw energy away from their teaching.

**3.5.3 Uncompensated, in contrast to compensated, service:** In evaluating faculty service the College is willing to consider a very broad range of potential contributions and activities to the profession and to the community. However, the question of compensation cannot be overlooked in the evaluation of these two areas. Consulting activity, for example, can enhance the reputation of the University as well as become a lucrative, if not distracting, source of additional income to the faculty member. Paid consulting, private tutoring for pay, paid lectures, and paid performances is not credited under the category of faculty service. A person may, nevertheless, list such activities as evidence of their stature or reputation in the profession. Time spent on leave during which a person is compensated to work for another organization or governmental agency may, in fact, enhance the person's teaching and contribute to the person's scholarly development, and, as such, may be listed as a developmental activity in one of those categories. However, that work will not be credited under the category of faculty service. Receiving compensation should be distinguished from receiving a token honorarium. In considering professional and community service, the College places its emphasis largely, if not entirely, on *uncompensated* service. In some cases, in fact, paid activity may be viewed as problematic or even as a potential conflict of interest, given the statements in the *Faculty Handbook* with regard to the expectations of full time faculty and the limitations on outside consulting.

**3.5.4 Materials about service for the promotion and tenure review file:** Candidates should provide listings and descriptions of whatever activities and assignments, formal or informal, they have undertaken in the service of the University, the profession, and the community as discussed below. To the extent possible, candidates should provide sufficient detail to make manifest the degree of their dedication, initiative, useful effort, responsiveness, presence, and involvement.

- 1) **To the University.** Candidates should indicate the length of service as program directors, department chairs, project coordinators, and members of committees, task forces, working groups, teams, and the like. Candidates should describe formal or informal contributions made to the academic, creative, or community life of the University. Candidates are encouraged to discuss any activities involving student recruitment, orientation or retention, fund-raising and

development, planning and business operations, student co-curricular programming, and community and alumni relations. Candidates are advised to list and describe any special or unusual service contributions which might result by virtue of their faculty expertise, intellectual/artistic interests, ministerial status, religion, age, gender, sexual orientation, or ethnicity relative to the needs of University students, staff, and colleagues. Candidates should identify contributions to Santa Clara University's special aims or themes as a Jesuit University in the areas of leadership development, ethics, or social justice. Candidates should describe any other contributions to the College's mission of liberal arts and sciences education in the Jesuit tradition, or to the well being of the department and the University. If course releases, stipends, or other forms of compensation, other than expense reimbursements or one's regular faculty salary, are received for any service activity, that must be stated.

In general, academic advising is to be listed under teaching effectiveness. If a candidate writes a significant number of letters of recommendation, as for students applying to law school, medical school, or graduate school, the candidate should describe that activity under teaching as well. Certain kinds of service, such as guest lectures in other faculty members' courses, talks to student groups, or presentations about one's teaching or one's scholarly interests to community or alumni groups, may seem more properly to be teaching or scholarly or creative work. If so, a candidate should list them where the candidate thinks they belong and cross-reference any that are of dual relevance.

- 2) **To the Profession.** Candidates should list offices held in professional societies, service roles performed at professional conferences, and other professional activities such as service on the editorial board of a periodical, as a publisher's reader, as an exhibition juror, or as a grant reviewer for a private foundation or a government agency. Candidates are advised to describe both the organization, unless it is likely to be known to persons outside the discipline, and the nature and degree of their participation as well. Candidates should indicate any regional, national, or international committees, boards, task forces and the like on which they serve by virtue of their faculty or professional expertise. If compensation of any kind, other than the reimbursement of one's expenses, is received for this service, that must be stated. Simply being a member of a professional society or attending a professional conference, while indicators of scholarly or professional interest, are not service contributions.
- 3) **To the Community.** This category of service is sometimes the most difficult for the candidate to describe. The College is primarily interested in service to the community performed by virtue of one's professional expertise or as a teaching/scholar/artist, and service which redounds to the credit of the University or the academic profession. For example, it is not unreasonable for a professional educator to list service as a volunteer for the local chapter of the American Cancer Society, or uncompensated consulting services or artistic performances provided to a not-for-profit agency, school or church, or teaching and guidance related service provided to a youth group. If the service is compensated, as for example, paid consulting, private tutoring, or outside work of any kind for pay, that must be stated.

## **Further Responsibilities of the Candidate, Tenured Faculty, Department Chair, and Dean**

**4.1 Building the Promotion and Tenure File:** In the final analysis, responsibility for the adequacy and the completeness of the promotion and tenure file is the candidate's responsibility. Some materials must be in the file when the candidate delivers it to the chair for departmental review. Some materials may be in the files of some candidates but not other candidates, depending on the nature of the person's contributions in the categories of teaching, scholarly/creative activity, and service. The mandatory and optional materials are identified in the sections above and in documents issued by the provost each year. Materials will be added to the file as it moves through the tenure and promotion review process. These

materials will consist largely of the letters from outside reviewers and the letters from the various participants in the departmental, College, and University stages of review.

**4.1.1 *Introducing or removing material:*** A candidate may introduce additional materials to the file at any time in the review process. A candidate may not remove any material from the file once it has been delivered to the chair at the start of the tenure and promotion review process. If the candidate wishes to contest something in the file, the candidate may do so by adding a letter giving reasons for the objection. The dean may, if the circumstances warrant, permit exceptions to these rules only until such time as the file moves from the College to the University stage of review.

**4.1.2 *The chair's role in building the file:*** Much of the factual information that is to be included in the petition is on hand in the department and should be introduced into the file by the chair. The chair, for example, should provide copies of the candidate's faculty activity reports, student evaluations, grade distributions, teaching assignments, annual or triennial letters of evaluation, and mid-probationary review letter. The candidate is likely to have personal copies of the same materials, but it is best that the materials come from the departmental files or at least be verified by the chair. The chair or other colleagues in the department or the College may assist candidates in gathering supporting materials, and may advise candidates on what to include or on how to organize and present material.

**4.2 The Faculty Evaluation Process and the Promotion and Tenure File:** The chair and the senior faculty of the department are charged by College Protocol to evaluate all tenure-track faculty annually and at mid-probation, and to evaluate all tenured faculty on a three-year or five-year basis. For purposes of such evaluations, the guiding expectations of the College for teaching, scholarly and creative activity, and service are consistent with the values, principles, and priorities expressed in this standards and procedures document. However, as stated in the *Faculty Handbook*, "favorable evaluations and optimistic projections do not bind the University to grant tenure." Nor do consistently positive evaluations bind the University to approve a promotion. However, the annual/periodic evaluations are important both in helping faculty understand how to qualify for tenure and promotion and in assisting the chair, the tenured faculty of the department, and others in the review process to understand the candidate's case.

Copies of all annual/periodic faculty evaluation letters and of any replies or appeals from the candidate are to be included in the promotion and tenure file. These documents constitute a record of evaluations of a candidate's teaching, scholarship or artistic work, and service and of the advice or suggestions given the candidate by the chair.

**4.3 Mid-Probationary Review and the Promotion and Tenure File:** The department, in consultation with the dean, is charged with the responsibility of conducting a thorough review of untenured faculty at about the mid-point of their probationary status. All tenured faculty in the department are expected to participate in this review and sign the review letter. The mid-probationary review shall evaluate all aspects of the candidate's teaching, scholarship or artistic work, and service with due diligence, for this review is both evaluative and developmental in the candidates progress towards possible tenure and promotion. The mid-probationary review shall be guided by the evaluative principles and priorities expressed in this document. (This section revised with the consent of the Council of Chairs February 20, 2002.)

**4.3.1 *Scheduling the Mid-Probationary Review:*** The mid-probationary review should occur toward the end of the third year for faculty whose probationary period is the ordinary six years. The department may determine for a number of reasons (for example, the candidate's research agenda, the departmental work cycle, or the prospects of a shorter probationary period) that it would be more appropriate to undertake the review at some other point in the candidate's probationary years. In such cases the chair should consult with the dean to develop an alternative schedule, bearing in mind the

expectation that the Junior Faculty Development Leave should not be taken in the year one applies for tenure or in the year immediately preceding.

**4.3.2 Suggested Sequence of Events:** The mid-probationary review should be completed within one quarter of the academic-year. It is suggested that the following sequence of events be observed in order to provide ample time for the candidate to assemble materials and the review process to be completed.

- 1) Chair notifies the candidate of the process at least six weeks prior to the beginning of the quarter during which the review is to occur.
- 2) Chair gathers information from other campus sources as may be relevant to making an informed judgment regarding the candidate's progress toward tenure.
- 3) Candidate submits materials, including a personal statement about his or her teaching scholarship and service, curriculum vitae, and backup materials in the second week of the quarter.
- 4) Tenured faculty complete their review and deliberations by the fifth week.
- 5) Chair reviews a draft of the mid-probationary review letter with the dean by the sixth week. The dean consults with the provost regarding the letter.
- 6) After obtaining the approval of the dean and the provost, the chair completes the final version of the mid-probationary review letter, obtains the signatures of all tenured faculty in the department, and provides it to the candidate, with a copy to the dean, no later than May 31. It is recommended that the chair meet with the candidate to discuss the letter.

(This section revised with the consent of the Council of Chairs February 20, 2002 and by the directive of the provost on November 11, 2003, and again in September 2006.)

The chair shall retain a copy of the mid-probationary review letter in departmental files so that it can be included in the file that accompanies the candidate's petition for tenure and promotion. Given that the departmental mid-probationary review letter has bearing on the candidate's eventual application for tenure and promotion, the review process should be as thorough and well-documented as possible. [This section revised May 10, 2000.]

**4.3.3 Possible Resulting Recommendations:** The mid-probationary review process culminates in an advisory letter expressing the collective judgment of the tenured faculty with regard to what the candidate might do in the remainder of the probationary time in order to satisfy, if possible, expectations for tenure. However, in those cases where it is clearly evident that a candidate's prospects for meeting tenure expectations are remote or nil, the mid-probationary review may culminate in a recommendation of non-retention addressed to the dean. In that case, the dean shall then make a written recommendation regarding retention to the provost. A favorable mid-probationary review does not bind the University to grant tenure. [This section revised May 10, 2000 and February 20, 2002.]

**4.3.4. Junior Faculty Development Leaves:** A favorable mid-probationary review no more binds the University to grant tenure than do favorable annual evaluations. Candidates receiving a positive mid-probationary review are eligible for a Junior Faculty Development Leave for one term of the academic-year to address any concerns or suggestions that may have come from the tenured faculty regarding their eventual case for tenure. Given its purpose, the Junior Faculty Development Leave ordinarily may not be taken in the year one applies for tenure or in the year immediately preceding. [This section added May 10, 2000.]

**5.1 Evaluations and Recommendations from Tenured Department Faculty.** All tenured members of the department are expected to participate in the tenure and promotion review process. Each is to review the file, meet with tenured colleagues, evaluate, recommend in writing, and vote on all departmental candidates.

**5.1.1 Candidates Qualifications and Institutional Interests:** Every tenured member is responsible for making a careful analysis, evaluation and recommendation with regard to each candidate from their department who has petitioned for promotion or tenure. Tenured faculty are expected to familiarize themselves thoroughly with the candidate's file. They are also expected to introduce into the file such first-hand information as may be relevant and useful to a fair and complete evaluation of the candidate's worthiness for promotion or tenure. The chair and the tenured faculty, in light of the long-term interests of the department, the College, and the University, are to take into account all available indications of the quality and effectiveness of the candidate's teaching, scholarship/artistic activity, and faculty service.

**5.1.2 Meeting of the Tenured Faculty and Voting:** All tenured departmental faculty, including any who may be members of the College Committee or University Committee, will meet to discuss each departmental candidates for tenure or promotion. A written summary of the tenured faculty's discussion is to be prepared by the chair of the department, unless the chair is a member of the College Committee or the University Committee. In that case the summary is to be prepared by the most senior tenured member of the department who is not a member of either the College Committee or the University Committee. The document is to be reviewed and signed by all the tenured faculty of the department and then be forwarded to the College Committee by the chair.

**5.1.3 Letters from Individual Tenured Faculty:** Following their meeting, each tenured faculty member of the department, including any who are members of the College Committee or the University Committee, shall write a separate letter and shall clearly vote in their letter, using the 5 – 0 scale (5 = Highest Approval; 4 = Approval; 3 = Weakest Approval; 2 = Weakest Disapproval; 1 = Disapproval; 0 = Strongest Disapproval). These letters from individual tenured faculty should be sent to the chair to enable the chair, from the point of view of his or her presumably more comprehensive knowledge, to prepare materials as may be necessary to clarify particular comments of the tenured faculty. The chair should then include these letters with other material submitted to the file.

**5.1.4 Exceptions:** Tenured faculty of the department who believe they have reason not to forward their individual recommendation on a given candidate through the chair should contact the dean.

**5.2 The Chair's Recommendation.** The chair will make an independent analysis, evaluation and recommendation. In exceptional cases, such as if the chair is the candidate, the dean may direct the faculty of the department to send their letters directly to the Office of the Dean or to some senior tenured faculty member of the College whom the dean has designated to act in the role of the chair with regard to a specific case.

**5.2.1 The Chair's Letter:** The chair's letter should state the reasons for her or his personal vote. It should also provide any context that would help the Committees to interpret the results of the departmental voting. The chair's letter, and to the extent possible, the letters of tenured members of the department, should consist of evaluative summaries of the candidate's strengths and weaknesses in light of the needs of the institution; assessments of the value or quality of the candidate's teaching, scholarship or artistic work, and service; comments on anything in the petition that needs clarification; and unambiguous recommendations either for or against tenure and promotion. These letters carry significant weight with subsequent evaluators in direct proportion to the thoughtfulness, objectivity, and cogency of the supporting observations, analyses, and evaluations. Where the chair's judgment differs from that of the tenured faculty the reasons should be made clear in the chair's letter.

**5.2.2 Contextual Summary Letter:** In addition to writing an individual letter of evaluation, the department chair shall write a separate letter that provides a summary of the individual faculty letters, offering a context to the candidate's petition and to the faculty letters. This letter shall contain the numerical evaluations found in the individual letters. It may include information about the field of

research or creative endeavor, disciplinary practices of evaluation and publishing, or other items of relevance that may not be known outside the discipline. The contextual summary letter shall not be reviewed by other members of the department. Chairs should clarify any features of the candidate's credentials that are peculiar to a discipline or likely to be misunderstood by people outside it. Certain types of artistic work or research, for example, may by their very nature take an extended length of time. Certain disciplines are more likely to engage in collaborative projects than are others. Certain venues are regarded as more significantly than others. Explanations are often useful in regard to scientific projects or artistic work, in which professional activity may differ considerably from the paradigms of scholarship in the humanities and the social sciences. In the sciences, for example, designing, building, and calibrating a new piece of equipment with which to gather experimental data may be necessary before one can produce a publishable research article. In the performing arts, directing a stage production or orchestrating a musical composition, for example, often are not "published" in the same way as books and articles; and press reviews of college theatrical and musical performances may fail to take into account the limitations of undergraduate actors and musicians. Similarly, some teaching activities or service contributions may be more arduous than others.

The chair may recommend to the College Committee a list of off-campus scholars or artists from whom the College Committee may seek evaluations of the candidate's scholarship or creative work. If for some reason there are persons who the chair believes should not be solicited as outside reviewers, the chair should communicate that to the College Committee. The Committee is encouraged to contact the chair about the selection of outside evaluators, yet it need not restrict itself to the evaluators recommended by the chair.

The chair shall forward to the candidate's dean the petition, supporting documentation and other material, the summary of the departmental discussion, and all evaluations and recommendations that have been received from tenured members of the department, together with his or her own recommendation.

### ***5.3 Departmental Procedures for Reviewing Candidates for Tenure and/or Promotion Issued by the provost on March 1, 2009***

These procedures replace all prior ones. (Consult the annual "Target Dates for Tenure and Promotion Review" for specific dates for each step.)

In June before the review begins, the department provides the Dean with the names of two external references.

In the fall, once the candidate's dossier is ready, all tenured members of the department who are required to participate in the process will study the materials. All tenured faculty, except those on sabbatical or other leave who wish to be excused from the R&T process, should participate in the departmental consideration of a candidate from their department. If a tenured faculty member is on sabbatical or other leave, he or she may choose either to be excused or to participate in the R&T process. A tenured faculty member who asks to be excused may not participate in any part of the R&T process. Departmental discussions of R&T candidates should be scheduled so that all tenured faculty who wish to participate are able to do so.

Participating faculty members meet and discuss thoroughly the strengths and weaknesses of the candidate's dossier, which each has previously reviewed. (Here dossier refers to all the materials submitted by the candidates and any letters from the department's outside referees.) The purpose of this discussion is to share with one another, in a confidential setting, the faculty members' evaluations of the candidate's strengths and weaknesses in the areas of teaching, scholarship, and service. **No vote is taken at this meeting.**

When the faculty meet, someone (not necessarily the chair) records the flow and major contents of the discussion, without attribution. This “Department Summary” is neither a transcript nor a set of minutes. Later this document will be signed by all, verifying that it reflects the voiced opinions of the participants. The chair will include it in the materials that she or he forwards to the dean.

After the faculty conclude their meeting or meetings, each person (including the department chair) writes her or his individual letter, expressing his or her evaluation of the candidate’s strengths and weaknesses in the areas of teaching, scholarship, and service. This letter should be as objective as possible; it is not an advocacy letter. At its conclusion, the writer gives her or his numerical evaluation, using whole numbers on a scale of 0 to 5. Those faculty who are members of a rank and tenure committee, at either the school or the university level, may cast a "ballot" only at the department level.

All participating faculty should address their evaluation letters to the department chair. They should not submit letters directly to the dean or to a rank and tenure committee. If there is a compelling reason to seek an exception to this rule, the faculty member should consult with the dean and the provost. The chair’s letter is addressed to the dean.

A tenured faculty member who is unable for good reason to participate in the departmental discussion, but who wishes to write a letter with a numerical evaluation, may do so. In this case, the faculty member's letter should explain why he or she could not participate in the departmental discussion. The chair's contextual letter should acknowledge the faculty member's letter but note that the faculty member did not participate in the departmental discussion.

In addition to writing an individual letter of evaluation, the department chair writes a separate letter that gives a summary of the individual faculty letters, offering a context where appropriate. This letter contains the numerical evaluations found in the individual letters. For example, in a department of 7 tenured faculty where all 7 are participating, the letter would say, “The individual votes are 4, 4, 4, 4, 3, 3, 3.” The contextual summary letter is not to be reviewed by other department members.

Appended to this contextual summary letter from the chair are the letters from each participating faculty member (including the chair’s own letter) and the signed “Department Summary” which records the major points of the departmental discussion(s). This packet of recommendations is sent to the dean by the date specified.

The chair informs tenured faculty members of the numerical votes, without attribution, reminding them that this information is confidential and may not be shared with anyone.

**Further Clarification from the provost's office 9/8/2006 regarding Rank and Tenure Numerical Evaluations.**

The definitions of the Duggan Report ("Statement of University Policy: Uniform Procedures for Tenure and Promotion" approved by the Board of Trustees in May, 1996) are as follows:

**Five** indicates that the candidate is uniformly excellent in meeting all three Faculty Handbook criteria.

**Four** is a strong "yes" but acknowledges minor weaknesses in one or two criteria.

**Three** is a weak "yes," indicating that the candidate has met all criteria but has appreciable though not disqualifying weaknesses in some.

**Two** is a "no," indicating that the candidate's record, whatever its strength, is sufficiently weak in one or more of the criteria to justify denial of tenure or promotion.

**One** is a strong "no," indicating serious weaknesses in one or more of the three criteria.

**Zero**, the strongest "no," indicates that there is little or no merit in the candidate's record.

**6.1 Questions Concerning the Interpretation of these Standards:** Questions regarding the meaning, intent, or interpretation of any part of this document should be directed to the dean for resolution.

Revised: March 2009

Revised October 3, 2006

Revised September 4, 2004

Document approved: 06/14/96

Previous statements: 01/09/96 draft

7/10/92 draft

## Policies and Procedures for Faculty Evaluations

(Revised October 2006 and October 2008)

### General Information for Annual and Three-year and Five-year Cycle Evaluations

*Tenure-track professors* are evaluated annually with a weighting scheme of 40% teaching, 40% scholarship, and 20% service. Tenure-track faculty undergoing review should complete an annual (simplified) Faculty Activities Report by **October 1**. One copy should go to the chair and a second copy to the dean. Copies of publications or other scholarly work should be provided only to the chair. Faculty who do not submit Faculty Activities Reports will not be awarded merit increases. Faculty may seek extensions or waivers from the dean. Requests should be submitted by September 15 each year.

*Associate professors with tenure* (in rare cases assistant professors) are evaluated on three-year cycles and may have variable weighting schemes (described below). Faculty undergoing review should complete a three-year (simplified) Cycle Report by **October 1** of the year following the end of the cycle (some departments conduct cycle evaluations earlier in each spring and may establish different deadlines). One copy should go to the chair and a second copy to the dean. Copies of publications or other scholarly work should be provided only to the chair. The three-year report, not to exceed ten pages, should a) highlight the most important accomplishments in teaching, scholarship/creative activity, and service, b) link such accomplishments to the goals of the department program and the university mission, and c) identify those areas in teaching, scholarship/creative activity and service where focusing effort would most enhance the quality and significance of one's work.

*Full professors* are evaluated on either a three-year or a five-year cycle and may have a variable weighting scheme described below. Faculty undergoing review should provide a three- or five-year simplified Cycle Report by **October 1** of the year following the end of the cycle (some departments conduct cycle evaluations earlier in the spring and establish different deadlines). One copy should go to the chair and a second copy to the dean. Copies of publications or other scholarly work should be provided only to the chair. The three- or five-year report, not to exceed ten pages, should a) highlight the most important accomplishments in teaching, scholarship/creative activity, and service, b) link such accomplishments to the goals of the department program and the university mission, and c) identify those areas in teaching, scholarship/creative activity and service where focusing effort would most enhance the quality and significance of one's work.

*Chairs* may elect to align their evaluation cycles with their chair term.

*Senior Lecturers* are evaluated annually with a weighting scheme<sup>4</sup> of 70% teaching, 15% professional activity, and 15% service for each year of the first three years of their appointment as a Senior Lecturer and then transition to a three-year evaluation cycle. All tenured faculty and Senior Lecturers may participate on evaluation committees for Senior Lecturers. Senior Lecturers undergoing review should complete an annual (simplified) Faculty Activities Report by **October 1**. One copy should go to the chair and a second copy to the dean. Copies of publications or other scholarly work should be provided only to the chair. Faculty who do not submit Faculty Activities Reports will not be awarded merit increases. Faculty may seek extensions or waivers from the dean. Requests should be submitted by September 15 each year.

*Lecturers* are evaluated with a weighting scheme of 70% teaching, 15% professional activity, and 15% service. In the College, all lecturers must be evaluated in writing annually *during the first two three-year terms*. After six years and a second decision to renew the position, the dean will propose to the provost

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<sup>4</sup> A weighting scheme of 70-15-15 is applied for those appointed after October 1, 2006, or those who opt to move to these weightings.

that lecturers are evaluated on three-year cycles with a decision to renew or not every six years. Tenure-stream faculty, Senior Lecturers, and lecturers may participate on evaluation committees for lecturers. Lecturers undergoing review should complete an annual (simplified) Faculty Activities Report by **October 1**. One copy should go to the chair and a second copy to the dean. Copies of publications or other scholarly work should be provided only to the chair. Faculty who do not submit Faculty Activities Reports will not be awarded merit increases. Faculty may seek extensions or waivers from the dean. Requests should be submitted by September 15 each year.

*Fixed-term Adjunct Lecturers* are only evaluated in the first year of a multiple year position. One year fixed-term lecturers do not need to be formally evaluated.

### **General Faculty Evaluation Procedures**

- 1) Final, signed annual letters of evaluation for assistant professors, associate professors without tenure, Senior Lecturers, and lecturers are due to the dean by February 1 of each year. (See Timeline for Faculty and Academic Staff Evaluations on p. 53.)
- 2) At least three tenured faculty members should serve as the departmental evaluation committee. (The department chair is eligible, but not required to serve with two tenured colleagues.) Senior Lecturers should not be members of evaluation committees reviewing tenure-stream faculty. They may participate on evaluation committees for evaluations of Senior Lecturers, Lecturers, or fixed-term Adjunct Lecturers.
- 3) Faculty evaluations are scored on a 5-point scale with “extraordinary” scored as a “5” and “below expectations” scored as “1” (See rubric on page 53). Starting in 2008-09, the overall faculty evaluation score as well as the individual categories of teaching, scholarship and service can be determined using half-integer values (3.5, 4.0, 4.5, etc). For example, if an overall evaluation results in a 4.2, that evaluation score shall be reported as a 4.0; an overall evaluation score of 4.3 shall be reported as a 4.5.
- 4) Drafts of evaluation letters should be discussed with the dean and/or associate dean and the final letter must be approved by the dean and/or associate dean prior to being shared with the person being evaluated. This process contributes to reliability across cases in the College and to the development of an informed sense of mutual expectations across departments in the College.
- 5) Department chairs and evaluation committee members should not send drafts of annual and multi-year faculty evaluation letters through email.
- 6) The faculty evaluation process is supposed to be based on various kinds of evidence, provided by the faculty member and the evaluators. Evaluators should seek information from persons on campus who were in positions to have worked with the candidate on projects, committees, and other professional activities. The evaluations in teaching, scholarship, and service should make explicit reference to evidence in support of the evaluative judgments.
- 7) All final letters of evaluation must be signed by all faculty members who participated in the evaluation process.

**Detailed Policies**

***Establishing One’s First Annual or Multi-Year Evaluation Cycle Score***

New tenure-track faculty: The practice of the College is to use the designation, “NF,” meaning “new faculty” for first year faculty permitting the College to introduce the first year faculty into the evaluation system, but not to assign an evaluation number their first year. For purpose of raises, the College will continue, when possible, to assign a raise that adjusts the salary to reflect the additional year of experience and stay a notch higher than those being recruited for comparable positions in the current year.

Faculty previously working at SCU who are tenured: The year in which the tenure decision is made is the first year of the first cycle. The evaluation score for the years until this new cycle is completed shall be the average of the annual evaluation scores for the three years prior to the start of the cycle. Faculty applying for tenure must be given an annual evaluation for the year during which their applications are reviewed. This evaluation is in addition to the tenure review.

New faculty hired with tenure: As with newly hired assistant professors, the use of “NF” permits the College to introduce the faculty into the evaluation system, but not to assign an evaluation number until one is earned by virtue of accomplishments at SCU. The faculty member will be evaluated annually for three years and then move to a three- or five-year cycle as appropriate by rank. The average of the annual evaluation scores for the three years prior to the start of the cycle will be used to determine the first cycle score.

Faculty promoted to Senior Lecturer: The new Senior Lecturer will be evaluated annually for three years and then move to a three-year cycle. The average of the annual evaluation scores for the three years prior to the start of the cycle will be used to determine the first cycle score.

***Flexible Weighting Option:*** Only tenured faculty shall be eligible to participate in the flexible weighting system. Probationary tenure-track faculty are not eligible to participate due to considerations of equity and because of restrictions in the *Faculty Handbook*.

At the beginning of a new evaluation cycle faculty member may exercise his or her option of flexibility in assigning weights to the three areas of evaluation for that cycle. Unless a person exercises the option of changing their weightings prior to **October 1** of the first Fall Quarter of their new cycle, the person’s accomplishments for that cycle will be evaluated in accord with the weightings of the person’s previous evaluation cycle. In exceptional cases, later adjustments to the weightings may be made at the request of the person being evaluated, and subject to the approval of the chair and the dean.

<u>Appointment Status</u>	<u>Teaching %</u>	<u>Scholarship %</u>	<u>Service %</u>
Tenured Faculty	35-45	35-45	20-30
Chair	20-40	20-40	20-60

<u>Appointment Status</u>	<u>Teaching %</u>	<u>Prof. Activities%</u>	<u>Service</u>
Senior Lecturers*	70	15	15
Lecturer	70	15	15

*\*Senior Lecturers appointed before October 2006 have the option of remaining with a weighting of 80-10-10.*

**Faculty on Leave:** In general, faculty on leaves of absence should receive for that year the average of their last three years unless, in a given category, they have achievements that would increase the evaluation over that of the previous years.

**Eligibility for Multi-Year Evaluations:** The multi-year evaluation process applies only to Senior Lecturers, lecturers in their third renewable term and tenured faculty. It does not apply to tenured track faculty, or adjunct faculty.

**Evaluation Results and Merit Raises:** The signed annual letters of evaluation for probationary faculty are due no later than *February 1*. The signed evaluation letters for tenured faculty on multiyear cycles are due on June 1. The evaluation scores recorded in February will be used to prepare merit raise recommendations in March. These recommendations will affect the salaries that begin in the September afterward. It is expected that the same evaluation scores will continue to be used in raise recommendations until there is a change resulting from the completion of another evaluation cycle. Cycle evaluations submitted before the June 1 deadline will not be included in the February/March raise recommendations. Those scores will be added the following academic-year.

**Full-time SCU Administrators Returning to Their Tenured Faculty Positions:** For the purposes of computing raises and smoothing the transition back to faculty status, tenured members of the faculty who leave full-time administrative service and rejoin the faculty shall be assigned an overall faculty evaluation of “extraordinary” (5) until they have completed three years of faculty service following the end of their full-time administrative service. In this section, “full-time administrative service” shall mean having served as a campus administrator at least 80% time, eleven or more months a year, for at least four years; “faculty service” shall include those academic-years that count toward the accrual of sabbatical eligibility. The option of a five-year evaluation cycle is not available to full professors returning from full-time administrative service until they have undergone a three year cycle evaluation as described above.

**Appeal of Evaluation:** The faculty member may provide a written response to an evaluation and such response shall become part of the faculty member’s personnel file (section 3.3 Faculty Handbook). Concerns regarding phrases or statements in an evaluation letter must be addressed in this written response. The dean permits faculty to appeal numeric evaluations in their annual or multi-year departmental evaluations following the procedures outlined in the College Policy on Faculty Appeal of Evaluation. The College Policy only covers appeals of numeric assignments.

**Contents of Evaluation Letter:** This list of reminders is intended to assist department chairs in the preparation of annual faculty evaluation letters for tenure-track probationary faculty. (*Note: all ranks other than tenure track faculty will use the Simplified Form for Faculty Evaluation found on the website.*)

- 1) Each letter should state the time period being evaluated. For annual evaluations, the dates would correspond to September 1 to August 31 of the following year. For three-year and five-year cycles, the starting and ending dates must be specified.
- 2) In those cases where it is appropriate, the chair must include in the letter a statement about the weightings used for teaching, scholarship, and service.
- 3) Each letter must describe the process of collegial consultation the chair used in preparing the evaluation. Faculty involved in the evaluation process must be identified, as well as, the dean and/or associate dean consulted.
- 4) The following must be included in discussions of teaching:
  - summary of numeric evaluation scores with a context discussion based on relevant comparison groups such as lower-division courses in the department or area;

- representative narrative evaluation comments with a context discussion based on relevant comparison groups such as lower-division courses in the department or area;
  - comments on any curricular development activity (including syllabus revision)
  - number of advisees and quality of advising and mentoring;
  - highlights of other activities to provide support for the overall teaching evaluation such as examples of leadership in curriculum development or activities mentoring students on scholarly projects.
- 5) The following must be included in discussions of scholarship:
- summary of publications or scholarly works including a discussion of the quality of the work evaluation based on reading publications, quality of venue, and/or reviewers comments) and contribution to the discipline, a brief description of contribution for co-authored work with disciplinary context, and a clear explanation of the credit awarded in the evaluation for a publication (for example, some departments give full credit when a paper is accepted and others given full credit when the paper is in print;
  - highlights of other activities to provide support for the overall scholarship evaluation such as on-going projects and long-term plans.
- 6) The following must be included in discussions of service:
- highlights of department, College, University and professional service activities and a discussion of the quality of service contributions;
- 7) The chair must include a statement to the effect that meeting or exceeding expectations in the departmental evaluation are independent of any considerations regarding promotion or tenure or “favorable evaluations and optimistic projects do not bind the University to grant tenure” (section 3.3 of Faculty Handbook).
- 8) The letter must state that the faculty member may provide a written response to the evaluation and such response shall become part of the faculty member’s personnel file (section 3.3 Faculty Handbook). The letter should also state that the faculty member may appeal the evaluation following the procedure outlined in the College Policy on Faculty Appeal of Evaluation.
- 9) The chair must state the intention to recommend one of the following:
- that the faculty member should be appointed for the appropriate number and type of year (e.g., "third probationary year", "second lecturer year," "second adjunct professor year.")
  - that the faculty member should not be reappointed and should be issued a terminal-year contract
- 10) For probationary faculty currently in mid-cycle (third year), the chair should omit a statement about her or his recommendation for the next academic-year, but should indicate that the recommendation depends on a review by the chair and the tenured faculty of the department to determine the faculty member's progress toward earning tenure. The chair should also indicate when that review will take place during the current academic-year and what information the faculty member needs to supply in preparation for that review.
- 11) For associate professors, advice on promotion to full professor should be included.
- 12) In addition to the chair, all members of the evaluation committee must sign the letters of evaluation.

## College Policy on the Five Evaluation Categories for Tenure-Stream Faculty (Revised September 2010)

<b>Teaching Effectiveness</b>	
Below Expectations 1	Problematic classroom or other teaching performance; unreliable advising and availability; indifference or resistance to meeting teaching standards.
Fair 2	Meets minimal qualitative expectations in the classroom; acceptable advising and/or availability; little or no curricular development.
Good 3	Fulfills all teaching and advising responsibilities; solid work in the classroom and advising/mentoring students; some effort to improve.
Excellent 4	Recognized overall excellence in teaching, advising, mentoring; useful contribution to curriculum/program development and/or fostering student research.
Extraordinary 5	Truly exceptional performance by both department and College standards; extraordinary classroom teaching, advising, and mentoring; major contribution to curriculum/program development and/or fostering student research.
<b>Scholarship/Creative Activity</b>	
Below Expectations 1	No scholarly or creative activity, or activity of a quality below expectations given rank and position; no evidence of research plan.
Fair 2	Minimal scholarship of acceptable quality relative to rank and position; weak research plan.
Good 3	Some solid scholarly activity and productivity; progress in ongoing work including data collection and/or manuscript preparation; solid evidence of future plans with high likelihood of successful completion.
Excellent 4	Substantial scholarly achievement commensurate with the length of the evaluation period and appropriate to the discipline; faculty on multi-year cycles must have published in a refereed venue or the like, performed or exhibited at a highly respected venue, or received a major grant etc.
Extraordinary 5	Truly exceptional scholarly achievement commensurate with the length of the evaluation period and appropriate to the discipline; faculty on multi-year cycles must have published a book with a major press; published one or more articles in top journals, prestigious collections, or the like; have one or more performances or exhibits at leading venues, received a truly significant national grant etc.
<b>Faculty Service</b>	
Below Expectations 1	Little or no useful activity in serving the program/department, College, University, or profession.
Fair 2	A minimal level of useful activity, relative to rank and seniority, in serving the program/department, College, University or profession.
Good 3	Meets basic obligations well; provides useful and effective service, appropriate to rank and seniority, in serving the program/department, College, University, or profession.
Excellent 4	Exceeds basic obligations; provides excellent service in important projects, appropriate to rank and seniority, in serving the program/department, College, University or profession.
Extraordinary 5	Truly exceptional effort and results in important projects, appropriate to rank and seniority, in serving the program/department, College, and University; truly extraordinary service in one of these areas, or in service to the profession, or in contributing one's professional expertise to the community.

**College Policy on the Five Evaluation Categories for  
Senior Lecturer and Lecturers  
Final Version for use in pilot evaluation program in 2011-12  
(Revised September 2011)**

<b>Teaching Effectiveness</b>	
Below Expectations 1	Problematic classroom or other teaching performance; unreliable advising and availability; indifference or resistance to meeting teaching standards.
Fair 2	Meets minimal qualitative expectations in the classroom; acceptable advising and/or availability; little or no curricular development.
Good 3	Fulfills all teaching and advising responsibilities; solid work in the classroom and advising/mentoring students; some effort to improve.
Excellent 4	Recognized overall excellence in teaching, advising, mentoring; useful contribution to curriculum/program development and/or fostering student research.
Extraordinary 5	Truly exceptional performance by both department and College standards; extraordinary classroom teaching, advising, and mentoring; major contribution to curriculum/program development and/or fostering student research.
<b>Professional Activity</b>	
Below Expectations 1	No or minimal professional activity appropriate to discipline, or activity of a quality below expectations given rank and position; no evidence of any plan for future professional activity.
Fair 2	Some commitment to ongoing professional development appropriate to discipline, for example, reading professional journals, staying current with research in the field or engaging in constructive conversations on pedagogy with colleagues within the program or department.
Good 3	Commitment to ongoing professional development appropriate to discipline, such as attending a professional conference or discipline-appropriate program/workshop, submitting work for publication, or providing evidence of work on a professional or creative project; solid evidence of future plans with high likelihood of successful completion.
Excellent 4	Recognized professional activity appropriate to the discipline, which may include: attending or presenting at professional conferences; placing work in appropriate professional or creative publications; participating in performances, exhibitions, or readings at respected venues; or ongoing research and progress on a major professional or creative project with high likelihood of successful completion.
Extraordinary 5	Truly exceptional professional or creative activity and achievement appropriate to the discipline that may include: completion of important professional or creative projects, significant publication, presenting a talk or performance at a highly-respected venue, or securing funding for a significant regional or national grant proposal.
<b>Faculty Service</b>	
Below Expectations 1	Little or no useful activity in serving the program/department, College, University, or profession.
Fair 2	A minimal level of useful activity, relative to rank and seniority, in serving the program/department, College, University or profession.
Good 3	Meets basic obligations well; provides useful and effective service, appropriate to rank and seniority, in serving the program/department, College, University, or profession.
Excellent 4	Exceeds basic obligations; provides excellent service in important projects, appropriate to rank and seniority, in serving the program/department, College, University or profession.
Extraordinary 5	Truly exceptional effort and results in important projects, appropriate to rank and seniority, in serving the program/department, College, and University; truly extraordinary service in one of these areas, or in service to the profession, or in contributing one's professional expertise to the community.

## Timeline for Faculty and Academic Staff Evaluations

(Revised October 2006)

<b>Tenured Faculty Full Professors</b>	Three-year or five-year merit raise evaluation cycles. Final version (after approval of the Office of the Dean) due by <b>June 1</b> of the year following the end of the evaluation cycle.
<b>Tenured Faculty Associate Professors</b>	Three-year merit raise evaluation cycles. Final, signed version (after approval of the Office of the Dean) due by <b>June 1</b> of the year following the end of the evaluation cycle.
<b>Phased Retired</b>	Depends on rank as indicated above.
<b>Senior Lecturers</b>	Annual evaluations for first three years; Three-year merit evaluation cycles thereafter for merit raise and retention Final version of annual evaluations (after approval of the Office of the Dean) due by <b>February 1</b> of the year following the end of the evaluation period. Final version of multiyear evaluation (after approval of the Office of the Dean) due by June 1 of the year following the end of the evaluation period.
<b>Tenure-track Faculty Assistant Professors and Untenured Associate Professors</b>	Annual evaluation for merit raises and retention. Evaluate <b>Fall Quarter</b> and due by <b>February 1</b> .
<b>Lecturers</b>	Annual evaluations for merit evaluation cycles are required for the first two three-year terms and are due by <b>February 1</b> . Renewal evaluations are done in the spring of the third year. Appointment to third term (6 years) will commence a three-year evaluation cycle (tentatively).
<b>Fixed-term Adjunct Faculty</b>	Annual evaluations for one year appointments are due by <b>March 1</b> , but are done at the discretion of the department. Annual evaluations for retention for two- or three -year appointments are required and are due by <b>March 1</b> . (Salaries determined by scale, based on teaching responsibilities, years of experience, and market.)
<b>Quarterly Adjunct Lecturers</b>	No merit evaluation required at the dean's level (Salaries determined by scale on a per-course basis.)
<b>Senior Laboratory Instructor</b>	As academic staff, annual performance reviews are required. Reviews cover a calendar year and are to be completed by early April with all other staff evaluations.
<b>Laboratory Instructor</b>	As academic staff, annual performance reviews are required. Reviews cover a calendar year and are to be completed by early April with all other staff evaluations.

**Joint Statement from Council of Deans Concerning Impact of New Core on  
Evaluations & Rank and Tenure Process**

(May 13, 2008)

The following statement was approved by the Council of Deans at its meeting on May 13, 2008. The deans agreed to share this statement each year with tenure and promotion committees and with department chairs for faculty evaluations.

"The implementation of the new core may render the responsibilities of some candidates under review during the period 20XX-20XX different from those of candidates in previous cohorts. A candidate's contribution to the core curriculum, no matter how significant, cannot make up for a weak scholarly record. However, the new core has created for some candidates extra demands not borne by the previous cohort with which they are to be compared. Therefore, the time and value of a candidate's contributions to this important university initiative should become part of the holistic assessment of that candidate's overall performance and accomplishments during the period under review."

**Points of Operational Consensus for  
Annual Faculty Merit Evaluations**  
(Council of Chairs)

- 1) Focus merit evaluations in all three categories on the quality and significance of the activity or project. Time available and financial circumstances of the candidate are not merit evaluation factors.
- 2) Collegiality is important. Therefore, faculty activities and achievements that advance the institutional goals of the Department, the College, or the University are more valued than those that do not.
- 3) In teaching, look for coherent and effective linkages between overall program goals and the course objectives, syllabi, exams, assessment strategies, instructional methods, and actual student outcomes of individual courses.
- 4) Give credit for scholarly/creative projects in progress as evidence of positive peer review at progressive stages of development becomes available. Take the broad view of scholarship and evaluate a project on the basis of the quality of the work rather than the topic addressed.
- 5) For faculty members serving partially in administrative roles outside the Department: consider the split of teaching, scholarship, and service percentages to apply only to that fraction of their evaluation that relates to their faculty (non-administrative) duties. For the other fraction, seek an evaluation of their administrative (non-faculty) service from the person to whom they report. The Office of the Dean will combine the evaluations to give the overall score for merit raise purposes.
- 6) Consider material presented as evidence in whatever category or categories it best fits - teaching, scholarship, or service.
- 7) Faculty evaluation is for faculty development. Use the annual evaluation process as an opportunity to serve as a mentor and colleague.
- 8) Set clear expectations for the next year in this year's letter.
- 9) The weights for evaluation purposes are independent from numbers of courses taught. Those weights have to do with the relative emphasis we want to put on the three categories.

## **College Policy on Access to Faculty Evaluation Information**

(Established in 1992)

The information presented by faculty or derived from other sources and used in the annual faculty evaluation process is to be considered sensitive and should be treated as confidential. In addition, the evaluations themselves and resulting letters to individual faculty are to be considered confidential. As a result, requests by individuals for access to this information, these evaluations, or the resulting letters, should not be granted except in the following circumstances:

- 1) Individual faculty members shall have access to their own files. The Office of the Dean procedures for reviewing personnel files must be followed.
- 2) Individual faculty members shall have access to information which is otherwise available to the University community, including, for example, teaching assignments, syllabi and other handouts distributed in classes, student evaluations available in the University library, lists of colleagues' publications and presentations, and lists of administrative or committee assignments.
- 3) Those persons who have been designated by Departmental, College, or University policy to participate in the annual evaluation process, including the appeal or grievance processes, shall have access to all information, evaluations, and letters necessary for performance of their duties.
- 4) Those persons who have been designated to serve at the College or University levels in the rank and tenure review process shall have access to annual activities reports, annual letters of evaluation, mid-probationary review evaluations, and any other materials from earlier evaluations as may be necessary for the performance of their duties.
- 5) In response to a subpoena.

## **College Policy on Faculty Appeal of Numeric Evaluations** (Revised October 2006 and September 2011)

The faculty member may provide a written response to an evaluation and such response shall become part of the faculty member's personnel file (pursuant to section 3.3 of the *Faculty Handbook*). Concerns regarding phrases or statements in an evaluation letter, but not the numeric assignments, must be addressed in this written response.

The dean permits faculty to appeal numeric assignments in their annual or multiyear departmental evaluations following the procedures outlined below. This College Policy shall only cover appeals of numeric assignments, and not any other part of the evaluation.

The appeal of numeric evaluation scores to the dean should follow the process described below.

- 1) A faculty member notifies the dean in writing of her or his wish to appeal the numeric assignment in the evaluation letter and states the reason(s) for the appeal. The appeal must be initiated within thirty days from the date the departmental evaluation letter. After thirty days, an appeal will not be considered.
- 2) Upon receipt of the faculty member's letter, the dean will convene an ad hoc committee to review the case. This committee will typically consist of department chairs or former chairs from three discipline-related departments other than the faculty member's department.
- 3) The ad hoc committee will confer with the faculty member and the appropriate department chair or evaluation committee chair, consider all relevant factors, and recommend to the dean a resolution.
- 4) After considering the recommendation from the committee, the dean will notify in writing the faculty member and the department chair of her or his decision and will add this notification as an addendum to the original evaluation. This addendum will be placed in the faculty personnel file and the revised numeric evaluation number will be used for salary setting purposes.

## **College Policy on Teaching Loads** (Revised October 2007)

Pursuant to the authority granted in the section 2.7 of *The Faculty Handbook*, department chairs have the authority to determine specific teaching assignments for the faculty of their respective departments. In doing so, the chairs must bear in mind the limits of departmental resources and be responsive to program needs and student enrollment demands. The chair should also be guided by the principle of departmental collegiality.

For purposes of counting courses for teaching load accounting, these guidelines ordinarily apply:

- 1) A typical four-unit or five-unit course counts as one course.
- 2) A two-unit course counts as half a course.
- 3) Teaching load weights for labs, clinical, ensemble, and performance courses are to be negotiated between the chair and the dean on a departmental basis.
- 4) In consultation with the Office of the Dean, departments may allocate teaching credits for internship coordinators only if the annual enrollment is sustained at 10 or more. The Office of the Dean will work with individual departments to devise the best method of re-allocating teaching assignments when an internship enrollment target is not met. In addition, to maintain program quality and continuity, only continuing faculty should be assigned to administer internship programs.
- 5) While practicum, directed readings, independent study courses, and thesis direction do not count as courses for teaching load purposes, chairs may make adjustments for faculty teaching large numbers of practicum, directed readings, independent study, and/or thesis students.
- 6) While courses with low enrollments (typically less than ten) generally do not count for teaching load accounting purposes, chairs may make adjustments for faculty teaching large numbers of students in their other courses or for other departmental needs.
- 7) For term faculty in their last year of appointment, if one of their Spring quarter courses is under enrolled, with the permission of the associate dean supervising that department, the faculty member may teach the under enrolled course or be assigned to teach a summer course.

These guidelines are rough approximations and do not supersede individual appointments or arrangements approved by the chair and Office of the Dean.

## Summary of Current Practices for Faculty Assignments and Course Releases

(Revised October 2006)

The College of Arts and Sciences presently has a number of protocols related to faculty teaching assignments. They have been developed in the interest of equity, prudent allocation of resources, and to ensure high quality teaching and scholarship across the College as a whole. The summary below is intended to capture current practices for reductions in teaching for full-time faculty in the College.

**Tenured and Tenure-Track Faculty Teaching Reduction for Scholarly/Creative Activity:** All faculty of the College are expected to maintain their scholarly and creative vitality. To support faculty efforts in this area, the College in 1991-92 standardized the practice of a one-course reduction for faculty actively engaged in scholarly or creative activity. Recognizing that their strengths at certain points in their careers are more in the direction of teaching or service, some tenured faculty in the College regularly teach seven courses and/or have adjusted the relative weights of the three faculty annual evaluation categories. If a faculty member is not actively engaged in scholarly or creative activity, he or she will be expected to teach seven courses as to be determined by the dean

**Department Chair and Program Director Course Releases:** Faculty appointed to various program level administrative roles may be granted course releases and/or stipends during their terms of service by the provost, with the recommendation of the dean and approval of the Provost. Department chairs may assign these course releases to other faculty for chair administrative service with the approval of the dean. Funds to support course releases for faculty engaged in College and University level service are usually obtained from that administrative unit. In both instances, the service contributions associated with these administrative positions are considered part of the faculty member's faculty service and are evaluated (with consultation with the appropriate individuals) under the category of service in the person's annual faculty evaluation.

**Overload/Supplemental Assignment:** The supplemental pay for an overload course will not be paid until the faculty has exceeded the contractual teaching load. For example, if a Senior Lecturer will exceed the 7 course teaching load in spring quarter, the supplemental pay will be initiated and paid during spring quarter when that 8<sup>th</sup> course is taught.

**Personal Leaves (without Pay)** Pursuant to the Faculty Handbook section 3.7.3 and the University Faculty Personnel Policies and Procedures Manual, any member of the faculty may request a leave of absence of up to one year's duration for *bona fide* emergency or for other personal reasons, such as to engage in public service, in formal study, in research, or in teaching at another institution. The request, which should include reasons for the leave and definite dates, requires approval from the department chair, dean, and provost. All benefits remain in effect, with SCU retirement and social security contributions based on a percentage of actual salary received. For partial leaves, teaching and scholarship responsibilities will be negotiated with the dean and provost.

**Phased-Retirement Program:** Section 3.5.1.3 of the *Faculty Handbook* provides for phased retirement for tenured faculty and Senior Lecturers. The program agrees to a permanent reduction in teaching loads and specifies a binding date for full retirement, typically no later than five years after entering the phased retirement program. Where the multiyear cycle evaluation for the phased retired faculty comes due during the phased retired program, the faculty shall work with the department and dean to develop an appropriate evaluation schedule. The dean shall have the final decision as to whether a formal evaluation must be completed during this period.

**Conversion of Course Release to Stipend.** It is the policy of the College that converting a course release to a stipend requires dean approval. The reason for the policy is that such an arrangement constitutes a teaching overload. The course release is given to the faculty member to serve in an administrative capacity to address the extra workload of the assignment. Thus, a normal six-course load (for research-active faculty) would be reduced to a five-course load to allow for the added assignment. If the faculty member has this contract and then wants to teach another course and receive compensation, then it is technically a teaching overload situation. The dean would want to know if the teaching overload might adversely affect the faculty member's performance in teaching, scholarship, and other service obligations.

Therefore, any faculty who want to convert a course release to a stipend must submit a written request with appropriate rationale to the dean. The dean will consult with the department chair and then determine whether or not to grant the request.

**Externally Funded Release Time:** Occasionally faculty obtain funding through an outside source (e.g. a private foundation or government agency) to conduct research, training, service, etc. The sponsor funds the project through grants, contracts, or gifts to the University. Typically these funds cover equipment, operating expenses, personnel (salary and benefits), and institutional overhead. Proposals for funded projects of any kind must be reviewed and approved in advance by the chair, dean, Sponsored Projects, and provost. Reimbursements to the College are based on projected commitments of effort (time). In preparing proposals, reimbursements for faculty should assume - based on the time-use studies cited below - that during the academic-year a full time College faculty member with a six course teaching load is engaged 60% in teaching and advising, 20% in scholarly or creative activity, and 20% in academic service. Normally, the course release portion for sponsored activity is not approved unless the sponsoring agency provides funds in proportion to the faculty member's salary and benefits to reimburse the College and department for the lost teaching.

Effective in the 2009-10 academic-year, for sponsored projects, faculty salaries will be determined following standard policies for most federal awards unless 1) sponsor terms and condition restrict salary levels, 2) a funding limit imposed by the sponsor results in the need to use quarterly part time rates for course releases, or 3) an exception is approved by the Associate Provost for Research Initiatives.

For summer salary, faculty salaries will be calculated as 1/9 of the annual salary and mandated benefits for each month of summer salary unless otherwise limited by the terms and conditions of a sponsor.

During the academic-year, one course release will be calculated as 10% of the annual salary and full benefits unless otherwise limited by the terms and conditions of a sponsor. One course release is based on a standard quarter course of five units. The salary equivalent for a release for a semester, course of less than five units or more than five units would be determined by multiplying 10% of the annual salary and benefits by an appropriate factor (1.5 for a semester course, 0.6 for a three-unit course, 0.4 for a two-unit course, and 0.2 for a one-unit course). {Note: in the College one standard course is typically 4 or 5 units.}

We can thus use as a general rule, a sum equal to 10% of the faculty member's base salary and benefits for each course release charged to the sponsoring foundation or agency. (Note: this applies to course releases only and not to service and research responsibilities.)

#### **Sources Consulted**

89/90 SCU Faculty Survey; Faculty Handbook; A/S Protocols, Sponsored Projects, Human Resource Management

Higher Education Research Institute (UCLA) (1992/93)

"Report: The Work of Faculty: Expectations, Priorities, Rewards," *Academe* 80, no. 1 (Jan-Feb '94) 35-48

**College Guidelines on Overloads for Faculty  
Receiving Course Releases for Service**  
(Established June 2008)

In the College of Arts and Sciences, we have many faculty who give generously of their time and talent for the benefit of important University and College endeavors over and above the normal faculty service expectations (i.e., Core committees, WASC, chairs of departments or programs, Centers of Distinction.) For many of these service commitments, the University or College provides one or more course releases. The purpose for providing these course releases is to help the faculty member maintain scholarship or creative activity while providing this temporary extra service.

Therefore, it is important for faculty who receive a course release for service to be mindful of this reasoning if they are subsequently asked to teach an overload. As such, faculty who receive a course release for service should consult with the entity that is providing the course release and the dean before agreeing to teach an overload course. The dean must approve in advance any overload teaching for faculty who have received a course release for service.

## **Guideline on Adjustment of Scholarship Course Releases**

(January 17, 2007, revised October 2008)

The College has a teaching-scholar model for our regular tenure-stream faculty. The standard annual teaching load for tenure-stream faculty in the college is seven courses, and there is a standard, one course release for scholarship or creative work for faculty who are engaged in active scholarly or creative work. The dean is committed to support tenured faculty who find themselves temporarily unable to meet the research/creative activity expectations of the teaching-scholar model during a particular phase of their career. In fact, these are rare occurrences. The dean is cognizant that each case is unique and that there is no “one size fits all” solution. The guideline below describes existing practices between the dean and such faculty colleagues. Even as the College seeks to make reasonable allowances for faculty members who become temporarily inactive in their scholarly or creative agendas, we affirm that the teaching-scholar model remains the norm for tenure-stream faculty.

In a conversation with the dean, the dean and tenured faculty member who is not engaged in active scholarly or creative work will agree that the faculty member will teach the full seven-course load. This will happen within or at the end of an evaluation cycle. The weightings will be adjusted for evaluative purposes within the given cycle (and reflected proportionally in the next evaluation) or at the outset of a new cycle to give more importance to teaching and/or service. For example, the weightings could look like those of a Senior Lecturer: 70% teaching, 15% scholarship/creative activity, and 15% service. This scheme will be revisited by the faculty member and the dean annually.

## **Faculty Salaries in Externally Sponsored Projects**

(July 9, 2009)

### **Proposed Practice**

For sponsored projects, faculty salaries will be determined following standard policies for most federal awards unless 1) sponsor terms and condition restrict salary levels, 2) a funding limit imposed by the sponsor results in the need to use quarterly part time rates for course releases, or 3) an exception is approved by the Associate Provost for Research Initiatives.

For summer salary, faculty salaries will be calculated as 1/9 of the annual salary and mandated benefits for each month of summer salary unless otherwise limited by the terms and conditions of a sponsor.

During the academic-year, one course release will be calculated as 10% of the annual salary and full benefits unless otherwise limited by the terms and conditions of a sponsor. One course release is based on a standard quarter course of five units. The salary equivalent for a release for a semester course of less than five units or more than five units would be determined by multiplying 10% of the annual salary and benefits by an appropriate factor (1.5 for a semester course, 0.6 for a three-unit course, 0.4 for a two-unit course, and 0.2 for a one unit course). {Note: in the College one standard course is typically four or five units.}

### **Current Practice**

Generally, the policy has been 10% salary and benefits for each course release. However, in practice, the quarterly adjunct lecturer faculty salary rate, the current course equivalence rate, or 10% salary and benefits have been used.

### **Rationale**

There is a need for a clear, fair, standard practice across all programs. The need to standardize is prompted by recent changes implemented by the National Science Foundation (NSF). Effective January 1, 2009, NSF changed its policy regarding faculty salary. Previously, NSF would fund up to two months of summer salary (2/9<sup>th</sup> academic-year salary), but no academic-year salary unless the faculty had a less than 100% FTE appointment or was on sabbatical receiving less than full pay. The policy is now two months of salary (2/9<sup>th</sup>) during each project year. This means that salary can be budgeted to cover course releases in addition to/instead of summer salary as long as the total salary requested by each faculty member does not exceed 2/9<sup>th</sup> academic-year salary. Since we have current NSF awards in the College and all the Schools except Law, a standard practice is essential for fairness across all programs.

In addition, moving to a rate based on the nine-month academic-year salary will bring our practice in line with standards for government and other sponsors. By aligning with standard practices, our proposals will be easier for reviewers and program officers to understand.

Finally, the cost reimbursement to the University is for the time and effort of the faculty member on the sponsored project. Using a simple quarterly adjunct lecturer replacement rate does not accurately compensate the University for time and effort on a sponsored project. Using 10% of salary and benefits (one month of time and effort) for a course equivalent provides more reasonable compensation to the University.

## **Procedure for Providing Departmental Advice regarding the Appointment of Department Chair or Program Director**

The Faculty Handbook [section 2.7] states: “The chair of a department is appointed for a specified term by the provost with the *advice* of the faculty members of the department and the dean.”

Each department is responsible for developing and implementing a procedure to provide meaningful advice to the dean regarding potential candidates for the chair position. The process that is proposed by the department should be submitted to the associate dean for approval before the process begins. A copy of the process should be kept in the department records.

Although there is a range of acceptable practices in the College for securing such advice, the following guidelines should be followed.

*Chair Eligibility:* Unless expressly approved by the dean, only tenured faculty are eligible to serve as department chair. As a general rule, tenured faculty at the Professor rank are preferred over those at the Associate Professor rank. In unusual circumstances the dean may permit faculty members of other ranks be considered as eligible.

*Timing:* The process for securing departmental advice and providing it to the dean should be conducted in the fall or winter quarter of the final year of the existing chair’s term or when a vacancy occurs.

*Identifying Potential Candidates:* The process for identifying potential candidates should begin with a departmental discussion of the kinds of skills and characteristics that would be found in a successful chair for the department for the time period covered by the upcoming chair term (e.g., will it be a period of growth, retraction, curricular modification, program review, facility creation?). Departments will identify potential candidates by following their pre-approved process for doing so; acceptable practices include a department meeting or a process of self-nomination. The process for identifying potential candidates can be facilitated by the chair, a tenured faculty member of the department, or a dean’s representative.

*Evaluating Potential Candidates:* The department should engage in a consultative, evaluative process that yields a list of the strengths and weaknesses of the eligible candidates. We encourage an inclusive process that seeks the advice of both faculty and staff. Advice from the department that is helpful to the dean and provost is substantive in nature, evaluating the strengths and weaknesses of the eligible candidates. Advice that is not helpful merely indicates a final “vote” on the candidate(s). This advice-gathering process may be facilitated by the chair, a tenured faculty member of the department, or a dean’s representative. All participants must be assured that they can speak freely and confidentially.

*Conveying the Department’s Advice:* The facilitator of the advice-gathering process will meet confidentially with the dean to convey the advice of the department. If called for in the department protocol, the facilitator will inform the faculty and staff about the advice of the department.

It is important that all faculty and staff participants be aware that they are free to communicate directly and confidentially with the dean at any stage of this process.

**Protocol on Departmental Administrative  
Support and Chair Evaluation**  
(Established 12/04/90; Revised October 2006 and 2008)

**Administrative Course Releases**

In recognition of the time and attention required to do an effective job as department chair, and sensitive to the demands created by larger numbers of students and faculty, the departments in the College shall be authorized administrative allocations as follows:

- 1) The dean will establish an allocation of course releases for each department or program. A base allocation will be three courses a year if the department, program or center has the equivalent of six or more full-time faculty and staff. (Course reductions for departments with fewer than the equivalent of six full-time faculty and staff shall be determined on a case-by-case basis.)
- 2) An additional allocation of one course a year if the department, program or center generated over 12,000 student credit units of course work in the previous academic-year (Fall, Winter, and Spring Quarters, based on official enrollment reports).
- 3) An additional allocation of one course a year if the department, program or center served 150 or more majors (based on the previous Spring Quarter's official enrollment reports).
- 4) A departmental allocation of course releases for a chair shall not be modified (increased or decreased) during an incumbent's three-year term. Any modification shall be made at the end of the three year term.
- 5) An additional allocation of one course a year for program review during the self-study and external review process is available pending funding from the provost.

NOTE: changes to course releases for a chair of a department will only be adjusted at the end of a chair's term. There will be no mid-term adjustments.

**Distribution of Administrative Course Releases**

A department's administrative/chair course releases may be distributed among the faculty of the department for chair-related administrative activities at the discretion of the department chair, with the approval of the dean. It is assumed that the chair, if tenure-stream, also takes the standard one-course reduction (from the nominal seven-course load) for scholarship.

### **Administrative Stipend**

In recognition of the professional career costs of serving as chair, the increasing summer duties of the chair, and the role of the department in the success of the Summer Session, the College shall allocate administrative stipends as follows:

- 1) A base stipend of \$1500 a quarter, effective September 1, 2006.
- 2) An additional \$700 for summer supervision if the department summer student credit hours are greater than 200.
- 3) An additional \$700 for summer supervision if the department summer student credit hours are greater than 500.
- 4) An additional \$700 for summer supervision if the department summer student credit hours are greater than 1,000.

The summer responsibilities of the department include but are not limited to such tasks as responding to the academic needs of the Undergraduate Summer Program students and faculty, supervising summer facilities projects, conducting junior degree audits, assisting faculty preparing for third-year review or tenure review, preparing for the start of Fall Quarter, completing fiscal year matters, orienting new faculty, advising students, hiring quarterly adjunct lecturer faculty for the Fall, and conducting routine departmental business. These responsibilities are usually handled by the chair. If the department chair will not be available during the summer, the dean, in consultation with the chair, will select a suitable available alternative willing and able to perform these tasks either in place of the chair or in collaboration with the chair. If the chair delegates or shares the departmental summer responsibilities, the summer stipend will be awarded to or shared with the colleague chosen.

### **Evaluation of Chair Service**

Chairs will be evaluated according to the Protocol on Evaluations of Chairs in the College of Arts and Sciences. It shall be the policy of the College to avoid, if possible, recommending untenured faculty for appointment as department chair or summer chair.

## **Evaluations of Chairs**

(Established March 6, 2002; Revised October 2006)

### **Background**

In the past, most chairs did not receive useful, systematic feedback from their department colleagues about the quality of their work as chair. This was not good either for their professional development or for the good of the Department and College. Since the chair has authority over many budgetary, assignment and evaluation issues, it is difficult for some staff and faculty to provide an honest assessment of the chair's performance without some structure. Moreover, after 2002, the College allowed chairs to change their weightings to a maximum of 60% of a chair's evaluation for service. For that reason the College required all departments to develop informal developmental evaluations as a way to assist chairs in their professional development.

### **Timing**

#### *Developmental Evaluations*

Chairs will receive an informal, developmental evaluation every two years (in the Winter Quarter of their second, fourth and sixth years). The department will design a process and submit it to the dean for approval. This developmental evaluation will be conducted in the manner established by the department and dean and will not become part of the chair's permanent file.

#### *Chair Service and Weightings for Multi-Year Evaluations*

In multi-year evaluations, service as chair will be evaluated for the record as part of a chair's regular faculty evaluation in the category of service. Chairs may change their evaluation cycles to coincide with their term as chair. This multi-year evaluation will be based on performance, not the expectation of an automatic number. For the years a person serves as chair, he or she may adopt, in consultation with the dean, either the existing flexible weighting system, or a system designed for chairs.

<u>Appointment Status</u>	<u>Teaching %</u>	<u>Scholarship %</u>	<u>Service %</u>
Tenured Faculty	35-45	35-45	20-30
Chair	20-40	20-40	20-60

### **Implementation**

The chair weighting option will take effect beginning with the 2002-03 academic-year. Developmental evaluations will be conducted for existing chairs on a regular basis as described above. For faculty who are appointed chair and change their weightings during their term, the multiyear evaluation will use a weighted average for the entire cycle or the chairs may change their evaluation cycle to coincide with their term as chair. The weighted average can be based on either quarters or years, depending on the length of service as chair (e.g., someone serving as chair for one quarter per year for three years would have 3/9ths of their evaluation with adjusted weighting.)

## Procedures and Policies for the College Academic-year Planning Process

### Academic-year Plan Description

Each Academic-year Planning Workbook is composed of four sheets – Faculty Resources and Planning, Faculty Load, CORE, and full-year teaching plan.

**A. Faculty Resource and Planning Sheet.** (maintained by the Office of the Dean, no data entry by departments is required). This sheet is divided into two areas: (1) *Planning and Resource Summary* and (2) *Faculty Resources*.

***Planning and Resource Summary:*** The first area includes the section target, faculty resource summary (calculated automatically from data in section B), and a narrative description of the section target determination.

***Faculty Resources:*** The second area contains teaching load and release data for all types of faculty. The faculty are divided by types that correlate to budget categories: tenured, tenure-track and Senior Lecturers; non-tenure-track continuing faculty (lab instructors and adjunct professors); Lecturers, Adjunct Lecturers, and quarterly Adjunct Lecturer faculty. Quarterly Adjunct Lecturer faculty load is calculated automatically from the teaching load summaries and the section target. The table includes the following columns:

Faculty Name

Rank

*FTE* (full-time equivalent)

Appointment / line description

*Initial teaching load* (typically 7 for tenured and tenure-track faculty; 7 for Senior Lecturers, Lecturers, and lab instructors, 7 for academic-year adjunct lecturers)

*Other A&S course load* (courses taught for other A&S departments or programs, counted in the other unit's section target)

*Sch* Scholarly Release

*Sabb* Sabbatical Release

*A&S Admin* Service in an administrative role to the College

*Univ* University release

*Reduc & Retire* Reduced time arrangements (permanent) or Phased retirement arrangements

*LOA* Any leave of absence - medical, family, other paid or unpaid leave

*Other / non-A&S course load* (other leave arrangements and courses taught for units outside the College such as CPE)

*Release / Load Description* Explanation of releases

*Teaching Load* (the expected load calculated by subtracting releases or load in the preceding columns from the initial load)

*Actual Load – Full Year* (load calculated from the actual full-year plan, summarized on the “facload sheet” and linked directly to the faculty resource sheet. If an instructor is changed in the full year plan, the actual teaching loads will change.)

*Variance* (the difference between the expected teaching load and the actual teaching load; should be zero; a non-zero variance indicates a problem either with one of the worksheets or a “real” problem with an individual load).

**B. Faculty Load.** (a resource page, no data entry required, data is refreshed from the full year plan). The faculty load sheet automatically generates faculty load tables from the full year plan. All individual faculty members are listed, by faculty type, with each course they teach and their teaching load summary. All faculty types are included in the main, “big” table. A second table redundantly calculates only the QALT total since the names of these faculty are often not known until just before a quarter begins. Only the full, “big” table will be printed.

The faculty load tables are pivot tables set up to be refreshed when the workbook is opened (or with the data refresh button in the Data menu with the red exclamation mark command, !). After updating the full year plan, either go to the faculty load sheet and refresh the data with the ! red exclamation mark command or save the workbook, close the workbook and re-open the workbook.

**C. Core.** (data entry only to update the course list, section counts are calculated automatically from the full year plan) All courses offered by a unit/department are listed with the requirements fulfilled by the courses indicated. If a course meets a requirement, the number “1” is placed in the cell (row and column location). This only needs to be done once and never again unless the core requirements change or a new course is added to the list.

The “COUNT” column counts the number of sections of the course that are offered in the full year plan. If six sections of PHIL 5 are in the full year plan, a count of 6 will appear. If a course is not offered in a given year, the count will be zero. These counts are generated automatically from the full-year plan and do not need to be entered by hand. The total number of sections offered that fulfill a given core requirement are totaled across the top of the page. CORE obligations are compared to actual courses to track CORE course offerings.

Types of courses or requirements fulfilled by the courses:

*CTW* (CTW 1 & 2)

*ADV W* (Advanced writing)

*ET* (*ethics*)

*C&I* (Cultures and Ideas)

*RTC1* (first religion, theology and culture)

*RTC2* (second religion, theology and culture)

*RTC3* (third religion, theology and culture)

*2ndLang* (second language)

*Math* (*only in Math plan*)

*NSL* (natural science)

*CE* (civic engagement)

*STS* (Science, technology and society)

*DIV* (diversity)

*Arts* (arts)

*SS* (social science)

*ELSJ* (*experiential learning for social justice*)

**D. Full-year Plan Sheet.** The teaching schedule for the entire year is described in the full-year plan. The column headings are described below:

*Quarter* (in PeopleSoft notation)

*Department* course ID

Course Number

Instructor's Name

*Instructor Type* (TT- tenure-track, TE-tenured, SRL – Senior Lecturer, NTCC – non-tenure-track continuing, LEC – Lecturers, AYAL – fixed-term lecturers, QAL – quarterly adjunct lecturer)

*Units* (typically four or five, if variable use lowest possible)

*Load* (course load assignment, typically one for lecture-only courses)

*RLC* (residential learning community linked course)

## **Policies / Procedures**

### **Change Agents**

The Faculty Resource and Planning Sheet can only be modified by the Office of the Dean. The full-year teaching plan will be modified throughout the year by the departments in consultation with the Office of the Dean. The general cycle is described below.

### **General Academic-year Planning Cycle for Year 0X-0Y**

#### Planning 0X-0Y

November/December/January/February – First draft of the Academic-year Plan; Office of the Dean completes Resource and Planning Sheet and the Department completes the full-year plan, Office of the Dean and chairs meet, Office of the Dean approves plan by February 15 each year)

June – Second draft of full-year plan is completed by the Department and sent via email to the Office of the Dean. The Office of the Dean will request the updated draft.

September – Third draft of full-year plan is completed by the Department and sent via email to the Office of the Dean (completed after contracts are requested for Fall). The Office of the Dean will request the updated draft.

#### Implementation 0X-0Y

December – Fourth draft of full-year plan is completed by the Department and sent via email to the Office of the Dean (completed after spring course schedules are due). The Office of the Dean will request the updated draft.

March – Fifth Draft of full-year plan (email changes only). The Office of the Dean will request an update, not the full-year plan itself.

June – Final full-year plan (email changes). The Office of the Dean will request an update, not the full-year plan itself.

**Changes to the Full-year Plan:** When a department submits a new full-year plan, the sheet is cut and pasted into the Office of the Dean copy of the Nov. Plan. All links and pivot tables are then checked to make sure all are functional. The pivot tables need to be refreshed when any changes are made to the full-year plan.

**Adding /Canceling Classes:** If a course is added, a new row must be inserted into the full-year plan spreadsheet and the faculty load pivot table refreshed. If a course is cancelled, the appropriate row should be deleted from the spreadsheet and the faculty load pivot table refreshed. Variances in teaching loads will then appear on the faculty resources and planning sheet and appropriate action taken.

## **College Policy on a College Course Syllabus** (established 5/11/95; revised October 2006 & October 2008 & August 2010)

In the College of Arts and Sciences, all courses must have a written syllabus that is distributed to the students during the first week of class. Moreover, each department must maintain copies of syllabi for all courses.

**Course Number and Description:** From University Bulletin.

**Course Theme:** If applicable, an expanded description emphasizing the theme and focus which this instructor is putting into this course this quarter.

**Learning Outcomes:** All faculty in the College of Arts and Sciences should include course-level and department/program level learning goals and objectives beginning with the fall 2008. Core courses must also incorporate Core area/requirement learning goals on all course syllabi beginning fall 2009.

**Prerequisites:** Courses, experiences, etc. without which students will not be admitted into the course. The basis, if any, for granting exceptions.

**Instructor:** Name, department, office phone number, e-mail address of instructor of record.

**Office Hours:** Time and location of office hours. Statement on appointments outside of office hours. How to contact the instructor in case of emergency.

**Class Time:** Statement of how class time is going to be used, what students are expected to do in preparation for class, policy regarding attendance Percentage of course grade connected to student attendance and class participation,

**Grading Policy:** Describe your grading policy and/or philosophy. Indicate how the overall success of the course itself will be evaluated (e.g., mid-quarter or end-of-quarter narrative evaluations, the Student Assessment of Learning Gains instrument, or other approaches).

**Assignments & Readings:** Listing and description of all course assignments, required or optional readings, individual work, group projects, exams, papers, field experiences, etc, including all deadlines and due dates. List the percentage of the final grade for each assignment. Faculty may not add major assignments to the syllabus after the fifth week of instruction

**Projected Course Calendar:** Week by week or session by session calendar of classroom activities, listing topics, readings, assignments, events, videos, guest speakers, field trips, due dates, exams, etc.

**Policy on Academic Honesty:** Statement on how the instructor intends to handle cases of academic dishonesty. Statement clarifying instructor's expectations regarding group work, collaboration, and peer tutoring as contrasted with plagiarism, cheating, and other forms of academic dishonesty. For the Academic Integrity Policy, see [www.scu.edu/academics/bulletins/undergraduate/Academic-Integrity.cfm](http://www.scu.edu/academics/bulletins/undergraduate/Academic-Integrity.cfm).

**Finals:** Note the university policy that final exams must be given on the date and time scheduled by the Registrar unless the chair follows the exceptions described in the College's policy on final exams. Exceptions to this policy require permission from the chair of the department and written notification to the dean.

**Disability Accommodation Policy:** To request academic accommodations for a disability, students must be registered with Disabilities Resources, located in Benson, room 216. If you would like to register with Disabilities Resources, please visit their office in Benson 216 or call at 408-554-4109. You will need to register and provide documentation of a disability prior to receiving academic accommodations.

## **College Policy on Course Evaluations**

(Established February 19, 2002)

The policy of the College of Arts and Sciences is that our faculty will use two kinds of course evaluation tools for every course: numerical and narrative.

In keeping with University expectations, the College requires that numerical student course evaluation forms be used in all our courses by all faculty. The procedures for the use of the College's standard form are distributed each quarter when the forms are sent from the campus office that handles the scanning and scoring to each faculty member. Please be sure that our colleagues understand and observe these procedures. Of specific concern is that the faculty member should not be present in the classroom during the time that students are completing course evaluations.

If a given department develops an alternative numerical evaluation form that better suits its pedagogy or its courses' learning objectives than the standard College form, then the College will allow the department to substitute its more suitable evaluation tool for the standard College form.

The purpose of numerical student course evaluation forms is to gather quantitative information. Qualitative information is also important for the evaluation of teaching and learning. Therefore it is the policy of the College that all faculty will supplement the numerical course evaluations with a suitable narrative student course evaluation tool. From the College's perspective, the narrative tool can be either a departmentally adopted tool or individually designed by each faculty member. However, a given department might wish to establish a more standardized departmental policy with regard to the narrative tools used in its courses.

## **University Policy on Final Exam Policy**

(Originated in 1986, revised by the Academic Affairs Committee and approved by the provost, Spring 2005)

A cumulative final exam, if given, must be given on the date and time scheduled by the Registrar's office. If designed as a take-home exam, it may not be due before the scheduled final exam time. Exceptions to this policy require permission from the chair of the department, who may consult with the Office of the Dean.

In the College of Arts and Sciences, the chair shall grant all exceptions to the university policy in writing (email is sufficient) and shall provide the dean with a copy of the written notification.

## **Non-Departmental Academic Programs**

(Established 5/10/91)

This protocol is intended to encourage the development of interdisciplinary and cross-departmental curricular programs, including segments of the core curriculum, emphases, minors, and majors. It regularizes the organizational structure of curricular programs that fulfill goals beyond those achieved by the emphases, minors, or majors offered under the auspices of an academic department. This protocol is intended to maximize curricular flexibility while focusing and clarifying organizational responsibilities.

Non-departmental curricular programs shall be guided by the faculty through a Program Council/Program Director administrative structure. Programs may offer courses under their own rubric or through arrangements with participating departments. Programs may be assigned budgets and staff support. The role of the Program Director shall be analogous to that of a department chair and the role of the Program Council shall be analogous to that of the senior faculty of a department serving as a personnel or curriculum committee.

**Program Director:** The Program Director is appointed by the dean after consultation with the members of the Program Council. The term of office is three years and is renewable. The Director is responsible for:

- 1) Consultation with the chairs of participating departments regarding the selection of faculty to teach in the program and the scheduling of courses
- 2) Recruitment and advisement of students in the program
- 3) Management of program budgets and resources
- 4) Maintenance of the academic standards and the quality of the curriculum of the program
- 5) Development of the program's constituency groups (e.g., student clubs, alumni, and community advisory groups)
- 6) Nomination of faculty to serve on the Program Council
- 7) Holding regular meetings of the Program Council to discuss issues important to the program's well-being

**Program Council:** To achieve these goals, the Director draws upon the active involvement of members of the Program Council and other faculty interested in the program. The Program Council is composed of four to eight Santa Clara faculty members who are persons actively participating on a regular basis in teaching or advising students in the program, persons with expertise and interest in the curricular content of the program, or persons concerned for the welfare and quality of the program. Council members are appointed by the dean for a renewable two-year term. The Council is responsible for establishing, in conjunction with the Director, all necessary policies and procedures for the program as are consistent with those of the College of Arts and Sciences and of Santa Clara University.

**Changes to Program:** In order to change, suspend, or discontinue an interdisciplinary or cross-departmental curricular program, the Program Council and Director shall provide a written proposal or recommendation to the dean. The proposal or recommendation shall include a narrative justification. The dean will analyze the proposal or recommendation and shall consult with the Council of Chairs before making the final decision on the proposal or recommendation.

## **Policies and Procedures for Summer Session Internship/Independent Studies** (Revised October 2006)

The following policies and procedures are adapted from the principles and procedures which govern internship courses during the academic-year; they have been drafted to ensure equity and quality educational experiences for students and faculty across the summer program; and they are intended to provide a framework within which departments and programs can develop academically credible and challenging summer internships for Santa Clara students in the future.

### **Policies that apply to both Internships and Independent Studies**

- 1) Restrictions on Number of Summer Internship Units: University policy states that no more than five units of independent study or internship credit may be earned in any one term. Students enrolling in other summer courses may not carry more than ten units total during the five-week schedule of the summer program. The internship courses taken during summer apply toward the University regulations governing independent study courses.

### **Internship Policies**

- 1) Student Registration and Tuition: Given the importance of faculty-student interaction while the internship experience unfolds, students must register for an internship course at the time the internship takes place. In summer students will pay the normal summer session per unit tuition rate.
- 2) Restrictions on Paid Internships and Location: As in the regular academic-year, there are no restrictions on receiving credit for paid internships. The academic credit is given for the instruction and learning, independent of whether or not the student is being compensated.
- 3) Faculty Role and Department Responsibility for the Internship Course: Internships granting academic credit must involve faculty-student interaction such that the student's work and learning can be evaluated by a faculty member. Like all summer courses, summer internships must be the full equivalent to internship courses offered during the academic-year. Students must, for example, complete the same department application process and meet department prerequisites; and faculty, for example, are expected to provide the same level of instruction (contact with the internship site supervisor, structure meetings with student(s), define expectations for research and written work, etc.). While it is acknowledged that faculty contact hours and time spent on summer internships are not equivalent to that of a regular summer course, instruction and the award of academic credit for our students is still an important faculty responsibility and should be undertaken, evaluated, and compensated accordingly.

It is the responsibility of the department to determine how and by what means faculty instruction is delivered. As implied above, departments have considerable latitude in the structuring of summer internships, including: the possibility of involving several different faculty; "long distance" internships; individual as well as seminar-type meetings with students; etc.

- 4) Faculty Compensation: The Summer Program will pay the faculty member the base faculty salary for a summer internship course if the course meets the minimum enrollment (seven students carrying at least five units of credit as of 2011.)

Departments deciding to carry internship courses that do not meet the minimum enrollment may request from the Summer Program director compensation at the same stipend rate provided for summer independent study courses (currently \$500 per student taking a five- unit course with no

compensation for one to four units of credit). Departments with courses that have enrollments beyond the Undergraduate Summer Program cap of 25 may petition the Summer Program director for extra funds to ensure quality instruction for those students.

### **Independent Studies Courses**

If a department chair determines an independent study course is necessary, please contact the Undergraduate Summer Program Director to make arrangements ahead of time. If the Director approves the directed readings course in advance of the beginning of the term, the faculty member will be paid \$500 for each student taking at least five-units of credit. Directed reading courses that were offered without the prior approval of the Undergraduate Summer Program Director are not eligible for a summer stipend.

## **Protocols for Undergraduate Summer Program and Arts and Sciences Continuing Education Course Offerings**

(Established March 20, 1998)

It is essential that there be strong and collaborative linkages between academic departments and SCU special programming offices, the Undergraduate Summer Program (“Summer”) and the Arts and Sciences Continuing Education program (“ASCE”). By academic tradition, department chairs and Program Directors play critical roles in support of these programs as well as in quality assurance.

- 1) **Basic principle relating to academic credit courses offered with a departmental designation:** No departmentally designated course may be offered by Summer/ASCE without the prior approval of that department's chair or Program Director.
- 2) **Basic principle relating to offering Summer/ASCE contracts to faculty previously successfully employed as teachers at SCU:** A department chair or Program Director may not forbid a member of the faculty from accepting a contract to teach in Summer/ASCE.
- 3) **Departmentally designated courses or faculty suggested by departments:** Suggesting courses and nominating faculty of the department or program to teach in Summer/ASCE programs is a way to assist part time or full time faculty who may need some additional income and to assure that there are enough seats for current SCU students to meet various academic or professional requirements, or to extend educational opportunities to non-traditional groups of students. In those cases where a chair or Program Director suggests courses from their own department or program, or nominates members of their department or program faculty to teach in Summer/ASCE, the director(s) of Summer/ASCE is(are) not obligated to offer that course nor to offer a contract to that faculty member. In those cases where a given course is suggested in order to assist current SCU students in meeting their academic requirements, the director(s) of Summer/ASCE shall make all reasonable efforts to assure that the course is offered. (However, if the course does not meet minimum Summer/ASCE enrollments, it is subject to being canceled.)
- 4) **Departmentally designated courses, programs, or faculty suggested by Summer/ASCE:** At times, due to identified needs in certain academic areas, market conditions, or potential integrated learning opportunities, i. e., joining with SCU Centers of Excellence, or SCU student centers like the Emerging Leaders program, Summer/ASCE may suggest that a particular departmentally designated course be offered. The department chair or Program Director shall be asked (1) to advise on the academic merits of the suggested Summer/ASCE programs/courses, and (2) to vet the quality of the potential faculty identified by Summer/ASCE. In these ways, departments or programs continue to exercise responsibility for assuring the integrity of their disciplines and the quality of the programming in Summer/ASCE. No course not already in the department's section of the University Bulletin can be offered using a departmental designation without the prior approval by the chair. No Summer/ASCE-identified instructor candidate (not previously hired to teach in the department) can be assigned to teach a departmentally designated course without the approval of the chair or Program Director.

Since ASCE and Summer work on tight deadlines, if a given chair or Program Director is unable to fulfill these responsibilities in a timely way, then the directors of Summer/ASCE shall have the option of appealing to the dean for assistance or a timely decision.

## **Procedures for the Undergraduate Summer Program and Arts and Sciences Continuing Education Program**

(Established 6/24/99)

It is essential that there be strong and collaborative linkages between academic departments and SCU special programming offices, the SCU Undergraduate Summer Program (“Summer”), and the Arts and Sciences Continuing Education Program (“ASCE”). By academic tradition, department chairs, program directors, and regular faculty of the institution play critical roles in support of these programs as well as in quality assurance.

### **Scope and Leadership of Summer and ASCE**

The *Undergraduate Summer Program* is authorized by the University to offer all undergraduate credit programs during the summer quarter. The Director of the Undergraduate Summer Program is normally a regular faculty member (with the title of associate dean) or an assistant dean who is supervised by a dean.

The Arts and Sciences Continuing Education is authorized by the University to offer all academic credit courses and continuing education credit workshops and courses within the academic areas of the College of Arts and Sciences. The Director of ASCE is normally a regular faculty member (with the title of associate dean) or an assistant dean who is supervised by a dean.

### **Guidelines for Developing Academic Credit Courses and CEU Workshops, Programs, or Courses**

*Undergraduate Academic Credit:* The guidelines to be followed by the Undergraduate Summer Program and the ASCE Program to offer undergraduate academic credit courses are found in the Protocols for Undergraduate Summer Program and Arts and Sciences Continuing Education Course Offerings.

*CEU Credits:* The guidelines to be followed by ASCE to offer CEU credits shall require the Director to: (1) to vet the quality of the faculty, and the compatibility of the workshop, program, or course to the SCU institutional mission and goals; (2) to obtain the approval of the dean to whom the Director reports.

## **Criteria and Procedure for ASCI Courses** (Revised September 2006)

### **Criteria for Approving Course Proposals**

A number of considerations enter into the awarding of academic credit for student work: curriculum and outcomes, faculty expertise, plan of study, mission and goals of the College, the institution's ability to support the field of study, contact hours, etc. In addition to the traditional classroom courses offered through academic departments, Santa Clara offers a limited number of experiential education courses through the Career Center, the Ignatian Center, the Markkula Center, the Residential Learning Communities and Student Life.

The following criteria have been adopted to evaluate proposals for Arts & Sciences (ASCI) courses taken outside of academic departments for credit:

- 1) Proposals should articulate how the course includes curricular goals and outcomes related to Arts and Sciences, including the way in which student academic work will be assessed by the instructors. In broad terms, those outcomes and goals relate to the College's mission to teach students reasoned and responsible methods of inquiry. In the course students should not only acquire practical skills, but also explore the framework(s) within which those skills are developed and assessed. Student learning would thus include an experiential component, complemented by a reflective and analytical one in which students understand and make judgments about the significance of their experience.
- 2) Instructors shall have the appropriate level of academic degree (normally M.A. or M.S.) and extensive experience in the area of the course.
- 3) Proposals should involve collaboration between the proposed instructor and a faculty member within an appropriate academic program - if not in the delivery of instruction, then at least in the development of the course proposal and plan.
- 4) Proposals should include a draft syllabus that indicates course goals and objectives, learning outcomes, number and type of assignments, day to day course outline, assigned readings and a bibliography, clear statement of requirements and instructors expectations around attendance, deadlines, class participation, etc. Individuals should consult the attached documents related to syllabi: "A Framework for a College Course Syllabus" in the College Protocols.

### **Procedure**

- 1) Proposal should be submitted to the dean of the College of Arts & Sciences.
- 2) For proposals developed by Student Life personnel. The dean of Student Life reviews the proposal and determines whether the proposal moves forward. If it does, an ad hoc committee comprised of two Student Life personnel, the associate dean of the College of Arts and Sciences, and a faculty member familiar with experiential learning courses, will review the proposal based on the criteria listed below and make a recommendation to the dean of the College of Arts and Sciences.

- 3) The dean of the College of Arts & Sciences will determine whether the proposal has merit and, if so, decide the appropriate way to sponsor the course: (a) within an academic department or program that offers courses or (b) within the Arts and Sciences set of courses (ASCI).
- 4) Whichever route is selected, the Office of the Dean will have responsibility for all facets of the course - from catalog masters, Bulletin, and scheduling to oversight and evaluation.

### **Administrative Aspects**

- 1) Unit Value: Normally a course will receive one or two units of academic credit, with the unit value determined by a) number of contact hours related to the course, and b) the Office of the Dean determination of academic rigor and the extent to which the course will meet the criteria outlined above.
- 2) Grade Option: All ASCI courses will be offered on a pass/no pass basis.
- 3) Appointment: When a course has Student Life personnel as the instructor, they will be appointed as quarterly part time faculty in the College of Arts and Sciences for that quarter. In addition, since these courses will be directly tied to their position and regular responsibilities, the Student Life personnel and department will generally not receive overload compensation or additional funding. (This does not apply, of course, to other courses these personnel may contract to teach on their own through academic departments).

When a course has faculty involved in the instruction, the faculty member will determine with the department chair or program head, in conjunction with Arts and Sciences' Office of the Dean, the basis on which the assignment is taken. At this point, faculty who participate will do so either as service or as an overload so as not to compromise their commitment to existing academic programs.

- 4) Evaluation: Instructors for these courses will be evaluated through the Student Teaching evaluation process used in all undergraduate courses. In addition, the instructors should develop a narrative form tied to the ways in which the course realizes the outcomes and goals described above.

## **Regular and Academic Staff Hiring Procedures**

**Vacant Positions:** When a regular or academic staff position becomes vacant typically through retirement or resignation, the chair should notify the assistant dean who is serving as the secondary staff supervisor for the College. The assistant dean will ask the chair to prepare a job description using a standard template. The chair will email an electronic draft of the job description to the assistant dean. The assistant dean will review the description. Once approved, the assistant dean will complete a position requisition form. The assistant dean will then work with Human Resources to approve and post the job. The assistant dean will also discuss with the chair and Human Resources advertising in venues that may improve the diversity of the applicant pool. The chair then works directly with Human Resources to interview and hire candidates. Human Resources can assist with screening of applicants and checking references. Any questions regarding salary and budget must be addressed by the assistant dean should they arise during the hiring process. The Office of the Dean recommends that the hiring chair attend a Human Resources hiring workshop if possible.

**Staff “On-Call” Pools:** On-call pools are designed to provide professional services on an occasional basis. Currently, pools have been established in studio art, music, theater, dance, and the Center of Performing Arts. The assistant dean serving as the secondary staff supervisor for the College must be involved in renewing the current pools or establishing a new one. In addition, the assistant dean must approve any changes to staffing levels in the on-call pools.

**New Positions:** In rare situations, a new staff position may be requested. The chair should work closely with the assistant dean responsible for staff positions to determine the best course of action and justify the position.

## Regular Staff and Academic Staff Performance Review Procedures

Revised March 2011

**General Process.** All first-level supervisors are asked to complete an annual performance review of their employee(s) (regular and academic). The process contains three steps and covers the period April 1 to March 31. The first step asks supervisors and employees to establish clear goals and expectations while determining appropriate feedback sources. This mutual expectations checklist, alongside an updated job description, is submitted by April 1. The second step asks employees and supervisors to meet mid-year, evaluate progress and make any necessary adjustments. This second mutual expectations checklist, alongside any changes to the job description, is submitted by September 15. The final step is to determine the overall annual performance. Feedback from colleagues is discussed, overall performance recorded and the employee is given an opportunity to attach his/her comments. This final document is submitted by March 15. All documents must be sent to the second-level supervisor – either electronic copies or originals are acceptable.

If the Office of the Dean does not agree with the annual overall performance indicated by the first-level supervisor, it must meet with the supervisor and employee by May 1. The goal is to discuss documented challenges and contextualize performance from the College's point of view.

The set of three documents satisfies the university requirement for annual performance evaluation and will be submitted to Human Resources.

To access the performance documents and supporting guidelines, please see the College's web site: <http://www.scu.edu/cas/facultyandstaff/Admin-Resources.cfm>.

**Merit Raise Determination.** First-level supervisors are asked, in the final step of the evaluation process, to award a merit increase. The Office of the Dean will provide a pool of money (either percent or dollars) to the first-level supervisor for each level of performance: 1) exceeds/meets expectations and 2) did not meet expectations. The awarded amount is at the discretion of the first-level supervisor. Any money not distributed by the first-level supervisor will return to the Office of the Dean.

The Office of the Dean will retain a portion of the total pool given to the College. It will be used to assign an additional merit award to employee/employees with extraordinary performance. Extraordinary performance is defined as "significant contribution to the operation of the Department, College and/or University that is over and above what is required by the job description". Each first-level supervisor recommending an employee for extraordinary performance must record the accomplishment(s) in the final performance document. The final decisions rest with the Office of the Dean.

## College Guidelines and Policies on Dean's Grants and Start-up Funds

(Established February 6, 2002; Revised October 2006 & October 2008)

**Tenure-stream Faculty Research or Creative Activity:** The College of Arts and Sciences supports the scholarship and creative activity of our tenure-stream teaching scholars by supplementing internal and external funding with dean's grants. On an ongoing basis, the dean will accept proposals for important faculty research projects (travel for research, to present findings at a conference, etc.) that are in line with established research agendas and hold promise of eventual publication in peer-reviewed venues. The department chair and/or research committee must provide a written recommendation for each proposal. The dean may inquire as to whether appropriate departmental funding has been exhausted, and may also recommend that the proposals be sent to other internal sources of support (e.g., the provost's office, a Center of Distinction, etc.) when this seems appropriate. Within the limits imposed by budgetary constraints, tenure-stream faculty may apply for one grant per fiscal year. The limit for all tenure-track or tenured faculty for 2011-12 will not exceed \$1,500. The dean will gather the information for each grant request during the month and then respond to applicants at the end of each month. Requests are made directly to the dean or the senior assistant dean and the amount awarded depends on the availability of resources.

**Non-tenure-stream Faculty and Staff Professional Development:** The dean occasionally provides travel support for Senior Lecturers, academic staff, and regular staff to attend professional conferences and meetings. The department chair and/or research committee must provide a written recommendation for each proposal. The dean may inquire as to whether appropriate departmental funding has been exhausted, and may also recommend that the proposals be sent to other internal sources of support (e.g., the provost, a Center of Distinction, etc.) when this seems appropriate. Within the limits imposed by budgetary constraints, at most, one grant of up to \$1,000 is allowed per fiscal year for each faculty member. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Faculty Professional Development:** Newly hired assistant, associate, and full professors normally will receive \$5,000 in professional development funds at the beginning of their appointment. For untenured faculty, the funds are available only during the probationary years. For newly hired faculty with tenure, the funds must be spent within five years. Professional development funds will not be made available until the faculty member begins his or her appointment (typically September 1).

**Lecturers (renewable and fixed-term):** Lecturers and fixed-term Adjunct Lecturers are eligible to *apply* for professional development funds from the Office of the Dean. Grants of \$250 are typically available for fixed-term Adjunct Lecturers and \$500 for Lecturers. Only one grant is allowed per year of employment and all requests must be made before June 20. Each grant must be spent in the fiscal year awarded, i.e., before June 30. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Start-Up Funds for Equipment and Supplies:** New faculty can negotiate for start-up funds at the time of their offer of employment. A detailed list of anticipated expenses will be required to determine the appropriate level of funding. Start-up funds are typically used to purchase specialized equipment and supplies or to support minor construction of studio or lab space as might be required in the sciences or the arts. Start-up funds have ranged from \$0 - \$75,000 over the years. Start-up funds must be spent during the probationary years. Start-up funds will not be made available until the faculty member begins his or her appointment (typically September 1).

**Office Computer and Furniture:** For tenured or tenure-track faculty, the College will typically provide an office and furniture (not necessarily new items). New faculty are expected to use their professional development money for a new computer if the department does not have one to offer. Departments may pay for computers for new faculty. The Office of the Dean will not pay for computers for faculty.

**Department Chair Support:** The dean recognizes the importance of providing support for department chairs to assist chairs in maintaining a productive scholarly agenda. Dean's grants are available for student research assistants or other support. Grants are typically range from \$1000 to \$5000. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Technology Resources:** The College has resources available for technology upgrades, repair, and other needs not typically eligible under University technology grants. Grants vary in amount. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Program Review and Improvement:** The dean, in collaboration with the senior vice provost, provides \$6,500 for the formal external review process. Reviewers are paid \$1000 per day for up to two days (total of \$4,000). The remaining \$2,500 is allocated for travel, hotel, meals, and other expenses related to the reviewers visit. Allocations are processed annually by the Office of the Dean. Any questions can be referred to the senior assistant dean.

**Undergraduate Research:** The dean recognizes the importance of providing support for undergraduate research. The dean provides support for undergraduate research, primarily for student wages, with grants of up to \$5,000. If sufficient resources are available, the dean also provides travel support of up to \$750 for students presenting at national and international academic conferences or meetings. Students must either co-present with campus faculty mentor/sponsor, or be nominated by SCU faculty, or be the successful choice after a competitive academic process. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Academic Excellence:** The dean provides opportunities for faculty and staff to contribute to programs and initiatives that are a priority of the College including Inclusive Excellence, Campus Sustainability, and Undergraduate Research. The dean may provide support in the form of a grant, the allocation of other resources such as faculty release time or staff support, or a combination or a grant and other resources. In addition, the dean encourages the strategic development of distinctive programs and initiatives that will enhance and strengthen academic excellence. Recent examples include support for the California Studies Initiative, the formal development of a University Writing Program, new courses in Arabic and Middle Eastern studies, and a review of archaeology laboratories across the country to enhance and better integrate archaeology into the undergraduate experience. Support has ranged from \$1,000 to over \$50,000. Furthermore, the dean provides small grants up to \$10,000 for activities related to program review and improvement. Grants have included travel support for faculty to visit other institutions, travel support for faculty to attend conferences or workshops, and support for on-campus workshops or consultants. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

## **Dean's Grant and Award Conditions** (Established Spring 2004)

Some latitude in carrying out your project is reasonable and expected. Any substantial deviation from the project as described in your proposal, however, must be approved in advance by the dean.

**Your department is responsible for any overdraft or other financial risk associated with this grant.**

**Equipment and software purchased with grant funds remain the property of the University.** When books are purchased with grant funds, they should ordinarily be ordered through the appropriate University library for the permanent collection. All purchases and reimbursements for expenditures must be made in accordance with University policy and procedures.

**Any funds unspent by the expiration date will be returned automatically to the College unless the dean has granted an extension.**

Any publication resulting from your project should acknowledge the grant by name and state that it was awarded by the College of Arts and Sciences at Santa Clara University.

If your grant is for a research project, you are strongly encouraged to work with the Sponsored Projects Office to develop a plan for obtaining future external funding for your research.

Research that entails the use of human subjects, laboratory animals, radiological hazards, biohazards, or recombinant DNA must comply with University policies and external requirements. Please consult the Faculty Handbook sections 3.7.7-3.7.10 for information on policies involving Human Subjects, Biosafety, and Animal Care and Use.

Within one month of completing your project you should submit a brief report to your chair and dean. This report should summarize your findings, cite any publications or other products of your work, and indicate the value of the grant to your research and teaching.

Except in unusual circumstances, you will not be eligible for another dean's grant until you have completed this one and submitted a final report.

Consistent failure by the grant recipient to manage grant finances within these criteria or within budget could result in the suspension of grant privileges by the dean.

Questions about these guidelines should be directed to the senior assistant dean at extension 4455.

## College Procedures for Dean’s Grants, Start-up Awards, and Professional Development Grants

(based on the University internal grants procedures)  
(Revised October 2006)

### Grants and Awards

**Dean’s Grant** requests should be submitted directly to the senior assistant dean. Please see the Guidelines and Policies on Dean’s Grants and Start Up on page 95.

**Professional Development Grants.** Please see the Guidelines and Policies on Dean’s Grants and Start Up on page 95. As noted there, newly hired assistant, associate, and full professors will receive \$5,000 in professional development funds. For untenured faculty, the funds are available only during the probationary years. For newly hired faculty with tenure, the funds must be spent within five years.

Lecturers and adjunct faculty are eligible to apply for professional development funds from the Office of the Dean. Grants of \$250 are typically available fixed-term Adjunct Lecturers, while Lecturers are eligible for \$500 per year. Only one grant is allowed per year of employment. Each grant must be spent in the fiscal year awarded. Requests can be submitted directly to the senior assistant dean.

### Process

Faculty Member	Submits the request to senior assistant dean.
Senior assistant dean	Reviews grant proposals and approves or disapproves funding. Consults dean as needed.
Senior assistant dean or assistant dean	For approved grants, the Office of the Dean sends notification to faculty and requests completion of <b>Proposed Budget</b> form.
Senior assistant dean or assistant dean	<p>Determines Accounting Distribution String for each grant recipient.</p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p style="text-align: center;"><b>FUND – DEPT – PROGRAM – ACTIVITY- CLASS-PROJECT ID</b></p> </div> <p><b>FUND:</b> Use grant fund number associated with the source fund  <b>DEPT:</b> Academic Department of the grant recipient  <b>PROGRAM:</b> RSCH  <b>ACTIVITY:</b> leave this field blank  <b>CLASS:</b> leave this field blank  <b>PROJECT ID:</b> use next in series</p>

Senior assistant dean or assistant dean	Completes the <b>Dean’s Grant Notice</b> for each grant recipient. <table border="1" data-bbox="464 294 1349 1333"> <tr> <td data-bbox="464 294 786 342">Date</td> <td data-bbox="792 294 1349 342">Date form is completed.</td> </tr> <tr> <td data-bbox="464 342 786 390">Full Name/First Name</td> <td data-bbox="792 342 1349 390">Full name/First Name of grant recipient.</td> </tr> <tr> <td data-bbox="464 390 786 438">Department</td> <td data-bbox="792 390 1349 438">Grant Recipient’s principal department.</td> </tr> <tr> <td data-bbox="464 438 786 487">Grant Name</td> <td data-bbox="792 438 1349 487">e.g. International Travel Grant</td> </tr> <tr> <td data-bbox="464 487 786 558">Amount</td> <td data-bbox="792 487 1349 558">This is the total amount authorized by the associate dean for this grant proposal.</td> </tr> <tr> <td data-bbox="464 558 786 627">Project Title</td> <td data-bbox="792 558 1349 627">Please refer to the grant proposal for the project title.</td> </tr> <tr> <td data-bbox="464 627 786 676">Distribution String</td> <td data-bbox="792 627 1349 676">See instructions above.</td> </tr> <tr> <td data-bbox="464 676 786 774">Prime Account and Amount</td> <td data-bbox="792 676 1349 774">Please refer to the completed <b>Proposed Budget</b> form, or consult senior assistant dean in the case of partial funding.</td> </tr> <tr> <td data-bbox="464 774 786 846">Senior assistant dean/extension</td> <td data-bbox="792 774 1349 846">Your name and extension.</td> </tr> <tr> <td data-bbox="464 846 786 915">Expiration Date</td> <td data-bbox="792 846 1349 915">This is the last day of the fiscal year in which the project is due to be completed.</td> </tr> <tr> <td data-bbox="464 915 786 963">Senior assistant dean</td> <td data-bbox="792 915 1349 963">Person who authorizes this grant.</td> </tr> <tr> <td data-bbox="464 963 786 1035">Dept. chair and Admin. Assistant</td> <td data-bbox="792 963 1349 1035">Dept. chair and Administrative Assistant of the Grant Recipient.</td> </tr> <tr> <td data-bbox="464 1035 786 1131">Source Fund Accounting Distribution String <i>(under Office Use Only)</i></td> <td data-bbox="792 1035 1349 1131">Fill in the Source Fund Accounting Distribution String which is linked to this grant fund.</td> </tr> <tr> <td data-bbox="464 1131 786 1333">Project Description <i>(under Office Use Only)</i></td> <td data-bbox="792 1131 1349 1333">Fill in the first initial and last name of the grant recipient in uppercase letters followed by any key words in the proposal in lowercase letters. Note: This cannot exceed 30 characters. Example: JSMITHforensiccomputing</td> </tr> </table>	Date	Date form is completed.	Full Name/First Name	Full name/First Name of grant recipient.	Department	Grant Recipient’s principal department.	Grant Name	e.g. International Travel Grant	Amount	This is the total amount authorized by the associate dean for this grant proposal.	Project Title	Please refer to the grant proposal for the project title.	Distribution String	See instructions above.	Prime Account and Amount	Please refer to the completed <b>Proposed Budget</b> form, or consult senior assistant dean in the case of partial funding.	Senior assistant dean/extension	Your name and extension.	Expiration Date	This is the last day of the fiscal year in which the project is due to be completed.	Senior assistant dean	Person who authorizes this grant.	Dept. chair and Admin. Assistant	Dept. chair and Administrative Assistant of the Grant Recipient.	Source Fund Accounting Distribution String <i>(under Office Use Only)</i>	Fill in the Source Fund Accounting Distribution String which is linked to this grant fund.	Project Description <i>(under Office Use Only)</i>	Fill in the first initial and last name of the grant recipient in uppercase letters followed by any key words in the proposal in lowercase letters. Note: This cannot exceed 30 characters. Example: JSMITHforensiccomputing
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Assistant dean	Sends 1) <b>Dean’s Grant Notice</b> and 2) <b>Grant Conditions</b> form to Grant Recipient. Sends copy of <b>Dean’s Grant Notice</b> chair, Administrative Assistant and University Finance Office.																												
University Finance Office	Sets up project ID and combination rule, completes cash transfer, and establishes budget.																												
Recipient	Completes all expenditure forms, with department AA assistance, if appropriate.																												
Office of the Dean	Runs Project Summary Report and sends a copy to each Grant Recipient twice a year.																												
Office of the Dean	Sends e-mail notification in May to faculty with expiring grants. If there is a positive balance remaining, and faculty member has additional expenditures for this grant, then he/she may request a grant extension from the senior assistant dean.																												
Recipient	Grant Recipient may make a request to extend expiration date.																												

Senior assistant dean or assistant dean	Notifies faculty member whether the grant will be extended.
Senior assistant dean or assistant dean	If grant will be extended, senior assistant dean or assistant dean notifies University Finance Office via e-mail of the faculty member's name, the Project ID#, and the new Expiration Date.
Senior assistant dean or assistant dean	Reconciles year-end surplus/deficit for expiring grants. In the case of a surplus, submits a <b>Cash Transfer</b> form to return unused funds to the source fund. In the case of a deficit, submits an <b>Expense Transfer</b> form to correct deficit balance. Determines total available in grant fund for new fiscal year. Reconciles list of Project ID's.

**Instructions regarding overdrafts:**

A member of the University Finance Office will contact the senior assistant dean when a Grant Recipient has incurred an overdraft. When this occurs, the senior assistant dean takes the following steps:

- 1) Sends an e-mail to alert the Grant Recipient that an overdraft has occurred and asks if there is an alternate funding source. The Grant Recipient is asked to respond within two weeks. Copy member of the University Finance Office.
- 2) If there is no response from the Grant Recipient after two weeks, the senior assistant dean sends a second e-mail to remind the Grant Recipient that if an alternate source of funding is not available, the Grant Recipient's department or school will be charged for the overdraft. The Grant Recipient will be given another week to provide the account number before the department or school is charged. Copy member of UFO, senior assistant dean, and department chair.
- 3) The University Finance Office charges the overdraft to the appropriate distribution string (Grant Recipient's department or alternate funding source).

## College Policies and Procedures for Faculty and Academic Staff Search Expenses

(Established September 2004; Revised October 2006)

### Search Funds

The College requires departments to conduct fair and complete search processes for all faculty and academic staff positions. The College grants department chairs funds to conduct authorized searches according to the following scheme:

<u>Type of Search</u>	<u>Award</u>
Tenure-stream	\$8,000
Lecturer (renewable)	\$5,000
Fixed-term Lecturer (multiyear)	\$1,500
Fixed-term Lecturer (one year)	\$750
Quarterly Adjunct Lecturers	\$200 (more if over 10)
Academic Staff	\$3,000

### Process

Senior assistant dean or assistant dean	<p>Determines Accounting Distribution String</p> <p style="text-align: center;"><b>FUND – DEPT – PROGRAM – ACTIVITY- CLASS-PROJECT ID</b></p> <p><b>ACCOUNT: RECRUT</b>  <b>FUND:</b> Use grant fund number associated with the source fund  <b>DEPT:</b> Academic Department of the grant recipient  <b>PROGRAM:</b> RSCH  <b>ACTIVITY:</b> leave this field blank  <b>CLASS:</b> leave this field blank  <b>PROJECT ID:</b> use next in series</p>																		
Senior assistant dean or assistant dean	<p>Completes the <b>Search Funds Notice</b> for each grant recipient.</p> <table border="1" style="width: 100%;"> <tr> <td>Date</td> <td>Date form is completed.</td> </tr> <tr> <td>Chair’s Name</td> <td>Full name/First Name of department chair.</td> </tr> <tr> <td>Department</td> <td>Department or program conducting the search.</td> </tr> <tr> <td>Grant Name</td> <td>Search Funds</td> </tr> <tr> <td>Amount</td> <td>This is the total amount authorized.</td> </tr> <tr> <td>Distribution String</td> <td>See instructions above.</td> </tr> <tr> <td>Senior assistant dean/extension</td> <td>Your name and extension.</td> </tr> <tr> <td>Expiration Date</td> <td>This is the last day of the fiscal year in which the search is due to be completed.</td> </tr> <tr> <td>Senior assistant dean</td> <td>Person who authorizes this grant.</td> </tr> </table>	Date	Date form is completed.	Chair’s Name	Full name/First Name of department chair.	Department	Department or program conducting the search.	Grant Name	Search Funds	Amount	This is the total amount authorized.	Distribution String	See instructions above.	Senior assistant dean/extension	Your name and extension.	Expiration Date	This is the last day of the fiscal year in which the search is due to be completed.	Senior assistant dean	Person who authorizes this grant.
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Senior assistant dean	Person who authorizes this grant.																		

	Source Fund Accounting Distribution String <i>(under Office Use Only)</i>	Fill in the Source Fund Accounting Distribution String
	Project Description <i>(under Office Use Only)</i>	Search description
Senior assistant dean or assistant dean	Sends <b>Search Fund Notice</b> with copies to department Administrative Assistant and University Finance Office.	
University Finance Office	Sets up project ID and combination rule, completes cash transfer, and establishes budget.	
Chair	Completes all expenditure forms, with department AA assistance, if appropriate.	
Office of the Dean	Runs Project Summary Report and sends a copy to each Grant Recipient twice a year.	
Chair	Chair may make a request to extend expiration date.	
Senior assistant dean or assistant dean	Notifies chair whether the search funds will be extended.	
Senior assistant dean or assistant dean	If grant will be extended, senior assistant dean or assistant dean notifies University Finance Office via e-mail of the faculty member's name, the Project ID#, and the new Expiration Date.	
Senior assistant dean or assistant dean	Reconciles year-end surplus/deficit for expiring grants. In the case of a surplus, submits a <b>Cash Transfer</b> form to return unused funds to the source fund. In the case of a deficit, submits an <b>Expense Transfer</b> form to correct deficit balance. Determines total available in grant fund for new fiscal year. Reconciles list of Project ID's.	

**Instructions regarding overdrafts:**

A member of the University Finance Office will contact the senior assistant dean when a Grant Recipient has incurred an overdraft. When this occurs, the senior assistant dean takes the following steps:

- 1) Sends an e-mail to alert the Grant Recipient that an overdraft has occurred and asks if there is an alternate funding source. The Grant Recipient is asked to respond within two weeks. Copy member of the University Finance Office.
- 2) If there is no response from the Grant Recipient after two weeks, the senior assistant dean sends a second e-mail to remind the Grant Recipient that if an alternate source of funding is not available, the Grant Recipient's department will be charged for the overdraft. The Grant Recipient will be given another week to provide the account number before the department or school is charged. Copy member of UFO, senior assistant dean, and department chair.
- 3) The University Finance Office charges the overdraft to the appropriate distribution string (Grant Recipient's department or alternate funding source).

## College Policies and Procedures for Program Review and Improvement Grants

(Established September 2004 and October 2008)

### Program Review and Improvement Grants

The College requires departments and programs to participate in on-going program review and improvement efforts. The College awards small grants up to \$10,000 for activities related to program review and improvement both during the self-study and external review year and at other times. Grants have included travel support for faculty to visit other institutions, travel support for faculty to attend conferences or workshops, and support for on-campus workshops or consultants. The College also provides support for the self-study process and for the external review. The dean, in collaboration with the senior vice provost, provides \$6,500 for the formal external review process. Reviewers are paid \$1000 per day for up to two days (total of \$4,000). The remaining \$2,500 is allocated for travel, hotel, meals, and other expenses related to the reviewers visit. Requests are made either with the self-study plan or directly to the senior assistant dean.

### Process

Senior assistant dean or assistant dean	<p>Determines Accounting Distribution String for each grant recipient</p> <p style="text-align: center;"><b>FUND – DEPT – PROGRAM – ACTIVITY- CLASS-PROJECT ID</b></p> <p><b>FUND:</b> Use grant fund number associated with the source fund  <b>DEPT:</b> Academic Department of the grant recipient  <b>PROGRAM:</b> RSCH  <b>ACTIVITY:</b> leave this field blank  <b>CLASS:</b> leave this field blank  <b>PROJECT ID:</b> use next in series</p>																						
Senior assistant dean or assistant dean	<p>Completes the <b>Program Review Grant Notice</b> for each grant recipient.</p> <table border="1" style="width: 100%;"> <tr> <td>Date</td> <td>Date form is completed.</td> </tr> <tr> <td>Chair’s Name</td> <td>Full name/First Name of department chair. (or other faculty member in the department)</td> </tr> <tr> <td>Department</td> <td>Department or program conducting the search.</td> </tr> <tr> <td>Grant Name</td> <td>Program Review and Improvement</td> </tr> <tr> <td>Amount</td> <td>This is the total amount authorized.</td> </tr> <tr> <td>Distribution String</td> <td>See instructions above.</td> </tr> <tr> <td>Senior assistant dean/extension</td> <td>Your name and extension.</td> </tr> <tr> <td>Expiration Date</td> <td>This is the last day of the fiscal year in which the search is due to be completed.</td> </tr> <tr> <td>Senior assistant dean</td> <td>Person who authorizes this grant.</td> </tr> <tr> <td>Source Fund Accounting Distribution String <i>(under Office Use Only)</i></td> <td>Fill in the Source Fund Accounting Distribution String</td> </tr> <tr> <td>Project Description</td> <td>Program review and improvement project</td> </tr> </table>	Date	Date form is completed.	Chair’s Name	Full name/First Name of department chair. (or other faculty member in the department)	Department	Department or program conducting the search.	Grant Name	Program Review and Improvement	Amount	This is the total amount authorized.	Distribution String	See instructions above.	Senior assistant dean/extension	Your name and extension.	Expiration Date	This is the last day of the fiscal year in which the search is due to be completed.	Senior assistant dean	Person who authorizes this grant.	Source Fund Accounting Distribution String <i>(under Office Use Only)</i>	Fill in the Source Fund Accounting Distribution String	Project Description	Program review and improvement project
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Source Fund Accounting Distribution String <i>(under Office Use Only)</i>	Fill in the Source Fund Accounting Distribution String																						
Project Description	Program review and improvement project																						

	<i>(under Office Use Only)</i>	
Senior assistant dean or assistant dean	Sends <b>Program Review Grant Notice</b> with copies to department Administrative Assistant and University Finance Office.	
University Finance Office	Sets up project ID and combination rule, completes cash transfer, and establishes budget.	
Chair or faculty member	Completes all expenditure forms, with department AA assistance, if appropriate.	
Office of the Dean	Sends e-mail notification in May to faculty with expiring grants. If there is a positive balance remaining, and faculty member has additional expenditures for this grant, then he/she may request a grant extension from the senior assistant dean.	
Chair or Faculty member	Chair or faculty member may make a request to extend expiration date.	
Senior assistant dean or assistant dean	Notifies chair or faculty member whether the grant will be extended.	
Senior assistant dean or assistant dean	If grant will be extended, senior assistant dean or assistant dean notifies University Finance Office via e-mail of the faculty member's name, the Project ID#, and the new Expiration Date.	
Senior assistant dean or assistant dean	Reconciles year-end surplus/deficit for expiring grants. In the case of a surplus, submits a <b>Cash Transfer</b> form to return unused funds to the source fund. In the case of a deficit, submits an <b>Expense Transfer</b> form to correct deficit balance. Determines total available in grant fund for new fiscal year. Reconciles list of Project ID's.	

**Instructions regarding overdrafts:**

A member of the University Finance Office will contact the senior assistant dean when a Grant Recipient has incurred an overdraft. When this occurs, the senior assistant dean takes the following steps:

- 1) Sends an e-mail to alert the Grant Recipient that an overdraft has occurred and asks if there is an alternate funding source. The Grant Recipient is asked to respond within two weeks. Copy member of the University Finance Office.
- 2) If there is no response from the Grant Recipient after two weeks, the senior assistant dean sends a second e-mail to remind the Grant Recipient that if an alternate source of funding is not available, the Grant Recipient's department or school will be charged for the overdraft. The Grant Recipient will be given another week to provide the account number before the department or school is charged. Copy member of UFO, senior assistant dean, and department chair.
- 3) The University Finance Office charges the overdraft to the appropriate distribution string (Grant Recipient's department or alternate funding source).

## College Policies and Procedures for Faculty Relocation

(Established September 2004; Revised 2006 and & 2008)

### Relocation Grants

**Relocation expenses will be reimbursed in accordance with University Relocation Guidelines. Under those University guidelines, all tenured and tenure-track faculty are eligible for relocation assistance. Senior Lecturers, term faculty and faculty on special appointments may be eligible with the approval of the dean and provost.**

The University Guidelines state that in order to qualify for reimbursement of relocation expenses, the following conditions must be met:

- The moving expenses must be incurred within one year of the starting date of the employee's appointment.
- The distance from the employee's new home to the University must not be greater than the distance from the employee's former home to the University.
- The University must be at least 50 miles farther from the employee's former home than the employee's old job location was from the employee's former home.

### *Qualified Relocation Expenses (University Guidelines)*

Reimbursements for relocation expenses are limited to:

- Reasonable expenses related to moving the employee's household goods and personal effects, including in-transit or foreign-move storage expenses
- One-way travel expenses from the employee's former home to the employee's new home for the employee and immediate family members by the most direct route. Qualified travel expenses include transportation expenses, lodging, parking fees, and tolls. If traveling by personal vehicle, reimbursement may be submitted either for actual expenses (e.g., gas and oil for the car used) or the pre-established Internal Revenue Service mileage rate for relocation. Lodging generally is limited to a single day in one location.

To provide greater flexibility and timeliness for the employee, reimbursements may be paid directly to the employee, to any moving company, or to both.

### *Amount of Relocation Assistance*

**The amount of relocation assistance provided to a newly hired faculty or staff member must be authorized by the president, provost, or appropriate vice president.** The College will reimburse newly hired assistant professors up to \$4,000 for qualified moving expenses upon negotiation with the dean and with the approval of the provost at the time of employment offer. Newly hired associate and full professors will be reimbursed at least up to \$4,000 for qualified moving expenses with additional amounts reimbursed upon negotiation with the dean and with the approval of the provost at the time of the employment offer. With the approval of the dean and provost, Lecturers and fixed-term faculty *may* be reimbursed for qualified moving expenses up to \$4,000 *upon negotiation* at the time of the employment offer.

Relocation reimbursements will not be made until the faculty member begins his or her appointment (typically September 1). The University guidelines require that reimbursement claims must be submitted within one year of the starting date of the employee's appointment (typically September 1.) Advances are not available.

***Repayment of Relocation Assistance***

The University Guidelines state that if an employee who has received relocation assistance does not continue employment with the University for a period of two years, the employee may be required to repay the amount received as relocation assistance. The amount of the repayment owed to the University will be prorated based on the number of months of employment.

Qualified moving expenses will not be included in salary and, therefore, will not be deductible based on IRS rules. Expenses beyond the dollar limit defined by the College and not reimbursed could possibly be deductible. Staff in Accounts Payable of the University Finance Office [(408) 554-5497] can assist employees by clarifying and interpreting procedures for reimbursing relocation expenses. For information about potential tax implications related to relocation expenses and reimbursements, employees should contact the Internal Revenue Service [(800) 829-1040 or [www.irs.gov](http://www.irs.gov)] and their personal tax advisor.

**Process**

***Approval and Payment Procedures***

The approved amount of relocation assistance is included in the candidate’s offer letter, letter of appointment, or other relevant document. The Office of the Dean will then issue a dean’s grant in the amount of the relocation assistance. No relocation reimbursement may be issued before the appointment begins, typically September 1. No advances are available for relocation expenditures. It is possible to hire a moving contractor through the university. That contractor will bill SCU directly and that amount will be deducted from the candidate’s relocation allowance.

The responsible hiring department must submit the relocation reimbursement request and invoices from authorized moving companies to the University’s Accounts Payable office using a quick voucher payment. Supporting documentation must include a copy of the candidate’s original offer or appointment letter and copies of receipts for qualified relocation expenses. A signed, approved Business Expense Report is required for reimbursement of travel expenses. All expenses must be submitted within one year of the starting date of the employee’s appointment (for most faculty, September 1.)

Senior assistant dean or assistant dean	Determines Accounting Distribution String for each grant recipient  <div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>FUND – DEPT – PROGRAM – ACTIVITY- CLASS-PROJECT ID</b> </div> <p> <b>FUND:</b> Use grant fund number associated with the source fund  <b>DEPT:</b> Academic Department of the grant recipient  <b>PROGRAM:</b> RSCH  <b>ACTIVITY:</b> leave this field blank  <b>CLASS:</b> leave this field blank  <b>PROJECT ID:</b> use next in series                 </p>						
Senior assistant dean or assistant dean	Completes the <b>Relocation Grant Notice</b> for each grant recipient. <table border="1" style="margin-left: 20px;"> <tr> <td data-bbox="467 1738 786 1787">Date</td> <td data-bbox="792 1738 1349 1787">Date form is completed.</td> </tr> <tr> <td data-bbox="467 1791 786 1856">Chair’s Name</td> <td data-bbox="792 1791 1349 1856">Full name/First Name of department chair. (or other faculty member in the department)</td> </tr> <tr> <td data-bbox="467 1860 786 1921">Department</td> <td data-bbox="792 1860 1349 1921">Department or program conducting the search.</td> </tr> </table>	Date	Date form is completed.	Chair’s Name	Full name/First Name of department chair. (or other faculty member in the department)	Department	Department or program conducting the search.
Date	Date form is completed.						
Chair’s Name	Full name/First Name of department chair. (or other faculty member in the department)						
Department	Department or program conducting the search.						

	Grant Name	Relocation
	Amount	This is the total amount authorized.
	Distribution String	See instructions above.
	Senior assistant dean/extension	Your name and extension.
	Expiration Date	This is the one year from the first date of the new employee's appointment.
	Senior assistant dean	Person who authorizes this grant.
	Source Fund Accounting Distribution String <i>(under Office Use Only)</i>	Fill in the Source Fund Accounting Distribution String
	Project Description <i>(under Office Use Only)</i>	Program review and improvement project
Senior assistant dean or assistant dean	Sends <b>Relocation Grant Notice</b> with copies to department Administrative Assistant and University Finance Office.	
University Finance Office	Sets up project ID and combination rule, completes cash transfer, and establishes budget.	
Chair or faculty member	Completes all expenditure forms, with department AA assistance, if appropriate.	
Office of the Dean	Sends e-mail notification in May to faculty with expiring grants	
Senior assistant dean or assistant dean	Reconciles year-end surplus/deficit for expiring grants. In the case of a surplus, submits a <b>Cash Transfer</b> form to return unused funds to the source fund. In the case of a deficit, submits an <b>Expense Transfer</b> form to correct deficit balance. Determines total available in grant fund for new fiscal year. Reconciles list of Project ID's.	

**Instructions regarding overdrafts:**

Overdrafts will be the responsibility of the candidate. Departments may not supplement the relocation assistance provided by the dean or provost.

## Departmental Operating Budgets

Operating budgets allocated to each department support the basic functions of the department (phone, letterhead, postage, copy costs, etc.), nourish its intellectual life (guest speakers, undergraduate research, etc.), and support the professional development of the faculty and staff (e.g. travel to academic meetings to present one's research, workshops for staff on computer skills).

The following is the internal reallocation formula used by the Office of the Dean to reallocate discretionary budgets within the college, effective fiscal year 2011.

- A certain amount per the number of tenured and tenure-track faculty; a lower amount per Senior Lecturer, lab instructors, Lecturers, adjunct faculty, and academic staff
- \$2,000 for continuing program assessment and improvement activities
- Resource factors were added as follows:
  - \$500 for each summer class offered
  - A summer lab fee allocation based on enrollment in late May
  - Over 200 majors
  - Over 300 majors
  - Over 100 majors
  - Over 100 minors
  - Adjunct Lecturer dependence (2-4 lecturers)
  - Chronic adjunct lecturer dependence (5-9 lecturers)
  - Extreme adjunct lecturer dependence (over 10)
  - 12,000 units or over 100 section target
  - Between 5-14 QALs
  - Over 15 QALs
  - Single adjunct lecturer
- Maximum decrease of no more than 10% as part of the initial reallocation.

Program, Institute, and Center budgets were based on several resource factors including number of faculty, associated degree (minor or major), "stand-alone" office support, and specific programmatic needs.

## **Determining Budget Returns and Summer Rebates (Revised 12/2010)**

### **Changes to the Summer Funded Return and Rebate Programs as a Result of the University's July 1, 2010 Implementation of the Consolidated Operating Budget (COB)**

#### Introduction:

For over 15 years, the College has transferred money into (or out of) each departmental "Excellence Fund" as part of two College incentive programs. One was to return to the department an amount equal to the year-end unspent balance in the department's operating budget. The other was to rebate a portion of the summer program tuition revenue. These two incentive programs (Return & Rebate programs) were meant to encourage good stewardship of departmental resources and solid participation in the summer program. The rebate was also intended to cover "actual" expenses incurred by departments (i.e., lab expenditures, copies, phone charges). This avoided the departments needing to track copies, phone calls, and lab purchases separately for summer. The funds for these programs did not come from university-allocated operating budgets, but from the proceeds of the Undergraduate Summer Program.

When the implemented the University-wide Consolidated Operating Budget was implemented in July 2010, these programs needed to be re-evaluated. Structurally, the COB has changed several things:

- Departmental excellence funds that carry over fiscal years have been eliminated
- Each department still has a gift fund. While the excellence funds were deposited into the gift funds on a one-time basis, the only way to increase the gift funds is to solicit donation.
- Reserves (the equivalent of the excellence funds) are only allowed at the School or College level (COB guidelines, p. 3)
- The College specifically is charged to use the funding in its reserves to strategically support the equipment and professional development needs of the College. (COB guidelines, p. 2.1.A)
- Many of the things that departments used to purchase with excellence funds large pieces of equipment or modifications to offices or labs now can only be funded by the University rather than the College or department. (COB guidelines, p. 15. J).
- The College no longer shares in the revenues of the Undergraduate Summer Program.
- The College is responsible for allocating resources to maintain existing equipment.

#### Part A: Operating Return:

- 1) We will continue the "Return" program where we return surpluses (less than \$500 zone of indifference) up to a maximum of \$3000. Those funds will automatically be put into the College's reserve. For FY12 going forward, the College will keep track of the department's surplus and will place that amount into a Departmental dean's grant (which will have a maximum balance at any time of \$10,000). Each department will be limited to one grant.
- 2) The grant may be used by the department for travel, professional development, curricular or co-curricular activities that would benefit the students, or faculty of the department.
- 3) As is the case now, we do not rebate surpluses in the "lab or production" part of budgets because we expect those funds to be spent on our students. As is the case now, if a department has an operating budget surplus of over \$3,000, that amount is forfeited. Multiple years of large surpluses- absent special circumstances- could well indicate the need to adjust the department budget.

Part B. Summer Rebate Plan for proceeds from Summer 2010. (One time only plan)<sup>5</sup>Part C. Summer Rebate Plan for Summer 2011 (FY12 and going forward)

- 1) The College will add to the department's operational fund the amount of \$500 per course based on the May listing of summer courses. (approximately \$70,000)
- 2) The College will transfer lab fees to the operating budgets of departments that offer lab courses. The lab fees will be the amounts last charged in summer 2005 plus 10%. (ARTS studio courses-\$55, ANTH lab courses-\$30 per person, BIOL lab courses-\$85 per person, CHEM lab courses- \$85 per person, PHYS lab courses- \$30 per person, ENVS lab courses- \$85 per person, THTR- \$30 per person). Those funds will be transferred to the departmental operating budget since that is the source from which the actual lab expenses will be paid (be they student wages, expendables, etc). The students will be counted in May before the summer program begins. (approximately \$50,000)

Note: As a result of these changes, in FY12, the College was able to provide the first-year funding for the multi-year equipment plans submitted by the departments in November 2010 (\$170,000)

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<sup>5</sup> Departments had the choice of the following options: Option 1:100% of the summer rebate to the department for summer 2010 will be put into the departmental FY11 (current) General and Education fund 11001. That fund does not carry over. Surpluses revert to the College's general reserve fund on June 30, 2010. (COB p. 3) OR Option 2: The first \$3,000 of the summer rebate for summer 2010 will be put into a dean's grant for the department that can be used for travel or professional development for faculty, staff or student research activities. This dean's grant is the same dean's grant described in Part A and has a maximum balance of \$10,000. The remaining summer rebate will be put into the College reserves (Natural sciences equipment, TV studio equipment, CPA, or General College).

## Guest Speakers / Honorarium Procedures

(Established Spring 2006)

The University has greatly simplified procedures for paying individuals for *one-time events/activities*. The professional services form is no longer required. The "speaker/honorarium approval form" is now all that is required by accounts payable (*note: no signature is required from the individual receiving payment*); the form is available on the SCU finance office website:

<http://www.scu.edu/finance/forms/index.cfm>). As long as the person has a social security number and an address in the United States, the basic process is to complete the approval form and a quick voucher and deliver those materials to the Office of the Dean. An associate dean or the senior assistant dean will approve the expense (or not) and forward the documents to accounts payable. This process can proceed *before or after* the event as long as the person uses an address in the U.S. and has a social security number.

If the person has a non-U.S. address, there are two additional forms (IRS 8233 and W-8; available on the SCU finance office website) required and those forms should accompany the approval form and quick voucher to the Office of the Dean *before* the event occurs. If the person does not have a social security number, then he/she may not be eligible to work in the U.S. and we may not be legally able pay him/her. In that case, please contact the senior assistant dean to determine how to proceed *at least two months before* the event.

## **Current Faculty or Staff Members Payment Procedures**

(Established Spring 2006)

If a current SCU employee (faculty or staff) is being considered to receive a payment for an additional service or activity, then payment must be made through a payroll action request (PAR) prepared by the Office of the Dean. Such a payment CANNOT go through Accounts Payable.

For such payments, please email the Office of the Dean (typically the office manager) details including the employee's name, SCU ID number, reason for payment, amount of payment, and fund distribution for consideration **before** the person starts the assignment or activity. Keep in mind, all such payments are considered supplemental pay and are taxed at the supplemental pay rate (approximately 40%). PARs are submitted by the Office of the Dean on the 1<sup>st</sup> and 15<sup>th</sup> of each month. The PAR due on the 1<sup>st</sup> results in payment on the 22<sup>nd</sup> and the PAR due on the 15<sup>th</sup> results in payment on the 7<sup>th</sup> of the next month. All payments to current employees will be reviewed by an associate dean or the senior assistant dean before the payment is processed.

## **Independent Contractors Procedures** (Established Spring 2006)

As currently defined by IRS codes, these relationships should involve contracting a person for a specific project in a defined timeframe with an agreed upon product. If a person works frequently with a department or program and is not incorporated as a business (does not invoice the University for a service as a business), then please complete in independent contractor request form (available at <http://www.scu.edu/finance/forms/index.cfm>) and discuss the materials with the senior assistant dean ***before*** agreeing to any sort of arrangement.

## **Signature Policy for Reimbursements**

(Established Spring 2006)

In a department or program, any reimbursement to faculty and staff (any instance where quick voucher will be made for payment to a faculty or staff member) needs to be approved in some way by the department chair (supervisor of the faculty and staff of the unit). The approval process can be 1) signature of business expense form; 2) signature on the quick voucher approval; or 3) signature on a receipt or departmental form. Similarly, reimbursements to department chairs must be signed by the dean (supervisor of the chair) or a designated associate dean or the senior assistant dean.

## College Guidelines and Policies on Fundraising

(Established September 2011 based on University guidelines and procedures)

**All Departments, Faculty, Staff, and Consortia:** The College of Arts and Sciences supports external fundraising for faculty projects, programs within departments, and larger College initiatives which respond to the priorities of the College and the University. In order to do so effectively, efforts will be coordinated through the Office of the Dean.

Departments, Faculty, Staff, and Consortia wishing to solicit funds from outside funding sources including private foundations, corporations, and individuals, must follow College fundraising procedures:

- 1) First contact the Director of External Relations in the College with any project ideas or potential donors—individuals, corporations, and/or foundations.
- 2) Based on the information received, the Director of External Relations will consult with the Dean and advise and/or develop an initial plan for moving the project forward in collaboration with the requesting party.
- 3) After the Dean has approved the initial plan, the Director of External Relations will advise the requesting group on next steps. Next steps may include one or more of the following: Consultation with the Chair; further discussion in the Department; consultation with the Dean; consultation with the Office of Development; consultation with the Sponsored Projects Office; consultation with the College Leadership Board.
- 4) The Director of External Relations will then follow-up with an appropriate and approved plan of action to include identification, cultivation, solicitation, and stewardship.
- 5) The requesting party will be expected to keep the Director of External Relations informed of progress on the project, including information on gifts, events, or formal communications, so that the College can be aware of these and provide appropriate support and notify other University departments as necessary.

Departments, Faculty, Staff, and Consortia wishing to solicit funds from government agencies may contact the Sponsored Projects Office directly.

## **College Guidelines and Policies on External Relations**

(Established September 2011)

**All Departments, Faculty, Staff, and Consortia:** The College of Arts and Sciences supports partnerships with local schools and organizations, community programs, corporations, and other universities which correspond to the priorities of the College and the University. In order to do so effectively, efforts will be acknowledged and/or coordinated through the Office of the Dean. Departments, Faculty, Staff, and Consortia who have developed or wish to develop partnerships in the community must follow College procedures:

- 1) Notify the Director of External Relations in the College of any current partnerships/relationships you have outside of the University and forward any documents that confirm or define the relationship.
- 2) Contact the Director of External Relations in the College when you are developing partnerships/relationships outside of the University.
- 3) Based on the information received, the Director of External Relations will then do nothing, advise, and/or develop an initial plan for strengthening the relationship.
- 4) Next steps may include one or more of the following: Consultation with the Dean; consultation with other departments in the College or other units on campus; consultation with the Office of Development; consultation with the Office of Marketing and Communications; consultation with the Office of the General Counsel.
- 5) If any action is required on behalf of the College, the Director of External Relations will then follow-up with an appropriate and approved plan.

## **Procedures for Allegations of Capricious, Unfair, or Arbitrary Grading\* (For situations where there is no allegation of student dishonesty)**

The assignment of course grades is one of the chief means by which instructors communicate to students and the University about student achievement in their courses. Therefore, grades must be assigned after careful evaluation of students' work and meticulous consideration of the weighted value of all students' work as based on the criteria and procedures communicated to the students by the instructors.

The classroom context that is assumed in a learning community is one in which [a] grading policies are fair and clearly communicated to students, [b] grading practices are characterized by relatively good reliability and validity, and [c] grading error or bias is neutralized by enlightened sensitivity and attention to the possibility of such error or bias. Even within this context, it is possible for students to perceive that they have been graded unfairly and to seek redress. These procedures provide a description of the circumstances and a procedure for such redress within the College of Arts and Sciences.

A student or students might allege that undeserved grade(s) was/were assigned as a result of computation error, injustice, or bias on the part of the instructor.

Should this happen, the allegation can be resolved as described below:

- 1) A student with a complaint must first discuss the matter with the faculty member. Any procedural complaint regarding a change of grade must be initiated within four weeks of the beginning of the next scheduled term, not including the summer session.
- 2) If the matter is not resolved at this level, the student may then take the matter to the chair of the department involved. The chair will discuss the case with the faculty member and may recommend that the faculty member review the grade.
- 3) Upon request of the student, the dean will proceed in similar fashion. Specifically, the student should provide a written complaint to the appropriate associate dean. The associate dean will review the complaint and may recommend that the faculty member review the grade. After review by the associate dean, upon request of the student, the dean may review the complaint. The dean may convene a panel of faculty to assist in the review. After consulting with the panel of faculty, the dean may recommend that the faculty member review the grade.
- 4) This process of review gives the chair and dean the right to discuss the matter with the faculty member, and if they think it appropriate, request that the faculty member review the grade. Any recommendations made will not be binding upon the faculty member against whom the complaint is lodged. The decision to change a grade remains with the faculty member.
- 5) The Faculty Handbook, Appendix E, describes the procedure and includes a final appeal to the provost.

\* These procedures are based on the Policies and Procedures on Student Appeals of Grades from Appendix E of the Faculty Handbook and approved on November 15, 1978 by the Faculty Senate.

## **Procedures for Student Grievances Concerning Unfair Treatment by Faculty\*** (Established September 5, 2006)

Santa Clara is dedicated to being a community enriched by men and women of diverse backgrounds and perspectives, respectful of difference and enlivened by open dialogue, caring and just toward others, and committed to broad participation in achieving the common good. In the same way that we require faculty to be collegial in their practice of scholarship, teaching, and service, we expect faculty of the College to be professional and fair in all their interactions with students, both in and outside of the classroom.

A student who feels that he/she has been disadvantaged by capricious or biased decision-making by faculty/staff may initiate a formal grievance. The allegation can be resolved as described below:

- 1) A student with a complaint must first discuss the matter with the faculty member. Any complaint must be initiated within four weeks of the beginning of the next scheduled term, not including the summer session.
- 2) If the matter is not resolved at this level, the student may then take the matter to the chair of the department involved. The chair will discuss the case with the faculty member and may counsel the faculty member.
- 3) If the matter is not resolved at this level, upon request of the student, the dean will proceed in similar fashion. Specifically, the student should provide a written complaint to the dean, who may delegate the investigation to an associate dean. The associate dean will review the complaint and respond in writing to the student.
- 4) If the matter is not resolved at this level, upon request of the student, the dean may review the complaint. The dean may convene a panel of faculty to assist in the review. After consulting with the panel of faculty, the dean will respond in writing to the student.

\* For situations not covered by “Policies and Procedures on Student Appeals of Grades” (Faculty Handbook, Appendix E) and “Policy on Unlawful Harassment and Unlawful Discrimination” (Faculty Handbook, Appendix F).