# FACULTY HANDBOOK

## Contents

Definitions ........................................................................................................... 1
Faculty Classifications ....................................................................................... 1
Divisions of the University ................................................................................. 2
Mission Statement ............................................................................................. 3

### Governance

- Statute of University Governance Structure ............................................. 4
- Constitution of the Faculty Senate .............................................................. 8
- Schools of the University ........................................................................... 13
- College of Arts and Sciences College Council ..................................... 13
- Haub School of Business College Council Bylaws ............................... 17

### Planning and Budgeting

1. Planning and Budgeting Committee ...................................................... 19
2. Advisory Board on Faculty Compensation ............................................. 22

### Academic Freedom and Academic Tenure

Statement on Academic Freedom and Academic Tenure .......................... 23

### Academic Appointment and Rank

Statement on Rank .......................................................................................... 26
Statement on Appointment ............................................................................. 26
1. The Tenurable Academic Ranks ............................................................ 27
2. Non-tenurable Ranks .............................................................................. 30
3. Emeritus or Emerita Status ................................................................... 31

### Evaluation And Review

1. Statute of the Board on Rank and Tenure .............................................. 32
2. Faculty Evaluation Procedures ............................................................... 34
3. Evaluation Cycles .................................................................................. 41
4. Tenure and Promotion Procedures ....................................................... 43

### Separation and Appeals Procedures

1. Summary of Separation and Appeals Procedures ............................... 53
2. Judicial Bodies ......................................................................................... 54
3. Procedures ............................................................................................... 55

### Faculty Responsibilities

1. Professed Values ...................................................................................... 61
2. Personal and Professional Growth ........................................................... 61
3. Classes ...................................................................................................... 61
4. Responsibilities toward Students ............................................................. 62
V. Statement on Final Examinations .......................................... 62
VI. Students with Disabilities ....................................................... 62
VII. Academic Advising ............................................................. 63
VIII. Administrative Responsibilities .......................................... 63
IX. Extra-institutional Employment ............................................ 63
X. Faculty Letters of Appointment ............................................ 64
XI. Faculty Workload ................................................................ 64
XII. Status and Seniority in the Professional and Liberal Studies Program ............................. 65

Statement on the Department Chair
Statement on the Department Chair ....................................................... 66
   I. Qualifications ....................................................................... 66
   II. Selection .............................................................................. 66
   III. Duties and Functions ......................................................... 67

Faculty Development
   I. Faculty Research and Development ....................................... 69
   II. Faculty Awards ................................................................... 72

Faculty Benefits
   I. Leaves of Absence ................................................................. 73
   II. Family Medical and Other Leaves ........................................ 74
   III. Holiday and Vacations ....................................................... 75
   IV. Insurance and Retirement Plan .......................................... 75
   V. Tuition Benefits .................................................................. 75
   VI. Other Benefits ................................................................... 75

University Policies
Academic Honesty ....................................................................... 75
Accommodation Grievance Procedures for Students with Disabilities ... 76
Background Check Policy ............................................................. 76
Background Check Policy Memo .................................................... 76
Business Code of Conduct and Conflict of Interest Policy ............... 76
Drug and Alcohol Policy ............................................................. 76
Fire Arms Policy ........................................................................... 76
Intellectual Property Policy .......................................................... 76
Mandatory Child Abuse Reporting Policy .................................... 76
Minors on Campus Policy ............................................................ 77
Policy on Confidentiality of Student Records ............................... 77
Policy on Freedom of Assembly (Interim) .................................... 82
Policy on Political Activities on Campus ....................................... 82
Policy Prohibiting Discrimination, Harassment and Retaliation ....... 83
Records Management and Retention Policy ................................. 84
Sexual Misconduct Policy ............................................................ 84
Sponsored Research Policy and Procedures .................................. 84
Study Tour Policy ......................................................................... 89
Definitions

The following words and phrases shall have, unless the context clearly indicates otherwise, the meanings given to them as follows:

**Adjunct**
a part-time, non-tenure track faculty member.

**Administrative**
any tenured faculty member who teaches fewer than six (6) credit hours per semester.

**Dismissal**
termination of employment of a tenured faculty member.

**Early Termination**
termination of a letter of appointment with a non-tenure track faculty member prior to expiration of the term of the letter of appointment.

**Faculty**
any person who is a tenure track or non-tenure track member of the university community

**Full Time**
any tenured faculty member who teaches at least six (6) credits hours for lecture based courses or six (6) contact hours for courses with lecture and laboratories per semester

**Non-tenure Track**
any full-time or part-time faculty member who is neither tenured nor employed under tenure track contract. Ranks include visiting professors, visiting associate professors, visiting assistant professors, lecturers, assistant lecturers and laboratory coordinators.

**Probationary**
any faculty member who is employed under a tenure track appointment, but not yet tenured.

**Reappointment**
continuation of employment of a probationary faculty member.

**Tenure Track**
any faculty member who is either tenured or probationary. Ranks include professors, associate professors, assistant professors and instructors.

**Tenured**
any faculty member who has been granted tenure.

Faculty Classifications

<table>
<thead>
<tr>
<th>Tenure Track</th>
<th>Non-Tenure Track</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Professor</td>
<td>Visiting</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>Lecturer</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>Assistant Instructor</td>
</tr>
<tr>
<td>Instructor</td>
<td>Laboratory Coordinator</td>
</tr>
</tbody>
</table>

**Tenure Track**

- Probationary
- Tenured

**Non-Tenure Track**

- Full-time
- Adjunct

**Full-time**

- Administrative
- Joint

- Adjunct
Divisions of the University

Humanities
- Art
- Communication Studies
- English
- Modern and Classical Languages
- Music, Theatre & Film
- Philosophy
- Theology

Natural Sciences
- Biology
- Chemistry
- Computer Science
- Mathematics
- Physics

Social Sciences
- Economics
- Educational Leadership
- Health Services
- History
- Political Science
- Psychology
- Sociology
- Special Education
- Teacher Education

Haub School of Business
- Accounting
- Decision and System Sciences
- Finance
- Food Marketing
- Management
- Marketing
- Pharmaceutical and Healthcare Marketing
Mission Statement

[This Statement was approved by the Board of Trustees on February 28, 2014.]

As Philadelphia’s Jesuit Catholic University, Saint Joseph’s provides a rigorous, student-centered education rooted in the liberal arts. We prepare students for personal excellence, professional success, and engaged citizenship. Striving to be an inclusive and diverse community that educates and cares for the whole person, we encourage and model lifelong commitment to thinking critically, making ethical decisions, pursuing social justice, and finding God in all things.
Governance

Statute of University Governance Structure

[This Statute was approved by University Council (formerly known as the College Council) on October 27, 1971, and accepted by the President and approved with certain recommendations by the Executive Committee of the Board of Trustees on November 22, 1971. Additional amendments were adopted by the University Council on May 9, 1973, approved by the President on June 29, 1973; by the University Council on September 22, 1980, including a change in name to "University Council," approved by the President on September 25, 1980, and by the Board of Trustees on September 26, 1980; by the University Council on May 14, 1981, approved by the President on June 3, 1981; by the University Council on May 16, 1984, approved by the President on June 5, 1984, and by the Executive Committee of the Board of Trustees on September 21, 1984; and by the University Council on May 5, 1985, approved by the President on September 5, 1985; by the University Council on May 9, 1990, approved by the President and adopted by the Board of Trustees on May 13, 1999, and approved by the President June 9, 1999; by the University Council on May 21, 2009, and approved by the President June 16, 2009.]

I. The University Council

The University Council is the principal body for corporate participation of the various constituencies of the university in policy formulation.

A. Powers

1. Meetings
   The University Council, its executive committee and all standing committees of the University Council shall have a calendar of meetings set for the entire academic year. The calendar shall be set before September. The calendar may be adjusted if no business arises. All meetings of the University Council shall be open and announced, with prior publication of agenda and minutes of the previous meeting. Except as otherwise indicated in this statute, the council shall conduct its business according to Robert’s Rules of Order Revised and procedural guidelines laid down by the executive committee. Any member of the university community may petition the executive committee for an opportunity to be heard by the University Council and shall receive such consideration as council time and university priorities permit. A quorum shall consist of fifty (50%) plus one (1) of the members of the University Council.

2. Mandates
   The council may mandate matters of policy formulation for study to the standing committees, the Faculty Senate, the Haub School of Business, or the College of Arts and Sciences. The University Council shall set a time limit within which such mandates must be reported back to council. The council may prioritize mandates for consideration and it may alter the initially specified time for study. If the recipient of a mandate from council fails to report within the time specified, and the council has not extended the deadline, the original recipient shall lose the opportunity to offer judgment on the mandate and the mandate will automatically proceed to council for consideration.
3. **Actions**

All policy studies shall be presented to the council by the chair of the committee involved or by an appropriate delegate. Chairs of committees shall make brief progress reports to the council at its request. Upon presentation of such a study, other than one afforded special treatment, the council, by majority vote of those present and voting, may amend, accept, reject or return to committee. Accepted proposals shall be sent to the President for his approval or rejection. Reports of the Faculty Senate shall, at the request of the Senate, be accorded special treatment. Such proposals may be accepted or rejected by a simple majority vote in council, or may be amended by a two-thirds vote of those present. Any specific proposal may be declared of major importance by a majority of those present and voting, in which case passage shall require a majority of the full membership. The council may also create special committees to study specific matters. Reports of special committees shall be treated in the same manner as reports of standing committees. The administration of the university shall be responsible for the detailed implementation of approved policies, but the council reserves the right to review such implementation and define its limits.

B. **Membership**

The University Council shall consist of twenty-six (26) representatives from faculty, students, staff, and administrators. Selection of the membership of the University Council shall be completed by September 15 of each new academic year. Since the University Council is intended to be a continuously functioning body, the terms of incumbent members shall not lapse until the new membership of the University Council is duly constituted.

1. **Composition**

   The University Council shall be composed of the following membership, selected according to the procedures below:
   
   a. The senior academic officer, who shall act as chair. The chair shall vote only to break a tie.
   b. The Deans of the College of Arts and Sciences and the Haub School of Business.
   c. One (1) presidential appointment from among the administration.
   d. Twelve (12) tenure-track faculty members distributed as follows:
      i. The five (5) members of the Faculty Senate Executive Committee, ex officio;
      ii. Two (2) representatives elected by and from the College of Arts and Sciences;
      iii. Two (2) representatives elected by and from the Haub School of Business;
      iv. Three (3) representatives elected at large by and from the faculty of the university;
   e. Five (5) students, distributed as follows:
      i. Four (4) undergraduate students (with at least two (2) being full-time day students, and one from the Professional and Liberal Studies program. The Student Association President shall be a member of the University Council, ex-officio. Students shall be appointed by submitting their names to the Student Association.
      ii. One (1) graduate student, alternating college by year. The Professional and Liberal Studies program student and graduate student will be appointed by their respective deans.
   f. Two (2) representatives of the Administrative/Staff Council selected according to the procedures specified by the Administrative/Staff Council [approved by the University Council Executive Committee February 19, 2015].
   g. The Chair of the College Council of the College of Arts and Sciences and the Chair of the College Council of the Haub School of Business.
   h. The Executive Director of Mission Programs.
2. Terms of Office of Elected Representatives
Elected representatives on the University Council shall serve two-year terms. Elected representatives are eligible to serve only two (2) consecutive elected terms on the University Council.

3. Vacancy
In case of a vacancy among the members of the University Council, the chair shall arrange to have a replacement named as soon as possible.

C. Executive Committee of the University Council
1. Membership
The University Council shall have an executive committee composed as follows: the senior academic officer as non-voting chair; one (1) administrator; one (1) student; three (3) faculty. All executive committee members, except the senior academic officer, shall be elected for a term of one (1) year by and from the University Council membership.

2. Duties
The executive committee shall select membership of special committees, set meeting times, approve agenda for University Council meetings, and advise the chair on any matters pertaining to the work of the council and its standing committees.

   The executive committee shall review all proposed mandates for consideration by the governance process. It shall require that proposed mandates must possess complete documentation and a detailed rationale before the request for a mandate will be passed to the University Council for approval. The executive committee shall have the authority to:

   a. recommend that the council approve the mandate and route it to the appropriate body for consideration;
   b. reject the proposed mandate; or
   c. return the proposed mandate to its source for further development of its rationale.

   In the event that the executive committee rejects a mandate, it must report its action to the University Council. The council shall have the authority to overturn the executive committee’s rejection. The executive committee shall dispose of a mandate within one (1) meeting of its receipt.

   The chair shall forward to the executive committee the draft agenda of the University Council meeting and any necessary documentation at least five (5) days prior to its meeting.

3. Procedures for Mandates
Policy recommendations from the Faculty Senate, the standing committees of the University Council, the College of Arts and Sciences or the Haub School of Business may come to the University Council only from mandates passed to the respective bodies by the council itself. The executive committee shall determine the jurisdiction of all mandates, and it shall formally and provisionally identify those mandates that it considers primarily within the jurisdiction of either of the full-time colleges. When reports on mandates that have been identified as primarily within the jurisdiction of a college are returned to the University Council, the council may reject the report only by a two-thirds vote of those present, unless a majority votes that the report, as developed, has sufficiently broad implications that it is no longer primarily a college matter.

   The Executive Committee of the University Council, subject to veto by the University Council itself, shall have the authority to decide disputes over jurisdiction which might arise among the College of Arts and Sciences, the Haub School of Business and the Faculty Senate.
D. Voting
All members of the University Council shall inform themselves as fully as possible of the various opinions within their constituency concerning matters before the council. They shall vote, however, according to their own informed convictions rather than according to a purely representative concept. Any four (4) members of the council may request a roll call vote which shall be recorded in the minutes.

E. Resolutions
The University Council may pass resolutions expressing the advisory opinion of the council on matters of university policy beyond its normal statutory power by a majority of those present and voting, except that resolutions declared to be of major importance require a majority of the full membership.

F. Procedures for Approved Policies
In cases where the council has approved a policy report and submitted it to the President, the President is expected to act within ninety (90) calendar days of the report’s passage in the council and to report such action to the chair of the council. Failure of the President to act within the specified period shall be considered a rejection of the policy report. If the President chooses not to accept a University Council recommendation, he must explain, in person or in writing, the reasons for, or constraints upon, his choice. If the President rejects a policy proposal, the council may, by a two-thirds vote, resubmit the matter to the President as a special action proposal, provided that this action is taken no later than ninety (90) calendar days or the second regularly scheduled meeting, whichever is later, following notification of the President’s rejection of the proposal. If the President rejects a special action proposal, the council may, by a two-thirds vote, request that the President submit the proposal, together with its voting history, to the Board of Trustees of the university. Such action must be taken no later than ninety (90) calendar days or by the second regularly scheduled meeting, whichever is later, following notification of the President’s rejection of the special action proposal.

II. The Standing Committees
The standing committees shall function as instruments of continuing evaluation in their respective areas of competence and responsibility. In order to ensure this continuing evaluation, each standing committee shall meet at least twice each semester. All meetings shall be open and announced, with prior publication of agenda and minutes of the previous meeting. Anyone wishing to reserve time to address the committee should give at least two (2) days’ notice to the committee chair, but failure to give such notice shall not prevent one from speaking to the committee if there is sufficient time.

Standing committees shall report to the University Council on all studies mandated to them and on any other matters of policy formulation.

A. Membership of Standing Committees
1. Membership on standing committees shall be no less than nine (9) and no more than fifteen (15).
2. Membership on standing committees shall be two-year terms for faculty, with approximately one-half of the faculty terms expiring each year. Student representatives may serve one-year terms in accordance with the constitutions of the respective student organizations.
3. Faculty membership on the standing committees shall not be drawn from the membership of the University Council or the Faculty Senate Executive Council, or the Executive Committees of the College Councils of the College of Arts and Sciences and the Haub School of Business.
4. Membership of all standing committees shall be constituted as of September 30th for that academic year, except that student members may be replaced according to the rules of the respective student bodies.
B. Standing Committees

1. **Standing Committee on Student Affairs, Full-time Undergraduate**—This committee shall concern itself with the formulation of general policy of distinctive interest to full-time undergraduate students, including student life, the learning environment and student regulations. Two-thirds of the committee shall be students chosen in a manner to be specified by the organized student body of full-time undergraduates. Student representatives on this committee shall be apportioned between the resident and commuter students according to their respective proportions of the full-time undergraduate population. One-third of this committee shall be faculty elected at large by and from the faculty of the university. The Vice President for Student Life shall serve, *ex officio*, as a member of the committee.

**Standing Committee on Student Affairs, Part-time Undergraduate and Graduate**—This committee shall concern itself with the formulation of general policy of distinctive interest to part-time undergraduate and graduate students, including student life, the learning environment and student regulations. Two-thirds of this committee shall be students chosen from among the Professional and Liberal Studies program, continuing education and graduate student populations in a manner to be specified by the respective student bodies. Student representatives shall be apportioned between the respective constituencies according to their proportions of the total part-time and graduate student population. One-third of this committee shall be faculty elected at large by and from the faculty of the university. The Vice President for Student Life and the Dean of Professional and Liberal Studies, Dean of the Haub School of Business, and Dean of the College of Arts and Sciences or their designees shall serve, *ex officio*, as members of this committee.

### III. Amendments Process

The process of amending this Statute on University Governance consists of three (3) steps: proposal, adoption, and ratification.

A. **Proposal**—An amendment may be proposed by any five (5) members of the University Council. Once an amendment has been proposed in writing, the executive committee shall place it on the agenda of the last regularly scheduled council meeting in the spring semester and publicize it throughout the university community.

B. **Adoption**—Since an amendment is an important question, its adoption requires a majority of all members of the University Council.

C. **Ratification**—The amendment is ratified when it has been approved by the President and the Board of Trustees.

### Constitution of the Faculty Senate

[The Faculty Senate provides the officially recognized voice of the corporate faculty. As an autonomous body, the Senate is not required to secure approval for its constitution from the University Council or from the President. The revised constitution was approved by the Senate on March 30, 1983.]

#### Article I

A. **Purposes and Objectives**—In the elaborately structured contemporary American university, with its dependence on the contribution of many important professional groups, the unique role of the faculty must always be recognized. The faculty, as the group primarily responsible for the university’s essential activity of education, shall exercise its corporate role through a Faculty Senate.
B. Rights and Duties of the Faculty Senate

1. The Senate shall be primarily responsible for recommendations concerning all matters of both faculty policies and procedures and university-wide academic policies and procedures, and their evaluation.

2. The Senate shall also be the vehicle through which the faculty may express its corporate voice on other matters relating to the welfare of the university.

3. The Senate shall have the right and duty to advise the President of the university, the senior academic officer, and the University Council in all areas of university activity.

Article II

The Senate shall consist of all full-time tenure-track faculty; however, this provision is not meant to exclude tenured faculty teaching less than full time for reasons of release time for serving as department chair, endowed chair, program, grant, or institute director, Jesuit community Rector or release time for research or a research grant.

Article III

The members of the Senate shall elect an executive council which shall represent them and, in that capacity, shall conduct business and take action in their name if and when a quorum of the Senate is not present. A quorum to conduct business shall consist of either forty (40%) percent plus one (1) of the members of the Senate or a majority of the executive council.

A. The Executive Council

1. **Membership**—The total number of representatives on the Executive Council of the Faculty Senate shall be equal to the sum of one-tenth the number of full-time tenure-track faculty in the College of Arts and Sciences and one-tenth the number of full-time tenure-track faculty in the Haub School of Business. Representatives from the College of Arts and Sciences shall be allocated so that each division of the college shall have a number of representatives equal to one-tenth the number of divisional faculty, unless, due to rounding procedures, the sum of the divisional representatives would be greater than the total number of representatives allotted the College of Arts and Sciences. In this case, the rounding up rule shall be suspended in the case of the largest division eligible for its application. All faculty representatives on the executive council shall be elected by and from their respective college or division. In no case shall any academic department have more than two (2) representatives on the executive council.

2. **Terms of Office**—Councilors shall be elected to a term of two (2) years. The term of office shall begin immediately after the last regular Senate meeting of the academic year. No councilor, except the five (5) members of the Faculty Senate Executive Committee of the Executive Council of the Faculty Senate, may serve simultaneously on the University Council. No councilor may serve simultaneously on the standing committees of either the Senate or University Council. Councilors may serve only two (2) consecutive terms of office.

3. **Nomination and Election of Executive Council Members**

   a. **Eligibility to Vote**—All members of the Senate are eligible to vote for executive council members.

   b. **Eligibility to Hold Office**—All members of the Senate who teach at least two (2) courses each semester are eligible to serve as councilors. Faculty members on authorized leaves of absence and sabbaticals will not be eligible for election unless they are returning to the university in time to begin their term of office. Faculty members who have been transferred between colleges or among divisions before elections shall be eligible for election only by their new constituency.
c. **Nominations**—The Elections Committee shall send a nominating ballot to all members of the Senate by the end of March. Senate members shall make one (1) nomination for each vacancy for which they are eligible to vote. The nominations shall be no more than twice the number of vacancies except in the event of a tie.

d. **Elections**—Following the nominations, the Elections Committee shall prepare the election ballot which shall be sent to all Senate members in sufficient time to allow the vote to be returned and received no later than April 15. All balloting shall be anonymous. The result of the election shall be made public before the last regular Senate meeting of the academic year. Election will be by majority vote, provided a majority of eligible voters has cast votes.

In the absence of an explicitly stated alternative procedure, all elections to faculty committees will be by majority. Specifically, all candidates receiving a majority of votes cast for an open seat – that is, more than one half the total number of votes for all candidates divided by the number of open seats to be filled – are winners of one seat. If there are more majority winners than open seats, candidates are taken in decreasing order of votes with ties determined by lots. If there are fewer majority winners than seats, a run-off election for the remaining seats is required. In this case, the votes of all majority winners are subtracted from the total. Candidates for the run-off election are chosen in decreasing order of votes until the sum of their votes is a majority of votes for a seat.

e. **Vacancy**—In the event of a vacancy in the executive council, a replacement to complete the remainder of the term shall be elected by the appropriate constituency.

B. **Officers of the Senate**—The officers of the Faculty Senate shall consist of a President, a Vice-President, and a secretary. The President of the Senate shall preside over the meetings of the council and the Senate. The Vice-President shall exercise all powers and duties of the President in the latter’s absence. The Secretary shall notify all members of the Senate of the meetings of the Senate and of the executive council and shall keep the minutes of the meetings of both bodies.

1. **Terms of Office**—The President shall be elected to a two-year term. The Vice-President and Secretary shall serve a one-year term. Terms of office shall expire upon the election of new officers. Service in an office is limited to two (2) consecutive terms.

2. **Nomination and Election of President**
   a. The President shall be nominated and elected at a meeting of the executive council to be held immediately after the last regular Senate meeting of the academic year.
   b. Only those councilors present at the meeting shall be eligible to nominate or vote.
   c. Nominations shall be by voice; election shall be by secret ballot. A majority of the votes cast shall be necessary to elect the President.

**Article IV**

There shall be three (3) kinds of Faculty Senate committees: an Executive Committee, Standing Committees, and Special Committees.

A. **The Executive Committee**

1. **Membership**
   a. The Executive Committee shall consist of five (5) members:
      i. the President, elected as described in Article III, Section (B)(2);
      ii. one (1) representative elected by and from councilors representing the Haub School of Business; and
      iii. three (3) representatives elected by and from the councilors representing the College of Arts and Sciences.
   b. All members of the executive committee shall serve two (2) year terms.
c. Executive committee elections shall take place at the same meeting of the executive council at which the President is elected. Election of representatives to the executive committee shall take place immediately after the election of the President.

d. The executive committee shall then choose from among its membership someone to serve as vice President, secretary, liaison for the Elections Committee, and liaison for the standing committees. Each shall serve for a one (1) year term.

2. Duties
   a. The executive committee shall decide the agenda of meetings.
   b. The executive committee shall nominate, subject to confirmation by the Senate, all members of its committees, faculty representatives on other bodies as provided for by the Statutes on University Governance, and faculty nominees for other committees and/or boards.
   c. The executive committee shall nominate, subject to confirmation by the Senate, all necessary replacements to fill unexpired terms on the University Council. Such replacements shall serve only until the end of the academic year in which they are made.

B. Standing Committees
   1. Eligibility
      All members of the Senate are eligible for appointment to standing committees subject to the constraints described above. (See Article III Sections A (2) and A (3)(b)).

   2. Types of Standing Committees
      There shall be three (3) standing committees of the Faculty Senate: an Academic Policies and Procedures Committee, a Faculty Policies and Procedures Committee, and an Elections Committee. As needed, the Academic Policies and Procedures Committee and Faculty Policies and Procedures Committee may establish subcommittees. No less than two-thirds of the membership of these subcommittees shall be drawn from the full committee. Subcommittees shall be limited in function to researching topics and identifying significant issues as required by the full committee.

a. Academic Policies and Procedures Committee
   i. Membership — Membership shall be no less than nine (9) and no more than fifteen (15). Membership shall be for two-year terms, with approximately one-half of the terms expiring each year. Members shall be named by the Executive Committee of the Faculty Senate subject to the approval of the Senate. Membership shall be constituted by September 30 of each academic year. A chair shall be elected annually at the beginning of an academic year by the newly constituted committee. Chairs are eligible for re-election.
   ii. Responsibilities—This committee shall concern itself with the formulation of university-wide educational policy, including academic programs, admissions, grading, teaching methods, testing, curriculum, advising, retention and dismissal, and academic standards, as well as questions of feasibility affecting educational policy.

b. Faculty Policies and Procedures Committee
   i. Membership—Membership shall be no less than nine (9) and no more than fifteen (15). Membership shall be for two-year terms, with approximately one-half of the terms expiring each year. Members shall be named by the Executive Committee of the Faculty Senate subject to the approval of the Senate. Membership shall be constituted by September 30 of each academic year. A chair shall be elected annually at the beginning of an academic year by the newly constituted committee. Chairs are eligible for re-election.
   ii. Responsibilities—This committee shall concern itself with the formulation of policies and procedures relating to the professional status and performance of the faculty, including recruitment, appointment, promotion and tenure of the faculty, scholarly improvement, research, academic freedom, compensation policy, and professional conditions and responsibilities.
c. Elections Committee
   i. Membership—The committee shall consist of six (6) members with no two (2) from the
      same department, and at least one (1) from each of the four (4) academic divisions. Each
      member shall serve a two-year term and a maximum of two (2) consecutive terms.
   ii. Responsibilities—The committee shall be responsible for conducting the elections for all
       faculty, council and board seats university-wide, except for those elections which are
       stipulated to be held within a given council or board. Each year, the Faculty Senate shall
       designate a chair(s) who will be responsible for coordinating the distribution and counting
       of ballots. The Faculty Senate Executive Committee member designated as the Liaison for
       Elections shall inform the chair(s) of the schedule of required elections.

C. Special Committees
   All members of the Senate are eligible for appointment to special committees subject to the
   constraints described in Article III, Sections A2 and A3b.

D. Senate Action on Committee Reports
   1. The Faculty Senate shall have the authority to act on reports and recommendations of its
      standing committees in the following ways:
      a. to amend, approve or reject and send on to the University Council
      b. to remand to committee.
   2. Reports and recommendations sent by the Faculty Senate to the University Council can, at the
      Senate’s request, be accorded special treatment. In this case, the University Council may accept
      or reject the Senate's proposal by a simple majority but can amend it only by a two-thirds vote of
      those present.
   3. Failure on the part of the Faculty Senate to act on mandated reports in a timely fashion (i.e., within
      the time limit set by the University Council) shall result in the Senate forfeiting its right to comment.

E. Minutes of the Committees—All minutes and reports of standing and special committees shall be
   distributed to the President of the university, the President of the Faculty Senate and other members
   of the executive committee. Summaries of the minutes shall be provided to all members of the Senate.

Article V

A. Regular meetings shall be called by the President of the Senate at least once each semester. These
   meetings shall be established and their dates set prior to the beginning of the academic year.
B. Special meetings of the Senate may be called at the written request of one-tenth of the Senate
   membership, one-fourth of the members of the executive council or the President of the university.
C. The agenda of a meeting of the Senate shall include any matter requested by the President of the
   Senate, ten (10) members of the Senate or one-fourth of the members of the executive council.
   The President of the university may submit matters to the Faculty Senate for its consideration and
   recommendation. New business may be considered upon the request of any member present at the
   Senate meetings, but may not be voted upon at that meeting.
D. All members of the Senate shall be given written notice, including facsimile and electronic mail
   transmissions, of all meetings and may attend with full rights of discussion. When a quorum of the
   members of the Senate are present, their vote shall be definitive. Otherwise, the vote of the executive
   council shall be definitive with members in attendance having the right of a consultative vote on
   motions as a means of giving the executive council an expression of their opinion.
E. Motions may be made and seconded by any member of the Senate.
F. All members of the Faculty Senate shall receive the minutes of all meetings. Whenever a roll call vote
   of the executive council has been taken at a meeting, their names shall be included in the minutes.
G. On all questions not specifically covered by the Senate by-laws, Robert’s Rules of Order Revised shall
   be observed.
Article VI

A. Amendments—An amendment(s) to the Constitution of the Faculty Senate may be proposed by a majority of councilors or by ten (10%) percent of the members of the Senate.

B. Ratification—Any properly proposed amendment(s) shall be ratified upon submission in writing to all members of the Senate and upon approval by three-fourths of those voting, provided that a majority of those eligible have cast votes.

Schools of the University

A. School—A “school” is a body of the faculty responsible for that portion of the curriculum assigned to it by the faculty, the President and the Board of Trustees. All full-time and part-time faculty so assigned shall be members of the school. Only full-time tenure track faculty shall exercise voting privileges.

B. Purview—Within the framework of policies and practices established by the University Council, the President and the senior academic officer, schools shall determine their own faculty policies and procedures and their own academic policies and procedures (including but not limited to those policies and procedures governing academic programs, curriculum, conduct of course and methods of instruction, academic standards for retention and dismissal, and advising). A school shall not establish a policy which conflicts with university policy. Matters of concern to a specific school proposed by the University Council or the President or senior academic officer shall be acted upon only after that school has had reasonable opportunity to discuss them and make recommendations.

C. Governance—Each school’s faculty shall determine its own structure of governance, subject to the approval of the Board of Trustees. Adoption of amendments to a school’s governance document, however, shall require approval by three-fourths of those voting, provided that a majority of those eligible have cast ballots.

College Council of the College of Arts and Sciences

Article I—Membership

The College Council of the College of Arts and Sciences shall consist of all full-time tenure track faculty in the school.

Article II—Purpose

The College Council of the College of Arts and Sciences shall have the authority to act on mandates received from the University Council. College council recommendations on University Council mandates shall be communicated directly to the University Council by the Chair of the College Council of the College of Arts and Sciences. The college council shall also have authority to formulate internal college policy consistent with university-wide guidelines on academic and faculty matters. On internal policy matters not requiring the approval of the University Council, the college council shall nonetheless keep the University Council informed of its deliberations.

Article III—Committees

The members of the CA&S College Council shall elect an executive committee which shall represent them and, in that capacity, conduct business and take action in their name if and when a quorum of the CA&S College Council is not present. A quorum for the conduct of business shall consist of either forty (40%) percent plus one (1) of the members of the council or a majority of the executive committee.
A. The Executive Committee
   1. Membership—The total number of representatives on the executive committee of the college council shall be equal to the sum of one-tenth the number of full-time tenure track faculty in the College of Arts and Sciences and the Dean of CA&S, ex officio. Half of the faculty representatives shall be elected at large; the other half shall be elected so that the number of representatives of each division is proportionately representative of the number of faculty in each division, with representatives in this case being elected by and from their respective divisions. In no case shall any academic department have more than two (2) representatives on the executive committee.
   2. Terms of Office—Election to the executive committee shall be for a term of two (2) years. A faculty member may serve only two (2) consecutive terms of office. No faculty member may serve simultaneously on the Executive Committee of the CA&S College Council and the Faculty Senate Executive Council or the University Council.
   3. Nomination and Election of Executive Committee Members
      a. Eligibility to Vote—All members of the CA&S College Council are eligible to vote.
      b. Eligibility to Hold Office—All members of the CA&S College Council who teach at least two (2) courses each semester are eligible for election to the executive committee. Faculty members on authorized leaves of absence and sabbaticals will not be eligible for election unless they are returning to the university in time to begin their term of office.
      c. Nominations—The Elections Committee of the Faculty Senate shall send a nominating ballot to all eligible voters by March 1. Eligible voters shall make one (1) nomination for each vacancy for which they are eligible to vote. The nominations shall be no more than twice the number of vacancies except in the event of a tie.
      d. Elections—Following the nominations, the Elections Committee shall prepare the election ballot which shall be sent to all CA&S College Council members in sufficient time to allow the vote to be returned and received no later than April 15. All balloting shall be anonymous. The result of the election shall be made public. Election will be by a majority, provided a majority of eligible voters has cast votes.
      e. Vacancy—In the event of a vacancy in the executive committee, a replacement to complete the remainder of the term shall be elected by the appropriate constituency. If there exists in writing no other procedure for elections to fill vacant seats on the Executive Committee of the College Council of the College of Arts and Sciences, then the sitting members of the executive committee will make nominations to be presented to the appropriate electing body. If an eligible member of the College Council of the College of Arts and Sciences is elected to a seat on the executive committee in an election found to be invalid due to procedural errors, then that person may continue to serve on the executive committee until a subsequent election has been held to fill that seat.
      f. Chair and Secretary—The executive committee shall at its first meeting of the year elect from its current membership a chair and a secretary. Each shall serve for a one (1) year term. Terms of office shall expire upon the election of new officers. Service in an office is limited to two (2) consecutive terms. The chair shall preside over the meetings of the college council, serve as its official representative to outside groups and with the secretary establish the agenda for its meetings. The secretary shall arrange and notify all members of college council of the meetings and shall keep and distribute minutes.

B. Standing Committees
Standing committees shall report to the College Council of the College of Arts and Sciences and make recommendations to the college council and/or dean of the college on all studies mandated to them by the University Council or the College Council of Arts and Sciences. All members of the College Council of the College of Arts and Sciences are eligible for appointment to standing committees.
Membership shall be constituted by appointment by the Executive Committee of the College Council to the standing committees.

The standing committees of the College of Arts and Sciences will be:

1. **Curriculum Committee**
   a. **Function**—The primary function of the curriculum committee is to review and make recommendations regarding curricular issues (majors, minors, certificates, and/or graduate programs) of departments and programs within the College. This would include:
      i. Reviewing proposals for new departments and programs (majors, minors, certificates, and/or graduate programs) that are mandated for study by University Council. Proposals for new departments and programs that are submitted to the University Council are mandated to the College Council of the College of Arts and Sciences when relevant to the College. Recommendations are made to the CA&S College Council and then reported to the University Council.
      ii. Conducting reviews of recently implemented programs (departments, majors, minors, certificates and/or graduate programs) within the College as directed by the University Council, based upon progress reports provided by the program chair or director. The results of these reviews are reported to the CA&S College Council and then forwarded to the University Council.
      iii. Reviewing proposed curricular changes in existing departments and programs (majors, minors, certificates, and/or graduate programs) within the College that impact other departments. It is the responsibility of the department seeking curricular changes to submit their proposal, along with the rationale for the requested review, to the CA&S College Council. Following review by the Curriculum Committee, this body will report back to the CA&S College Council with recommendations to the Dean of the College, and, upon approval, communicate these recommendations to the impacted departments.
      iv. Review of new interdisciplinary (currently designated INT) course proposals within the College or course proposals that are otherwise not subject to review in any given program (majors, minors, certificates, and/or graduate) or any other academic review board/committee. The individual proposing such a new course will submit the proposal (including a course description, sample syllabus, and a rationale for the course) to the CA&S College Council for review by the Curriculum Committee, who will consult with departments and programs as necessary. A final report on the academic merit of the course proposal, exclusive of resource feasibility, will be made to the Dean of the College and communicated to the individual who proposed the course.
   b. **Membership:**
      i. Membership of the curriculum committee shall be no less than four (4) and no more than eight (8).
      ii. Membership shall be three-year terms for faculty, with no more than one third of the faculty terms expiring each year.
      iii. Membership shall be constituted by appointment as of September 15 for the academic year and shall consist of:
         - A member of the Executive Committee to serve as liaison to the standing committee
         - An Associate Dean, CA&S, ex officio, appointed by the Dean
         - A minimum of one (1) representative from each division or unit within the College of Arts and Sciences (Humanities, Natural Sciences, Social Sciences, and Education) with representation being approximately proportional to the number of faculty in each division or unit.
2. Planning and Assessment Committee
   a. Function—The primary function of the planning and assessment committee is to aid the Dean of the College of Arts and Sciences in setting the long-range goals of the College and to address the more immediate objectives and means necessary to achieve those goals. This will include, but is not limited to, the following actions:
      i. Receive and review summaries of:
         • Divisional or unit assessment reports of departments and programs prepared by the Associate Deans of the appropriate divisions or units.
         • Assessments of department and program annual reports prepared by the Associate Deans of the appropriate divisions or units.
         • College annual report prepared by the Dean. (Access to original assessment and annual reports from departments and programs will be made available to the committee upon request.)
      ii. In consultation with the appropriate Associate Dean, made recommendations to departments and programs relevant to the convergence of stated goals for student learning and learning outcomes obtained.
      iii. In consultation with the Dean, evaluate and recommend means of achieving short-term, mid-range, and long-term goals of the College.
      iv. Report recommendations to the College Council and Dean, and when appropriate, the University Council.
   b. Membership:
      i. Membership of the planning and assessment committee shall be no less than four (4) and no more than eight (8).
      ii. Membership shall be three-year terms for faculty, with no more than one-third of the faculty terms expiring each year.
      iii. Membership shall be constituted by appointment as of September 15 for the academic year and shall consist of:
         • A member of the Executive Committee to serve as liaison to the standing committee
         • Associate Dean, CA&S, ex officio, appointed by the Dean
         • A minimum of one (1) representative from each division or unit within the College of Arts and Sciences (Humanities, Natural Sciences, Social Sciences, and Education), with representation being approximately proportional to the number of faculty in each division or unit.
   C. Special Committees
      All members of the College Council of the College of Arts and Sciences are eligible for appointment to special committees established by the executive committee to research and prepare reports on matters selected by the college council or mandated by the University Council for study.

Article IV—Meetings

1. The executive committee will at its first meeting in September set the dates of the monthly meetings of the council. As dictated by the nature and volume of its work, the executive committee shall determine the frequency of additional meetings as well as the duration of its meetings.
2. Special meetings may be called at the written request of one-tenth of the council membership, the dean, or the President of the university.
3. The agenda shall include any matter requested by the chair of the council, ten (10) members of the council or one-fourth of the members of the executive committee. New business may be considered upon the request of any member present at the council meetings, but may not be voted upon at that meeting.
4. All members of the CA&S College Council shall be given notice of all meetings and may attend with full rights of discussion. When a quorum of the members of the council are present, their vote shall be definitive. Otherwise, the vote of the executive committee shall be definitive with members in attendance having the right of a consultation vote on motions as a means of giving the executive committee an expression of their opinion.

5. Any member of the council may make or second a motion.

6. At each regular meeting of the college council, the dean of the college shall have the opportunity to address the council briefly on matters of importance to the college, including but not limited to items on the council’s agenda.

7. The council in its proceedings will adhere to Roberts Rules of Order Revised.

Article V—Amendments

These bylaws may be altered, amended, or repealed in accordance with the Schools of the University statement.

Haub School of Business College Council Bylaws

[Adopted by the Haub School of Business College Council, April 25, 1996 and approved by the Board of Trustees October 18, 1996. Additional amendments were adopted by the Haub School of Business College Council November 14, 2017 and approved by the Board of Trustees February 23, 2018.]

Article I—Membership

All members of the faculty of the Haub School of Business shall constitute the membership of the Haub School of Business College Council, but only full-time tenure-track faculty whose primary responsibilities are non-administrative shall be eligible to vote.

Article II—Purpose

The council shall act as the primary legislative group in the college. Faculty involvement in the council is meant to institutionalize representative faculty participation in administrative deliberations and decisions which affect the faculty’s professional interests and the fundamental academic mission of the college. Faculty involvement in the college council shall not entail the assumption of any administrative responsibilities or the exercise of any administrative authority.

The college council shall also serve as the forum for:

• informing the faculty of issues and concerns in the college between full faculty meetings;
• advising the dean on college priorities;
• determining curriculum structure and reviewing proposals;
• advising the dean on resource and budgetary matters;
• recommending general policies for the college.

Article III—Committees

A. The Executive Committee

1. Membership—The membership of the Executive Committee of the Haub School of Business College Council shall be composed of one (1) elected representative from each department of the Haub School of Business.

2. Terms of Office—Representatives to the executive committee shall be elected for two (2) year terms. The terms shall run from May 16 to May 15 two (2) years later. A faculty member may
serve only two (2) consecutive terms of office.

3. Nomination and Election of Executive Committee Members
   a. Eligibility to Hold Office and Vote—All full-time tenure-track faculty who teach at least six (6) credit hours per semester shall be eligible for election to the executive committee and to vote. Faculty members on authorized leaves of absence and sabbaticals will not be eligible for election unless they specifically indicate, in writing, to the Dean of the Haub School of Business their willingness to serve.
   b. Elections—Each department shall elect a representative to the Executive Committee of the College Council on or before April 15 of an election year. All balloting shall be anonymous. The results of the election shall be made public in a timely manner. Election will be by a majority of votes cast.

4. Vacancy—In the event of a vacancy in the executive committee, a replacement to complete the remainder of the term shall be elected by the appropriate constituency following the general procedures stipulated in Section 3(b) above.

5. Chair and Secretary—The executive committee shall at its first meeting after election elect from its current membership a chair and a secretary. Each shall serve for a one (1) year term. The chair shall preside over the meetings of the college council, serve as its official representative to outside groups and, with the secretary, establish the agenda for its meetings. The secretary shall arrange and notify all members of college council of the meetings and shall keep and distribute minutes.

B. Committees—All members of the council are eligible for appointment to committees established by the executive committee to research and prepare reports on matters selected by the college council or mandated by the University Council for study. The chair of each such committee shall be appointed by the executive committee.

Article IV—Meetings

A. The Haub School of Business College Council shall meet in a town hall forum no less than once per semester. The Executive Committee will set the dates of meetings at the beginning of the academic year.

B. Additional meetings may be called by the chair of the executive committee, by any two (2) members of the executive committee, or at the written request of twenty (20%) percent of the faculty eligible to vote, on seven (7) days written notice.

C. The vote on all matters shall be on a one (1) person, one (1) vote basis with a simple majority of those present determining the outcome. Faculty not able to attend a college council meeting may vote by proxy with a member present at the meeting, with a limitation of one (1) proxy vote per member present.

D. All members of the Haub School of Business College Council shall be given at least seven (7) days written notice of all meetings.

E. The agenda shall include any matter requested by the chair of the council, five (5) members of the council or two (2) members of the executive committee. The agenda will be prepared by the executive committee and must be circulated in writing to every member of the council at least seven (7) days prior to the scheduled meeting. Faculty can then request revisions and amendments to the agenda by communicating in writing with the chair of the council.

F. New business may be considered upon the request of any member present at the council meetings but may not be voted upon at that meeting. New business requiring votes will be automatically placed on
the agenda for the next council meeting.

G. The chair shall regulate the business at the meeting, decide questions of order, and make a public declaration of every vote passed, and may prescribe rules of proceeding; but such rules may be altered by the voting members.

**Article V—Amendments**

These bylaws may be altered, amended, or repealed in accordance with the Schools of the University statement.

**Planning and Budgeting**

I. **Planning and Budgeting Committee**

[This resolution was adopted by the University Council on December 17, 2015 and approved by the President on January 20, 2016 replacing sections on Institutional Planning Committee and Budget Advisory Committee.]

The Planning and Budgeting Committee (PBC) will be advisory to the President on all matters related to strategic planning, prioritization, and resource allocation. The work of the Committee will strengthen the link between planning and budgeting in a way that promotes our institutional mission by enhancing academic quality and financial sustainability. Its work will have significant impact on important university decisions. The Committee shall operate under the guidance of the University mission, in good faith and in the interest of shared governance. Its members as well as those invited guests are afforded the confidentiality to speak freely and without judgment in the interest of enhancing the University community. Faculty and administrators shall be appointed for three-year staggered terms and the students for terms of one (1) year. Members may be reappointed.

**Committee Composition**

The PBC shall consist of twelve (12) members, which allows for subcommittees to divide the substantial amount of work involved. Each member shall consult with the necessary constituencies that he/she represents, among others, and bring that information to bear as needed for the committee’s work. Membership is composed of the following representatives from the University community:
- Five (5) full-time tenured or full-time tenure-track faculty members (4 elected by division, 1 appointed at-large by Faculty Senate)
- Senior Academic Officer (co-chair)
- Senior Finance Officer (co-chair)
- Senior Student Life Officer
- Senior Enrollment Officer
- Senior Advancement Officer
- One (1) student representative, usually the undergraduate student body treasurer
- One (1) staff member, usually at the director level, appointed by Administrative Staff Council
- Budget Director (AVP for Budget and Financial Planning) will staff the committee (non-voting member)
Membership

The Planning and Budgeting Committee (PBC) is intended to be a continuously functioning body. The terms of incumbent members shall not lapse until their respective replacements are duly elected or appointed, as the case may be.

Members should have the capacity to act impartially on behalf of the University community and with consideration of the University mission and the potentially confidential nature of discussions.

Faculty membership shall be for three (3) years with no more than half of the members departing in any given year (barring extenuating circumstances).

Faculty members shall be elected and/or appointed based upon their knowledge and understanding of issues related to planning and budgeting. In the interest of the University community, those faculty members standing for election or appointment to the PBC shall clearly state their qualifications for faculty consideration before election or appointment. By qualifications, the faculty member should possess related planning and budgeting experiences or certain expertise and/or knowledge that will enhance the overall function of the committee.

Members may stand for reelection or reappointment, as the case may be.

Should the need arise, an interim faculty member shall be recognized according to the method in which the member that he/she is replacing joined the committee (e.g., if a faculty member was elected, an interim member must also be elected).

Operating Principles

The following is a list of the principles that will guide the work of the Planning and Budgeting Committee. Exceptions to these principles may occur when timeliness of decisions is a factor, but any exceptions will be reported to the Committee at its next regular meeting.

1. The Committee will review the current strategic plans used by different constituencies (College of Arts and Sciences, Haub School of Business, Athletics, Information Technology, Enrollment, etc.) and offer recommendations regarding priorities to accomplish our academic mission. Major university planning and budgeting decisions will be discussed by the Committee before being finalized by the President and Board of Trustees. Discussions by the Committee will occur in a way that generates a significant impact by this Committee on the major university planning and budgeting decisions, including decisions on both the operating and capital portions of the annual budget and the three-year financial plan.

2. The Committee will review the key assumptions for the three-year financial plan and annual budget, particularly related to enrollment, tuition and fees, financial aid, salaries and benefits, etc., and offer recommendations. When a particular annual budget has been finalized and implemented and it contains a contingency reserve, the size and possible allocations of this contingency will be discussed by the Committee in a timely manner. Discussions by the Committee will occur in a way that generates a significant impact on the use of the contingency reserve.

3. The Committee will review the operating margin targets for the University as a whole, as well as the business plans for various units of the University. When the University’s annual budget has been finalized and implemented and it contains a targeted operating margin, the designated allocation of this margin and the related operating cash flow (e.g., capital expenditures, debt service, cash reserves, etc.) will be discussed by the Committee before implementation. Discussions by the Committee will occur in a way that generates a significant impact on the
margin allocation.

4. Wide communication and meaningful discussion of proposed planning and budget decisions throughout the entire University community will occur by various means. Written communications that are distributed in various ways as well as community meetings should be a part of a planning and budgeting communication plan. All minutes of Committee meetings and, where appropriate, copies of meeting presentation materials (excluding confidential information) and Committee recommendations will be posted on the Committee’s intranet website, which will be accessible to all members of the University community (password protected). Committee members should regularly report non-confidential information back to their respective constituencies.

5. Significant financial decisions that arise outside of the institutional and budgetary planning process shall be shared with the Committee. In order to allow the Committee in its advisory role to participate in these decisions, early notification is desirable. Even when early notification is not possible, notification will normally be given at least thirty (30) days in advance of approval and implementation by the University, with exceptions possible in unusual cases where time is of the essence. The Committee's definition of "significant" financial decisions is relative. Such decisions might include, but are not limited to, real estate purchases, new buildings and other capital investments, tuition increases, and large-scale University contracts. Although the financial value of a particular decision is relevant, the Committee will also give consideration to financial decisions that impact the mission of the University. In emergency situations where time is of the essence, a representative subset of the Committee (consisting of both faculty and administration) with a minimum of seven (7) members is sufficient.

6. Complete, transparent, and accurate communication of information is essential to the successful work of the Committee. To foster this communication, the Committee, in consultation with university administrators, will annually prepare a schedule of all “milestone” reports and other materials that it will require over the course of the given year. These reports will be shared with the Committee as soon as they are released, in order to keep members informed of ongoing budgeting and planning issues and to help prepare them for upcoming Committee meetings. Any significant deviations from these reporting procedures will be explained to the Committee in writing. A majority vote of the Committee may modify these reporting procedures at any time.

7. The university administration will provide members of the PBC with reports relevant to planning and budgeting on a timely basis. These documents should include but are not limited to the following:
   • the university strategic plan
   • quarterly financial reports, including a year-end comparison of actual results to the budget
   • a preliminary budget for an upcoming fiscal year (normally provided at the end of March or April)
   • an approved budget to be implemented for a given fiscal year (normally provided at the beginning of the fiscal year or at the end of September)
   • the University’s audited financial statement, compiled after the completion of a fiscal year (normally provided in October)
   • enrollment updates and projections
   • fall and spring census
   • planning and budgeting materials prepared for Board of Trustees meetings, as determined by the Committee

   Where appropriate, all budget scenarios in these reports should include a range of possible enrollment levels and tuition/room/board increases.

8. The University President has final authority over all planning and budgeting decisions, after consultation with the Committee.
II. Advisory Board on Faculty Compensation

[This statement was originally adopted by the University Council (formerly known as the College Council) on April 27, 1972, amended on September 28, 1972, and approved by the President on October 16, 1972. An additional amendment to the first paragraph was approved by the University Council on February 26, 1975, and by the President on May 23, 1975. Information relevant to the Advisory Board on Faculty Compensation contained in the Understandings for the Budget Advisory Committee which was ratified by the Executive Committee of the Board of Trustees at the same time as the Statement on the Budget Advisory Committee itself, on July 22, 1976[;], and was subsequently amended by the University Council on February 5, 1980, and approved by the President on February 19, 1980, including the Interpretations which accompanied the Understandings approved by the President on August 22, 1977, has been incorporated into this description of the role and function of the Advisory Board on Faculty Compensation.]

The agency which shall represent the faculty in university decisions involving the compensation of faculty members shall be called the Advisory Board on Faculty Compensation. It shall consist of seven (7) members; four (4) elected by the ranked faculty as follows: one (1) representative of the Professors, elected by the Professors; one (1) representative of the Associate Professors, elected by the Associate Professors; one (1) representative of the tenured Assistant Professors, elected by the tenured Assistant Professors; and one (1) representative of the probationary Assistant Professors and Instructors, elected by the probationary Assistant Professors and Instructors; and one (1) member selected or elected from each of the following: the local chapter of the American Association of University Professors, the Executive Council of the Faculty Senate, and the standing committee on Faculty Policies and Procedures of the Faculty Senate.

[Nominees for the elected representatives of a given rank shall be made in accord with procedures determined by the Faculty Senate. Members of the Advisory Board on Faculty Compensation shall be elected for two-year terms. The representatives of the faculty ranks shall be elected in odd-numbered years and the representatives of the organizations in even-numbered years.

The Advisory Board on Faculty Compensation shall sit with the senior academic officer, the academic deans, and other university officials to discuss fully and freely questions related to faculty compensation. The Advisory Board on Faculty Compensation shall supply a faculty input before decisions are made (i.e., as an integral part of the process preparatory to making final decisions) regarding:

• the total amount of funds allocated for increments in faculty compensation,
• the distribution of this amount between salary increments and fringe benefit improvements,
• the distribution of the amount for salary increments between regular and merit increments and among the different academic ranks, and
• any other matters related to the distribution of increments in salary compensation.

The Advisory Board on Faculty Compensation shall not participate in the determination of individual faculty salaries. However, the board shall have the option to recommend guidelines for determining individual salaries.

To make adequate recommendations, the administration shall grant to the Advisory Board on Faculty Compensation access to pertinent financial information about the university.

The Advisory Board on Faculty Compensation shall, in preparation for its meetings with the administration, collect input from the faculty by calling an open hearing in the fall term or by other means. It shall report to the faculty at the first meeting of the Faculty Senate held immediately following the issuance of annual letter of appointment. The Advisory Board on Faculty Compensation shall operate within the context of the Model for Financial Planning and its accompanying Understandings and Interpretation.]
Accordingly, at an appropriate time in the budgetary process (but a reasonable length of time before
the budget is finalized), the university administration shall make a definite proposal with respect to faculty
compensation to the Advisory Board on Faculty Compensation. The senior academic officer, who has the
responsibility for developing the budget proposal for the academic area, shall make this faculty
compensation proposal on behalf of the administration. This proposal shall not be construed as the
proposal of the President, nor as having presidential approval.

The Advisory Board on Faculty Compensation may also make a proposal for faculty compensation. If,
after discussion and review, a single proposal is agreed upon, this shall be forwarded to the Budget
Advisory Committee, with full supporting documentation. This procedure does not in fact constitute a
negotiation process and may not be interpreted as such. If no agreement is reached, the proposals of both
the Advisory Board on Faculty Compensation and the administration shall be forwarded to the Budget
Advisory Committee, with full supporting documentation. In either case, representatives of the
administration and the Advisory Board on Faculty Compensation shall have the opportunity for full and
free discussion with the Budget Advisory Committee, prior to the committee’s final consideration of the
budget. Any proposals of the administration or of the Advisory Board on Faculty Compensation, even if
agreement is reached, may be changed by the Budget Advisory Committee, by the President, or by the
Board of Trustees.

Academic Freedom and Academic Tenure

Statement on Academic Freedom and Academic Tenure

[This Statement was approved by the University Council (formerly known as the College Council)
on May 26, 1966, by the General Assembly on June 3, 1966, and subsequently by the President
and the Board of Trustees. Subsequent changes are indicated at the appropriate places in the text.
For purposes of clarity, section B 5 of the statement is presented separately in this handbook under
Dismissal Procedures.]

A. Academic Freedom

The purpose of this statement is to promote public understanding of and support for academic freedom
and tenure and agreement upon procedures to ensure them at this university. Institutions of higher
education are conducted for the common good and not to further the narrow interests of either the
individual faculty member or the institution itself. The common good depends upon the free search for
truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research.
Academic freedom in research is fundamental for the advancement of truth. Academic freedom in
teaching is fundamental for the protection of the rights of the faculty member to freedom in teaching and
of the student to freedom in learning. Academic freedom carries with it duties correlative with rights.

1. Faculty are entitled to full freedom in research and in publication of results, subject to the adequate
   performance of their other academic duties; but compensated research and consultation by full-
time faculty shall be subject to approval by the university.

2. Likewise, faculty are entitled to freedom in the classroom in discussing their subjects, but they
   should not deliberately inject into their teaching controversial matter which has no proper relation
to the subject. Limitations of academic freedom because of religious or other aims of the
   institution should be clearly stated in writing at the time of appointment.

3. University faculty are citizens, members of learned professions, and officers of an educational
   institution. When they speak or write as citizens, they should be free from institutional censorship
or discipline; but their special position in the community imposes special obligations. As persons of learning and educational officers, faculty should remember that the public may judge the profession and the institution by their utterances. Hence faculty should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, should refrain from giving any impression that they are institutional spokespersons, and should make every effort to indicate that they are not speaking for the institution.

[Section 4 is excerpted from the University Mission Statement adopted in May, 1998.]

4. Saint Joseph’s University is a Catholic and Jesuit university that instills in each member of its academic community: a love of learning and of the highest intellectual and professional achievement; moral discernment reflecting Christian values; and a transforming commitment to social justice. For this University, Christ and the Church are sources of truth, guides and inspirations for life. Catholic values are normative, including: full respect for the freedom of conscience of each person, freedom in research and teaching according to one’s discipline, and the continuous pursuit of truth, human rights, and the common good. The university welcomes all faculty to participate fully in the university’s intellectual, cultural, and spiritual life. [Change adopted at the University Council meeting of May 13, 1999.]

B. Academic Tenure
   1. The Objectives of Academic Tenure
      Academic tenure is a means to certain ends; specifically, to freedom of teaching and research and of extramural activities; and to a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and society.

   2. The Meaning of Tenure
      Tenure is the permanent and continuous employment of a faculty member until he/she voluntarily retires. Only the ranks of Professor, Associate Professor, Assistant Professor, and Instructor shall carry eligibility for tenure. The services of a tenured faculty member can be terminated only for adequate cause in either of the following categories:
      a. The university may be released from the obligation of tenure in case of an extraordinary financial emergency or changes in the educational program of the university. If, for such a reason, the university should find it necessary to dismiss any tenured faculty member, the university will first dismiss those members of the faculty with the least number of years of service at this university, but with due consideration being given to the essential needs of each department. In situations wherein members of the faculty have the same length of service, the university will dismiss those who have the lowest academic rank. The university shall make a conscientious effort to use the services of such a member in some other department or capacity for which he/she has the necessary qualifications. If the services of the member of the faculty so dismissed cannot be used in any other department at the time of dismissal, the university shall make a conscientious effort to give first consideration for any new position to be filled in the future for which he/she may have the necessary qualifications, at the rank held when dismissed; and with reappointment the faculty member will have tenure. Termination of a continuous appointment because of financial exigency or a change in the educational program shall be demonstrably bona fide.
      b. The university may be released from the obligation of tenure in case of prolonged mental or prolonged physical incapacity (defined as an incapacity which is expected to continue indefinitely beyond an academic or a calendar year), incompetence in teaching, moral turpitude, or failure to maintain a standard of life and academic conduct consistent with the philosophy and objectives of the university.
When the dismissal or suspension of any tenured faculty member with tenure is being contemplated or has occurred, for any reason, the faculty member shall have the right to use the mechanisms described in the section on dismissal procedures.

3. Requirements and Conditions for Acquisition of Tenure

A. The Probationary Period

i. Beginning with appointment to the rank of full-time instructor or higher, the probationary period shall not exceed six (6) years, including within this period full-time, tenure-track service in all institutions of higher education.

ii. Ordinarily, candidates with ranked faculty service at another institution may have no more than three (3) years of full-time, tenure-track service credited towards tenure eligibility at Saint Joseph’s University. If a faculty member wishes to have more than three (3) years of prior full-time, tenure-track ranked service credited towards tenure eligibility, the faculty member must at the time of hiring petition the Board on Rank and Tenure for a recommendation to the Chief Academic Officer that an exception be made to this policy.

iii. In all cases, the Chief Academic Officer shall issue a letter with the initial letter of tenure-track appointment that states how many years of prior service, if any, shall be credited towards tenure eligibility and in what year the faculty member must come under tenure review. Normally, years as a visiting faculty member and/or on a non-tenure track line shall not be counted as years toward eligibility for tenure. In rare cases where they are, this shall be determined at the time the initial letter of tenure-track appointment is issued by the university. The decision to grant this exception is subject to approval by the Board on Rank and Tenure. The President of the university grants tenure and shall inform the faculty member in writing that tenure has been granted.

iv. During the probationary period a faculty member should have the academic freedom that all members of the faculty have.

v. Notice should be given at least one (1) year prior to the expiration of the probationary period if the faculty member is not to be continued in service after the expiration of that period.

b. Criteria for Tenure Decisions

Although a faculty member need not apply for tenure, he/she must not assume that tenure is granted automatically at the expiration of the probationary period. Determination in this matter is by faculty action through the departments and through the Board on Rank and Tenure, reviewed by the President with the concurrence of the Board of Trustees. The Board on Rank and Tenure is
responsible for the recommendation or non-recommendation of tenure based on the following criteria:

i. The candidate must hold an appropriate terminal degree. A majority of the members of the Board on Rank and Tenure may waive this requirement, but only on the recommendation of the department chairperson and the appropriate dean.

ii. The candidate must be a proficient teacher. The candidate’s department shall have the responsibility to provide an evaluation of teaching performance. This evaluation shall include systematically collected evidence of student opinion as well as the judgments of tenured departmental colleagues (if any). The Board on Rank and Tenure may supplement this departmental report with additional information presented by the candidate.

iii. The candidate for tenure must demonstrate growth potential as a productive scholar and a professionally active person who commands the respect of colleagues in the field, both within and beyond the university.

iv. The candidate for tenure must demonstrate service within the university community and its constituencies.

v. In evaluating the candidate for tenure, the board will consider, inter alia, the relevant provisions and criteria in the sections of this handbook on "Evaluation and Review" and "Faculty Responsibilities."

vi. The tenure decision shall not be governed solely by individual qualifications. Appropriate weight shall also be given to such institutional considerations as the need to maintain a reasonable degree of academic flexibility. No quota or percentage system which fails to allow for the needs of particular departments shall be introduced.

Academic Appointment and Rank

Statement on Rank

(This Statement was approved by the University Council (formerly known as the College Council) on January 23, 1967, by the General Assembly on February 16, 1967, and subsequently by the President and the Board of Trustees. Additional revisions were adopted by University Council on May 21, 1992. Additional amendments are noted at the appropriate places in the text of the document.)

The faculty of this university are designated by the following academic ranks:
• the tenurable academic ranks of Professor, Associate Professor, Assistant Professor, and Instructor; and
• the non-tenurable ranks of Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, Visiting Instructor, Lecturer, Assistant Instructor and Laboratory Coordinator.

Only the tenurable ranks carry eligibility for participation in the policy and advisory functions of the corporate faculty.

(Amendments to the Section on Appointment were approved by University Council December 15, 2005 and approved by the President February 2, 2006.)

Statement on Appointment

Tenure-track faculty will be appointed to a home department in which they possess all rights and responsibilities. They may have a dual appointment, which involves a secondary department or program in which their rights and responsibilities are determined at the time of their initial appointment as a result of negotiation between them and the department(s) or program(s) and are accorded in their letter of
appointment and subject to the approval of the appropriate dean or deans and the chief academic officer. Normally, to have a dual appointment faculty should teach at least 50% of their teaching load in their secondary department or program. In university governance, dual appointment faculty will represent only their home department and division. If the secondary department has a different pay scale, they are entitled to that scale for the courses or equivalent work that they do in that department. Faculty with dual appointments who will be seeking tenure or promotion will negotiate at the time of initial appointment the role of the secondary department in the faculty’s review and evaluation, subject to the approval of the appropriate dean and the chief academic officer. These also will be recorded and forwarded to appropriate deans. Normally, to hold and to continue in a dual appointment a faculty member must teach 50% of load per year in the secondary department in order to exercise the negotiated rights. Disputes about these rights are to be settled by the Chief Academic Officer in consultation with the respective departments.

I. The Tenurable Academic Ranks

[The following paragraph amending the statement was approved by University Council on May 17, 2016 and approved by the President on July 26, 2016]

Tenurable academic rank is granted by letter of appointment, upon the decision of the President on the recommendation of the Board on Rank and Tenure, to faculty who meet the stated qualifications for the specific ranks, have service in teaching and research at the level of higher education and maintain a primary professional affiliation with this university. The terms “full-time ranked teaching” or “full time ranked service,” as used in the handbook, refer only to years of tenure track teaching whether at Saint Joseph’s University or at another academic institution. Exceptions to this are covered in B.3.a.iii of the statement on Academic Freedom and Academic Tenure. Full-time teaching is defined as a minimum of six credits of teaching (most often equated as 2 courses) per semester. A faculty member who has been granted a leave of absence for reasons of professional development (c.f. Faculty Benefits.I), assigned an alternative work assignment for reasons of family/medical concern (c.f. Faculty Benefits.II), or granted release time for research may petition his/her department chair, in consultation with the appropriate dean and chief academic officer / provost, to have this time credited towards full-time teaching for the purposes of tenure and promotion, as defined below. For good and extraordinary reasons, and upon the approval of the department chair, the appropriate dean, and the Chief Academic Officer / Provost, a faculty member who has a teaching load reduced to three credits for other reasons (i.e., not specifically for the purpose of professional development that benefits one’s teaching) may have this counted towards fulfilling the requirements for full-time teaching for purposes of promotion, but not for purposes of tenure.

A. Degree and Educational Requirements for Rank

1. Purpose
   The purpose of establishing degree and educational requirements is to ensure a minimum standard of scholarship in candidates for appointment to or advancement in rank. The degree (or other proof of formal education) offered as evidence of scholarship should, therefore, represent concentrated study and research in the candidate’s major teaching field.

2. Definition of Degrees
   a. Master’s Degree
   The term, “master’s degree,” used hereafter, is intended to represent the ordinary American master’s degree, post-baccalaureate study identified by the university department where it has been carried on as equal in quantity and quality to that associated with a master’s degree, or, where appropriate to the teaching field, a first professional degree.
b. Doctor’s Degree
The term, "doctor’s degree," is intended to represent the level of scholarship associated with the ordinary American Ph.D.; other doctorates offered as minimum evidence of scholarship will be measured against this benchmark to determine to what extent they match, fail to match, or surpass it.

3. Degree Qualifications
The establishment of degree qualifications for rank is not intended automatically to exclude from the higher ranks faculty who do not possess the doctor’s degree. Since the purpose of the degree and educational requirements is to ensure a specified level of scholarship in the major teaching field, the candidate for promotion or appointment may offer other evidence of relevant scholarship. It is recognized that, in some fields, the doctor’s degree is not the usual evidence of professional competence. In such fields, identified by the Board on Rank and Tenure, the appropriate master’s degree, combined with the highest professional certificate and significant contributions to the literature of the field, may be offered as an equivalent. While possession of an appropriate degree or attainment of a specified level of formal educational training does not of itself entitle a candidate to higher rank, it does automatically satisfy one (1) requirement for promotion. The equivalences described above, where established, apply only to this degree or formal education requirement.

4. Equivalency Requests
Any faculty member may request from the Board on Rank and Tenure an evaluation of his/her claim to a degree equivalence. In all such cases the burden of proof shall be on the petitioner. Any such requests received before May 1 will be processed before December 15 of the same year. Where appropriate, recommendations will be made on further steps which might be taken to establish degree equivalence.

B. Basic Criteria for Tenurable Academic Rank
For initial appointment to one of the tenurable academic ranks, candidates must meet the following requirements. For initial appointment to the ranks of Associate Professor or Professor, candidates must be reviewed by the Board on Rank and Tenure using the evaluative criteria described in the sections on Academic Rank and Evaluation and Review.

The basic criteria for tenurable academic ranks are as follows:

1. Instructor:
Possession of an appropriate master’s degree in the individual’s field or discipline, or its equivalent, from an accredited institution. Full-time faculty at the rank of Instructor who complete their doctorates will be immediately promoted to Assistant Professor.

2. Assistant Professor:
Except in unusual circumstances, possession of a doctorate in the individual’s field or discipline, or its equivalent, from an accredited institution.

3. Associate Professor:
Except in unusual circumstances, possession of a doctorate in the individual’s field or discipline, or its equivalent, from an accredited institution.

A faculty member is eligible to be reviewed for promotion to Associate Professor during his/her sixth year of full-time ranked teaching or any time thereafter. The faculty member must complete at least ten semesters of full-time, ranked teaching before s/he applies for promotion. The only exceptions are

i. if the Board of Rank and Tenure has granted the faculty member advanced standing at the time of her/his hire (c.f. Section B.3.a.iii of the statement on Academic Freedom and Tenure),
ii. if the faculty has been granted an alternative work assignment for reasons of family/medical concern or a leave of absence (c.f. Faculty Benefits I, II) and, additionally, has successfully petitioned his/her department chair, in consultation with the appropriate dean and chief academic officer / provost, to credit this time, up to a maximum of two academic semesters, towards full-time ranked teaching, or when a faculty member teaches less than six (6) credit hours, but no less than three (3) credit hours, per semester for reasons of release time for duties such as serving as department chair, endowed chair, program, grant or institute director, Jesuit community Rector, or release time for research or a research grant.

In these instances the faculty will have this time count towards the promotion clock.

If promoted, the promotion would be effective for the following academic year. The application for promotion to Associate Professor is not linked to the application for tenure. These are two separate processes. The candidate may elect to apply for both simultaneously or may decide to seek promotion at a later time. (Adopted at the University Council meeting of May 13, 1999.)

This in no way implies automatic promotion to Associate Professor after 6 years of full-time tenure-track ranked college teaching experience. A candidate must complete ten semesters of full-time, ranked teaching before s/he applies for tenure. The only exceptions are

i. if the Board of Rank and Tenure has granted the faculty member advanced standing at the time of her/his hire (c.f. Section B.3.a.iii of the statement on Academic Freedom and Tenure,

ii. if the faculty has been granted an alternative work assignment for reasons of family/medical concern or a leave of absence (c.f. Faculty Benefits I, II) and,

iii. additionally, has successfully petitioned his/her department chair, in consultation with the appropriate dean and chief academic officer / provost, to credit this time, up to a maximum of two academic semesters, towards full-time ranked teaching, or

iv. if a faculty member teaches less than six (6) credit hours, but no less than three (3) credit hours, per semester for reasons of release time for research and has successfully petitioned his/her department chair, in consultation with the appropriate dean and chief academic officer / provost, to credit this time, up to a maximum of two academic semesters, towards full-time ranked teaching.

In these instances the faculty will have this time count towards the tenure clock.

[The following paragraph amending the statement was approved by the University Council on April 26, 1983, and by the President on May 2, 1983.]

Faculty members with twenty years or more of full-time, tenure-track ranked teaching and who are tenured shall be eligible for promotion to the rank of Associate Professor without the ordinary requirement of a doctorate. Such candidates for promotion to Associate Professor must satisfy the other requirements.

4. Professor:
Possession of a doctorate in the individual’s field or discipline, or its equivalent, from an accredited institution.

A faculty member is eligible to be reviewed for promotion to full Professor during his/her tenth year of full-time ranked teaching or any time thereafter. Faculty who are on sabbatical may count such time towards the ten-year requirement. Faculty who teach less than six (6) credit hours, but no less than three (3) credit hours per semester for reasons of release time for duties such as serving as department chair, endowed chair, program, grant or institute director, Jesuit community Rector, or release time for research will have this time count as well. An alternative work assignment for
reasons of family/medical concern and/or leaves of absence do not count unless the faculty has successfully petitioned his/her department chair, in consultation with the appropriate dean and chief academic officer / provost, for some or all of this time to be credited towards full-time teaching. In the rare instance that the candidate for Professor has been granted leaves of absence during his/her probational and associate professor years, s/he may petition to have more than two semesters of this time credited towards full-time teaching. If promoted, the promotion would be effective for the following academic year. This in no way implies automatic promotion to the rank of full Professor after ten (10) years of full-time, tenure-track ranked college teaching experience. (Adopted at the University Council meeting of May 13, 1999.)

II. Non-tenurable Ranks

[This portion, Section (B)II, is a revised version approved by the University Council (formerly known as the College Council) on April 8, 1980, and by the President on May 8, 1980.]

A. Definition of Non-tenurable Ranks

All non-tenurable faculty shall be assigned to one of the following special ranks:

1. **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor**— These ranks are assigned to non-tenurable faculty holding full-time temporary appointments who meet the general standards for Instructor, Assistant Professor, Associate Professor, or Professor, respectively. In addition, non-tenurable faculty associated with foreign institutions or possessing relevant practical experience of unusually high quality, who hold full-time or part-time temporary appointments, may be assigned the rank of Visiting Professor.

2. **Lecturer**—This rank is ordinarily assigned to non-tenured faculty holding part-time temporary appointment who conduct independent courses. Lecturers shall be nominated by the chair of the appropriate department and approved by the appropriate dean.

3. **Assistant Instructor or Laboratory Coordinator**—These ranks are assigned to those who, under close supervision, assist in the course of a faculty member of higher rank; for example, in quiz sections or laboratories. Assistant Instructors or Laboratory Coordinators shall be appointed at the discretion of the appropriate dean in consultation with the chair of the department.

B. Conditions of Appointment to Non-tenurable Rank

[This portion, Section B, originally approved by the University Council (formerly known as the College Council) on September 8, 1980, and by the President on November 11, 1980, was amended by the University Council on October 23, 1984, and approved by the President on October 31, 1984, and further amended on May 13, 1999.]

1. **Definition**

Non-tenurable faculty on term appointments are those whose terms of employment set a specific time limit, not to exceed one (1) year, to their association with the university; who do not hold one of the tenurable academic ranks; and whose service is not being applied towards tenure. Faculty on term appointments are not excluded from subsequently being considered for a tenure track appointment. [Amendments on Term Limits for Visiting Faculty were approved by University Council February 16, 2006 and approved by the President March 14, 2006.]

2. **Full-time Visiting Faculty**

Each department should define its policy and practice of appointment of full-time visiting faculty members (teaching three (3) or four (4) courses per semester), keeping in mind compliance with equal opportunity / anti-discrimination standards. No visiting faculty member shall teach more than two (2) semesters without having his/her appointment reviewed by the tenure-track faculty members of the department to which they are appointed and the appropriate academic dean. In
general, term faculty appointments will be limited to a maximum of four years full-time employment, in keeping with the principles of the tenure system and to ensure fairness between the conditions of visiting and tenure-track faculty employment. However, there may be cases where, for sound academic reasons, a department feels it necessary to continue the full-time employment of a visiting faculty member past the four-year period. In such cases, the department may petition the appropriate academic dean, who, in consultation with the senior academic officer, will make decisions on a case-by-case basis.

3. Application of the Appeals Procedure
Expiration of a full-time visiting appointment upon reaching the four-year limit shall not be considered sufficient grounds for invoking the appeals procedure specified in the statement on "Appeals Procedures for Non-Reappointment or Denial of Tenure." Non-tenurable faculty may invoke the appeals procedure for non-reappointment specified in the section on Separation and Appeals Procedures if they allege matters violative of academic freedom were responsible for their non-reappointment or dismissal.

4. Rights and Duties
Unless other duties are clearly specified as part of the teacher’s obligations as spelled out in the letter of appointment, faculty on term appointments do not have any additional responsibilities beyond teaching the classes assigned by the department chair. Visiting appointments do not confer any rights of seniority or of participation in the university governance structure. Where particular expertise or experience makes it appropriate, however, visiting faculty may be invited to attend departmental meetings, advise students, participate in the work of committees, or contribute in other ways.

5. Benefits
Faculty on term appointments are not entitled to the usual faculty benefits, except that full-time visiting faculty shall be given the regular health, sick time, and short term disability benefits extended to ranked faculty.

III. Emeritus or Emerita Status

[This Statement was approved by the University Council (formerly known as the College Council) on April 27, 1972, and by the President on July 7, 1972, with some editing to reflect additional privileges currently extended.]

Upon retirement, the title "Professor Emeritus" or "Professor Emerita" shall be bestowed automatically upon all Professors (or principal officers of academic administration who simultaneously hold the rank of Professor) who have completed at least ten (10) years of full-time service at the university prior to their retirement, on all Associate Professors who have completed at least fifteen (15) years of full-time service, and on all Assistant Professors who have completed at least twenty (20) years of full-time service. Newly appointed emeriti and emeritae shall be recognized by special mention at the commencement exercises.

Emeriti and emeritae shall be entitled to listing in the appropriate catalog, complimentary membership in the athletic and recreational complex, a complimentary parking permit, access to all university facilities, borrowing privileges in the library, and invitations to academic convocations and processions. They shall be eligible for tickets to athletic and other events on the same basis as active faculty members. As long as they remain active as productive scholars, as determined by a majority of department members, emeriti and emeritae shall be provided the usual services available to department members, including office space as available.


Evaluation and Review

I. Statute of the Board on Rank and Tenure

[This Statute was approved by the University Council on May 12, 1987, by the President on August 5, 1987, and by the Board of Directors on September 18, 1987. Additional revisions were adopted by University Council on May 21, 1992, April 19, 2007, Nov. 20, 2008, and May 21, 2009.]

A. In all its actions, the Board on Rank and Tenure shall be guided by the Statement on Academic Freedom and Academic Tenure, the Statement on Rank, and any other statement of policy pertaining to rank or tenure decisions which the university may subsequently adopt and approve. Composition

The Board on Rank and Tenure shall consist of nine (9) members: the senior academic officer, ex officio, as chair; six (6) tenured faculty members elected by the tenure track faculty; and two (2) tenured faculty members appointed by the President. Presidential appointments shall exclude faculty members who have served at the university for less than one (1) year. The senior academic officer shall vote only in the event that his/her vote is necessary to break a tie. A senior academic officer, who has been a member of the faculty or of the administration for less than one (1) full year from the date of initial appointment, shall not have the right to vote.

B. Service Eligibility

Only tenured full-time faculty holding the rank of Professor or Associate Professor, with at least two years of service at the university, who are teaching full time (see definition of full time teaching on page 1) each semester are eligible for election or appointment to the board; however, this provision is not meant to exclude tenured faculty teaching less than full time for reasons of release time for duties such as serving as department chair, endowed chair, program, grant or institute director, Jesuit community Rector or release time for research or a research grant. Should a regularly elected member of the board cease to meet the above conditions or resign, a special election shall be held to fill the remainder of that member’s term.

No one may serve on the board who simultaneously serves on any other group that can officially review the decisions of the board. No academic department may have more than one (1) representative on the board.

C. Terms of Service

The six (6) regularly elected faculty members shall serve three-year terms. Each year, the terms of two regularly elected members shall expire. In order to ensure a regular rotation of personnel on the board, regularly elected members may not immediately succeed themselves. The two (2) appointed faculty members shall serve one-year terms. Members who hold seats through appointment or special election may succeed themselves, either by election or appointment.

D. Representational Distribution

Since the function of the Board on Rank and Tenure is judicial, its members should be chosen primarily on the basis of their perceived competence and their capacity and willingness to judge without fear or favor. The tenure track faculty shall elect one (1) member of the board from each of the four (4) disciplinary divisions (Humanities, Natural Sciences and Mathematics, Social Sciences, and Business) and one (1) member of the Board at-large from each of the two (2) colleges (College of Arts and Sciences and the Haub School of Business).
E. Voter Eligibility
The Executive Council of the Faculty Senate shall have the responsibility for devising an election plan which will implement these objectives while also respecting the integrity of the terms of office of the elected incumbents. All tenure track faculty who teach at least six (6) credit hours per semester and who have completed at least two (2) years of full-time service at the university are eligible to participate in electing members to the board.

F. Departmental Guidelines for Faculty Evaluation
To afford the opportunity for departments to articulate and clarify their specific expectations within the framework of the Faculty Handbook each department develops written standards for Rank & Tenure that are submitted by the department to their respective Dean of the college and to the Board of Rank & Tenure for review. Departments should first submit their guidelines to their Dean for review and approval. Any issues arising from this review must be resolved between the department and the Dean before submitting the department’s guidelines to the Board of Rank & Tenure for their review. When the Dean is in concurrence with a department’s guidelines, the Dean will submit these guidelines to the Board of Rank & Tenure for their review and approval. If the Board of Rank & Tenure has any issues with a department’s guidelines, the Board will provide written feedback to the department and the Dean with explicit recommendations for changes that the department should make. Departments are expected to make the recommended changes or provide compelling reasons to the Board for not making them. The Provost will resolve disagreement between the Board and the Department and Dean that cannot be settled by these means.

• Format of Departmental Guidelines
  • Each department should create and submit a document that follows the following format:
    • A Preamble where the department acknowledges that the Faculty Handbook remains the final authority regarding policy and procedures pertaining to pre-tenure, tenure and promotion evaluations.
    • Acknowledgement that it is always the candidate’s responsibility to provide an account of how his/her dossier satisfies the requirements stated in the Handbook.
  • Each department will discuss and define its particular and specific criteria and anticipated proficiencies within the framework of the handbook relative to:
    • Pre-Tenure Review Teaching, Scholarship, and Service
    • Tenure Decision Teaching, Scholarship, and Service
    • Promotion to Associate Professor Teaching, Scholarship, and Service
    • Promotion to Professor Teaching, Scholarship, Service, and Leadership

• Departmental Consensus on Departmental Rank & Tenure Guidelines
  • Department Guidelines must report the votes of all current tenure-track full, associate and assistant professors and this vote must reflect a majority of faculty approving the guidelines (when faculty are on sabbatical and not available to vote, this must be so documented). The Department Chair when submitting the Departmental Guidelines document to the Dean and BRT must report this vote and the date it was taken on the first page of the guidelines document.
  • All departments will review their Departmental Guidelines on a three-year cycle, beginning Fall, 2012. The process for revision to Departmental Guidelines will follow the same procedure outlined above.
  • If a majority of departmental tenure-track faculty is of the opinion to make no change(s) to the Departmental Guidelines during the periodic review, the Department Chair must report this fact as well as the vote of qualified faculty and the date of the vote.
Departmental Guidelines are submitted to the Deans by June 1, for review, every three years unless the department makes no changes.

- If the Dean requests changes be made to Departmental Guidelines, The Dean must respond back to the department by September 1st of the same calendar year.
- Upon the approval of departmental guideline by the Dean, the Dean will submit the Departmental Guidelines to the Board of Rank & Tenure for their review and approval. Any questions or issues that the Board of Rank & Tenure has that arise from their review of a department’s guidelines will be discussed with the Dean and the Department to obtain their resolution so as to secure the Board of Rank & Tenure’s acceptance of the Departmental Guidelines by October 15th. Priority for resolution of guideline issues will be given to departments with candidates seeking during that academic year.
- The Provost will resolve any outstanding issues between academic departments and the Deans and Board of Rank & Tenure by October 15th of that same year. When issues occur between departments and the Dean and/or Board of Rank & Tenure, the department should be prepared to provide tangible documented evidence from their field that substantiates their assertions.
- Departments must provide a copy of the current approved Departmental Guidelines to all faculty members in the department as well as to new tenure track faculty upon their assuming their positions at Saint Joseph’s.

II. Faculty Evaluation Procedures

[The following statement, adopted at the Faculty Senate meeting of December 8, 1983, as the Faculty Senate’s position in response to an administration proposal on procedures for evaluation of faculty, was subsequently accepted by the academic deans as a joint position. Additional revisions were adopted by University Council on May 21, 1992.]

The primary purpose of faculty evaluation is to ensure that tenure and promotion decisions are made in a way that is fair to the faculty member, to students, and to the university. Another purpose is to help improve the quality of faculty performance.

An effective system of faculty evaluation will seek to keep the entire process, including the review of performance and the accumulation of records, within reasonable limits of time and space. No faculty member, including the department chair, should become so burdened with the process of evaluation and the accompanying paper work that his/her teaching and research are impaired.

A. Areas of Evaluation

[This Section was amended by University Council on December 15, 2016, and approved by the President on January 23, 2017.]

In all instances of faculty evaluation, annual reviews, pretenure reviews, tenure reviews and promotion, faculty will be evaluated in three (3) areas: teaching effectiveness, scholarly productivity and service activities.
1. **Teaching**—The university recognizes the preeminence of teaching in its mission. Proficiency in teaching is, therefore, required for membership in its faculty, and excellence in teaching will be given appropriate weight.

2. **Scholarship**—At this university, encouragement of scholarly activity is primarily rooted in commitment to good teaching. For his/her teaching to remain vital, a faculty member must be involved in the intellectual and scholarly development of his/her field. Generally accepted as evidence of such involvement are published contributions to the scholarship of the field or, where appropriate to the teaching field, peer and/or expert reviewed community-engaged scholarship, creative work in music, drama, the plastic arts, or literature. Appropriate weight will be given to active participation in professional societies and to scholarship which wins widespread recognition for its high quality.

3. **Service**—In addition to their professional responsibility for promoting knowledge in their particular disciplines, faculty members are also responsible for increasing the high quality and efficiency of the university and helping to serve its constituencies and the external community. Distinguished contributions in these areas to the improved functioning of the university merit recognition and will be given appropriate weight.

B. **Evaluative Criteria**

[This Section was amended by University Council on April 18, 2002, and approved by the President on July 3, 2002. Additional amendments were approved by University Council February 16, 2006 and approved by the President March 14, 2006, and on September 18, 2008 and approved by the President on October 2, 2008.]

1. **Evaluation of Teaching**

   Appropriate evidence for the purpose of evaluating teaching effectiveness includes, but is not limited to, the following items. While the faculty member may provide additional evidence, failure to do so cannot be construed as detrimental to the faculty member.

   **Primary Indicators of Teaching Effectiveness**
   - Peer evaluations (see below for elaboration)
   - Study for the development of course materials
   - New courses taught or new approaches to previously existing ones
   - A critical self-evaluation addressing both successes and failures
   - Student advising

   **Supporting Indicators of Teaching Effectiveness**
   - Student evaluations (see below for elaboration)
   - Letters from students
   - List of courses taught
   - Course expectations and grading procedures

   Any person(s) seeking to be hired at an advanced rank, whether they have already achieved that rank at another institution or are applying for an advanced rank, will be evaluated in the same manner as current faculty seeking the same advanced rank. Therefore, the external candidate is required to present evidence, as stated above, for departmental and Board of Rank and Tenure review. It is recognized that supporting evidence provided by an external candidate seeking advanced rank may, of necessity, not be exactly the same as that provided by an internal candidate. In such cases, the judgment on equitability of evidence lies with those persons evaluating a candidate’s dossier (Board of Rank and Tenure, eligible voting members of the Department to which the applicant seeks appointment, and the appropriate Dean). Given that there is no uniform method of peer review among institutions, the candidate must provide a clear description of the nature and extent of his/her peer review so as to be sufficiently informative in an evaluation process.
Teaching effectiveness depends on both the communication skills of the faculty member and his/her mastery of the subject matter. For the former, evaluation by student opinion is suitable as a minimum and should be enhanced by peer review. Evaluation by peers is necessary for the latter.

[Amendments to the Section on Peer Review of Faculty were approved by University Council February 16, 2006 and approved by the President March 14, 2006. Additional Amendments to these sections were approved by University Council on March 30, 2017 and approved by the President on July 17, 2017.]

a. Peer Evaluation of Teaching

Peer evaluation of teaching is a process of review directed at maintaining a standard of teaching and providing documentation for subsequent faculty review. The spirit of peer evaluation is respectful and collegial; it provides the opportunity for individuals to share the benefits of their academic experience with other faculty and in a manner respectful of an individual’s academic freedom. Thus, the process is intended to assist faculty in the development of their pedagogical skills, to promote excellence in the curriculum, and, where possible, to encourage a relationship between the faculty member’s teaching and scholarship that energizes both.

The undertaking of peer evaluation is a shared departmental and professional responsibility and, so, all members of the department that are eligible to participate in a review are normally required to do so. All eligible faculty must be involved in the peer evaluation process for any given candidate. The procedure for peer evaluation of teaching described below identifies the basic procedure for all departments. The components of full peer review include classroom visitation as well as a review and discussion of pedagogy, pedagogical materials, and mastery of the subject material. For the purpose of tenure and/or promotion, review shall be conducted by individuals at or above the rank sought. Beyond this, individual departments may stipulate additional requirements necessary for appropriate review of their faculty.

i. Departments shall provide clearly articulated objectives for introductory courses and, where appropriate, for advanced courses. These objectives should serve as guides for the faculty member being evaluated and the evaluator(s) and should be consistent with the course description provided in the course catalogue.

ii. Departments are responsible for the evaluation of tenure-track and non-tenure-track faculty. Although all faculty have the right to peer evaluation and can request it at any time, the following schedule of review is considered appropriate.

At a minimum some peer review of faculty shall be conducted once a year for probationary faculty until the pre-tenure review and at least one more time before application for tenure. Faculty eligible to vote in the pre-tenure review and tenure process will normally conduct a full peer review of their colleague at least once prior to the pre-tenure decision and at least once after the pre-tenure decision, but prior to the tenure decision.

Normally, part-time non-tenurable faculty (e.g. lecturer, adjunct) shall be evaluated in the first semester of their appointment. If reappointed, review shall be made every other year of their continuous employment. Full-time non-tenurable term appointments (e.g. visiting faculty, laboratory coordinator) should be evaluated if they are to be considered for re-appointment or are on a multiple year letter of appointment.

If on a multiple year letter of appointment, review shall be made at least every other year of their continuous employment. Faculty applying for promotion either to the rank of Associate Professor or Professor should present evidence of a peer evaluation that has been conducted no more than three years prior to their promotion application. Faculty eligible to vote on a colleague’s candidacy for promotion that is not being considered near or at the same time as a tenure decision, will have conducted a full peer review within three years of the promotion evaluation.
iii. The peer evaluation process.

The chair (of the department or, if appropriate, of the departmental faculty review committee) in consultation with the faculty member to be evaluated, shall arrange for an evaluation of the teaching of the faculty member. This consultation shall establish the course or courses to be evaluated and the faculty members responsible for full peer review of the candidate. The evaluators will confer with the faculty to be evaluated to schedule the activities of peer evaluation, including class visitation.

Peer evaluators shall evaluate and discuss with the faculty such matters as communication skills, knowledge of subject matter, acquaintance with recent developments in the course subject matter, and pedagogy. Pedagogical matters subject to this evaluation and discussion, and deemed appropriate by individual departments, might include the following: syllabus, text/readings, classroom materials, assignments, activities, assessment, grading policies, instructor’s availability to students, and use of technology. The faculty member should provide the peer evaluators with the necessary information and material to make the evaluation effective. Such information will include self-evaluation of the faculty member’s teaching, teaching plans and projected goals for the coming year.

Peer evaluators shall each write a letter summarizing the results of the evaluation no later than a month after the class visit. An original and a copy of the review will be provided by each reviewer and are to be signed by both parties to signify that the content of the letter and the evaluation were discussed. The signature of the reviewed faculty member does not necessarily imply agreement with the content of the evaluation. The original signed evaluation and any response shall be retained in the departmental personnel file. The copy of the evaluation is given to the person being reviewed.

iv. The faculty member being reviewed may not be penalized by the department, the dean, the Board of Rank and Tenure or the University Administration if any or all members of her/his department eligible to participate in the evaluation process fail to do so. The faculty member under review may solicit peer review of teaching from outside of the home department. When commenting on a faculty member’s teaching, the evaluator shall disclose the grounds upon which the evaluation was made, specifically making reference to the primary and secondary indicators of teaching effectiveness. Any reviewer must include dates of observations, and summarize follow-up conversations. The evaluator must also indicate whether or not she/he has reviewed or referred to the pedagogical materials provided by the faculty member being reviewed (as provided by section iii above).

v. Peer evaluation beyond that required for application for promotion and tenure for tenure-track faculty: All tenured faculty should be periodically evaluated by their peers. The process of this evaluation should be in the same spirit as an evaluation for a candidate for tenure and/or promotion but need not require the involvement of the chairperson in organizing the evaluation. Beyond this and in any other form, classroom visitation shall occur only for specific reasons, e.g., at the faculty member’s request or at the request of the department chair or dean.

b. Student Evaluation

i. True evaluation of teaching effectiveness will remain an elusive and difficult matter. No matter how many measurement techniques are devised and applied, the results must to some extent remain open to question and qualification.

ii. The student evaluation form currently in use is an adequate instrument for evaluation of the communication skills of faculty members by the students they teach. The form should be subject to continuing revision, particularly in order to give recognition to the essential differences among various teaching methods.
iii. To provide a suitable database, student evaluation of all faculty, full and part-time, shall be conducted at least once each academic year. In addition, student evaluation may be scheduled for other times; e.g., during a new faculty member’s first semester or at the request of a faculty member, a department chair, or an academic dean. For non-tenure-track faculty, at the discretion of the chair or the appropriate academic dean, it may be judged useful and necessary to conduct student evaluations every semester.

iv. Results of the evaluations shall be reported in three (3) separate categories: for courses in the Professional and Liberal Studies program, for graduate courses, and for other courses.

v. The report of the results of faculty teaching evaluations shall include the individual mean, the department mean, the college mean, and the university mean. An individual’s position relative to the university mean will be reported in terms of standard deviations. Individuals will be categorized in three (3) groups according to where they fall in the distribution as indicated by the standard deviation.

vi. For each faculty member, student information is available to the faculty member, the respective department chair, and the appropriate dean. Unless otherwise authorized by the faculty member, such information shall be used only for teacher improvement purposes.

vii. If faculty members choose to provide summaries of Student Evaluation results, for annual reports, they may wish to include the means for all instrument factors in addition to any overall summary scores for classes taught by the instructor.

viii. As a supporting indicator of teaching effectiveness, student evaluations are auxiliary to primary indicators within faculty evaluation cycles (e.g. tenure/promotion). Faculty members should address their student evaluations in connection to primary indicators of teaching effectiveness, such as peer evaluations and/or critical self-evaluation of teaching.

2. Evaluation of Scholarship

As part of ongoing faculty evaluation and in the form of the annual self-evaluation (Evaluation and Review, III. A.), the faculty member should submit to the department chair a complete list of scholarly activities for the preceding calendar year. This list is to be evaluated by the department chair and/or by others designated within the department.

Appropriate evidence for the purpose of evaluating scholarly productivity includes, but is not limited to, the following items. While the faculty member may provide additional evidence, failure to do so cannot be construed as detrimental to the faculty member.

Primary Indicators of Scholarly Productivity

[This Section was amended by University Council on December 15, 2016, and approved by the President on January 23, 2017.]

- Refereed or editorially reviewed publications
- Creative works in the literary, performing or plastic arts
- Peer and/or Expert Reviewed Community-Engaged Scholarship
- Refereed or invited presentations at scholarly meetings
- Receipt of peer-reviewed grants
- Participation as a named investigator in sponsored, peer-reviewed research

Supporting Indicators of Scholarly Productivity

- Other publications
- Other presentations at scholarly meetings
Any person(s) seeking to be hired at an advanced rank, whether they have already achieved that rank at another institution or are applying for an advanced rank, will be evaluated in the same manner as current faculty seeking the same advanced rank. Therefore, the external candidate is required to present evidence, as stated above, for departmental and Board of Rank and Tenure review.

Normally, the letters of recommendation that accompany the candidate’s application will be considered as equivalent to the external review letters solicited in the tenure and promotion process if they address the same issues, with the same objectivity, as expected for external review letters written about internal candidates. It is emphasized that the evaluation process must require full disclosure of the nature of relationship between the candidate and the recommender. If the letter of recommendation does not contain this information, it is the responsibility of the department to request this information as an addendum to the original letter. In the event that this information is not presented, the letter of recommendation may not carry the same weight in the evaluation process as one which clearly defines the candidate: external reviewer relationship. The parties involved in the review of hiring a candidate at advanced rank will make their determination of value based on the preponderance of evidence presented in the application process.

The department to which the candidate is applying and/or the appropriate Dean may also request additional external review if it is deemed necessary to make a sufficiently informed decision on the application. In the interest of perceived equity and fairness, such letters from external reviewers should be solicited using the same criteria used for internal candidates for advanced rank but carried out in an expedited fashion so that the review process is not unduly extended.

The rationale for the policy and practices outlined above for an external candidate seeking hire at advanced rank is that they conform to the spirit of what is expected of an internal candidate seeking promotion to the same rank.

3. Evaluation of Service

As part of ongoing faculty evaluation and in the form of the annual self-evaluation (Evaluation and Review, III. A.), the faculty member should submit to the department chair a complete list of service activities for the preceding calendar year and a specific description of the individual’s contributions to committee and/or group activities. The list and description of service activities shall be evaluated by the chair and/or by others designated within the department.

Appropriate evidence for the purpose of evaluating service includes, but is not limited to, the following items. While the faculty member may provide additional evidence, failure to do so cannot be construed as detrimental to the faculty member.

The candidate should classify and organize his/her evidence of service by Primary and Supporting Indicators.

The candidate is encouraged to provide the following documentation for service indicators listed in the dossier: 1) description of the specific activities, 2) outcomes associated with the activities, 3) judgments about the activities and contribution of the candidate to the activities from knowledgeable and reputable sources other than the candidate, and 4) self-reflection and appraisal of these activities. Evidence is the responsibility of the candidate to provide. Assessments of contribution and value of service-related activities may be derived from sources internal to the University, external to the University, or both, depending upon the nature of the service activity.
In the event that an indicator of a faculty member’s service is not listed in the Handbook’s Primary or Supporting Indicators of Service, the candidate has the responsibility to provide a rationale for its inclusion.

**Primary Indicators of Service**
- University level committee service
- College level committee service
- Departmental service
- Contributions to the university’s mission as a Jesuit institution
- Positive involvement in student life and activities
- Service in a professional organization
- Community service
- Uncompensated consulting

**Supporting Indicators of Service**
- Membership in professional organizations
- Compensated consulting
- Participation in University functions

Any person(s) seeking to be hired at an advanced rank, whether they have already achieved that rank at another institution or are applying for an advanced rank, will be evaluated in the same manner as current faculty seeking the same advanced rank. Therefore, the external candidate is required to present evidence, as stated above, for departmental and Board of Rank and Tenure review. In all cases, the candidate must provide a description of the nature and extent of his/her service (e.g. a specific description of the individual’s contribution to committee duties and the amount of time required to carry out duties) to be sufficiently informative in an evaluation process.

Recognizing that different academic disciplines may have potentially unique expectations relative to the expectations of proficiency within the framework of the Faculty Evaluations Procedures that have been described above, each department has developed its own written standards for Rank and Tenure that have been reviewed and approved by the respective dean of their college and the Board of Rank & Tenure. The candidate must be provided with this document, and the candidate is encouraged to review it with his/her Chair. In the case of tenure, the candidate will be held to the Department Guidelines in effect at the time of his/her hire. When creating their dossiers, candidates should address departmental criteria for proficiency in the areas of teaching, research, and service in addition to the broader evaluation criteria specified in the Faculty Handbook.

The candidate should know that the Board on Rank and Tenure as well as their college Dean is provided with their department’s guidelines to facilitate their evaluation of the candidate. Department guidelines discuss and define its particular and specific criteria and anticipated proficiencies within the framework of the handbook relative to:
- Pre-Tenure Review: Teaching, Scholarship, and Service
- Tenure Decision: Teaching, Scholarship, and Service
- Promotion to Associate Professor: Teaching, Scholarship, and Service
- Promotion to Professor: Teaching, Scholarship, Service, and Leadership

**C. Evaluative Criteria by Rank**
Degree and experience alone offer an inadequate index to the qualities that the university seeks in its
faculty. In addition, promotion to successively higher ranks will be judged on the basis of achievement in the areas of teaching, scholarship and service.

The evaluative criteria for the ranks of associate and full professor are:

1. **Associate Professor** — The rank of associate professor requires that the candidate demonstrate high quality performance in the areas of teaching, scholarship and service as supported by items rated as “primary indicators” in the sub-section on Evaluative Criteria (B).
   a. **Teaching** — Evidence of high quality in teaching, plus evidence that the candidate will contribute to the enhancement of the department’s curriculum.
   b. **Scholarship** — High quality in an established program of research publications and scholarly paper presentations. This scholarship should be able to stand scrutiny beyond the immediate confines of Saint Joseph’s University.
   c. **Service** — Evidence of service and leadership potential.

2. **Professor** — The rank of professor requires that the candidate demonstrate evidence of leadership as well as high quality performance in the areas of teaching, scholarship and service as supported by items rated as “primary” in the section on Evaluative Criteria (II).
   a. **Leadership** — The rank of professor assumes that the individual has taken and will continue to take a leadership role in the academic life of the institution. It is understood that leadership develops over time. Although concrete measurements of leadership are open to interpretation by the university, by the discipline or the field, the following are indicators of leadership:
      i. stature as a scholar and mentor within the discipline.
      ii. ability to represent the university externally and to enhance its reputation.
      iii. commitment to and evidence of leadership in professional organizations.
      iv. evidence of senior role activities within the university.
   b. **Teaching** — Evidence of high quality and excellence in teaching and of continuing contributions to curriculum development.
   c. **Scholarship** — Evidence of high quality in publications and in scholarly paper presentations, or the equivalent appropriate to the field. This scholarship must be able to stand scrutiny beyond the immediate confines of Saint Joseph’s University.
   d. **Service** — Evidence of high quality service to the university and/or external community.

### III. Evaluation Cycles

*Changes in the due date of the annual report and the issue date of faculty letters of appointment were approved by University Council April 20, 2006 and approved by the President June 8, 2006.*

Faculty are the primary asset of the institution, and evaluation of the faculty is an essential part of the university’s responsibilities. A system of evaluation that is seen to be both fair and accountable can serve as an indispensable tool as the university strives to provide an environment in which each faculty member can develop his/her potential to the fullest.

The Mission Statement of the university provides a context in which the evaluation and development of faculty takes place. The process must recognize that a diverse faculty dedicated to the highest standards of teaching and scholarship is necessary to fulfill this mission.

The procedures described below serve as a basis for helping each faculty member to grow as a participant in the mission of the university. Furthermore, the documents produced by the process are to serve as the basis for all decisions regarding development, compensation, rank, tenure, promotion and other recognitions of faculty achievement. As such, they should be regularly available to the department chair, the appropriate dean, and the senior academic officer.
Tenured faculty who are university or college administrators are not eligible to vote in departmental deliberations of pre-tenure/tenure and promotion procedures. For example, the following are not eligible: the President, Provost, Vice-Presidents, deans, their assistants and associates. Full time faculty are eligible to vote. However, other tenured faculty who teach less than six (6) credit hours per semester for reasons of release time for duties such as serving as department chair, endowed chair, program, grant or institute director, Jesuit community Rector, or release time for research, are eligible. Tenured faculty on leave or sabbatical retain their eligibility only for the first year of their leave. However, faculty on leave may relinquish their eligibility at their own discretion. The Executive Committee of the Faculty Senate will resolve questions about a particular faculty member’s eligibility, if not covered under this statute.

A. Annual Report
Each year, every faculty member shall prepare a report summarizing his/her achievements in the previous calendar year and formulating a plan which includes a set of development objectives for the coming year. The precise format for this report, which must be in writing and must address the three (3) basic areas of teaching, scholarship and service, is to be determined by each department and is subject to review by the appropriate dean. The faculty member shall submit the report to his/her chair by February 15th. For the probationary faculty member in his/her second year, seeking a third year letter of appointment, a preliminary version of the annual report of the preceding year should be submitted to the chair by November 1 so that adequate notice can be given if the letter of appointment is not renewed for the third year.

The department chair must review each report with the faculty member who wrote it and shall append to this report such recommendations for a performance-based increase or structural adjustment as the department wishes to recommend. In the case of a probationary faculty member, the chair will also indicate any areas that may be cause for concern in terms of the tenure review. Larger departments may wish to provide the chair with the assistance of a committee for this purpose. In all cases, the recommendation must be shared with the faculty member who shall sign the report indicating that he/she has seen it.

Each department chair will submit his/her own annual evaluation, using the same standards as other department members, to the appropriate dean, who will review it and make recommendations for a performance-based increase or structural adjustments. The dean must share the recommendation with the chair who will sign the report indicating that he/she has seen it.

The department chair shall meet with the appropriate dean on or about March 15th and discuss the evaluations of the department members with the dean.

B. Pretenure Evaluation
For a probationary faculty member serving the normal six-year probationary period, during the spring of the third year at Saint Joseph’s, the evaluation will take on a more formal nature. For a probationary faculty member serving a shorter probationary period, Pre-Tenure Review should occur at the midway point between the time of appointment and tenure review. If a faculty member has been granted a probationary period of N (years), the faculty member’s pre-tenure review will occur in their Nth semester. For example, if a faculty member has been granted a probationary period of 3 years, then the faculty member’s pre-tenure review will occur in their 3rd semester. These terms should be stated in the original faculty letter of appointment and will be effective for new faculty beginning August 15, 2002.

Prior to January the 15th of this year, the probationary faculty member shall submit a dossier to the department chair summarizing his/her accomplishments in the areas of teaching, scholarship and service.
The dossier shall be reviewed independently by each of the eligible tenured members of the department (or the dean if there are no tenured members). The chair shall then call a meeting of the tenured faculty to discuss the probationary faculty member’s progress. Following this discussion, each tenured faculty member shall make a judgment on the merits of the dossier in each of the three (3) evaluative areas, and shall render a global judgment of the probationary faculty member’s performance to date. The judgments shall be in writing and in the following format:

- Acceptable progress towards tenure;
- Acceptable progress towards tenure with reservations; or
- Unacceptable progress toward tenure.

These judgments shall be forwarded to the department chair.

If the judgment is “less than acceptable progress toward tenure,” the tenured faculty member shall specify in writing the reasons for his/her judgment. These judgments shall be forwarded to the department chair who shall call a meeting of the tenured faculty to discuss the global assessments. These will be tallied and the reasons, if any, for less than acceptable progress toward tenure will be compiled. The department chair shall draft a letter to the dean of the appropriate college that outlines the position of the department concerning the reappointment of the probationary faculty member. The tenured members of the department shall be party to the letter before it is sent. The letter shall be sent to the appropriate dean with the dossier of the probationary faculty member.

The dean shall then transmit the position of the department concerning reappointment/non-reappointment in a letter to the faculty member under review, with additional comments of his/her own. In cases of reappointment, the dean shall outline any suggested areas for improvement. The chair of the department shall be party to the contents of this letter before it is sent. This letter shall be issued prior to May 15th when letters of appointment for the following year are issued. It should be made clear to the probationary faculty member under review that acceptable progress toward tenure is a judgment of the department and the appropriate dean. It does not constitute any implicit promise of tenure from the university at the conclusion of the probationary period. In particular, the outcome of this evaluation is not binding on any subsequent decisions regarding rank or tenure.

IV. Tenure and Promotion Procedures

[The following procedures on tenure and promotion are based on a policy approved by the University Council (formerly known as the College Council) on May 5, 1969, herein summarized, adapted, and elaborated in light of subsequent experience by the Board on Rank and Tenure, with further directives from the Board of Directors and from a letter from the senior academic officer to department chairs on February 28, 1973. Additional revisions were adopted by the University Council on May 21, 1992 and was subsequently amended by the University Council on May 17, 2016 and approved by the President on July 26, 2016.]

This section assumes the same definition of what it means for a faculty member to be eligible to vote in departmental deliberations of pre-tenure/tenure and promotion procedures as given in Section III.

A. Tenure Procedures

1. Probationary Period

   Although the application for tenure is voluntary, a probationary faculty member must not assume that tenure is granted automatically at the expiration of the probationary period. The awarding of tenure is by recommendations of the tenured faculty, through the departments, and the Board on Rank and Tenure, as reviewed and granted by the President.
At the time of initial appointment, and again early in each subsequent year of service, the probationary faculty member shall be advised of the substantive and procedural standards generally employed in decisions affecting reappointment in the university and of any standards specific to his/her department. The performance of each probationary faculty member shall be reviewed annually by the eligible tenured members of the department, in consultation with the department chair. The department chair will then review the evaluation with the appropriate dean. The department has a serious responsibility to advise the probationary faculty member, as early as the required consultative procedures permit, if he/she is not to be recommended for reappointment. A recommendation not to reappoint, prior to the year of mandatory consideration for tenure, may be initiated either by the department chair or by the appropriate dean.

Tenure cannot be formally achieved prior to completion of a total probationary period of at least six (6) years of ranked service in higher education. Thus, a faculty member who has no credited previous ranked service elsewhere will come under tenure review in his/her sixth year here. If not recommended for tenure, the faculty member will receive a terminal letter of appointment for the seventh year. A faculty member who is recommended by the Board on Rank and Tenure and who has the recommendation accepted by the President will receive a letter of appointment without term before the beginning of his/her seventh year, thereby being granted tenure.

[This section was approved by University Council on January 24, 2002, and approved by the President on February 4, 2002].

A faculty member who is credited with years of ranked service at another institution must come under tenure review as stipulated in the letter identifying credited service which was issued at the time of initial hiring. (Cross reference: Statement on Academic Freedom and Tenure, Section B(3)(a)(iii), Faculty Medical and Other Leaves, p. 74). Depending on the tenure decision, a faculty member will receive either a terminal letter of appointment or a letter of appointment without term, thereby being granted tenure, before the beginning of the next academic year.

Departmental Tenure Review

a. Notification of Eligibility

Each year, the department chair should review the length of ranked service, both here and elsewhere, of every probationary member of the department and submit to the senior academic officer before June 1 the names of those eligible for tenure review.

The senior academic officer shall inform the probationary faculty member that he/she will come under tenure review.

b. Submission of Dossier

Any faculty member so informed may review with the senior academic officer the personal information on file which will be considered by the board. At any time, the probationary faculty member may supplement and update the information in his/her file. It is the responsibility of the candidate for tenure to assure that all required information is on file in the office of the senior academic officer. Documentary evidence of the terminal degree from the degree-granting institution is to be on file in the office of the appropriate dean. The candidate is expected either to have on file in the office of the senior academic officer, or to lend temporarily for the board’s examination, copies of all publications being offered in support of the application. The candidate should also provide evidence of institutional service. The candidate for tenure may accompany his/her file with no more than three (3) letters of recommendation. These documents, along with the candidate’s file, should reach the department chair no later than September 15th.
c. Departmental Review and Vote

[The following paragraph represents an amendment approved by the University Council (formerly known as the College Council) on October 22, 1975, again amended on December 13, 1977, and approved by the President on January 23, 1978.]

The department chair shall hold a meeting of the eligible tenured members of the department to discuss the qualification for tenure of the probationary faculty member and shall take written ballots, individually signed. After examining the ballots, the department chair shall announce the numerical results in confidence to the voting members and shall then send these ballots to the chair of the Board on Rank and Tenure on or before October 15. It is expected that the chair of the department will inform the probationary faculty member of the sense of the department’s vote as soon as is practicable following completion of the department’s deliberations. The department chair shall send a letter to the chair of the Board on Rank and Tenure along with the vote drawing on departmental records, the discussion by the tenured faculty, and the chair’s own experience and knowledge. The letter shall provide information about the following:

- The candidate’s teaching effectiveness. This university considers teaching effectiveness an extremely important qualification. It is insufficient to state that an applicant is a good teacher or has good rapport with students. The collective evaluation of a teacher by colleagues should be based upon solid evidence, carefully and routinely gathered over a long period of time, prior to the year of tenure review. (See Faculty Evaluation Procedures.)
- the candidate’s record of research, publication and professional activity. An effort should be made to rank the individual generally in comparison with colleagues.
- the candidate’s record of service within the department, to the college and to the university.
- how the candidate meets the long-range program needs of the department. An explicit statement concerning the areas of competence of the candidate in comparison with other members of the department, either tenured or likely to be considered for tenure within the next two (2) or three (3) years, should be included. There should also be an assessment of whether the need for the candidate’s particular areas of competence is likely to change, and whether the candidate shows sufficient flexibility to adjust to possible future changes. Finally, a realistic appraisal should be given of prospects for recruiting a more highly qualified faculty member to replace the candidate if tenure were not awarded.

A copy of this letter, including the vote count, shall be sent to the appropriate academic dean, along with the candidate’s dossier by October 15.

[The following paragraph represents an amendment approved by the University Council (formerly known as the College Council) on May 21, 2009 and approved by the President on June 16, 2009.]

The candidate for tenure will be provided with copies of individual faculty letters of evaluation and the departmental summary letter no later than October 22. Candidates will be able then to respond to their contents. If faculty members choose to respond, such responses must be received by the Dean's Office no later than November 7.

[The following paragraph represents an amendment approved by the University Council (formerly known as the College Council) on October 22, 1975, again amended on December 13, 1977, and approved by the President on January 23, 1978.]

By October 15, each eligible tenured member of the department, including the chair, is required to send a letter to the appropriate academic dean explaining the basis for his/her vote and including a personal evaluation of the candidate. These letters should specifically address each of the areas—teaching, research and service—and shall become part of the candidate’s dossier.
d. Procedures When the Department Chair Is Probationary
When a department chair is probationary, the senior eligible tenured member of that department shall carry out the duties of the department chair described above; however, the probationary department chair shall participate in the department’s deliberations if not himself or herself the party under consideration. In no instance shall the non-tenured department chair have voting privileges. The probationary department chair shall also convey his/her evaluation of the candidate in writing to the Board on Rank and Tenure.

[The following section was added May 17, 2007.]

e. Procedures when there are no eligible department members
In cases where there are no eligible (tenured) department members, the probationary faculty member has the right to select at least one eligible faculty member(s) from another department in the same division or in a different division but a related discipline to serve as his/her review committee. The probationary faculty member, along with the chair (untenured) and the dean, shall try to come to a consensus in the selection of the eligible faculty member(s). In the event that consensus cannot be reached, selection of the eligible faculty member(s) will ultimately be determined by the probationary faculty member. Decisions about eligible faculty members must be reached at least 1 year prior to the tenure review. This will allow adequate time for eligible faculty member(s) to comply with the necessary requirements of peer evaluation as outlined in Evaluation and Review II.B.1.b. Then, the chair shall hold a meeting with the eligible faculty member(s) to discuss the qualification for tenure of the probationary faculty member. After review of the probationary faculty member’s dossier and participation in the discussion between the chair and review committee, the eligible faculty member(s) submit(s) a letter of evaluation to the appropriate academic dean. The department chair will write a letter to the chair of the Board of Rank and Tenure summarizing the discussion. Both the eligible, reviewing faculty member(s) letter and the department chair’s letters provide information relevant to tenure criteria established in Evaluation and Review IV.A.2.c and IV.B.2. Since there are no eligible faculty members in the department, there is no official vote. In the case when there are no eligible department members and the chair is the probationary faculty member seeking tenure, the chair has the right to request at least one additional eligible faculty member utilizing the procedures above with the following modifications:

- The selection of the eligible faculty member(s) is made by the dean and the department chair.
- The dean initiates a meeting with the eligible faculty member(s) to discuss the probationary faculty member’s (department chair) progress toward tenure.
- The dean includes a summary of the meeting in the letter written to the board of rank and tenure.

[Amendments to the Procedure for External Reviews were approved by University Council November 17, 2005 and approved by the President December 19, 2005. Amendments on Full-time Ranked Service of Teaching were approved by University Council March 16, 2006 and approved by the President May 25, 2006.]

2. Dean’s Review and Procedure for External Review
The appropriate dean, in preparing his/her evaluation of a candidate's scholarship shall solicit letters of review from persons external to the institution. These external review letters shall become part of the candidate’s dossier and must be made available both to eligible members of the candidate’s department, who will be participating in Departmental Review, and to the Board on Rank and Tenure. Except as may be required by law, the candidate may not have access to the external letters after the decision has been reached.
The following shall be the procedure for selection and solicitation of external reviewers and for use of external review letters in all departments and in all schools of the university:

On or before May 20, the appropriate dean will request each probationary faculty member coming under tenure review to generate a list of at least six potential external reviewers. The following expectations will accompany this request:

External reviewers from academic institutions shall ordinarily be tenured, and hold a rank equal to or higher than the rank for which the candidate is applying. In some disciplines (e.g., fine arts, literature) it may be acceptable to seek review from qualified professionals or researchers who do not hold academic rank but who are editors, museum curators, gallery directors, etc.

External reviewers should be active and/or accomplished scholars/researchers/artists. Many academic disciplines are highly specialized. To conduct a fair and competent assessment, it is imperative that external reviewers be scholars/researchers/artists in the field of the candidate’s area of scholarly activity (These can include research, creative writing, the fine and performing arts.).

It is desirable that active scholars maintain ongoing professional contact with colleagues in their disciplines. A close working relationship with a scholarly colleague or co-author; conversations, correspondence, or even friendship with other scholars, contacts with mentors and former teachers, etc. by no means precludes the possibility of honest and competent assessment of a candidate. Those who have had professional interactions with a candidate can sometimes offer an insightful perspective on the candidate's intellectual character and potential as a scholar. It is imperative however, that any social and/or professional relationship of the candidate to a reviewer be fully disclosed in writing by the candidate. This disclosure document shall be made available to all parties involved in the tenure and promotion process.

It is suggested that the candidate consult with his/her department chair at the beginning of this process to discuss general qualifications a reviewer would need to possess given the candidate's area(s) of scholarly activity. (These can include research, creative writing, the fine and performing arts.)

After the candidate has generated a list of potential reviewers, he or she must meet with his/her department chair to discuss whether the specific reviewers listed by the candidate actually satisfy the criteria listed above. Qualifications and research expertise of each reviewer should be discussed. The candidate's relationship to each reviewer must be disclosed. In the event that a consensus cannot be reached regarding one or more of the reviewers proposed by the candidate, the chair shall request the candidate to provide alternative reviewers and/or to consider reviewers suggested by the chair, and/or by other knowledgeable members of the department. The expectation is that an approved list of at least six potential reviewers will be generated.

After approval of the list of proposed reviewers by both the chair and the candidate, the candidate shall generate a document which: A) provides a brief description of how the candidate's research is situated within his/her general discipline and/or its specialized areas, B) explains the research expertise reviewers should possess to conduct a fair and competent assessment, C) provides name, rank, and institutional affiliation for each on the list of qualified reviewers, and D) discloses the social and/or professional relationship of the candidate to each reviewer. This document is submitted to the chair who, after review and approval, shall sign and submit it to the appropriate dean by June 15. This document shall become part of the candidate’s dossier and will be available for reference during departmental review, dean's review, and review by Board on Rank and Tenure.

By June 30, the candidate shall submit to the dean his/her current curriculum vitae and at least six copies of any research / scholarly materials to be distributed to external reviewers.
At his/her discretion, and with the option of seeking advice and/or additional recommendations for external reviewers from knowledgeable faculty within the institution (see below), the dean will solicit at least three external reviewers from the list of potential reviewers provided by the candidate. Additional reviewers from this list will be contacted as necessary in the event that one or more potential reviewers decline to serve. In the unusual circumstance that the dean elects to solicit any additional external reviewer(s) beyond the candidate’s list of potential reviewers, it shall be for the reason of ensuring a fair and equitable review of the candidate’s qualifications for tenure and/or promotion. In this situation, the candidate must be notified of the dean’s decision and the name(s) of the potential reviewer(s) before such additional review is requested. If the candidate does not agree with the additional external reviewer(s) selected by the dean, he/she will present the reason(s) against this selection in a letter to the dean. If the dean, after considering the letter of the candidate, remains resolute that the additional external review is necessary for a fair and equitable evaluation of the candidate, then both the candidate’s letter of objection and a responding letter from the dean will be included in the candidates dossier for review with all letters of external review.

The dean’s letter requesting the participation of a potential external reviewer shall be substantially uniform across all schools of the university. To those who have agreed to serve as external reviewers, the dean shall provide the following information, instructions, and enclosures:
• the candidate's name and intention to seek tenure and/or promotion (specifying rank sought),
• all publications or other evidence of scholarly works selected by the candidate for external reviewers, and,
• the candidate shall provide the dean with materials indicating the context in which scholarship has been conducted and the candidate’s curriculum vitae which, among other things, will include the candidate’s teaching load, titles of courses taught, major service contributions, listing of specific committees, and advising load.

The dean’s letter requesting the participation of a potential external reviewer shall be substantially uniform across all schools of the university.

To those who have agreed to serve as external reviewers, the dean shall provide the following information, instructions, and enclosures:
• the candidate's name and intention to seek tenure and/or promotion (specifying rank sought),
• all publications or other evidence of scholarly works selected by the candidate for external reviewers, and,
• the candidate shall provide the dean with materials indicating the context in which scholarship has been conducted and the candidate’s curriculum vitae which, among other things, will include the candidate’s teaching load, titles of courses taught, major service contributions, listing of specific committees, and advising load.

Additionally, reviewers will be apprised of the Saint Joseph's University tenure and promotion criteria, and will be provided with adequate material to familiarize them with the institution and its mission. Appropriate citations from the Faculty Handbook will be cited to indicate criteria for tenure and/or promotion. A brief description of the university and the university’s mission statement are to be provided. There shall also be a statement clarifying the role of scholarship at Saint Joseph’s University, where achieving excellence in rigorous teaching and learning is a primary value and, because teaching and learning in the modern academic context require scholarly activity, the University cultivates and expects generative scholarship.

Reviewers will not be asked to consider whether the candidate would be tenured or promoted at the reviewer's institution, but rather will be asked to assess the candidate's research in the context of their understanding of our institution and its policies and priorities. External reviewers will be asked to assess:
• Quality and quantity of the candidate’s scholarship. Reviewers should be directed to be as
detailed and specific as possible in their discussion of the merits of a candidate's
publications and/or other evidence of scholarly activities.
• Scholarly contribution to the discipline.
• Potential for further growth and achievement.

Reviewers will be asked to specify any social or professional relationship with the candidate.
External reviewers will be informed that their letter will become a part of the candidate's
dossier and will be considered by the candidate’s department, the dean, and the Board on Rank
and Tenure. Except as may be required by law, reviewers are assured that review letters will
remain confidential.

For the benefit of those involved in the tenure/promotion process that may not be
familiar with the external reviewer, it will be requested that the reviewer provide a copy of
his/her curriculum vitae. This will accompany the review letter in the dossier.

A deadline of September 1 shall be specified for receipt of the external review. External
reviewers are offered the university’s gratitude, and are told that they will be informed of the
outcome of the tenure/promotion process if desired.

No later than September 15, the dean will forward all external review letters to department
chairs to become part of the candidate's dossier. These letters are to be available for departmental
review, dean’s review, and review by the Board on Rank and Tenure. Except as may be required
by law, the candidate may not have access to the external letters after the decision has been
reached. After the Board on Rank and Tenure process has concluded, the candidate may request to
know the names of those persons who served as external reviewers for his/her application.

The dean shall forward all applications, with accompanying documentation, to the chair
of the Board on Rank and Tenure by November 1.

In those cases where the dean’s recommendation regarding the candidate’s application for
tenure does not agree with that of the department, the dean shall meet with the chair of the
department (or designated senior member when the chair is the candidate) before sending his/her
letter to the Board on Rank and Tenure.

3. Board on Rank and Tenure Review
The Board on Rank and Tenure may request whatever additional information or evaluations it may
deem necessary before making its recommendation to the President. The board should forward its
recommendations to the President by March 1.

4. Notification of Decision
[The following paragraph amending the statement was approved by University Council on May
17, 2016 and approved by the President on July 26, 2016.]
Before rendering a final decision on the candidates for tenure, the President will meet with the
Board on Rank and Tenure. After the President’s decision regarding the faculty member’s
candidacy for tenure, the President will simultaneously inform the candidate, the chair, and the
deans of the tenure decision, no later than March 15.

5. Explanation of Denial of Tenure
The senior academic officer, as chair of the Board on Rank and Tenure, shall meet with those
candidates whose applications for tenure are unsuccessful. It shall be the responsibility of
the senior academic officer to convey to the candidate substantive reasons for denial of the
candidate’s application. Upon request by the candidate, the senior academic officer shall put
these reasons in writing.
B. Promotion Procedures

1. Filing for Promotion

On or before June 1, the senior academic officer shall circulate a reminder that any faculty members who consider themselves qualified under the Statement on Rank may apply for promotion.

The candidate for promotion may accompany his/her request with no more than three (3) letters of recommendation from external reviewers. The procedure for identifying and soliciting external reviewers should be the same as the procedure followed in identifying and soliciting external reviewers in tenure cases. (See IV. Tenure and Promotion Procedures, A. 3. p. 42.) These documents, along with the applicant’s file, should reach the department chair no later than September 15th so that he/she can add an evaluation and recommendation.

2. Departmental Review

Except in cases where the department chair is applying for promotion, the department chair shall hold a meeting of the eligible tenured members of the department holding the rank sought or higher to discuss the qualifications of the candidate for promotion and take a written signed ballot. The department chair, after having examined the ballots, shall send them to the chair of the Board on Rank and Tenure on or before October 15 and inform the dean of the outcome of the ballot count. The chair should, when transmitting the department recommendation to the appropriate dean, provide in addition to the vote the following information:

- An indication of the normal standards of the field for scholarship in the discipline at institutions comparable to Saint Joseph’s;
- A survey of the candidate’s progress since first arriving at Saint Joseph’s.

The department chair will then transmit the candidate’s dossier to the appropriate dean by October 15.

By October 15, each eligible tenured member holding the rank sought or higher is required to send a letter to the appropriate academic dean explaining the basis for his/her vote and including a personal evaluation of the candidate. These letters, which should specifically address each of the areas—teaching, research and service—shall become part of the candidate’s dossier. Although a tenured faculty member can be expected to evaluate the teaching and service of a candidate based upon detailed personal knowledge of the candidate, this may not be possible in the case of scholarship. A tenured faculty member who feels unqualified to evaluate scholarship on the basis of his/her own expertise should be specific as to the source(s) of his/her evaluation in this area. The appropriate dean shall be the recipient of this letter, which shall become part of the candidate’s dossier.

In the case where a department chair is applying for promotion, the senior tenured member of the department, or if there is none, the appropriate dean, shall carry out the duties of the department chair as described above.

[The following paragraph represents an amendment approved by the University Council (formerly known as the College Council) on May 21, 2009 and approved by the President on June 16, 2009.] The candidate for promotion will be provided with copies of individual faculty letters of evaluation and the departmental summary letter no later than October 22. Candidates will be able then to respond to their contents. If faculty members choose to respond, such responses must be received by the Dean's Office no later than November 7.

[The following section was added May 17, 2007.]

In cases where there are no eligible department members, the candidate for promotion has the right to select at least one eligible faculty member(s) from another department in the same division to serve as his/her review committee. The candidate for promotion, along with the chair and the dean, shall try to come to a consensus in the selection of the eligible faculty member(s). In the event that consensus cannot be reached, selection of the eligible faculty member(s) will ultimately be determined
by the candidate for promotion. Decisions about eligible faculty members must be reached at least 1 year prior to the review process. This will allow adequate time for eligible faculty member(s) to comply with the necessary requirements of peer evaluation as outlined in Evaluation and Review II.B.1.b. Then, the chair shall hold a meeting with the eligible faculty member(s) to discuss the qualifications of the candidate for promotion. After review of the candidate’s dossier and participation in the discussion between the chair and review committee, the eligible, reviewing faculty member(s) submit(s) a letter of evaluation to the appropriate academic dean by October 15. This letter, which should specifically address each of the areas – teaching, research, and service (and leadership if candidate is applying for Professor) – shall become part of the candidate’s dossier. The department chair will write a letter to the appropriate dean providing the following information:

- An indication of the normal standards of the field for scholarship in the discipline at institutions comparable to Saint Joseph’s.
- A survey of the candidate’s progress since first arriving at Saint Joseph’s. The department chair will then transmit the candidate’s dossier to the appropriate dean by October 15. Since there are no eligible faculty members in the department, there is no official vote.

In the case where there are no eligible department members and the chair is applying for promotion, the chair has the right to request at least one additional eligible faculty member to serve as his/her review committee. The chair and the dean shall try to come to a consensus in the selection of the eligible faculty member(s). In the event that consensus cannot be reached, selection of the eligible faculty member(s) will ultimately be determined by the candidate for promotion. The appropriate dean shall carry out the duties of the department chair as described above with the following modifications:

- The selection of the eligible faculty member(s) is made by the dean and the department chair.
- The dean initiates a meeting with the eligible faculty member(s) to discuss the faculty member’s (department chair) qualifications for promotion.
- The dean includes a summary of the meeting with the review committee in the letter written to the board of rank and tenure.

3. Dean’s Review and Procedure for External Review

The appropriate dean, in preparing his/her evaluation of a candidate's scholarship shall solicit letters of review from persons external to the institution. The procedures and requirements for soliciting these letters of review shall be the same as those described in Section IV Tenure and Promotion Procedures A.3. The external review letters shall become part of the candidate’s dossier and must be made available both to eligible members of the candidate’s department, who will be participating in Departmental Review, and to the Board on Rank and Tenure. Except as may be required by law, the candidate may not have access to the external letters after the decision has been reached.

In those cases where the dean’s recommendation regarding the candidate’s application for promotion does not agree with that of the department, the dean shall meet with the chair of the department before sending his/her letter to the Board on Rank and Tenure. The dean shall forward all applications, with accompanying documentation, to the chair of the Board on Rank and Tenure by November 1.

4. Board on Rank and Tenure Review

The Board may solicit additional information or evaluations as it sees fit, from within or outside the university. The board shall forward its recommendations to the President by March 1. Where additional information is required in a specific case, however, the board may reserve the right to defer its recommendation. The board may make its recommendations for promotion contingent upon the fulfillment of all requirements prior to a specified date. Normally, the President will meet with the board before making a final decision on the candidates for promotion.
5. Notification of Decision
The President will simultaneously inform the candidate, the department chair, and the appropriate dean of the decision at the earliest possible time, but in no case later than March 15.

(Approved by University Council on May 29, 2012 and approved by the President on June 29, 2012.)

6. Explanation of Denial of Promotion
The senior academic officer, as chair of the Board on Rank and Tenure, shall offer to meet with those candidates whose applications for promotion are unsuccessful. It shall be the responsibility of the senior academic officer to convey to the candidate substantive reasons for denial of the candidate’s application. Upon request by the candidate, the senior academic officer shall put these reasons in writing. There is no appeal in cases of denial of promotion.

(Section 7 represents an amendment approved by the University Council on May 19, 2005 and approved by the President on June 30, 2005.)

7. Process for Faculty Hire at Advanced Rank
The process of review for an applicant seeking hire at an advanced rank, whether they have already achieved that rank at another institution or are applying for an advanced rank, will be based on the same criteria defined for a current faculty member applying for promotion. The candidate must provide appropriate documentation of teaching, research and service as defined in this handbook in section II (B) under Evaluation and Review. The criteria used to define and determine rank are those identified in this handbook in sections I (relating to The Tenurable Academic Ranks) and II (relating to The Non-tenurable Ranks) under Academic Rank and in section II (C) (Evaluative Criteria by Rank) under Evaluation and Review. It is recognized that supporting evidence provided by an external candidate seeking advanced rank may, of necessity, not be exactly the same as that provided by an internal candidate. In such cases, the judgment on the equitability of evidence lies with those persons evaluating a candidate’s dossier (Board of Rank and Tenure, eligible voting members of the Department to which the applicant seeks appointment, and the appropriate Dean).

In the case where an external candidate applies for an administrative position and simultaneously applies for advanced rank in a department, the external candidate must meet the same evaluative criteria and undergo review as would an internal candidate applying for this rank of the full-time teaching faculty. If the letters of recommendation do not address the issues of teaching, research and service as specified in this handbook for a particular rank, then the candidate should provide additional external letters addressing the specific requirements for the rank sought.

It is emphasized that, normally, the candidate applying for promotion to Associate Professor must have completed six years of full-time ranked teaching to be considered for hire at an advanced rank and ten years of full-time ranked teaching for promotion to Professor. A candidate for hire may petition the Board of Rank and Tenure for a recommendation to the Chief Academic Officer (Provost) that an exception be made to this policy. However, granting exception to this stipulation of time in full-time teaching shall be rare (e.g., invoked when, in the judgment of the Board of Rank and Tenure and with the approval of the Chief Academic Officer, a candidate of notably high stature and experience meets or surpasses the professional expectations of a faculty member at the advanced rank sought).

The procedures outlined above for department review shall be followed with the exception of the dates specified. The review of a candidate seeking hire at an advanced rank should be carried out in a reasonably expeditious manner. The time allotted for review should not be unduly burdensome to any person(s) involved in the process and no review should be so expeditious as to compromise the quality or integrity of the review itself.

The application will be reviewed by members of the department who are at or above the rank sought. The members reviewing the candidate will vote on the candidate’s request for hire at advanced rank and explain his/her rationale for their vote in a letter to the Board on Rank and Tenure via the appropriate Dean.
Normally, the letters of recommendation that accompany the candidate’s application will be considered as equivalent to the external review letters solicited in the tenure and promotion Process if they address the same issues, with the same objectivity, as expected for external review letters written about internal candidates. It is emphasized that the evaluation process must require full disclosure of the nature of relationship between the candidate and the recommender. If the letter of recommendation does not contain this information, it is the responsibility of the department to request this information as an addendum to the original letter. In the event that this information is not presented, the letter of recommendation may not carry the same weight in the evaluation process as one which clearly defines the candidate/external reviewer relationship. The parties involved in the review of hiring a candidate at advanced rank will make their determination of value based on the preponderance of evidence presented in the application process.

The department to which the candidate is applying and/or the appropriate Dean may also request additional external review if it is deemed necessary to make a sufficiently informed decision on the application. In the interest of perceived equity and fairness, such letters from external reviewers should be solicited using the same criteria used for internal candidates for advanced rank but carried out in an expedited fashion so that the review process is not unduly extended.

The rationale for the policy and practices outlined above for an external candidate seeking hire at advanced rank is that they conform to the spirit of what is expected of an internal candidate seeking promotion to the same rank.

Separation and Appeals Procedures

I. Summary of Separation and Appeals Procedures

[The following description is intended to summarize and clarify the applicability of the various procedures described in official statements.]

It is a policy of the university that no faculty member on a probationary appointment shall have his/her appointment terminated except for adequate cause, as defined and promulgated by his/her department and demonstrated through academic due process.

The decision not to renew the letter of appointment of a probationary faculty member does not require a statement of reason, provided that notice of non-reappointment is in accord with the stated standards. The termination of employment of a tenured faculty member requires a detailed statement of the reasons for such action.

The Faculty Review Board and the Hearing Committee have jurisdiction over cases alleging considerations violative of academic freedom or procedural deficiencies and which involve dismissal, non-reappointment, termination, or denial of tenure. The Faculty Review Board and the Hearing Committee follow two (2) different sets of procedures, depending on the specific circumstances of a case. All other cases not provided for elsewhere are under the jurisdiction of the Grievance Committee.

A. Appeals Procedures for Non-Reappointment, Denial of Tenure or Termination of Term Contracts—In cases of non-reappointment of probationary faculty, denial of tenure, or early termination of term contracts whose term has not expired, under the jurisdiction of the Faculty Review Board and the Hearing Committee, the burden of proof is on the appellant faculty member.

B. Dismissal Procedures—In cases of dismissal of a tenured faculty member under the jurisdiction of the Faculty Review Board and the Hearing Committee, the burden of proof is on the President of the university.

C. Grievance Procedures—All other cases are under the jurisdiction of the Grievance Committee.
II. Judicial Bodies

A. The Faculty Review Board

1. Composition
   The Faculty Review Board shall consist of five (5) tenured faculty members and two (2) alternates. Each shall come from a different department and none shall serve concurrently on the Hearing Committee or the Board on Rank and Tenure. They shall be elected at-large by the tenure track faculty for a term of three (3) years, with approximately one-third of the terms expiring each year.

2. Method of Election
   Election of the members of the board shall be conducted by the Faculty Senate before October 15. On the first ballot, each faculty member shall cast one (1) vote. On the second ballot, the number of candidates shall be twice the number of positions to be filled. The candidates shall be those who receive the highest vote totals on the first ballot. On the second ballot, each faculty member may cast as many votes as there are positions to be filled, and for as many different candidates. Those receiving the highest totals shall be elected. Ties shall be broken by lot.

   The recipients of the five (5) highest vote totals shall constitute the Faculty Review Board. The recipients of the next two (2) highest vote totals shall be designated as first and second alternates, respectively. An alternate will serve in place of a member of the Faculty Review Board who is disqualified because of involvement in the case under consideration or who is otherwise unable to serve.

B. The Hearing Committee

1. Composition
   The Hearing Committee shall consist of five (5) tenured faculty members and four (4) alternates. None shall serve concurrently on the Faculty Review Board or the Board on Rank and Tenure. They shall be elected at-large by the tenure track faculty for a term of three (3) years, with approximately one-third of the terms expiring each year.

2. Method of Election
   The Faculty Senate shall conduct the election of the members of the Hearing Committee before October 15. On the first ballot, each faculty member shall cast one (1) vote. On the second ballot, the number of candidates shall be twice the number of positions to be filled. The candidates shall be those who receive the highest vote totals on the first ballot. On the second ballot, each faculty member may cast as many votes as there are positions to be filled, and for as many different candidates. Those receiving the highest totals shall be elected. Ties shall be broken by lot.

   The results of the election, and hence the relative election rank of the nine-member hearing panel, shall be made public. The recipients of the five (5) highest vote totals shall constitute the Hearing Committee. The recipients of the next four (4) highest vote totals shall be designated as alternates. Alternates shall be advanced to the Hearing Committee in sequence, according to the number of votes received by each. Each party is entitled to two (2) challenges in alternate sequence, with the first challenge decided by lot. The Hearing Committee shall elect its own chair.

   Members of the hearing panel should be chosen on the basis of their objectivity and competence, and of the regard in which they are held in the academic community.

   The text of this subsection (2) shall be included with the ballots for the election.

C. Grievance Committee

1. Composition
   The Grievance panel will consist of five (5) tenured members of the faculty, elected at large for a three-year term.
2. Method of Election
The Faculty Senate shall conduct the election of the members of the Grievance Committee by October 15. The three (3) members receiving the highest number of votes will constitute the Grievance Committee. The two (2) faculty members receiving the next highest number of votes will be designated as first and second alternates, respectively. An alternate will serve in place of a member of the Grievance Committee who is disqualified because of involvement in the case under consideration or who is otherwise unable to serve.

III. Procedures

A. Non-reappointment of Probationary Faculty

1. Policy on Non-Reappointment of Probationary Faculty

[This Policy, originally titled "Policy on Reappointment or Non-Reappointment of Non-Tenured Faculty Members," was approved by the University Council (formerly known as the College Council) on December 5, 1974, and by the President on March 5, 1975, was amended by the University Council (formerly known as the College Council) on May 12, 1980, and approved by the President on July 1, 1980.]

a. The essentially temporary nature of probationary appointments shall be made clear to newly appointed faculty; yet the possibility of attaining tenure should normally not be excluded when the original appointment is made.

b. Before the initial appointment, and again early in the first year of service, the probationary faculty member shall be advised of the substantive and procedural standards generally employed in decisions affecting reappointment must also be brought to his/her department. Any special standards adopted by the particular school or department must also be brought to his/her attention.

c. Primary responsibility for decisions concerning the reappointment of probationary faculty rests with the members of their department who have seniority above that of the individual. Each department is responsible for employing proper methods of consultation in such cases, including consultation with the appropriate deans.

d. In cases of non-reappointment, the department chair shall communicate in writing to the probationary faculty member the reasons for the action, if he/she requests an explanation.

e. If a probationary faculty member who is not reappointed requests a review of the department's action alleging inadequate consideration, the Faculty Review Board shall be convened by the appropriate dean.

f. The Faculty Review Board shall determine whether the department's decision was the result of adequate consideration in terms of the standards of the university, with the understanding that the Faculty Review Board shall not substitute its judgement on the merits of the decision for the department. If the Faculty Review Board believes that adequate consideration has not been given, it shall indicate in what respects it believes the consideration was inadequate. The board shall report its conclusions to the probationary faculty member, to the department chair, to the convening dean, and to the senior academic officer. The senior academic officer shall then take appropriate action.

g. If a probationary faculty member who is not reappointed should request a review of the department's action alleging considerations violative of academic freedom or procedural deficiencies, then the request shall be dealt with under the provisions of the statement on Appeals Procedures for Non-reappointment, Denial of Tenure or Termination of Term Contracts.
2. Notice of Non-reappointment of Probationary Faculty
Notice of non-reappointment of probationary faculty shall be given in writing in accordance with the following standards:

- Not later than March 15 of the first academic year of service.
- Not later than December 15 of the second academic year of service.
- At least twelve months before the intended non-renewal date if the probationary faculty member is in his/her third year or more of tenure track service at the university.

The decision not to renew the letter of appointment of a probationary faculty member does not require a statement of reason, provided that notice of non-reappointment is in accord with the above standards.

3. Appeals Procedures for Non-Reappointment, Denial of Tenure or Termination of Term Contracts

[Approved by the University Council (formerly known as the College Council) on February 3, 1978, and by the President on December 2, 1983, and modified by the University Council on April 18, 1978. Approved by the University Council on December 2, 1993 and by the President on December 16, 1993. A further revision was approved by University Council on May 29, 2012 and approved by the President on June 29, 2012.]

a. Preliminary Procedure
If a faculty member on a probationary or other nontenured appointment alleges that procedural deficiencies or considerations violative of academic freedom contributed to a decision to deny tenure or not to reappoint, then the faculty member shall notify the senior academic officer in writing no later than sixty (60) days from the date of the decision. The notice shall state the specific grounds of the allegations which shall be given immediately to the Faculty Review Board for its consideration. There is no appeal in cases of denial of promotion.

The Faculty Review Board shall informally inquire into the allegation(s). The Faculty Review Board shall not consider whether the reappointment or grant of tenure should have been made, but only whether a violation of academic freedom or procedural error which might have affected the outcome of the decision has occurred. The Faculty Review Board shall have confidential access to all information that it deems necessary.

The burden of presenting and establishing a prima facie case rests with the faculty member. A prima facie case is one in which there exists sufficient evidence to establish a violation of academic freedom or procedural error, if such evidence was not contradicted and overcome by other evidence.

At all times during its investigation, the Faculty Review Board shall attempt to effect an amicable adjustment. The Faculty Review Board shall complete its investigation and issue its decision regarding the establishment of a prima facie case within ninety (90) days of receipt of the allegations.

If the Faculty Review Board concludes that the faculty member has established a prima facie case, it shall immediately initiate the formal procedure.

b. Commencement of Formal Procedure
The Faculty Review Board shall commence the formal procedure by convening the Hearing Committee and transmitting to it all relevant information. The Hearing Committee shall inform the faculty member and the administration of their procedural rights, either in detail or by reference to published regulations.

The Hearing Committee shall determine whether a violation of academic freedom or

---

1 Persons denied promotion do not have a right of appeal under this policy.
procedural error contributed to the decision against reappointment or tenure.

The Hearing Committee shall ordinarily complete the hearings and render its decision within ninety (90) days of the date that it was convened by the Faculty Review Board, but in no event later than November 15.

c. **Proceedings of the Hearing Committee**

Upon commencement of the formal proceedings, the administration shall provide personnel and other resources to the Hearing Committee sufficient to effectively and efficiently carry out its responsibilities.

The Hearing Committee may, with the consent of the parties concerned, hold joint meetings with the parties prior to the hearing in order to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate objectives as will make the hearing fair, effective, and expeditious.

The Hearing Committee shall proceed by considering the allegations and supportive material presented by the faculty member. The committee, in consultation with both parties, will decide whether the hearing shall be private or open to members of the faculty and administration. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter will be received. The Hearing Committee shall have confidential access to all information that it deems necessary.

The President may attend the hearing and may designate an appropriate representative from the university community to act as his spokesperson. The faculty member shall also have the option of being represented by a member of the university community.

The burden of proof rests upon the appellant faculty member. The committee will determine the order of proof, conduct the questioning of witnesses, and arrange, as necessary, for the presentation of additional evidence and witnesses.

The faculty member or his/her representative and the representative designated by the President shall have the right, within reasonable limits, to question all witnesses who testify in person. Where unusual and urgent reasons move the committee to withhold this permission, or where a witness cannot appear, the identity and signed statements of the witness shall nevertheless be disclosed to both parties. At the discretion of the committee, signed statements taken outside the hearing may be reported to the committee. All evidence will be duly recorded. Any transcription costs will be the responsibility of the party which requests the transcript. Unless special circumstances warrant, it will not be necessary to follow rules of court procedure. In exceptional cases of significant legal complexity, the Hearing Committee may make use of legal counsel.

d. **Consideration by the Hearing Committee**

On the basis of the hearing, the committee shall approve its conclusions in conference by majority vote, after giving opportunity to the faculty member or his/her representative and the representative designated by the President to argue orally before it. If further written briefs would be helpful, the committee may request them. Where the committee feels that a just decision can be reached by this means, it may proceed to decision promptly, without having the record of the hearing transcribed; or it may await the availability of a transcript of the hearing. The committee shall make explicit findings with respect to each of the grounds presented.

The burden of proof shall be satisfied by a preponderance of evidence in the record considered as a whole. The statement of the Hearing Committee with respect to the facts shall be accepted by both parties. The President and the faculty member shall be given a copy of the record of the hearing, including any recorded material.
If the committee concludes that a violation of academic freedom or procedural error contributed to the decision against reappointment or to deny tenure, and the President concurs with the result, then the entire reappointment or tenure process is to begin anew. In the case of the denial of tenure, a summary of the report of the Hearing Committee shall be transmitted to the Board of Rank and Tenure.

e. Consideration by the Board of Trustees
   If the President does not concur in the finding of the Hearing Committee, he shall transmit to the Board of Trustees the full report of the Hearing Committee stating its action. If the Board of Trustees chooses to review the case, the review shall be based on the record of the previous hearing by the Hearing Committee, accompanied by opportunity for argument by the principals at the hearing or their representatives. Either the decision of the Hearing Committee shall be sustained or the proceeding shall be returned to the Hearing Committee with objections specified. In the latter case, the committee shall reconsider, taking into account the stated objections and receiving new evidence if necessary, reach its conclusion and communicate it in the same manner as before. Only after study of the committee’s reconsideration shall the Board of Trustees make a final decision.

f. Publicity
   Except for such announcements as the time of the hearing and similar matters, public statements about the case by either faculty member or administrative officers shall be avoided until the proceedings have been completed. Announcement of the final decision shall include a statement of the Hearing Committee’s original action, if not previously disclosed. Any release to the public shall be made through the President’s office.

B. Dismissal Procedures of Tenured Faculty
   [This section was approved by the University Council (formerly known as the College Council) on May 26, 1966, by the General Assembly on June 3, 1966, and subsequently by the President and the Board of Trustees.]

1. Notice of Dismissal of Tenured Faculty
   The termination of the employment of a faculty member with tenure requires a detailed statement of the reasons for such action. Faculty with tenure who are dismissed for reasons not involving moral turpitude shall receive their salaries for at least a year from the date of notification of dismissal, whether or not they are continued in their duties at the institution.

2. Appeals Procedures for Dismissal of Tenured Faculty
   a. Preliminary Proceedings
      When reason arises to question the fitness of a faculty member who has tenure, the appropriate administrative officers should ordinarily discuss the matter with the faculty member in personal conference. The matter may be terminated by mutual consent at this point. If an adjustment does not result, the Faculty Review Board should informally inquire into the situation to effect an adjustment, if possible. If no adjustment is effected, the Faculty Review Board must determine whether formal proceedings to consider the faculty member’s dismissal should be instituted. If the Faculty Review Board recommends a formal proceeding, or if the President, even after considering a recommendation of the Faculty Review Board favorable to the faculty member, expresses the conviction that a proceeding should be undertaken, action should be commenced under the procedures which follow. Except where there is a disagreement, a statement of the grounds proposed for the dismissal, with reasonable particularity, should then be jointly formulated by the President and Faculty Review Board. If there is disagreement, the President or his representative shall formulate the statement.

   b. Commencement of Formal Proceedings
      The President of the university shall commence formal proceedings by sending a registered letter to the faculty member. The letter shall inform the faculty member of the statement...
formulated, and his/her right to request consideration by the Hearing Committee. The faculty member should state in reply whether he/she wishes a hearing. If so, in setting the date of the hearing, the parties should allow sufficient time for the faculty member to prepare a defense. Not less than one (1) week before the date set for the hearing, the faculty member should answer, in writing, the statements made in the President’s letter. The faculty member shall be informed, in detail or by reference to published regulations, of his/her procedural rights.

c. **Suspension of the Faculty Member**

Suspension, not summary dismissal, is the appropriate procedure in those special cases where immediate action may be desirable. Suspension of the faculty member during the proceedings is justified only if immediate harm to the individual or to others is threatened by the faculty member’s continuance, as determined by the appropriate officers of the administration. Unless legal considerations forbid, any such suspension will be with pay.

d. **Proceedings of the Hearing Committee**

If the faculty member has requested a hearing, the Faculty Review Board shall convene the Hearing Committee and transmit to it all relevant information. The Hearing Committee shall consider the written statement of grounds for dismissal and the faculty member’s response, both prepared prior to the hearing. In consultation with the President and the faculty member, it will decide whether the hearing shall be private or open to members of the faculty and administration. If any facts are in dispute, the testimony of witnesses and other evidence will be received. In the hearing of charges of incompetence, the testimony may include that of faculty and others from this university or elsewhere.

The burden of proof rests upon the President, who shall have the option of attending the hearing, and who may designate an appropriate representative to assist in developing the case. The committee will determine the order of proof, conduct the questioning of witnesses, and arrange, as necessary, for the presentation of additional evidence.

The faculty member shall have the option of assistance by counsel, whose functions shall be similar to those of the representative chosen by the President, and shall have the aid of the committee, when needed, in securing the attendance of witnesses. The faculty member or the faculty member’s counsel and the representative designated by the President shall have the right, within reasonable limits, to question all witnesses who testify in person. The faculty member shall have the opportunity to confront all adverse witnesses. Where unusual and urgent reasons move the committee to withhold this right, or where a witness cannot appear, the identity of the witnesses, as well as their signed statements shall nevertheless be disclosed to the faculty member. Subject to these safeguards, signed statements taken outside the hearing may be reported to the committee. All evidence will be duly recorded. Unless special circumstances warrant, it will not be necessary to follow rules of court procedure.

If the faculty member has not requested a hearing, the Hearing Committee should consider the case on the basis of the obtainable information and decide whether the faculty member should be removed.

e. **Consideration by the Hearing Committee**

On the basis of the hearing, the committee shall reach its decision in conference by majority vote. Before doing so, it should give opportunity to the faculty member or the faculty member’s counsel and the representative designated by the President to argue orally before it. If written briefs would be helpful, the committee may request them. Where the committee feels that a just decision can be reached by this means, it may proceed to decision promptly, without having the record of the hearing transcribed; or it may await the availability of a transcript of the hearing if its decision would be aided thereby.
The committee shall make explicit findings with respect to each of the grounds of removal presented. The burden of proof shall be satisfied only by clear and convincing evidence in the record considered as a whole. The statement of the Hearing Committee with respect to the facts shall be accepted by the parties concerned. The President and the faculty member shall be notified of the decision in writing and given a copy of the record of the hearing. Publicity concerning the committee’s decision shall be withheld until consideration has been given to the case by the Board of Trustees of the university.

f. Consideration by the Board of Trustees
The President shall transmit to the Board of Trustees the full report of the Hearing Committee, stating its action. Acceptance of the committee’s decision would normally be expected. In every case, however, the factual findings of the committee shall be binding on the parties concerned. If the Board of Trustees chooses to review the case, its review shall be based on the Hearing Committee’s record, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or their representatives. The decision of the Hearing Committee shall be either sustained or overruled. If the decision is overruled, then the proceeding shall be returned to the committee with objections specified. In such a case, the committee shall reconsider the case, taking into account the stated objections and receiving new evidence, if necessary. It shall frame its decision and communicate it in the same manner as before. Only after study of the committee’s reconsideration may the Board of Trustees make a final decision overruling the committee.

g. Publicity
Except for such announcements as the time of the hearing and similar matters, public statements about the case by either faculty member or administrative officers shall be avoided until the proceedings have been completed. Announcement of the final decision shall include a statement of the Hearing Committee’s original action, if not previously disclosed. Any release to the public shall be made through the President’s office.

C. Grievance Procedures
[This Procedure was approved by the University Council (formerly known as the College Council) on April 22, 1980, and by the President on April 30, 1980.]
A faculty member who feels cause for grievance in any matter not covered by other established procedures may petition the Grievance Committee for mediation. The Grievance Committee shall not be used as an appeals mechanism from other existing appeals procedures. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any factual or other data which the petitioner deems pertinent to the case. It shall be accompanied by any supporting documentation in the petitioner’s possession. The committee will have the right to decide whether or not the facts merit a detailed investigation. Submission of a petition will not automatically entail investigation or detailed consideration thereof. If the committee decides that the facts merit a detailed investigation, it will conduct such an investigation. In any investigation, the committee shall have confidential access to all necessary information. The senior academic officer shall resolve any dispute concerning such access. At all stages of the process, the committee shall seek to bring about a settlement of the grievance satisfactory to the parties. If no settlement is possible or appropriate, the committee will report the results of its mediation or findings, along with its recommendations, to the appropriate administrative officer, the President of the Faculty Senate, and the parties involved. Absent extenuating circumstances, the committee should complete its process within sixty (60) days of its receipt of the petition. The committee and each of its members shall maintain in the strictest confidence, consistent with their duties, all proceedings, investigations, or discussion had, all information or
documents secured, and all recommendations made in connection with their responsibilities under this section. Nothing in this section shall entitle any petitioner to access any confidential information.

Faculty Responsibilities

[Parts of this statement were approved by the University Council (formerly known as the College Council) on May 8, 1969, by the General Assembly on November 5, 1969, and subsequently also by the President and the Board of Trustees. Other parts are based on institutional experience.]

While the university sees no need to impose a large body of codified rules upon the members of its faculty, it does have certain expectations concerning the conduct of its faculty.

I. Professed Values

Persons who seek faculty appointments at Saint Joseph’s University acknowledge the aims and objectives of a Catholic, Jesuit, comprehensive university. They also expect the freedom to inquire, to speak, and to follow the quest for truth. The university sets no religious test for members of the faculty, and none of its policies should be construed to require violation of the religious conscience of any person. Still, members of the faculty are expected to strike a fair balance between their own individual predilections and their obligations to the professed values of the university. Faculty members need not subscribe to the propositions of formal Catholic theology, nor need they refrain from honest intellectual critique of the university’s goals and programs.

Responsible individuals realize that it is usually not possible to draw a sharp distinction between professional activity and private life, and the Christian ethos recognizes no such distinction. Irresponsible conduct and modes of behavior which not only gravely offend the ethical conscience of the university community but which also seriously impair teaching effectiveness may lead to dismissal for cause. In doubtful cases, the faculty member is urged to consult a principal officer of administration concerning the possible interpretations and effects of his/her conduct or decisions.

II. Personal and Professional Growth

Faculty members must be committed to excellence in teaching. Since this end requires constant learning in the disciplinary field, they are expected, through study, research, and active membership in professional organizations, to keep close association with the community of scholars. They should attend scholarly meetings, present papers, effect mutually beneficial relations between the university and the larger academic community, and periodically publish the results of research.

An atmosphere of critical inquiry is considered necessary for the health of the university. Accordingly, faculty members should respect and defend the right of free expression among associates. In the exchange of criticism and ideas, they should show due respect for the opinions of others and strive to be objective in judging colleagues.

III. Classes

Faculty members are expected to meet their classes punctually and for the entire scheduled period. If a class must be cancelled, both the office of the appropriate dean and the department chair should be notified. Excessive, unwarranted, or unreported absences, after fair warning, may lead to financial penalties.

Faculty members are responsible for maintaining the level of dignity and order in the classroom which is necessary for learning and for free, creative intellectual discourse.
In accord with long tradition at this university, it is appropriate to begin classes and meetings with a
brief prayer or reading from Scripture.

Students should receive accurate information on the first day of class through the Course Expectation
Form (syllabus) about grading method, reading assignments, tests, and papers required for each course.
Courses should aim to develop writing and research skills by providing reading lists and requiring use of
library facilities and other resources as appropriate. Adequate arrangements should be made for the
availability of textbooks adopted for courses. Faculty members are responsible for reporting grades to the
Office of the Registrar within the time specified.

IV. Responsibilities Toward Students

A. Duties

As teachers, faculty members should seek to encourage the free pursuit of learning by students. They
should hold before them the best scholarly standards of the discipline, demonstrate respect for students as
persons, and adhere to a proper role as intellectual guide and counselor.

Faculty members should maintain principles of orderly academic process, planning courses in
accordance with the best available techniques of communication. They should seek innovative methods
to stimulate the learning process, foster mutual exchange of ideas, and habitually demonstrate availability
for consultation with students. In evaluating student performance, they should aim at objectivity and be
familiar with pertinent university policies, regulations, and standards.

B. Service

Students have a right to expect full-time faculty to keep office hours, and, as a general rule, to be
available on campus during the substantially greater part of regular class days. Office hours should be
posted clearly in the departmental area and recorded with the department chair.

Conscientious faculty will have reason to be absent occasionally. However, persistent patterns of
absence will reflect negatively on the faculty member’s performance.

V. Statement on Final Examinations

[This Statement on Final Examinations was approved by the University Council (formerly known as
the College Council) on October 17, 1974, amended on November 6, 1974, and approved by the
President on January 15, 1975; and was further amended by University Council on March 26,
1975.]

Students are required to take written examinations in each subject during the scheduled examination
period at the end of each semester. However, with the approval of the department chair, an instructor
may exempt from the final examination all students who have earned the grade of A/A- in that course.
Individual teachers who wish to substitute an alternative method of evaluation for the final examination
must submit a specific request in advance to their department chair for approval.

VI. Students with Disabilities

[The following statement has been formulated by the responsible administrators as representing
university policy and as advice to members of the faculty.]

Committed to a policy of equal opportunity in all aspects of its operation, the university does not
discriminate against any person on the basis of disability.
Members of the faculty should be aware of this policy of nondiscrimination as they carry out their responsibilities toward students who may be physically or mentally impaired. Faculty are expected to make reasonable accommodations in their teaching styles and examination procedures to meet the special learning needs of these students.

Some examples of such reasonable accommodations might include:
• permitting the use of tape recorders in lectures,
• arranging for meetings in another location when the faculty member’s office is in an inaccessible building,
• giving oral examinations, and
• allowing additional time for examinations.

VII. Academic Advising

Departments are responsible for the academic advising of their majors, and individual faculty may also be assigned to general advising of first year students. Advice to students should include information about courses, academic requirements, post-graduate education, and careers. Students should be referred to university support services, as appropriate.

VIII. Administrative Responsibilities

Faculty members should keep close contact with the chair of the department and participate in the work of the department by attending meetings and by accepting responsibility to implement departmental plans. In addition, faculty members have an obligation to serve their respective college and the university by participation in the work of committees and boards as opportunities present themselves. In addition, they should normally attend the major events sponsored by the university and should give reasonable support to other college and university activities.

A special obligation is placed upon faculty members to offer advice and criticism, with due regard to the ethical standards of the teaching profession, and using appropriate mechanisms, on any matters seriously affecting the good of the university. They should also abide by all appropriately promulgated regulations.

IX. Extra-institutional Employment

Faculty members may enter limited continuing relationships with public or private organizations for financial remuneration provided that:
• the appropriate dean and chair agree that the association will be professionally rewarding and provide a valuable service,
• there is no professional conflict of interest,
• the aggregate commitment of time will not exceed the equivalent of one (1) normal day each week over a semester, and
• association with the activity would not be a source of embarrassment to the university.

Tenure track faculty may not accept teaching or research positions at other universities from August 15 through June 15 without specific prior approval of the senior academic officer. Delivering occasional lectures or summer teaching elsewhere is not restricted.
X. Faculty Letters of Appointment

[These provisions, adapted from the "Statement on Basic Contract," approved by the University Council (formerly known as the College Council) on April 2, 1971, were adopted by the Executive Vice President and the academic deans as administrative policy on December 28, 1971, and reference to these provisions was incorporated into all faculty contracts and agreements beginning in Spring, 1972. Further revisions were approved by University Council on March 21, 2013, and approved by the President on March 27, 2013. Subsequently revisions were approved by the University Council on February 18, 2016 and the President on April 15, 2016.]

Faculty letters of appointment are issued no later than May 15 for the succeeding academic year, covering the period from August 16 to May 15.

In signing the letter of appointment, the faculty member agrees to fulfill his/her duties and responsibilities in accordance with the provisions contained in this Handbook and in other applicable directives and policies of the university.

The following provisions shall govern the determination of responsibilities outside the faculty member’s college of primary obligation:

A. For faculty members possessing tenure as of September 1, 1971, new teaching assignments outside the college in which he/she has primary responsibilities shall depend on voluntary acceptance of such assignments.

B. For all faculty members with initial letters of appointment or for faculty members granted tenure for the academic year beginning September 1, 1971, or later, it shall be understood that the university as a matter of ordinary policy reserves the right, under the basic letter of appointment, to make teaching assignments in any college of the university. It is to be understood, however, that assignments outside the college in which he/she has primary responsibility shall not exceed two (2) courses in any academic year.

C. In case of an educational or economic emergency, formally declared by the senior academic officer and validated, if challenged, under the applicable provisions of the Statement on Academic Freedom and Academic Tenure, teaching assignments of both tenured and probationary faculty members, under the basic letter of appointment, may be made for the good of the university.

D. No portion of this statement should be construed as nullifying any arrangement or supplementary agreement with respect to the distribution of teaching assignments under the basic letter of agreement entered into prior to September 1, 1971, nor should any portion of this document be construed as limiting the freedom of the university or individual faculty members to enter specific agreements for the distribution of teaching assignments on any mutually acceptable terms.

E. A faculty member who has tenure should give notice of resignation to the university that, in the opinion of the university, shall be deemed sufficient; but in no case later than May 15.

XI. Faculty Workload

[This Statement was approved by the University Council on January 27, 1972. The President accepted the Statement on February 8, 1972, as a useful description of current administrative practices, while reserving the right, in consultation with the governance structure, to make future adjustments in details. The "student contact hour ratio", SCH/FTE, is an accepted measure of productivity, related to section size and teaching load. For a given section, it is the ratio of the weekly student contact hours (product of the number of students in the section and the number of weekly class hours) to the full time equivalent faculty (normally one, but adjusted fractionally to account for authorized reduced loads). Ratios for departments are the ratio of total SCH to total FTE.]
A. Introduction—All segments of the university community have an interest in the determination of the normal workload for tenure track faculty and in the efforts made to assure equity of distribution of assignments. An unduly heavy assignment could impair a faculty member’s effectiveness in teaching, scholarship, and/or service. Injustice is then done to both students and faculty. An unduly light load could deprive the university of the services that can be expected of a tenure-track faculty member and could add to economic burdens.

With increasing variety in classroom styles and methods, it becomes increasingly difficult to define a policy which can apply univocally to all departments and to all members of a given department. Nonetheless, guidelines can be stated which are both reasonable and flexible and allow faculty and the administration to agree on efficient and effective assignments. It is in this context that the following general statement is to be interpreted.

[This statement was amended by University Council on April 19, 2018. The President approved it on May 22, 2018.]

B. General Statement—Any adequate definition of tenure-track faculty workload should take into account the whole spectrum of professional and institutional services.

The most easily measurable portion of tenure-track faculty workload is, of course, the teaching load, which may be measured in terms of the number of hours, the number of students, the number of different course preparations, the level of courses offered, or some synthesis of these and other elements.

On the departmental level, the Student Contact Hours (SCH) ratio is a useful measure of economic viability. If a semester SCH ratio of 225 is accepted as the baseline, departmental ratios in the range from 200 to 250 would attain a satisfactory minimum; with the lower ratio, acceptable in departments where contact hours correspond most closely to credit hours, and the higher where there is least correspondence between contact and credit hours.

Within this acceptable departmental range, the individual teaching load is best defined in student contact hours. Tenure track faculty should expect to teach eighteen (18) semester hours, with no more than four (4) undergraduate course preparations, over the academic year, a course being defined as a one (1) semester unit. Where more than four (4) undergraduate course preparations are required, where class sizes are unusually large, or for other sound academic reasons approved by the appropriate dean, the number of teaching hours shall be reduced. If, however, a department’s SCH ratio consistently falls below the acceptable range, the eighteen (18) semester hour load may be applied irrespective of the number of preparations.

The tenure-track faculty workload should also include reasonable attention to research, administration, advising, or other institutional responsibilities. All tenure-track faculty members are expected to provide high-quality service to the university and its students on an ongoing basis by actively participating on committees and/or engaging in some equivalent institutional activity at the department, college, and/or university level. Each faculty member’s service obligations must be balanced against the individual’s teaching assignments, student advising responsibilities, research activities, and tenure status. Heavier than normal involvement in (one or more of) service, administration, research, or advising shall require an adjustment to other elements in a faculty member’s workload, including, as circumstances warrant, a reduction in teaching hours.

XII. Status and Seniority in the Professional and Liberal Studies Program

[This policy was approved by the University Council (formerly known as the College Council) on September 25, 1974, and by the President on October 23, 1974.]

Each department chair assigns courses in the College of Arts and Sciences or the Haub School of Business and the Professional and Liberal Studies program according to the needs of the department, individual areas of competence, and the seniority of the faculty, subject to any special considerations that form part
of an individual’s contract with the university. Seniority within each department is determined by whatever norms the department chooses to apply to itself.

Part-time employment in the Professional and Liberal Studies program, defined as the teaching of courses by persons designated as lecturers who do not have a full-time contract with the university, bestows no rights of seniority. Careful consideration, however, should be given to faculty having shown longtime satisfactory performance. Course assignments for teachers in the Professional and Liberal Studies program are the responsibility of the department chairperson or of a delegated representative.

None of the provisions enumerated above should be construed as superseding the provisions concerning faculty contracts, above.

**Statement on the Department Chair**

*This statement was approved by the University Council (formerly known as the College Council) on February 6, 1969 and by the General Assembly on March 12, 1969; it was amended by the University Council on May 9, 1990 and on January 19, 2012 and by the President on February 2, 2012.*

I. **Qualifications**—The department chair should ordinarily have the following qualifications:

- an earned doctorate or appropriate terminal degree in the teaching field or a closely allied field;
- a minimum of six (6) years teaching experience at the college level;
- having earned tenure at Saint Joseph’s University;
- exceptional competence in the field; and
- leadership and administrative capabilities.

Waiver of one or more of the above qualifications may be permitted where the candidate demonstrates strength in the other designated areas.

II. **Selection**—Final responsibility for appointment of a department chair rests with the President of the university. This appointment is made after consultation with the senior academic officer, the dean of the appropriate college, and department members. The departmental recommendation to the President shall be made in the following manner:

A. Each tenure track member of the department may nominate a candidate for the office of chair. Candidates need not be current members of the department and may be nominated from outside the university.

B. All tenure track members of the department shall be eligible to vote for the nominees, having one (1) vote each.

C. Voting shall be conducted anonymously. If, after the first vote, a nominee has received a majority of the total number of votes in the department, he or she shall be recommended to the President. In the event a nominee has not received a majority of the votes, the nominee with the fewest votes shall be removed from consideration. The procedure will be repeated until there is a nominee receiving a majority of the total number of votes. In the event that a majority cannot be reached, all names in the final round shall be forwarded to the President.

D. The dean of the appropriate college shall set the date, time, and place of the meeting at which nominations are to be made, giving adequate notice to the members of the department, and shall preside at this meeting, establish procedures for casting ballots, and report the results to the President.

*This section was amended by University Council on October 18, 2001, and approved by the President in October 2001.*
E. If the President finds the department’s first recommendation unacceptable, he shall instruct the senior academic officer to arrange a second ballot according to the established procedures. If the department’s second recommendation is unacceptable to the President, the senior academic officer shall appoint a search committee of five (5) tenure-track faculty to make recommendations to the President. In order to ensure departmental input into the process, two (2) of the five (5) members of the search committee shall be selected from the department concerned by its tenure track members: the other three (3) members shall come from outside the department concerned.

F. The term of office for a department chair is three (3) years. Normally, a department chair serves for a maximum of two (2) consecutive terms. With supermajority consent of the department, the term of the chair may be extended beyond six (6) years. In departments with five or fewer tenure track faculty members, supermajority consent will be determined by a minimum of three-fifths favorable vote; in departments with six to nine tenure track faculty members, supermajority consent will be determined by a minimum of two-thirds favorable vote; in departments with greater than nine tenure track faculty members, supermajority consent will be determined by a minimum of three-quarters favorable vote. Interim appointments may be made at the discretion of the President, either for an unexpired term or for a shorter specified period. For these appointments, there shall be consultation with the appropriate dean and department members without formal balloting. The term “Acting Chair” shall normally be reserved for appointments of less than a full term.

III. Duties and Functions—The department chair shall carry out the following duties and responsibilities:

A. General Responsibilities
1. to foster academic excellence in teaching, scholarship, and service;
2. to use his/her statutory and delegated powers to administer the personnel and material resources of the department in a manner that is consistent with the purposes and objectives of the university;
3. to formulate, in cooperation with the members of the department, specific objectives for the department, for each major subdivision thereof, and for each course of instruction;
4. to delegate equitably to members of the department such duties and powers as may be required to fulfill the functions of the department;
5. to hold department meetings at least three (3) times each semester, preparing an agenda for each meeting, notifying members of each agenda in advance, and allowing department members to make recommendations, with such recommendations being made a part of the minutes;
6. to ensure minutes are taken at each department meeting and forward copies to each department member for approval and to the senior academic officer and the appropriate dean;
7. to enable student consultation in appropriate departmental affairs;
8. to prepare an annual report to the President, senior academic officer, and the appropriate dean, reviewing the progress and current state of the department;
9. to respond in a timely manner to information requests from the dean, Provost, and various university departments;
10. to support an up-to-date electronic departmental presence
11. to represent the department and its discipline with professional groups, community, and regulatory bodies outside the University;
12. to represent the department within the University (i.e., with other departments and offices), with students, and with other stakeholders such as parents of students;
13. to mediate disputes relevant to the department’s business between and among students, departmental faculty, with other university offices, and with external entities;
to participate in development activities with alumni, the development office and admissions; 
15. to attend meetings and informational/training sessions for chairs; and 
16. to be accessible during the summer months.

B. Faculty Selection and Development: 
1. to undertake the recruitment and selection of new faculty (tenure track, visiting, and adjunct) for the department, in conjunction with the senior academic officer, the appropriate dean, and members of the department; to make available academic dossiers of applicants to appropriate department members, and to invite appropriate members of the department to interview applicants and to put into writing their evaluation, which is to be forwarded by the chair to the senior academic officer and the appropriate dean; 
2. to provide orientation for new members of the department; 
3. to provide for the general welfare of the members of the department; 
4. to encourage and support the research, publication, conference attendance, and other professional activities of department members; 
5. to recommend faculty for academic distinctions, grants, sabbaticals, etc.; 
6. to record academic distinctions, degrees, publications, awards, etc., of department members and to notify appropriate administration officials, particularly when rank or tenure is involved; 
7. to prepare an annual written evaluation of performance of each faculty member; 
8. to report annually to the senior academic officer and the appropriate dean on the performance of each probationary member of the department and members eligible for promotion to a higher rank, and to review the progress and current status of any department member at his/her request or as circumstances require; 
9. to provide a mechanism for mentoring new and probationary members of the department; 
10. to prepare for and preside at meetings of tenured faculty on pre-tenure reviews of tenure-track faculty; 
11. to prepare for and preside at meetings of tenured faculty on tenure and/or promotion petitions; and to fulfill an evaluative role in tenure and promotion as outlined in the appropriate sections of the Faculty Handbook. 
12. to fulfill an evaluative role in tenure and promotion as outlined in the appropriate sections of the Faculty Handbook.

C. Administrative and Support Development 
1. to undertake the recruitment and selection of new personnel for the department including, for example, administrative staff, research/graduate/lab assistants and work studies; 
2. to review and approve time sheets of any administrative/staff department personnel; 
3. to review annually the performance of any administrative/staff department personnel; and 
4. to mentor and supervise administrative/staff department personnel

D. Curriculum and Instruction: 
1. to maintain a continuing review of the departmental curriculum and oversee periodic curricular reviews for each major and program in the department; 
2. to initiate, after formal consideration and approval in departmental meetings, those changes deemed essential to the maintenance of a vital and timely curriculum; 
3. to advise the appropriate dean of course schedules and teaching assignments; 
4. to provide information to be incorporated in the annual catalog; 
5. to provide curricular information to be used by the advising centers; 
6. to develop academic policy for the department, with the advice and approval of the members; 
7. to ensure course coverage throughout the academic year, intersession, and summer sessions;
8. to interface and integrate with academic programs and other departments; and
9. to coordinate assessment of learning.

E. Student Services:
1. to initiate and supervise a departmental system of academic advising;
2. to cooperate with those responsible for aiding students in the process of placement after graduation;
3. to appoint faculty advisors for student activities related to the department;
4. to approve student major/minor selection and major/minor changes, study abroad courses, independent studies, transfer credits, and internships;
5. to interact with the Registrar’s office in student curricular matters;
6. to advise students and be the intermediary contact; and
7. to approve or deny course overrides and monitor student registrations.

F. Budgeting
1. to submit an annual operating budget prepared in consultation with the members of the department and reviewed with the appropriate dean;
2. to provide access to the approved budget to members of the department;
3. to approve the disbursement of department funds and review monthly expenses such as phone bills;
4. to plan annually with department members for long-range budgetary and personnel needs and to communicate these plans to appropriate administrative officers;
5. to assist, in cooperation with members of the department and librarians, in the development and usage of the department’s library holdings;
6. to manage interim budget adjustments among budget items;
7. to review and execute requests for funds;
8. to prepare and submit program plans to Planning and Budgeting Commission;
9. to determine the distribution and use of space, furnishings, and other facilities assigned to the department; and
10. to work with budgetary control models as adopted by the University.

IV. Faculty Responsibilities – Except as may be modified by agreement, the department chair will have the same responsibilities as a faculty member as described in the section entitled “Faculty Responsibilities,” above.

Faculty Development

I. Faculty Research and Development

[This policy, developed by the Board on Faculty Research and Development, was approved and promulgated by the President on September 1, 1968; Section 3 was amended by the University Council on December 10, 1985, and approved by the President on January 14, 1986.]

A. The Role of Research

Saint Joseph’s University values scholarly research and the professional development of its faculty as essential to its educational function. In order to communicate to the student a sense of knowledge as a living and growing stream, the faculty member must be a learner and in some measure an active participant and contributor to this stream. The university aims to create an inquisitive, independent mind and an incipient spirit of research in the undergraduate student. For this purpose, no other
influence is as powerful as faculty example.

Research includes scholarly activity constituting an original contribution to knowledge which shows promise of publication as a book, monograph or special study, or as an article in a recognized professional journal. Only in a wider sense does it include technical services of a consulting or advisory nature which ordinarily do not result in publications and are not necessarily of educational value.

Aware of the importance of intellectual contributions by its faculty, the university, wherever and whenever possible, provides equipment, space, student and clerical assistance, and maintenance of facilities to encourage research.

Projects of professional development aimed at improving teaching performance are also supported in one (1) category of the policy on sabbatical leaves.

B. Atmosphere for Research and Professional Development

The university, as part of its research and development policy, attempts in several ways to engender an atmosphere congenial to research activity and professional development. It encourages participation by faculty members in the work of the various professional societies by defraying the cost of attendance at meetings, either in part or in full.

Faculty seminars, where promising research ideas may be discussed with colleagues, are encouraged. In addition, speakers and seminars on topics related to improvement of teaching are held regularly, particularly under the sponsorship of the Teaching and Learning Center. The university also encourages its faculty to compete for grants from foundations and other sources, and it attempts to publicize, as appropriate, the research activities and accomplishments of its faculty.

C. Board on Faculty Research and Development

The Board on Faculty Research and Development shall be composed of five (5) full-time tenured faculty members with at least one (1) from each division of the university. They shall be appointed by the President for a three (3) year term. The board shall advise the President on all matters relating to research and shall be responsible for:

1. evaluating research projects for which assistance from the university is requested and making recommendations concerning submitted proposals;
2. evaluating applications for sabbatical leave, whether for research or for professional development, and making recommendations on their acceptability;
3. making recommendations to the President concerning publication or reprinting of original work done by faculty members;
4. receiving and evaluating interim and final reports on research activities carried out by grantees.

D. Assistance to Research and Professional Development

University assistance for research and development is available to all tenure track faculty members.

1. **Grants-in-aid**—A grant-in-aid is a stipulated sum of money, ordinarily available only to tenure-track faculty members possessing the doctorate or equivalent, which is intended to cover unusual expenses incurred in doing research. Consideration for a grant-in-aid may be given to requests for equipment, supplies, travel (including transportation, room, and board), clerical assistance, student assistants, supplementary library allowance, cost of reprints, etc. A limited amount of money is available for the purchase of equipment and supplies, if the use thereof is restricted to the project. Equipment and nonperishable supplies purchased with grant-in-aid funds are the property of the university. The number of grants and the amount of money available shall be made known each year when the board invites applications for grants. A grant-in-aid shall ordinarily cover the regular academic year.
2. **Reduced Teaching Load**—On the recommendation of the department chair and with the approval of the appropriate dean, a member of the faculty engaged in a research project approved of and assisted by the university may be assigned a reduced teaching schedule.

3. **Summer Grants**—A summer grant is a sum of money, ordinarily available only to tenure track faculty members possessing the doctorate or equivalent, to relieve him/her of other academic duties in order to engage in research full-time. To receive consideration, a faculty member shall submit to the Board on Faculty Research and Development a statement of the research activity which he/she proposes to continue or to complete with the help of the summer grant. A letter of recommendation from the chair of the department is to be submitted with the application. Summer grants shall not be less than, except with the special approval of the President, the maximum compensation for teaching one (1) summer course. No fewer than ten (10) such grants shall be awarded in any summer. Since the sole purpose of the summer grant is to support research, the recipient of a summer grant is not to engage in any teaching or other continuing activity for which remuneration is received during the period from June 15 to August 15.

4. **Sabbatical Leaves**—Sabbatical leaves are granted to allow tenured faculty members to engage in research, study, creative effort, or other activities that will contribute to the long-term effectiveness of the individual as a teacher and as a scholar. A sabbatical leave may be granted for either a half year at full salary and full benefits or for a full year at half salary and full benefits. A faculty member becomes eligible for sabbatical leave after the completion of six (6) years of full-time service on the faculty at this university. After being granted the first sabbatical leave, a faculty member becomes eligible for a second sabbatical after the completion of six (6) years full-time service following the first sabbatical, and similarly for subsequent sabbatical leaves. A further option is for a full year at full salary and full benefits if the faculty member chooses to wait until after twelve (12) years of full-time service to apply for a sabbatical leave. Applicants for a sabbatical leave shall present to the Board on Faculty Research and Development a detailed statement of the proposed activity for the sabbatical period no later than November 1 preceding the academic year in which the sabbatical is sought. Sabbatical leaves shall be granted by the President acting on the recommendations of the Board on Faculty Research and Development. The senior academic officer shall consult with the appropriate department chairs and deans regarding the impact of proposed sabbaticals on the academic program, and shall advise the President on that matter. A faculty member on sabbatical leave shall devote full time to the activities for which the sabbatical leave was approved and shall not engage in any other continuing activity for which compensation is received, except with the permission of the President or his delegate.

5. **Other Provisions**—Although grants-in-aid, reduced teaching loads, summer grants and sabbaticals are intended ordinarily for members of the tenure-track faculty who possess the doctorate, projects of special merit presented by members of the tenure-track faculty who do not have the doctorate will receive consideration. Such projects may involve research, creative effort, or other activities tending toward professional self-improvement. Research undertaken to meet the requirements for an advanced degree is not eligible for subsidy under these provisions.

*The following provision was adopted by the University Council on October 12, 1988.*

The deadline for all applications for grants-in-aid, summer grants sabbaticals, and reduced teaching loads, is November 1. Applicants should send the materials to the senior academic officer who will forward them to the Board on Faculty Research and Development.
E. Responsibilities of Recipients of Assistance
Recipients of assistance shall submit a progress report to the board on their activity no later than
October 1 immediately following the expiration of the grant. If a publication results from a recipient’s
research, two (2) reprints should be submitted to the Board. Grant recipients are expected to continue
in the employ of the university at least one (1) academic year after having received assistance.
Should a recipient leave the university before the end of the academic year immediately following
the receipt of assistance, he/she shall refund a certain proportion of the assistance as determined by
the Board on Faculty Research and Development.

F. Criteria for the Awarding of Assistance
Ordinarily, in judging the merits of applications for assistance for research and professional
development, the board will weigh all of the factors listed below. In evaluating proposals for the
improvement of teaching effectiveness, the board will make appropriate adjustments in applying the
criteria. Failure to meet one or more of these areas may constitute sufficient grounds for withholding
an award:

1. eligibility according to the stated criteria;
2. the scholarly value of the proposed project, with the board reserving the right to solicit
evaluations from independent experts;
3. satisfactory evidence of genuine interest in and professional competence to perform the
proposed research;
4. sufficient seniority in comparison with other applicants in a particular year;
5. inability to obtain significant aid from other sources;
6. the staffing requirements of the applicant’s department;
7. the amount of assistance which the applicant received from the university; and
8. the proposal’s compatibility with the general aims, objectives and interests of the university.

II. Faculty Awards
[This description represents current practice.]

A. Lindback Award
An outstanding member of the faculty is chosen each year to receive the Lindback Award in
recognition of teaching excellence. This prestigious award is sponsored and funded by the Lindback
Foundation; a tenure track faculty member is eligible to receive this recognition only once in a lifetime.
Nominations for the Lindback Award are solicited from department chairs and academic deans,
as well as junior and senior students and graduates. Selection is made by a committee consisting of
the senior academic officer as chair and the four (4) most recent recipients.
The Lindback Award is bestowed each year at the Commencement exercises and the recipient
is automatically granted a Faculty Merit Teaching Award for the following year.

B. The Tengelmann Award
The Tengelmann Award is bestowed annually at the Commencement exercises to recognize
distinguished teaching and research. Nominations for the Tengelmann Award are solicited from
chairs, academic administrators, and students. The three (3) most recent recipients of the award
and the Deans of the Haub School of Business and the College of Arts and Sciences will comprise
the committee which selects the tenure-track faculty member who will receive the award.

C. Faculty Merit Awards
Tenure track faculty members who have demonstrated outstanding achievement in the previous
year are recognized with Faculty Merit Awards in four (4) categories. Selections are made as
follows:
1. The Board on Faculty Research and Development selects the recipients of the Faculty Research and Scholarly Activity Merit Awards;
2. The four (4) most recent Lindback recipients select the recipients for the Faculty Teaching Merit Awards;
3. The Faculty Senate selects the recipients of the Faculty Institutional Service Merit Awards; and
4. The Deans of the College of Arts and Sciences and the Haub School of Business select the recipients of the Faculty Advising Merit Awards. Faculty Merit Awards are presented at a special Faculty Convocation each year.

D. Bene Merenti Medals
Bene Merenti medals are presented at the annual Decades of Service Ceremony to those tenured members of the faculty who have completed twenty-five (25) years of full-time service at the university. Bene Merenti members are also recognized during the undergraduate Commencement exercises.

E. Lifetime Service Award
The Lifetime Service Award is bestowed annually at the Commencement exercises to recognize distinguished service by a current (at the time of nomination) faculty member holding the rank of associate professor or professor. Normally, a nominee must have a minimum of twenty years of full-time faculty service at Saint Joseph’s University. (Note that years spent as department chair are considered to be years of full-time service.) Nominations are solicited from faculty by the chief academic officer. Initially, the selection committee will consist of the presidents of the Faculty Senate, the college councils, the chairs of APP and FPP, the deans of the colleges, the chief academic officer, ex officio, and the President of the SJU chapter of AAUP ex officio. Starting with year three, the deans will rotate off the committee, and the first two lifetime service award winners will join the committee. For each succeeding year, the most recent award winner will join the committee and the “oldest” award winner will rotate off.

Faculty Benefits

I. Leaves of Absence

[This description represents current practice concerning benefits available to tenure track faculty.]

Leaves of absence may provide opportunities for continued professional growth and intellectual achievement through study, research, writing, or travel. Leaves may also be useful for projects of benefit to the university or for public or private service outside the university.

Since leaves of absence are without pay, faculty members undertaking them are expected to arrange for their own support. Arrangements may be made, however, for uninterrupted coverage under existing benefit policies.

Application for a leave of absence, with sufficient advance notice to allow departmental planning, is made through the department chair to the appropriate dean, who makes recommendations to the President through the senior academic officer. Evidence that the leave will increase individual effectiveness or produce academically or socially useful results will be considered in evaluating applications.
A leave of absence is usually granted for a period of one (1) academic year. The appropriate dean may, for good reason, extend the leave for a second year when the absence will not cause unreasonable difficulty for the department. No leaves of absence can be extended beyond two (2) years without the express authorization of the President, acting on the recommendation of the Board on Rank and Tenure.

Faculty who are granted leaves of absence for the purpose of professional development that also enhances his/her teaching do not automatically have this time count towards full-time ranked teaching for tenure or promotion. It is the discretion of the faculty member to petition to have this time credited to full-time ranked teaching. To do so, the faculty must petition his/her department chairperson, in consultation with the appropriate dean, and chief academic officer/provost for such approval. This petition must be made immediately upon completion of the leave of absence so that the activities undertaken by the faculty during such time may be evaluated appropriately. If approved, the credit of time in teaching will be limited to no more than two academic semesters for candidacy for tenure and/or promotion to Associate Professor. Probational faculty credited with ten semesters of full-time ranked teaching that includes time on a leave of absence must adhere to the timing conditions for application to tenure as defined in this handbook under faculty Evaluation and Review. In the rare instance that the candidate for Professor has been granted leaves of absence during his/her probational and associate professor years, s/he may petition to have more than two semesters of this time credited towards full-time teaching.

II. Family Medical and Other Leaves

Faculty may also be eligible for leaves in accordance with the University's family and medical leave, sick leave, short-term disability, long-term disability and parental and family care leave policies. Details are available from the Office of Human Resources and on the University's web site at https://sites.sju.edu/humanresources/files/2018/01/Family-Medical-Leave-Policy.pdf

Faculty who are granted an alternative work assignment based on family &/or medical reasons do not automatically have this time count towards full-time ranked teaching for tenure or promotion unless approved by the department chairperson, in consultation with the appropriate dean, and chief academic officer/provost. It is the discretion of the faculty member to petition to have this time credited to full-time ranked teaching. If petitioned and approved, the credit of time in teaching will be limited to no more than two academic semesters towards tenure or promotion to Associate Professor. Probational faculty credited with ten semesters of full-time ranked teaching that includes time on an alternative work assignment must adhere to the timing conditions for application to tenure as defined in this handbook under faculty Evaluation and Review. In the rare instance that the candidate for Professor has been granted leaves of absence during his/her probational and associate professor years, s/he may petition to have more than two semesters of this time credited towards full-time teaching.

Faculty who have been assigned an alternative work assignment (c.f. Faculty Benefits.II) will meet with the department chair and the school dean to develop a mutually-agreeable written contract that addresses (a) the content of the alternative work assignment (i.e., what project[s] the faculty member will work on) and (b) the procedure for evaluating the work. The procedure for evaluating the work will address (a) the relevant area(s) of promotion and/or tenure criteria (i.e., teaching, scholarship, and/or service) toward which the work may count, and (b) how and by whom the work will be evaluated. A copy of the contract will be sent to the Provost for his or her review and approval.

The scope and content of the work project will be a function of (a) department, school, and university needs; (b) the developmental needs and plan of the faculty member; and (c) the amount of time the faculty will be working on the alternative work. Examples of alternative work assignment projects include: curricular development, accreditation preparation, and working on a specific research project. This list is by no means exhaustive; other alternative work that meaningfully contributes to department, school, and/or university needs, as well as faculty developmental needs should also be encouraged.
III. Holidays and Vacations

During the term of appointment year, faculty members may take holidays and vacations as announced in the academic calendar. Otherwise, faculty members are expected to be available to perform all instructional services as required by the academic calendar and such other institutional responsibilities as may be assigned.

IV. Insurance and Retirement Plan

The university offers a choice of medical, dental and vision plans, life, and long-term care insurance, and retirement plans. Fringe benefit plans are also offered and are designed to provide tax savings to those who subscribe to them. Details are available from the Office of Human Resources. Details are available from the Office of Human Resources and on the University's web site at https://sites.sju.edu/humanresources/be-well/retirement.

V. Tuition Benefits

Under certain conditions, tenure-track faculty members, spouses, and children are eligible for tuition remission for courses at the university. In addition, children of tenure-track faculty may be eligible for tuition remission at other universities through cooperative arrangements, and tuition reduction at certain private high schools. Details are available from the Office of Human Resources. Details are available from the Office of Human Resources and on the University's web site at https://sites.sju.edu/humanresources/be-well/tuition.

VI. Other Benefits

Faculty members may receive the following additional benefits:

• a fifty percent discount and preferred seating on tickets purchased in advance for all home basketball games at Alumni Memorial Fieldhouse;
• free membership in the Sports Recreation Complex for faculty, spouses, and dependent children;
• a Dependent Care Assistance Plan to allow payment for qualifying expenses on a pre-tax basis;
• counseling sessions through the university’s Counseling and Psychological Services Center;
• access to childcare at The Children’s School at St. John’s Church on a first-come, first-served basis;
• discounts on automobile and homeowner’s insurance;
• credit union membership;
• payroll deduction for U.S. Savings Bonds; and
• reduced rates and fees for mortgages, home equity and title insurance products.

Details are available from the Office of Human Resources.

University Policies

Additional policies binding on all in the university community may be found at:

https://sites.sju.edu/humanresources/

Academic Honesty Policy

[This policy was approved by the University Council on May 20, 1982, revised by University Council April 20, 1995, and approved by the President April 27, 1995, and further amended by the University Council October 21, 2004, March 19, 2009, and March 27, 2013.]

https://sites.sju.edu/registrar/academic-honesty-policy/
Accommodation Grievance Procedures for Students with Disabilities

[This policy was approved by University Council May 15, 2003 and signed by the President May 27, 2003.]

For the most up-to-date version of the Saint Joseph's University Accommodation Grievance Procedures for Students with Disabilities please visit the Office of Student Disabilities website: https://sites.sju.edu/thesuccesscenter/sds/grievances/

Background Check Policy

For the most up-to-date version of the Saint Joseph's University's Background Check Policy please visit the Human Resources website: https://sites.sju.edu/humanresources/files/2018/03/Background-Check-Policy.pdf

Background Check Policy Memo

To read the SJU Background Check Policy Memo visit https://www.sju.edu/bcpm

Business Code of Conduct and Conflict of Interest Policy

For the most up-to-date version of the Saint Joseph's University's Business Code of Conduct and Conflict of Interest Policy please visit the Human Resources website https://sites.sju.edu/humanresources/files/2018/05/Business-Code-of-Conduct-and-Conflict-of-Interest-Policy-1.pdf

Drug and Alcohol Policy

For the most up-to-date version of the Saint Joseph's University's Drug and Alcohol Policy please visit the Human Resources website: https://sites.sju.edu/humanresources/files/2018/01/Drug-_-Alcohol-Policy.pdf

Fire Arms Policy

For the most up-to-date version of the Saint Joseph's University's Fire Arms Policy please visit the Human Resources website: https://sites.sju.edu/humanresources/files/2018/01/Fire-Arms-Policy.pdf

Intellectual Property Policy

For the most up-to-date version of Saint Joseph's University's Intellectual Property Policy, please visit the Academic Affairs' Document Repository on the Nest at: https://www.sju.edu/ipp

Mandatory Child Abuse Reporting Policy

For the most up-to-date version of the Saint Joseph's University Mandatory Child Abuse Reporting Policy please visit the Human Resources website: http://www.sju.edu/int/resources/humanresources/pdf/mandatorychildabusereportingpolicy.pdf
Minors on Campus Policy

For the most up-to-date version of the Saint Joseph's University Minors on Campus Policy please visit the Human Resources website:
http://www.sju.edu/int/resources/humanresources/pdf/minorsoncampuspolicy.pdf

Policy on Confidentiality of Student Records (Revised: 1/2014)
Office of the University Registrar

Preface

On June 15, 1973, the President of the institution approved a Policy on Confidentiality of Student Records that affirmed the institution’s obligation to protect the students against improper disclosure of information contained in student records.

On November 19, 1974, The Family Educational Rights and Privacy Act of 1974 (FERPA) became law. Amendments were made and the President of the United States signed the amended Act on December 31, 1974. Revised regulations were issued by the Department of Education (published in the Federal Register, April 11, 1988). The regulations are codified under 34 CFR Part 99. A statement informing students of their rights is printed in each term’s registration information booklet.

The following statement brings together the University’s existing policy with the Federal guidelines. “University” refers to all components of the institution, unless otherwise specified as pertaining to an individual component.

I. Statement on Policy

Saint Joseph’s University collects and retains information and data about its students for specific purposes that facilitate the students’ educational development. These facts and information are retained for designated periods of time. The University recognizes the rights of students in maintaining control over the information about themselves that may be disclosed. It recognizes also that the University has a need for information on students that is relevant to the educational mission of Saint Joseph’s. The intention of this policy is to establish the proper balance between the students’ rights and the University’s need.

The University has an obligation to maintain its records in compliance with the Family Educational Rights and Privacy Act. It has a further obligation to notify students of the existence and location of records and to define the purposes for which information is obtained. The University must provide security for the disclosure of information. It must provide a challenge procedure and remove information that challenge proves inappropriate.

Student Record Policy

Educational records on students are defined as those records, files, documents and other materials that contain information directly related to the student and that are maintained by Saint Joseph’s University or by parties acting for it. This includes academic records and demographic information maintained by the Registrar’s Office and copies of this information kept by the Deans/Directors and departments; financial records kept by the Treasurer’s Office and the Office of the Director of Financial Aid; Development Office records; student credentials and student life records kept by the Vice President for Student Life and data stored by the Computer Resource Center.

Not included are those records that are in the sole possession of the maker and that are not accessible or revealed to any other person except a substitute: notes made by a professor/staff member intended only for the professor’s/staff
Definition of Student: For the purposes of this policy, a student is defined as an individual currently or previously enrolled in the University. It does not include prospective students or applicants.

Policy: No information from records, files, and data directly related to a student (other than that which is considered public information) shall be disclosed to individuals or agencies outside the University without the consent of the student in writing, except as permitted by section 99.31 of the FERPA regulations. Information contained in such records may be shared within the University. Data and information originating at another institution will be subject to this policy.

The academic record is a complete history of students’ academic endeavors. Except in the case of actual error or in the case of a determination made under “V. Record Challenge,” no changes, alterations or editing may be done on the academic record.

II. Public Information

Students are entitled to request that any public information concerning them be withheld. Offices maintaining public information must inform students of the publication dates of any public information directory and offer a means for withholding such information.

For the purpose of this policy, the following is considered to be a part of the public record and may be released without prior consent of the student (except as stated above):

1. Name
2. Address (verification only)
3. Telephone (verification only)
4. Date and Place of Birth (Verification only)
5. Major
6. Date of attendance
7. Date of graduation
8. Degrees and Awards Received
9. Participation in officially recognized activities and sports
10. Weight and height of members of athletic teams.

III. University Officers Responsible for Student Records

The following University officers are designated as responsible for student records within their respective areas:

1. Provost
2. Dean of College of Arts & Sciences
3. Dean of Haub School of Business
4. Director of Library
5. Associate Vice President for Enrollment Management
6. Registrar
7. Vice President for Student Life
8. Director of Counseling & Psychological Services
9. Vice President for Finance
10. Vice President of HR
11. Director of Financial Aid
12. Vice President for University Relations
13. Director of Campus Ministry
N.B. - The Provost is designated as responsible for oversight of all University record keeping. This office will be responsible for maintaining a University-wide listing of the records, files, and data collected, including the purpose, storage, security, and disposition of all student records.

IV. Disclosure Policies

In no case will letters of recommendation and other information obtained or prepared before January 1, 1975, that were written on the assumption or expressed promise of confidentiality to the authors, be available for inspection, disclosure, or challenge. Letters of recommendation and other information written and/or compiled after January 1, 1975, are available to students within the following guidelines:

- A student may waive right-of-access to letters of recommendation that are sought for purposes of admission to any educational agency or institution, for employment, or for application for an honor or honorary recognition. Such waiver must be in writing. On request, however, the student must be notified of the names of all individuals furnishing recommendations and the letters must be used solely for the purpose for which right-of-access was waived. A student is never required to waive his/her right-to-access.
- The University will maintain a record of all requests for and/or disclosure of information from a student’s education records. The record will indicate the name of the party making the request, any additional party to whom it may be disclosed, and the legitimate interest the party had in requesting or obtaining the information. The record may be reviewed by the parents or eligible student.
- A student may request that no directory type information be released by the University by making the request, in writing, to the Office of the Registrar. Upon receipt of the request, no information will be released or verified.

A. Disclosure to the Student:

A student is given the right to inspect, in the presence of a designated staff member, official University records falling within the definition of “educational records” in section 99.3 of the FERPA regulations and subject to the limitations set forth in section 99.12, directly related to himself/herself, upon written request to the designated University officer. Such inspection and explanation of materials, data, and information must be granted within the 45 days subsequent to the request.

Academic Records

- An academic record (from which transcripts are made) and a file are kept for each student. The academic record informs only on academic matters. A notice of disciplinary action, such as suspension and expulsion, which affects the student’s academic status, will become part of the file, but will not be noted on the academic record. Notice of such action will be preserved in the student’s file until such disciplinary action has been terminated; the notice will be destroyed at that time. Academic records are never destroyed; however, student files are destroyed five years after the student’s last attendance.
- University records will not reflect the political activities or political beliefs of students. Similarly, faculty and staff are advised to guard against the improper disclosure of information pertaining to the political beliefs and association of students acquired in the course of their work as instructors, advisors, and counselors.
• A student is entitled to a transcript of his academic record upon completion of the Request for Transcript form and payment of the required fee. A schedule of fees is set annually and published in the University catalogs. Any transcript issued to the student should include the notation: “This transcript has been issued to the student and may be verified by mail.”
• A student has the right to inspect an accurate copy of his/her academic record (from which transcripts are made) and is entitled to an explanation of any information recorded on it. When the original is shown, examination should be permitted only under conditions which will prevent its alteration or mutilation.
• Documents submitted by or for the student in support of his application for admission or for transfer credit should not be returned to the student, nor sent elsewhere at his request. For example, a transcript from another college or high school record should not be sent to a third institution. The student should request another transcript from the original institution. In exceptional cases, however, where another transcript is unobtainable, or can be secured only with the greatest difficulty (as is sometimes true with foreign records), copies may be prepared and released to prevent hardship to the student. The student should present a signed request. Usually the copy, marked as a certified copy of what is in the student’s file, should be released. In rare instances the original may be released and copy retained, with a notation to this effect being placed in the file.

B. Disclosure to Third Parties:
Disclosure of information contained in student records is normally controlled by the student. Disclosures will be made to a third party only upon the written request of a student and only on the condition that the third party will not permit additional access by other persons. Release to third parties without the student’s consent can be made in the following circumstances:

University Officials
University officials who have a legitimate educational interest in the records are permitted to review them. A University official is a person:
• employed by the University in an administrative, supervisory, academic or research, or support staff position.
• employed by or under contract to the University to perform a special task, such as the attorney or auditor.

Legitimate educational interest includes
• to perform a task that is specified in his or her position description or by a contract agreement.
• to perform a task related to a student’s education.
• to provide a service or benefit relating to the student or student’s family such as health care, counseling, job placement or financial aid.

N.B. - The contents of the official folder of a student should not be sent outside the Registrar’s Office or other records’ office except in circumstances specifically authorized by Registrar or the custodian of the other records. Electronic access to student records will be restricted to faculty and administrative officers or their delegates who have a legitimate interest in the material and demonstrate a need to know. A record will be kept of all electronic inquiries.

C. Disclosures to Parents of Dependent Student:
Information concerning a student who is dependent as defined in the Internal Revenue Code of 1954 may be released to the student’s parents. The Internal Revenue Code defines a dependent student as one who attended an educational institution full-time for any five calendar months of a tax year and who was provided more than one-half his/her support as claimed by the parents on their income tax statement.
D. Disclosure to Private Agencies:
Students will be notified of requests from philanthropic organization supporting the student. The student will be required to complete the Request for Transcript form and pay the required fee. Requests from research organizations making statistical studies may be honored without prior approval of the student provided that students are not identified by name or other identifying data on the materials released.

E. Disclosure to Government Agencies
Properly identified representatives from federal, state or local government agencies may be given the following information if expressly requested:
- verification of date and place of birth
- school or division of enrollment and class
- dates of enrollment
- degree(s) earned, if any, date, major or field of concentration, and honors received
- verification of home and local addresses and telephone numbers
- Verification of name and address of parent or guardian.

Concerning release of further information, it should be noted that government investigative agencies as such have no inherent legal right to access to student files and records. However, specific federal and/or state laws may authorize certain types of access without permission of the student. When additional information is requested, it normally should be released only on written authorization from the student. If such authorization is not given the information should be released only on court order or subpoena. If a subpoena or an equivalent legal process is invoked, the student whose record is being subpoenaed should be notified and that subpoena should be referred to the University’s legal counsel.

F. Disclosure to Other Individuals and Organizations
Information furnished to other individuals and organizations should be limited to the items listed below under “Telephone Inquiries” unless the request is accompanied by a transcript release statement signed by the student.

Mailing requests for non-institutional purposes are not permitted. Exception to this policy may be made only by the Vice President for Academic Affairs.

G. Disclosure in Response to Telephone Inquiries
The following information may be released since it is deemed part of the public record:
- whether or not the student is currently enrolled
- the school or division in which he/she is or was enrolled and his/her class
- dates of enrollment
- degree(s) earned, if any, date, major or field of concentration and honors received.

N.B. - A record of such disclosures will be maintained, indicating the parties requesting the information and reason for the request.

H. Disclosure by Offices Other Than the Registrar's Office:
The foregoing guidelines are applicable to handling any request for academic information about students or former students received by any member of the faculty, administration, or clerical staff. The guidelines are intended to protect the individual’s right to privacy and the confidentiality of his/her academic records throughout the institution.

All institutional personnel should be alert to refer promptly to the Registrar’s Office other appropriate office requests for transcripts, certifications or other information which that office typically provides. Faculty members and the various institutional offices should restrict their responses to acknowledging when appropriate, the receipt of requests for student information, or limit their response to that information germane to their sphere of responsibility or their relationship to the student, e.g., faculty advisor, major professor, etc.
Withholding Information
There may be conditions such as unmet financial obligations, violations of non-academic regulations, etc., under which the University will withhold grade reports, transcripts, certifications, or other information about the student.

Disciplinary Records: Disciplinary records are maintained in the Office of the Vice President for Student Life. These records are not available to unauthorized persons on or off campus without the expressed consent of the student involved, except under legal compulsion or in cases where the safety of persons or property is involved. Non-current disciplinary records are periodically destroyed, typically three years after the student’s enrollment at the University is completed.

Counseling records: Student records in the Counseling and Personal Development are not open to any person on or off campus except a substitute for the professional or para-professional staff, except that such records may be personally reviewed by another professional of the student’s choice upon the written request of the student.

Credentialing Records: These files contain only letters of recommendation requested by the student. They are open to the student according to the student’s choice of waiver option. Credentialing records may be released to specific individuals or agencies upon the written request of the student. The student may request the destruction of outdated letters of recommendation.

Record Challenge
Students are entitled to challenge and/or add to the factual basis of any record entry contained in student records, other than those records excepted in Section 1. The purpose of such challenge is to insure that entries are not inaccurate or misleading or in violation of the student’s privacy or other rights of the student. The substantive judgment of a faculty member about a student’s work expressed in grades and/or evaluations is not within the purview of this right to challenge.

The challenge must be submitted to the appropriate University Officer in whose area of responsibility the questioned material is kept. The designated officer will provide the student with the opportunity for a written and personal challenge and will determine whether the material is defective, justifying its correction or removal from the record. The student’s written challenge of a record will remain a part of that record regardless outcome of the challenge. An adverse decision may be appealed in writing by the student to the Provost's Office.

Policy on Freedom of Assembly
[This Policy was approved by the College Council on March 13, 1969 and by the General Assembly on May 13, 1969. The policy was revised and implemented as interim on September 1, 2017.]

For the most up-to-date version of the Saint Joseph's University' Policy on Freedom of Assembly please visit the Human Resources website:
https://sites.sju.edu/humanresources/files/2018/01/AssemblyandExpressionPolicy.pdf

Policy on Political Activities on Campus
[This Statement, originally entitled "Policy on Political Activities on Campus by Members of the University Community", was approved by the College Council on October 12, 1972, and by the President provisionally on October 24, 1972, and finally on November 10, 1972.]

As an educational institution, the University has an obligation to encourage and to protect open and free discussion of political ideas. To accomplish this academic end and also to preserve its status as a tax-exempt organization under Title 26, Section 501-c-3, of the U.S. Code, the University is required in all instances to maintain a position of strict neutrality concerning political activities. The following principles therefore follow:
1. All members of the academic community, as citizens, are free to engage in political activities so long as these activities do not interfere with their obligations as teachers, administrators, or students; or infringe upon the rights of other members of the University community.

2. Although all members have a right to participate in the political process, they may do so only as individuals or through organizations recognized by the University, but never as representatives of the University. No contributions may be solicited in the name of or collected by the University for political purposes. Campus-based organizations seeking such contributions must include in their solicitations a statement to the effect that these donations are not for the use of the University and are not tax-deductible as gifts to the University. In addition, the seal or logo of the University may not be used on any literature or advertisements used for political purposes. The name of the University may be used only for purposes of identification of members of the University community.

3. All members of the community are free to support candidates or take positions on issues and to invite speakers to the campus for these purposes. Any procedures required by the University before such speakers are invited shall be designed only to ensure that facilities are properly scheduled and adequately prepared, and that these events are conducted in a manner appropriate to the academic setting. Institutional control of campus facilities shall not be used as a device of censorship. In the event of disagreement, the University Judicial Board shall have jurisdiction.

4. Students are entitled to an atmosphere conducive to learning and to evenhanded treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or to teach students on the grounds of the students’ beliefs or of the possible uses to which they may put the knowledge to be gained in a course. Students should not be forced by the authority inherent in the instructional role to make particular personal choices about political action or their own part in society. Evaluation of students and the award of credit must be based on professionally judged academic performance alone and not on matters, such as political activism or personal beliefs, irrelevant to that performance.

5. The University, as an institution, cannot authorize the use of its facilities, funds, or property for any activities involving political figures or issues other than those required to provide a forum for discussion of political ideas on campus. No candidates for public office or their representatives are to receive any funds belonging to the University, nor shall any member of the University community use for political purposes the University’s mailing lists, bulk mailing privilege, interoffice mail system, or printing facilities. Use of lecture rooms shall be at the regular rate. The University cannot provide office facilities to any political organization whose primary purpose is either the election of candidates to public office or the influencing of public opinion beyond the limits of the campus. Office space may be granted only to those political organizations composed entirely of members of the University community.

6. Any admission fees charged for political speakers in excess of the cost of University facilities must be turned over in their entirety to the University.

Policy Prohibiting Discrimination, Harassment and Retaliation

[This Policy was approved on June 1, 2013, updated on June 15, 2015 and subsequently amended on November 20, 2015 and updated on March 8, 2017]

For the most up-to-date version of the Saint Joseph's University Policy Prohibiting Discrimination, Harassment and Retaliation please visit the Human Resources website: https://sites.sju.edu/humanresources/files/2018/09/Policy-Prohibiting-Discrimination-Harassment-and-Retaliation.pdf
Records Management and Retention Policy

For the most up-to-date version of the Saint Joseph's University Records and Retention Policy please visit the Human Resources website:


For the most up-to-date version of the Saint Joseph's University Sexual Misconduct Policy Regarding Sexual Assault, Sexual Harassment, Sexual Exploitation, Domestic Violence, Dating Violence or Stalking please visit the Human Resources website:

Sponsored Research Policy and Procedures

The primary purpose of the Office of Research Services (ORS) is to foster an environment which encourages research, scholarly inquiry, and creative activities by the faculty and technically assist the acquisition of extramural funding to support those activities. This includes proposal development, proposal submission requirements and procedures, award analysis, grant transactions and the institutional execution of the sponsoring agency administrative requirements. The ORS is the single focal point for all activities related to the acquisition and management of sponsored projects. The ORS serves as the central point of contact for sponsored programs administration, functioning as liaison between funding agencies, the faculty, and other university offices.

The ORS provides advice and assistance to faculty, staff, and students in preparing and submitting proposals requesting funds for research and other sponsored programs by:

1. Identify opportunities and sources of extramural financial support for activities compatible with the mission of Saint Joseph's University and with the interests and competencies of the faculty, staff, and students.
2. Provide assistance with the preparation of extramural grant and sponsored program proposals.
3. Expedite internal processing and institutional endorsement of all proposals from SJU faculty and staff for external funding of grants, contracts, and agreements.
4. Provide administrative oversight and support to federally mandated committees for the protection of human subjects in research (IRB) and the care and use of laboratory animals (IACUC).
5. Establish and maintain a standard document management system and internal management controls for external grants and sponsored program activity.
6. Develop and maintain information technology capability in preparation for electronic transmission and transaction requirements of federal agencies.
7. Assume administrative responsibility for a monthly newsletter of funding announcements and an annual summary of faculty research.
8. Provide to the SJU community monthly reports of extramural activity, including sponsored program proposals submitted to funding agencies and awards received from funding agencies; to provide special reports as requested by the Provost and the Board of Trustees.
Pre-Award Administration

Sponsored Project Definition
Any project, which meets the following criteria, is considered “sponsored funding” and will be administered accordingly:

a. The project commits the University to a specific line of scholarly or scientific inquiry, typically documented by a statement of work;
b. A specific commitment is made regarding the level of personnel effort, deliverables, or milestones;
c. Project activities are budgeted, and the award includes conditions for specific formal fiscal reports, and/or invoicing;
d. The project requires the unexpended funds be returned to the sponsor at the end of the project period;
e. The award provides for the disposition of either tangible property (e.g., equipment, records, technical reports, theses or dissertations) or intangible property (e.g., inventions, copyrights, or rights in data) which may result from the project; and
f. The sponsor identifies a period of performance as a term and condition.

All research and teaching activities, whether or not considered a sponsored project, which involves human subjects, laboratory animals, use of radioactive materials, or biohazard activities must be reviewed by the appropriate University committees for compliance with University policies and governmental regulations.

Proposal Preparation and Submission
In most instances, a faculty member will initiate a proposal for a specific program of interest for external funding. This initial interest by the faculty, along with the department and college support, is important to successful proposal development. In order to facilitate the preparation of the proposal, the ORS:

• Assists faculty members in identifying specific funding sources;
• Provides appropriate guidelines and other program information;
• Assists with actual proposal document preparation and submission;
• Review proposals for completeness and format;
• Assists with budget preparation, including coordination of institutional cost sharing, required space allocations, faculty release time and other commitments;
• Coordinates university review procedures, required assurances and certifications, and transmittal of funding source;
• Determines whether human subject and animal care protection compliance are necessary and assists in developing adequate procedures; Monitor the status of pending proposals;
• Attempts to expedite their review and approval;
• Negotiates the legal and technical components of research grants and contracts or other agreements on behalf of the university; and
• Provides general assistance to the university in planning and development stages of new programs and facilities whenever outside funding is a consideration.
Proposal Development
The Office of Research Services is responsible for planning, organizing, and administrating the University’s grant and contract activities. When a faculty or staff member is interested in submitting a proposal for external funding, they need to contact the ORS to receive proposal preparation assistance, to ensure their proposal is in compliance with agency and University policies, and to secure University approvals prior to submission.

The ORS assists in the proposal development process by:
• Identifying funding sources.
• Obtaining funding agency application and guidelines.
• Assisting in the preparation of proposals to include: reviewing proposals for consistency with the funding announcement as well as providing feedback on proposal language, editing assistance, providing standard wording regarding the University and its policies, and assistance with the standard application forms.
• Developing proposal budgets in accordance with University and agency policies by providing data regarding salaries, fringe benefits, facilities and administrative costs.
• Preparing the proposal package for submission to the funding agency in compliance with the agency’s requirements, making copies, electronic submissions and approval, mailing to funding agency if necessary.

Procedures for Submitting a Proposal
The procedures outlined here are designed to satisfy informational needs within the University, and to assure that contractual obligations implied in written proposals conform to University policies, practices, and capabilities.

All proposals to external organizations must be internally processed and endorsed by the Department Chairperson, Dean or Vice-President, and the Office of Research Services (ORS) before submission.

To gain approval for submission of a research proposal to an off-campus agency:

1. Visit the ORS Website at https://sites.sju.edu/researchservices/ or send an email to ors@sju.edu for copies of the necessary submission form which include:
   a) Intent to Submit Proposal Form – complete the form and obtain all necessary signatures. Once completed forward to the ORS with a copy of the RFP or application packet as soon as you determine interest in submitting a proposal.
   b) SJU Internal Processing Form – complete and submit to the ORS with the final proposal at least three days prior to the deadline for submission. Incomplete processing form may cause a delay in the submission of the proposal.
   c) Approval of Matching Funds/Cost Share – if matching funds/cost share is required please complete this form and obtain all necessary signatures. Matching funds will not be released until authorization is received by the ORS.

2. Carefully complete the information requested on the Internal Processing Form and on each of the sponsoring agency forms. Activities involving human subjects or vertebrate animals must have approval from the Institutional Review Board (IRB) or the Animal Care and Use Committee (IACUC) respectively, before the proposal deadline. Attach a copy of the IRB or IACUC review status. Funding agencies may reject proposals without verification that a protocol has been submitted for review by either committee.

3. Obtain the endorsements of the Department Chair, Dean, and Provost on the SJU Internal Processing Form, including authorization for faculty release time, cost sharing, or matching funds commitments when applicable.
4. Proposals involving faculty and/or staff for more than one department must be endorsed by all involved Chairs and Deans as outlined in the above procedure.

5. Attach the original proposal to the Internal Processing Form and submit to the ORS. The staff will need time to examine in detail the budget and be satisfied that the fiscal details of the proposal are in accordance with the policies of the University and the granting agency.

6. Additional requirements for electronic submission of proposals through Grants.gov, NSF’s Fastlane system thru Research.gov or other federal electronic systems are available from the ORS.

Post Award Administration

After a grant application is approved for funding, a grant award or notice is ordinarily issued by the sponsor to the Principal Investigator either by mail or through email. At the time an award is received, the following procedures are to be followed.

1. Upon receiving the award letter from the agency, the Principal Investigator is responsible to immediately provide the Office of Research Services (ORS) with a complete set of all award documents, including any agreements or contracts the need official University signatures.

2. The ORS will carefully review the documents; execute any accompanying contracts or agreements; complete a formal Notification of Award, which will summarize the terms and conditions of the award; and code the agency approved budget for execution in the University’s financial system. With the endorsement of the ORS Director, the Notification of Award authorizes the establishment of an SJU grant fund. A copy of the notification will be forwarded to the PI and the dean.

3. When the approved budget has been entered into the University financial system, the PI will be responsible for the following:
   a) Executing the project in a timely manner that assures completion of the grant supported activity and related spending by the award termination date.
   b) Preparing all technical reports to meet deadlines prescribed by the sponsor, and providing the ORS with copies of all submitted reports.
   c) Requesting no cost extensions. Requests to the sponsor for a no-cost extension of the award period should be processed through the ORS in accordance with sponsor guidelines and no less than eight weeks prior to the award termination date.

The Office of Research Services will be responsible for the following:
- Implementing procedures for monitoring grant fiscal activity to ensure all grant spending is in keeping with the approved budget and the terms and conditions of the award.
- Expediting invoicing/billing, fiscal and other reporting in accordance with OMB standards of fiscal accountability and in compliance with terms and conditions of funding
- Preparing and maintaining quarterly time and effort reports for each grant funded salary.

Incurring Allowable Costs

It is the responsibility of the Principal Investigator to monitor all expenditures to assure compliance with the award notification. As a double measure of protection the Office of Research Services also has the ultimate responsibility of assuring compliance with the grant award.

It is the policy of the University that all expenditures of grant funds must meet the following standards:
- Must be for official university business only.
- Are reasonable under the guidelines of the specific program or project.
- Must contribute to the objectives of the specific program or project which they are being charged.
When using a Request for Funds form to charge a grant budget, the form should be sent to the Office of Research Services for approval. The ORS will review the expense; ensure that it is allowable and allocable; and once approved forward to Accounts Payable for processing.

All payroll authorization forms for employees who will be paid under a grant or contract must be approved by the Office of Research Services. The availability of funds and the ability of costs for salary and wages of grant funded personnel require approval by the ORS. The University Personnel Policy should be followed when hiring new employees. Project related staffing should be discussed with the Office of Human Resources.

If using grant funds to purchase technology equipment (computers, printers, peripherals, etc.) please follow the University’s policy for technology purchases. Under no circumstances should technology equipment be purchased by the Principal Investigator using personal funds and then seeking reimbursement.

All travel must be made through the University’s online booking tool, Concur, and/or the University’s preferred vendor, Direct Travel.

**Unallowable Costs**
The following are generally considered unallowable costs:

- Any item for personal use.
- Personal gifts of any kind.
- Fees for sporting events.
- Political contributions.
- Contributions to charitable organizations.
- Donations to attend an event.
- Membership dues to any country club or social or dining club or organization whose primary purpose is lobbying.
- Alcoholic beverages.

**Reporting**
Generally all sponsors require an annual report at the one year anniversary date of the grant award and a final, comprehensive report on completion of the project. The annual report is the status of the progress of the project. Most agencies will not send payment until the annual report is received. It is imperative all reporting deadlines are met. The Principal Investigator is responsible for writing the technical section of the report. The ORS is responsible for completing the financial section.

**Effort Reporting**
It is the policy of Saint Joseph's University that payroll charges to sponsored awards must be reasonable for the work performed. A responsible person with suitable means of verification of the work performed (usually the Principal Investigator) must confirm the reasonableness of such charges through the Effort Report. This policy has been established to ensure compliance with OMB Uniform Guidance (2 CFR § 200.430).

Effort reporting is the formal verification of the reasonableness of the distribution of payroll charges to sponsored awards. It is done on an individual basis and applies to PIs, administrators, and graduate students. The following must be certified:

- The allocation of effort is appropriate and reasonable.
- The distribution of effort is consistent with what was proposed.
- The work was performed.

Web entry for hourly time by staff and student employees qualify as records of payroll charges to the sponsored award in lieu of Effort Reporting.
Close Out
Prior to the termination of the grant the Principal Investigator should review the grant for available funds, deficit balances, accuracy of the expenditures, and outstanding encumbrances. Most federal funding agencies will allow up to 90-days to make any final adjustments and to pay outstanding invoices.

Study Tour Policy

For the most up-to-date version of the Saint Joseph's University Study Tour Policy please visit the Center for International Programs website: http://internationalprograms.sju.edu/?go=studytourpolicy

University Policy on Humane Care and Use of Animals in Research

Saint Joseph's University is committed to the judicious, humane use of animals in research, testing, and teaching. In support of this commitment, the institution has given assurance that it will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals. The University is also registered (Cert. #23-R-0179) with the USDA, and as such works in compliance with the Animal Welfare Act.

This assurance is applicable to all teaching, research, research training, experimentation, biological testing and related activities involving live, vertebrate animals conducted at Saint Joseph’s University, or at another institution as a consequence of the sub-granting or sub-contracting of a PHS-conducted or supported activity.

A. Saint Joseph’s University will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals.
B. This institution is guided by the “U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training” (Principles).
C. The Institution has established and will continue to maintain a program for activities involving animals in accordance with the Guide for the Care and Use of Laboratory Animals (Guide).
D. This Institution has an Institutional Animal Care and Use Committee (IACUC) appointed by the Provost of the University and qualified through the experience and expertise of its members to oversee the Institution’s animal program, facilities and procedures. The IACUC will:
   • Review at least once every six months the Institution’s program for humane care and use of animals, using the PHS Guide as a basis for evaluation.
   • Inspect at least once every six months all of the Institution’s animal facilities using the Guide as the basis for evaluation.
   • Prepare reports of the IACUC evaluations as set forth in the PHS Policy and make written recommendations regarding any aspect of the Institution’s animal programs, facilities, or personnel training to the Provost.
   • Review concerns involving the care and use of animals at the Institution.
   • Review and approve, require modifications in or withhold approval of applications and proposals for activities related to the care and use of animals, and proposed significant changes in previously approved activities, as set forth in the PHS Policy.
• Determine that the activity conforms with the Institution’s Assurance.
• Notify Investigators and the Institution in writing of its decision to approve or withhold approval of those sections of applications or proposals related to the care and use of animals, or of modifications required to secure IACUC approval.
• Conduct continuing review of applications and proposals covered by the PHS Policy not less than annually.
• Have authority to suspend a previously approved activity if it determines that the activity is not being conducted in accordance with the approved protocol or with applicable provisions of the Animal Welfare Act, the Guide, the Institution’s Assurance, or as set forth in PHS Policy.

University Policy on Research Involving Human Subjects

In accordance with its abiding concern for human dignity, individual freedom and integrity, and the civil rights of all citizens, Saint Joseph’s University has adopted a policy that controls procedures that may be used in research involving the participation of human respondents or subjects.

Human subjects research is defined as a systematic investigation with the intention of contributing to generalizable knowledge, involving an intervention or interaction with a human subject or their private/identifiable information. This includes investigative activities involving interviews, questionnaires, or treatments of any kind requiring the participation of human subjects or respondents, whether conducted on or off campus, with or without the intent to publish.

This policy ensures the health, safety, privacy and dignity of all persons participating in research under the auspices of the University. Specifically, it requires that the responsible investigator determine and be prepared to demonstrate:

b. that all methods and procedures to be employed are safe and involve no undue risk to life, health, safety or well-being of subjects;

c. that the risks to the subject are clearly outweighed by the potential benefits to him or to her, or by the importance of the knowledge to be gained;

d. that the methods and procedures reflect respect for the feelings and dignity of respondents or subjects and avoid unwarranted invasion of privacy or disregard for anonymity in any way;

e. that participation is informed and completely voluntary, and that procedures for obtaining such consent are adequate and appropriate;

f. that data be used only for the purposes for which such consent was obtained and then appropriately destroyed; and that methods of data collection, analysis, storage and reporting are consistent with these principles;

g. that proposed recruitment materials, i.e., fliers, brochures, advertisements, e-mail, have received the approval of the Institutional Review Board for the Protection of Human Subjects in Research (IRB) prior to their use.

Saint Joseph’s University has advised the Public Health Service and other branches of the federal government of its endorsement of this policy and compliance with it. It has delegated to the Institutional Review Board for Protection of Human Subjects in Research (IRB) the responsibility for review and written approval of all research and related teaching activities involving the use of human subjects, conducted under the auspices of a department or other unit within the university, including applications for extramural funding and support of research involving human subjects. Administrative responsibility for overseeing these functions has been delegated to the ORS. Any faculty member or student preparing proposals for research or class projects involving human respondents or subjects should arrange to have his/her proposal or class project protocol reviewed by the IRB prior to initiation of the project, such that a determination concerning whether or not the protocol is, in fact, Human Subjects Research, may be made. Changes in
ongoing research protocols involving human subjects must be approved by the IRB. HSR protocols for IRB consideration should be submitted through IRBNet (www.irbnet.org).

For additional information and guidance please visit the IRB’s website www.sju.edu/irb. If you have a question about your proposed research, please feel free to contact the Research Compliance Coordinator at irbadministrator@sju.edu, or at x1298.

**University Policy and Procedures on Research Misconduct**

**A. Policy**

As a significant part of its mission, Saint Joseph's University strongly encourages research and the search and discovery of knowledge by the faculty, the student body, and others who are formally attached to the institution. Research activities among these groups must be performed without hindrance, and in an ethical and legal manner. Allegations regarding hindrance to research, or unethical or illegal research practices will be investigated and adjudicated swiftly. All affected parties will be informed about every matter leading to the resolution of these allegations so as to protect the rights of the person or persons involved.

It is the responsibility of each person in the University community to implement and to comply with this policy and help his or her associates in efforts to avoid any activity considered to be in violation of the Policy. Allegations of failure to comply with this Policy will be handled according to the procedures specified herein.

Any use of this Policy or these procedures to bring malicious charges or charges not otherwise in good faith against any individual and any act of retaliation or reprisal against an individual for reporting in good faith a charge of misconduct in research shall be violations of this Policy. Such violations shall be dealt with through regular administrative processes for violations of University policies.

**B. Definition of Research Misconduct**

"Misconduct in research" means (1) fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research; or (2) material failure to comply with federal requirements for protection of researchers, human subjects, or the public for insuring the welfare of laboratory animals; or (3) failure to meet other material legal requirements governing research.

"Misconduct in research" does not include honest error or honest differences in interpretations or judgments of data.

**C. Procedure**

Anyone having reason to believe that a member of the faculty or staff has engaged in misconduct in research should consult informally and in confidence with his or her own department chair or equivalent unit head regarding the situation.

["Chair" is used in this Policy as a generic term for department chair or equivalent unit head who receives a report of misconduct in research. Where there is an allegation of misconduct in research against a Dean, the report shall be made to the Provost, as appropriate.]

If the results of such discussions confirm the seriousness of the report, the matter should be reported, in writing, by that department chair to the appropriate Dean. This procedure shall be followed in the event that an investigatory committee appointed in accordance with Section V, below, obtains information that any individual, other than the one(s) under investigation, has allegedly engaged in misconduct in research.

Upon receipt of written allegations, the Dean shall immediately notify the accused employee of the alleged violation of the Policy.
D. Confidentiality
To the extent allowed by law, the University shall maintain the identity of respondents and complaints securely and confidentially and shall not disclose any identifying information, except to:
(1) those who need to know in order to carry out a thorough, competent, objective and fair research misconduct proceedings; and
(2) Office of Research Integrity (ORI) as it conduct its review of the research misconduct proceedings and any subsequent proceedings.
To the extent allowed by law, any information obtained during the research misconduct proceeding that might identify the subjects of research shall be maintained securely and confidentially and shall not be disclosed, except to those who need to know in order to carry out the research misconduct proceeding.

E. Inquiry
1. As soon as possible after receipt of the report, the appropriate or cognizant Dean and the Provost, as appropriate, in consultation with the department chair of the department in which the accused employee is primarily employed, shall conduct an inquiry, consisting of information-gathering and initial fact-finding to determine whether the charge warrants an investigation. The Dean or designee shall have appropriate expertise, have no conflicts of interest and to the extent possible maintain confidentiality throughout the entire process. Any ambiguity regarding which administrative official should conduct the inquiry shall be resolved by the Provost, as appropriate. The inquiry should normally be concluded within 30 days, and no more than 60 days of its initiation. If a longer period is necessary, the reason for the extension will be documented. Exceptions to this 60-day limit require the approval of the President.
2. A written report of the inquiry shall be prepared by the Dean and the Provost, as appropriate, that states what evidence was reviewed, summarizes relevant interviews, and includes the conclusions and recommendations of the inquiry. The accused individual will have the opportunity to comment on the allegations and findings of the inquiry. A copy of the report shall then be given to the accused employee. If the accused employee comments on the report, those comments shall be made part of the record. If the judgment is made by the Dean and Vice President, that the charge does not warrant an investigation, any reference to the charge in the personnel file shall be removed promptly. All materials relating to the charge and the determination shall be sent to the President, who shall be responsible for their security. Such records shall be maintained for at least three years and provided upon request to the Director of Office of Research Integrity (ORI) in case of PHS supported research.

F. Investigation
1. If it is determined that the charge warrants further investigation, the Dean in consultation with the Provost, as appropriate, and with the appropriate department chair, shall within 30 days of the conclusion of the inquiry (a) appoint an ad hoc committee composed as provided herein and refer the matter to it, (b) take appropriate action to preserve and protect the data and other records of the individual’s research and any funding involved in the research, and (c) notify the accused individual of the initiation of the investigation and of his or her opportunity to appear on his or her behalf before that committee, and (d) take appropriate steps to notify research sponsors of the initiation of an investigation in accordance with applicable law and regulations, including, if applicable, notification of the Office of Research Integrity of HHS or the National Science Foundation, as applicable. The Dean may also suspend the individual accused from further participation in the project in question, but only if the Dean determines that serious harm to the individual or others would be threatened by the individual’s continuance of his or her duties. Any such suspension shall not interrupt payment of salary.
2. The ad hoc committee shall consist of at least five senior University faculty members who, in the judgment of the Dean, are without conflict of interest, and have appropriate expertise to carry out a thorough and authoritative evaluation of the relevant evidence. Differences of professional opinion held in good faith and without prospect of personal financial gains shall not be construed as conflicts of interest. External scholars or persons with expertise in other areas may be included in this number where warranted by the nature of the field or the allegations.

The committee chair shall establish a schedule for the conduct of the investigation according to which the investigation will take place. It is the responsibility of the involved parties to comply with that schedule. The committee shall conduct a prompt and thorough investigation in order to ascertain the facts of the case and to determine whether the individual has violated this Policy, and if so, to what extent. Early in the course of the investigation the committee shall discuss the matter in confidence with the individual accused and with all persons with whom he or she has collaborated in relation to the work under review. Throughout the investigation the committee shall protect to the maximum extent possible the privacy of all those involved, including specifically the accused and those who, in good faith, reported the alleged misconduct.

3. The hearings shall be closed to the public unless the accused faculty or staff member and the committee chair agree that they may be open. The individual accused shall have the right to counsel, the opportunity to present the testimony of witnesses and other evidence, the opportunity to confront and cross-examine witnesses, and the opportunity to examine all documents and other evidence. It is the responsibility of all parties to make themselves available according to the schedule established by the chair for the exercise of the opportunities provided above. If a party chooses not to make himself or herself available, the committee may proceed in his or her absence. The scope of the investigation shall be determined by the committee chair in his or her discretion, according to the charge and the facts. The committee shall consider only such evidence as is presented at the hearing. The committee shall use its judgment in deciding what evidence presented is fair and reliable, and in doing so it is not bound by the rules of evidence. A written transcript shall be kept of all proceedings in which evidence is presented. Upon request, a copy thereof shall be furnished to the accused at the University’s expense. Except as herein provided, the conduct of the hearing is under the charge of the chair of the hearing.

4. A preliminary report will be provided the accused, which will be given an opportunity to respond orally, or in writing, before final recommendations are made. To the extent they can be identified, the person(s) who made the allegations should be provided with those portions of the report that address their role and opinions in the investigation.

G. Findings

1. If the majority of the committee finds that the individual has violated this Policy, it shall recommend, in writing, an appropriate course of action to the Dean. Its recommendations may include sanctions. Its recommendations shall include adequate steps to insure that the institution meets its obligations, if any, to third parties affected by the violation, including co-investigators and coauthors, funding agencies and other research sponsors, professional journals, and relevant clients.

2. The Dean shall consider the committee’s recommendations, and in consultation with the Vice President, produce a written decision as promptly as possible addressed to the accused which shall accept or reject all or any part of the committee report, conclusions and recommendations as in his or her judgment is warranted by the evidence. The Dean shall report to the President the full account of hearings and the basis for his or her own decision.
3. In the event the Dean finds the Policy to have been violated, the Dean shall take all appropriate steps to insure that the institution meets its obligations to all parties affected by the violation. In the case of the Policy violation, the Dean’s report shall include an assurance to the President of the steps the Dean has taken to notify all affected parties. To the extent any disciplinary action taken includes a recommendation to the President from the Dean for suspension from employment, diminishment in rank, or dismissal, that portion of the Dean’s decision shall proceed in accordance with the established University policies and procedures on such matters for faculty, administrators, or staff, as appropriate.

4. The investigation should normally conclude, and the Dean’s decision reached, within 120 days of its initiation. Exceptions require the approval of the President.

5. The Dean shall be responsible for compliance with any reporting requirements imposed by the research sponsor, including the reporting requirements of 42CFR section 50.104 of the Federal regulation or that of other federal agencies as applicable. The Dean shall also be responsible for requirements relating to health hazards, protection of federal funding or equipment, protection of human or animal subjects, possible criminal violations, protection of the interests of the accused or accuser, or the probability of public reports of the allegations; and requirements relating to anticipated delays in the investigation process; and requirements relating to notification of the funding agency of the outcome of the investigation. The Dean or designee shall take appropriate interim action at any stage of the inquiry or investigation to ensure the purposes of Federal financial assistance are being carried out.

6. The Dean shall promptly advise ORI of any developments during the course of the investigation which disclose facts that may affect current or potential DHHS funding for individual(s) under investigation or that the PHS needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.

7. The Dean and the Vice President, where appropriate, shall undertake diligent efforts, as appropriate, to restore the reputations of persons alleged to have engaged in misconduct in research when allegations are not confirmed and also undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, made the allegations.

8. All materials relating to the investigation shall be sent to the President, who shall be responsible for their security. Such records shall be maintained for at least three years and provided upon request to the Director of ORI in case of PHS supported research.

H. Appeal
Respondents may appeal the findings of the ad hoc committee and Provost to the President. Respondents have a maximum of fifteen (15) work days after receiving notice of findings to file a written appeal. Appeals beyond the President must conform to the guidelines published in the most recent policy of Saint Joseph's University.

I. Notifications (See Appendix A)
This statement of Policy and Procedures on Research Misconduct shall be effective January 1, 2018.

J. Maintenance and Custody of Research Records and Evidence
The University shall take the following specific steps to obtain, secure, and maintain the research records and evidence pertinent to the research misconduct proceedings:

1. Either before or when we notify the respondent of the allegation, the University shall promptly take all reasonable and practical steps to obtain custody of all research records and evidence needed to conduct the research misconduct proceeding, inventory those materials, and sequester them in a secure manner, except in those cases where the research records or
evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.

2. Where appropriate, give the respondent copies of, or reasonable, supervised access to the research records.

3. Undertake all reasonable and practical efforts to take custody of additional research records and evidence discovered during the course of the research misconduct proceedings, including at the inquiry and investigation stages, or if new allegations arise, subject to the exception for scientific instruments in (1) above.

4. The University shall maintain all records of the research misconduct proceedings for 7 years after completion of the proceedings, or any ORI or HHS proceeding, whichever is later.

**K. Restoring Reputations**

**Respondents.** The University shall undertake all reasonable, practical, and appropriate efforts to protect and restore the reputation of any person alleged to have engaged in research misconduct, but against whom no finding of research misconduct was made, if that person or his/her legal counsel or other authorized representative requests that the University do so.

**Complainants, Witnesses, and Committee Members.** The University shall undertake all reasonable and practical efforts to protect and restore the position and reputation of any complainant, witness, or committee member and to counter potential or actual retaliation against those complainants, witnesses and committee members.

**Appendix A**

**Notification requirements for the purpose of reporting to PHS or ORI are as follows:**

1. The Dean will notify ORI about immediate health hazards, need to protect Federal funds or equipment and individuals affected by the inquiry, and that the alleged incident will probably be publicly reported. If reasonable indication of possible criminal violations is found, ORI must be notified within 24 hours.

2. If an institution plans to terminate an inquiry for any reason without completing all relevant requirements under CFR42 section 50.103 (d), the Dean will make a report to ORI of such planned termination, including a description of the reasons for such termination.

3. If an institution plans to terminate an investigation for any reason without completing all relevant requirements under [50.103 (d)], the Dean will make a report to ORI of such planned termination, including a description of the reasons for such termination.

4. The Dean will inform ORI that an investigation will be initiated on or before the date the investigation begins.

5. The Dean will complete the investigation and submit a report to ORI within 120 calendar days of initiation of investigation. The Dean will submit to the ORI a request for an extension if unable to complete the investigation in 120 days. The extension request should include an explanation for the delay, an interim report on the progress to date, an outline of what remains to be done, and an estimated date of completion.

**Whistleblower Policy**

Whistleblower Policy: Dishonest, Fraudulent or Other Conduct That May Be Criminal

For the most up-to-date version of the Saint Joseph's University Whistleblower Policy please visit the Human Resources website: [http://www.sju.edu/int/resources/humanresources/whistleblower.html](http://www.sju.edu/int/resources/humanresources/whistleblower.html)