The motto of Duquesne University of the Holy Spirit proclaims, “It is the Spirit which giveth life.”

The Faculty Handbook that follows is an expression and manifestation of the spirit of our Founders and their understanding that education is a “tool of liberation which opens to a decent human life, while giving a glimpse of the Lord’s special love for the disadvantaged.” The Congregation of the Holy Spirit has consistently reaffirmed the Spiritan commitment to education as an integral part of its mission of proclaiming and witnessing to the Gospel, particularly to the poor and underserved. In recent years, the Congregation has not only identified education as an essential aspect of the Spiritan mission today, but has also called for more coordination in educational endeavors within the entire Spiritan community.

Since its earliest beginnings in the 19th century, Duquesne University and its faculty members, regardless of their individual religious beliefs, have enthusiastically embraced this vision through their teaching, research, scholarship and service. Faculty today are engaged in over forty countries throughout the world in a wide array of disciplines including law, pharmacy, health care, environmental sciences, education, nursing and other domains. Responding to the call for “more coordination in education works in the whole Congregation,” Duquesne has developed deep relationships with Spiritan institutions of higher learning in countries such as Nigeria, Ghana and Tanzania.

In 1878, Duquesne became the first Catholic university in Pittsburgh, as a result of the vision and commitment of the Congregation of the Holy Spirit. Since then, generations of Spiritans and lay men and women partnering with them have worked tirelessly to preserve and improve the University – even in the face of prejudice, financial hardships, world wars, and natural disasters. Today, Duquesne University is a worldwide leader in Catholic higher education and a source of pride for the Congregation. The University strives for a future in which its Catholic and Spiritan identities are enhanced and its educational mission continues to thrive by lifting up lives through learning.

This Faculty Handbook should be understood in the context of that overarching aspiration and commitment. The document that follows, therefore, is designed to assist the University and its talented faculty members in carrying out Duquesne’s historic mission -- serving God, by serving our students, so that they (in turn) can serve others.

Sincerely,

Holy Spirit Provincialate, United States

Ken Gormley, President  
Duquesne University of the Holy Spirit
Duquesne University of the Holy Spirit

Faculty Handbook
Mission

Duquesne University of the Holy Spirit is a Catholic university founded by members of the Congregation of the Holy Spirit, the Spiritans, and sustained through a partnership of laity and religious.

Duquesne University serves God by serving students through the following:
- Commitment to excellence in liberal and professional education
- Profound concern for moral and spiritual values
- Maintaining an ecumenical atmosphere open to diversity
- Service to the Church, the community, the nation, and the world
- Attentiveness to global concerns
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Chronology of the Development of this Handbook
1.0 Related Documents

The Faculty Handbook functions within multiple networks of policies and procedures. Its formal authority derives from its relationship with other internal governance documents that regulate the management and oversight of the University, while its provisions are also in some cases subject to external legal and accreditation-related constraints.

1.1 Internal Documents

1.1.1 Articles of Incorporation

The Articles of Incorporation define the University’s legal status and its purpose. They provide for the appointment of Members of the Corporation (see Section 4.1) and for the election of a Board of Directors (see Section 4.2). They also require the adoption of Bylaws of the University, while providing that, in cases of conflict, the Articles of Incorporation shall “control resolution of such conflict.” The Faculty Handbook incorporates by reference relevant provisions of the Articles of Incorporation.

1.1.2 Bylaws of the University

The Bylaws of the University describe the respective powers and functions of the Members of the Corporation and the Board of Directors. They also define the senior administrative leadership of the University. The Faculty Handbook incorporates by reference relevant provisions of the Bylaws of the University.

1.1.3 The Administrative Policies (TAPs)

The Administrative Policies, approved by the President after review by the President’s Cabinet, “pertain to all areas of the University.” For this reason, the Faculty Handbook incorporates by reference the relevant TAPs.

1.2 External Documents

This Handbook shall be interpreted and applied in a manner consistent with applicable federal, state, and local laws, and in a manner consistent with the rules of any accrediting body or membership organization relevant to the University as a whole or to its colleges and schools.

A person seeking guidance on the relationship of the Handbook to any law or rule may request an opinion from the Provost. The Provost shall provide an opinion within sixty days of receiving a request for guidance and publish it in whole or in redacted form on the University Web site.
2.0  Broad Statements of Policy

2.1  Academic Freedom and Responsibility

Essential to the purpose of the University is the free and unhampered pursuit and communication of truth and knowledge. To exercise their essential role in the educational mission of the University, faculty members require certain freedoms, both as citizens and as members of an academic community engaged in teaching, scholarship, clinical activities, and service to the University and society.

2.1.1  Freedom and Responsibility as Citizens

As citizens, faculty members shall be free from institutional censorship or control. In particular, they shall not be subject to disciplinary sanctions (see Section 9) on the grounds that they exercised their right as citizens to express their opinions. But their special position in society imposes certain obligations. When speaking in public, faculty members shall at all times be accurate, exercise appropriate restraint, show respect for the opinions of others, and clarify for their audience whether or not they are authorized to speak for the University (see Section 7.1).

2.1.2  Freedom and Responsibility in Teaching

Academic freedom is essential to teaching and to discussing the material that one teaches. However, faculty members shall not, when teaching, persistently intrude unsubstantiated opinion or material with no relevance to the subject being taught.

2.1.3  Freedom and Responsibility in Scholarship

Freedom in scholarship is fundamental to the advancement of truth. Faculty members have freedom in pursuing their scholarly work and in publishing the results. Scholarship, publication, and consulting, including that done for pecuniary return, shall be subject to stated rules and policies of the University, as interpreted on the basis of prior written agreements with University authorities if any.

2.1.4  The Balance between Academic Freedom and Faculty Responsibilities

Academic freedom carries with it responsibilities in addition to rights. It does not remove from a faculty member the duty to comply with stated rules and policies of the University and its constituent academic units, including policies and procedures with respect to teaching, teaching assignments, curricula, syllabi, grading, the evaluation of teachers and students, academic integrity, committee service, harassment, discrimination, and professional behavior. Disagreements about the balance between academic freedom and University rules and policies shall be subject to the processes in this Handbook regarding grievances.
As a Catholic and Spiritan institution, Duquesne University has additional expectations of its faculty members, as articulated in Section 5.4.

The University acknowledges the relevance of, but is in no way bound by, the work of the American Association of University Professors in developing standards regarding academic freedom.

2.2 Diversity and Inclusion

To continue to enrich the intellectual discourse that lies at the heart of its Mission, the University seeks constantly and consistently to enhance the variety of life experiences, perspectives, and skills represented among its faculty, students, staff, and administration.

Creating, enhancing, and affirming diversity plays a role in decision-making at all levels. Confronting and eliminating bias, whether conscious or unconscious, represents an institutional priority.

The University’s broader commitments in this domain are expressed in TAP 30: Affirmative Action, Equal Educational and Employment Opportunity, and Human Relations in the Workplace and Classroom.
3. Definitions and Interpretive Conventions

3.1 Definitions

The following definitions of the terms in **boldface** type apply throughout this Handbook unless specifically modified where they are used.

**Acting** appointees serve in administrative positions for undefined periods, pending the appointment of their permanent successors (see **Interim**).

Unless specifically defined otherwise, **days** are weekdays other than official University holidays.

**Clinical activity** is a specialized form of instruction that includes the supervision and mentorship of students during experiences that prepare them for professional practice. The experiences may be referred to using terms such as “practicum,” “fieldwork,” “clinical rotation,” “externship,” or “internship.” Clinical activity may also include the provision of direct patient/client care or engagement in other aspects of professional practice (typically either for demonstration purposes and/or to serve practice populations at the clinical site). The development and assessment of clinical sites or settings may also fall within the definition of clinical activity.

**Community-engaged teaching and research** is a specialized form of instruction that involves collaboration between local and regional communities and our faculty members and/or students. Engagement can take many forms but consistently strives to develop authentic relationships between all those involved and to surface the social and environmental problems that the collaboration is fitted to address. It differs from volunteerism, community service, internships, and field education in its emphasis on the civic development of all participants, its reliance on ongoing, structured reflection, and its goal of constructing sustained, reciprocal partnerships between the University and community partners. (Work undertaken outside the region and even abroad may display the characteristics of community engagement as described here.)

Unless specifically defined otherwise, actions for which deadlines are defined using specific calendar **dates** shall be completed before the routine close of business on the day indicated. However, if that date falls on a Saturday, a Sunday, or an official University holiday, then the action need only be completed before the routine close of business on the next weekday that is not an official University holiday.

**Interdisciplinary** teaching, scholarship, and service involve the coordinated use of methods, tools, and evidence from multiple academic disciplines.

**Interim** appointees serve in administrative positions for periods defined in advance, pending the appointment of their permanent successors (see **Acting**).
Interprofessional education occurs when students from two or more professions learn about, from, and with each other to enable effective collaboration in academic, clinical and future work environments.

Librarianship is a range of activities encompassing the curation, acquisition, organization, accessibility, and preservation of information in its various forms, as well as those that foster information literacy learning outcomes.

Scholarship is any activity that materially and significantly advances (a) the theory or practice of the discipline, field or interdisciplinary area in which a faculty member possesses professional expertise; (b) the theory or practice of effective teaching in that discipline, field or interdisciplinary area; or (c) the effective application of theory to practice in that discipline, field or interdisciplinary area. It typically leads to presentation, publication, artistic creation, performance, or the development of patentable inventions. (This definition also governs use of the adjective “scholarly.”)

Service is any activity other than teaching or scholarship by which a faculty member contributes professionally to the advancement of the University; the academic discipline or interdisciplinary field in which he or she possesses professional expertise; or the wider community. Service typically takes forms such as active participation on councils and committees and in administrative roles at any level of the University, as well as membership in the Faculty Senate; activities in support of academic journals and discipline-based professional organizations; and engagement with local, regional, national, and international communities that involves the application of the faculty member’s disciplinary expertise to projects that advance these communities and indirectly enhance the stature of the University.

Teaching is a multi-faceted activity that encompasses the instruction of students in face-to-face, online, and hybrid modalities (including associated activities such as preparing syllabi and other materials, conferencing with students, grading assignments and examinations, and administering experience-based projects); the supervision and mentorship of students in laboratories, in libraries, at clinical sites, and in community settings; and the formal and informal advisement of students. To the degree that activities within one’s discipline, interdisciplinary field or community (such as the delivery of continuing education to fellow professionals) resemble those described above in terms of the skills and knowledge they demand, they may also be regarded as falling within the definition of teaching.

The award of academic tenure grants faculty members the assurance that they may be dismissed only for reasons articulated in this Handbook and only after a hearing before a faculty committee.

Unless specifically defined otherwise, an academic term is a period listed in one of the catalogs published online by the Office of the Registrar as a period within which courses are regularly scheduled. It subsumes words such as “semester” and “summer session.”
The definition of terminal degree is not only discipline-specific but may also depend on an individual faculty member’s career focus. A master’s degree may serve as the appropriate terminal degree for a clinician in a discipline that expects research faculty to have earned a doctorate. The Office of the Provost maintains a master list of the degrees recognized as terminal by each college or school for each field of study within its scope.

Unless specifically defined otherwise, year refers to an academic year (not a calendar year or a fiscal year). The beginning and ending dates of the academic year are established by the academic calendar adopted by each college or school. Years of service and years of employment are similarly defined. Partial years worked are not counted as years of service or years of employment (see Section 5.7.1).

3.2 Interpretive Conventions

For brevity and to reflect common usage on campus, the title Provost is employed throughout this Handbook to designate the position defined in the Bylaws of the University as that of Vice-President for Academic Affairs (with or without the additional designation of Provost).

From time to time, this Handbook assigns certain functions to “the department chair or dean.” When this disjunction is used, it should not be interpreted to mean that a given function can be equally appropriately performed either by a given department chair or by the dean who supervises him or her. It means instead that, if the college or school in question is divided into academic departments, the function shall be performed by the department chair. Only if the college or school is not divided into departments shall the function be performed by the dean.

For the purposes of applying the provisions of this Handbook to members of the library faculty who work in the Gumberg Library, the Library itself serves as the functional equivalent of their college or school and the University Librarian as the functional equivalent of their dean. For members of the library faculty who work in the Law Library or the Center for Legal Information, the School of Law is their school and its dean is their dean.

The Center for Healthcare Ethics exists in the McAnulty College and Graduate School of Liberal Arts and reports to its dean. For the purposes of applying the provisions of this Handbook to faculty members who hold appointments in the Center for Healthcare Ethics, the Center generally serves as the functional equivalent of their department and the Center’s director generally serves as their department chair.

In 2013, the University established the Program in Biomedical Engineering, the director of which reports to the Provost. For the purposes of applying the provisions of this Handbook to faculty members in the Program in Biomedical Engineering, the program generally serves as the functional equivalent of their department and their school and the program director generally serves as their department chair and their dean. Specific
provisions with respect to their pre-tenure and tenure reviews are included in their initial offers of employment (see Section 5.1.2).

Unless specifically provided otherwise, University employees shall be formally notified of University business, either individually or as members of a specific group, utilizing any of the following means: (a) the United States Postal Service or a commercial delivery service such as Federal Express; (b) campus mail; or (c) delivery to the intended recipient’s official (@duq.edu) email address (see TAP 26: Computing Ethics and Guidelines).
4. **Governance Structure**

Governance of the University involves multiple bodies and individuals whose respective roles and responsibilities are summarized in this Section. (In some instances, as noted in Section 1, other governance documents offer more detailed and authoritative information.) Communication among these bodies and individuals provides the basis for effective governance.

4.1 **The Corporation**

The University exists as a corporation owned and governed by a board of no fewer than six and no more than ten “Members,” all of whom are vowed members of the United States Province of the Congregation of the Holy Spirit (the Spiritans).

The Members of the Corporation delegate many decisions to the Board of Directors. However, they retain reserved powers:

- to determine or change the Mission of the University;
- to elect individuals to and remove individuals from the Board of Directors;
- to amend or repeal the Articles of Incorporation or the Bylaws;
- to approve the sale or purchase of real property whose cost exceeds a set amount;
- to approve any merger, consolidation or acquisition or creation of a subsidiary organization;
- to dissolve the University and to determine the distribution of its assets upon dissolution;
- to approve new indebtedness above a set amount;
- to issue statements of policy concerning the Mission of the University;
- to request information and receive annual financial reports from the Board;
- to confirm the Board’s election and appointment of the Officers of the University and Officers of the Board; and
- to approve significant legal actions taken in the name of or on behalf of the University.

*[Summarized from Article IX of the Articles of Incorporation.]*

4.2 **The Board of Directors**

Subject only to the powers reserved to the Members of the Corporation, the University is managed by its Board of Directors, which consists of no fewer than fifteen and no more than thirty-five directors elected by the Members of the Corporation. In addition, seven directors serve ex officio: the President; the Bishop of the Roman Catholic Diocese of Pittsburgh or his designee; the Chair; Vice-Chair, and Secretary of the Members of the Corporation; the University’s Vice-President for Mission and Identity; and the President of the Duquesne University Alumni Association. The Board elects its own chair and up to four vice-chairs.

The Board generally holds its annual meeting in May and ordinarily holds additional meetings in October and February. Standing committees of the Board, each staffed by the appropriate vice-president, may conduct meetings between meetings of the Board either face-to-face or electronically.
4.3 The President

The position of the President as chief executive officer of the University is defined in the Bylaws of the University.

4.4 The Vice-Presidents

The respective positions of the University’s vice-presidents are defined in the Bylaws of the University.

4.5 The Division of Academic Affairs

The Division of Academic Affairs is comprised of colleges and schools (for each of which a dean serves as chief administrative officer) and of organizations that provide academic support services to the campus as a whole. Some academic programs may also report directly to the Provost.

A college or school may be divided into constituent academic entities such as divisions, departments, and/or programs.

4.6 Deans

Deans are the chief administrative officers and representatives of their college or school.

4.6.1 Duties

Deans act under the supervision of the Provost. As members of the senior leadership of the Division of Academic Affairs, deans may be assigned duties that extend beyond their college or school. However, this section addresses only those duties associated with the administration of a dean’s own college or school.

Deans consult with department chairs and faculty members on matters of educational policy and serve as the medium of communication for all official business between their college or school and other units and offices of the University. They represent their college or school inside and outside the University.

As leaders, deans develop a strategic vision for building and promoting their college or school. They motivate and work with department chairs and their faculty colleagues to design innovative programs and discontinue programs that no longer serve the interest of the college or school or the University. They identify needs and work with University Advancement to secure resources to meet those needs.

As administrators, deans have the authority necessary to fulfill the following responsibilities in their college or school:

- to supervise the development and delivery of academic programs of the highest quality;
• to promote the professional effectiveness and well-being of the faculty and staff;
• to make recommendations, in accordance with University and college or school guidelines, regarding faculty and staff appointments, tenure, promotion, salaries, leaves, and the non-renewal or termination of appointments;
• to support the academic success of students;
• to oversee academic and budgetary planning and execute plans that have been approved; and
• to make recommendations regarding facilities and equipment.

Where applicable, deans also supervise compliance with professional accreditation standards.

Except where constrained by University, college, or school guidelines, deans have the power to create committees, appoint faculty members to serve on them, and, as needed or deemed advisable, assign faculty members to administrative positions and delegate duties to those holding such positions.

Deans exercise supervisory responsibility over the activities of department chairs (see Section 4.7) as well as over the faculty members and staff in their college or school.

4.6.2 Appointment

The President appoints deans of colleges and schools. Deans ordinarily hold tenured faculty appointments in their college or school at the rank of professor (see Section 5.3.4).

4.6.3 Searches

4.6.3.1 Committee

When a new dean is to be appointed, the Provost shall supervise the creation of a search committee consisting of seven voting members and one non-voting student member:
• Four of the voting members shall be full-time faculty members such that the ratio of tenured and tenure-track faculty members to non-tenure-track faculty members reflects the ratio of the appointment classifications of the faculty members in the college or school as a whole.
  ° The full-time faculty of the college or school in question shall first elect three of these members in a way broadly consistent with the composition of the faculty of the college or school as described in the preceding paragraph.
  ° The President shall then appoint the one remaining member.
• The President shall then appoint three additional members to the committee.
  ° These members may include (a) the dean of another college or school within the University; (b) a representative of the college or school’s alumni/-ae; and/or (c) a representative of the community served by the college or school.
• The seven voting members of the committee shall then select the non-voting student member.
The President shall appoint the Chair of the Committee from the seven voting members.

4.6.3.2 Process

The President shall charge the search committee, stipulating the criteria to be applied and all other requirements of the search.

The committee shall advertise the vacancy, review applications, and invite candidates for interviews on campus in which all faculty members in the college or school concerned have an opportunity to participate. Individual faculty members shall have an opportunity to indicate in writing to the committee whether or not a candidate is judged to be acceptable. To the degree possible, the committee should also seek to involve students, staff members, administrators, and the members of the Spiritan community.

The committee shall ordinarily submit to the President, unranked and in alphabetical order, the names of three candidates that it considers suitable and qualified, with comments regarding the strengths and weaknesses of each candidate. If the committee believes that fewer than three candidates are qualified, it may submit the names of those candidates and explain its reasons for doing so. If the candidates presented by the search committee are unacceptable to the President, the President may invite the search committee to submit the names of additional suitable and qualified candidates, with comments regarding the strengths and weaknesses of each candidate.

At any time after the search committee submits its first list of candidates to the President, the President may determine that the search be reopened or a new search initiated. If necessary, the President shall appoint an acting dean to serve as the search continues. The continuing or second search shall be conducted in the same manner as the original search, but if no candidate meets the President’s expectations at the conclusion of the continuing or second search, then the President shall have the authority to appoint any suitable and qualified person to the position.

4.6.4 Term

A dean’s initial term of office is ordinarily five years. Subsequent terms are ordinarily three years. A dean ordinarily serves for no more than fourteen years consecutively. Whenever a dean is appointed or reappointed, the President shall inform the faculty and staff in that college or school and indicate the term of his or her appointment or reappointment.

Notwithstanding these terms and limitations, all deans serve at the discretion of the President and may be removed or reappointed by the President at any time.

4.6.5 Evaluation and Reappointment

If the President is willing to consider reappointing a dean, he or she shall ordinarily ask the dean in the fall semester of the penultimate year of the dean’s term whether he or she wishes to be considered for reappointment. If the dean seeks to be reappointed, the President shall direct the
Provost to initiate an evaluation process that also provides the opportunity for a review of developments and priorities within the college or school concerned.

4.6.5.1 Committee

The Provost shall direct the dean to work with the faculty in the college or school concerned to constitute, before the end of the first semester, an evaluation committee consisting of nine members:

- Seven of the members shall be full-time faculty members such that the ratio of tenured and tenure-track faculty members to non-tenure-track faculty members reflects the ratio of the appointment classifications of the faculty members in the college or school as a whole.
  - The dean shall first appoint two of these members in a way broadly consistent with the composition of the faculty of the college or school as described in the preceding paragraph.
  - The full-time faculty members of the college or school shall next elect four of these members, also in a way broadly consistent with the composition of the faculty of the college or school as described above.
  - The Provost shall then appoint the one remaining faculty member.
- The members of the committee so appointed or elected shall then select
  - one active alumnus/-a familiar with the activities of the college or school, and
  - one student, who shall serve as a non-voting member.

The members of the committee shall elect one of the faculty members on the committee to serve as its chair.

4.6.5.2 Process

The Evaluation Committee shall commence its review no later than the first week of the second semester in the penultimate year of the dean’s term.

The dean shall prepare for the committee a statement of his or her goals for the college or school during his or her most recent term of appointment and an assessment of his or her effectiveness in implementing them. After meeting with the dean to review this document, the committee shall draw up a set of questions and/or topics appropriate to the college or school and submit it to the Provost for approval. Relying on the agreed set of questions and/or topics, the committee shall develop a questionnaire to elicit responses from faculty members, staff members, administrators, and students in the college or school. The committee shall also meet with faculty members, staff members, administrators, and selected students either individually or in groups.

Faculty members, students, and staff members may also submit signed letters either to the committee chair or directly to the Provost.

The committee shall draft a report to the Provost, summarizing the views of faculty members, staff members, administrators, and students in the college or school on the questions and/or topics selected for analysis. The report shall indicate points for commendation and suggest areas for
improvement. The report shall also convey the recommendation of the majority of the voting members of the committee regarding reappointment. One or more minority reports may be submitted independently if members of the committee so wish.

After receiving the committee’s report(s), the Provost shall meet with the dean to provide an oral summary of the report(s) and his or her own evaluation. In summarizing the committee’s report, the Provost shall not reveal the numbers of votes cast for or against reappointment and shall respect the confidentiality of all individual participants in the evaluation process.

Following his or her meeting with the dean, the Provost shall submit a recommendation regarding reappointment to the President, who shall notify the dean of his or her decision to terminate or reappoint him or her by May 1 of the year of the review. Within fifteen days of the notification, the Provost shall provide a written summary of the review process and its outcome to the dean, to all members of the evaluation committee, and to members of the faculty and staff in the college or school concerned.

All data accumulated during the evaluation and reappointment process shall be submitted to the Office of the Provost and retained in compliance with the University’s Records Retention Policy (see TAP 39: Records Retention Policy).

4.6.6 Vacancy

If a dean does not complete his or her term, the President shall appoint an acting or interim dean to serve as the chief administrative officer of the college or school until a search can be conducted and a permanent dean appointed.

4.7 Department Chairs

Department chairs are the administrators and representatives of academic departments.

Not all colleges and schools rely on an organizational structure based on academic departments. Some are divided into divisions or programs rather than departments and employ titles such as Coordinator, Director or Facilitator for the individuals appointed to lead them. Others operate without any internal divisions. All such colleges and schools shall clearly define which individuals are charged with fulfilling the responsibilities assigned to department chairs in Section 4.7.1 and elsewhere in this Handbook.

4.7.1 Duties

Department chairs act under the supervision of and in coordination with the dean of their college or school. As leaders, they develop strategies to build and promote their departments and motivate their faculty colleagues to do the same.
Department chairs are responsible for supervising the development and delivery of academic programs of the highest quality. They consult with faculty members and administrative staff regarding academic policies and procedures, including matters such as the following:

- the curriculum and curricular modifications;
- the scheduling of courses;
- the admission of students to and their graduation from programs of study (where applicable);
- academic advisement; and
- the development of academically or professionally related organizations such as honor societies or chapters of national professional organizations.

Where applicable, they work with their dean to ensure compliance with professional accreditation standards.

Department chairs are responsible for the professional development of the members of the faculty and staff in their departments. They advise their dean regarding the recruitment, advancement, and dismissal of faculty and staff. They promote the development of individuals by means such as mentoring junior faculty members; conducting Annual Performance Evaluations (see Section 5.5); and working with other University offices to assist faculty members in their efforts to secure resources for their scholarship. They oversee, evaluate, and document excellence in teaching, advising, scholarship, clinical activities, and service in their department.

Department chairs are responsible for administering the resources allocated to their department according to University and college or school policies. In addition to annual operating budgets, these resources may include physical facilities and equipment.

Department chairs preside at meetings of their departments. They are responsible for informing members of the faculty and staff about matters of University, college or school, and department interest. They are also responsible for actively soliciting the views of members of the faculty and staff and accurately representing those views to others.

In conducting the Annual Performance Evaluations of the academic administrators who report to them (see Section 5.5), deans shall include an assessment of a department chair’s performance of the duties described in this section.

4.7.2 Appointment and Reappointment

The dean of each college or school appoints department chairs after consulting with the faculty members in the department and obtaining the approval of the Provost and the President (see Section 4.7.3).

Department chairs ordinarily hold tenure in the department that they chair and shall in all cases hold full-time faculty appointments.
4.7.3 Process for Recommending Appointment or Reappointment

Under the leadership of the dean, the faculty members in a college or school shall develop a uniform process by which all departments will make recommendations, as needed, regarding the appointment or reappointment of department chairs. Once submitted by the dean and approved by the Provost, this process shall be published electronically in a readily accessible location.

Each college and school shall clearly answer at least the following questions regarding its process:

- Who oversees the process
  - when the current chair is a candidate for reappointment?
  - when the current chair is not a candidate?
- Who is eligible for appointment as chair?
- May a current chair be reappointed to additional terms and, if so, how often?
- Who is eligible to vote on the recommendation of candidates for appointment or reappointment?
- How will faculty members who are ineligible to vote provide input into the process in a way consistent with Section 5.2.2?
- How is the confidentiality of individual faculty members’ votes guaranteed?
- What schedule is followed to ensure that due deliberation will result in the submission of a recommendation by an appropriate date?

When the appointment or reappointment of a department chair becomes necessary, the approved process shall be implemented by the individual designated to oversee it. At the conclusion of the process, the designated individual shall report the department’s recommendation to the dean, who shall discuss his or her intended course of action with the Provost and the President. After obtaining the approval of the Provost and the President, the dean shall make the appointment or reappointment and provide a succinct explanation to the faculty in the department.

4.7.4 Term

A department chair’s term of appointment is ordinarily three years. Renewal beyond a third three-year term shall be subject to additional review by the dean, the Provost and the President.

Department chairs specifically recruited to join the University in that capacity may, with the approval of the Provost and the President, receive an initial appointment of up to five years.

Notwithstanding these terms, all department chairs serve at the discretion of the dean and the Provost and the President and may be removed at any time.

4.7.5 Vacancy

If a department chair does not complete his or her term, the dean shall consult with the Provost and the President before appointing an individual to serve as acting chair until the process to recommend a new chair can be conducted and a new chair appointed.
If a department chair is granted a leave (see Section 6), the dean shall consult with the department chair and the Provost before appointing an individual to serve as interim chair. Accepting a leave for one semester shall not affect the length of a department chair’s term. However, accepting a leave of one year shall entitle a department chair to a one-year extension of his or her term. Department chairs shall not ordinarily be eligible for leave of more than one year during a given term in that position.

4.7.6 Faculty Status and Tenure

Except as specifically provided elsewhere in this Handbook, neither appointment as a department chair nor the transition out of that role at a subsequent date alter in any way the appointee’s status as a member of the faculty. Department chairs who have been granted tenure at the University before their appointment shall continue to enjoy tenure. Appointment as a department chair does not constitute a grant of tenure, nor does service as a department chair qualify an individual to receive tenure except insofar as it may satisfy certain of the University’s general criteria for tenure (see Section 5.7.3.2).

4.8 Faculty Members

A faculty member is a person employed by the University who has responsibilities for teaching, scholarship, clinical activities, librarianship, and/or professional service. A faculty member may also be assigned administrative responsibilities.

Section 5 defines (a) the ways in which faculty members are appointed; (b) the classifications to which faculty appointments belong; (c) the work that faculty members are expected to perform and the ways in which their work is evaluated; and (d) the policies and procedures that govern the award of tenure and promotion, where applicable.

4.9 Faculty Senate

The Faculty Senate is the deliberative body, the voice, and the agent of faculty involvement in shared governance at Duquesne University of the Holy Spirit. Its mission is to provide a forum for mutual understanding and effective communication between the faculty and other University governance bodies.

The Faculty Senate’s members represent all full-time faculty, including administrators who have faculty status and members of the library faculty.

The Faculty Senate consists of two elected representative bodies: (a) the Assembly, which has an apportioned membership based on the number of faculty members within a college, a school, or the Library; and (b) the Executive Committee, which includes a single representative from each college or school and one from the Library.

The Faculty Senate is led by four officers (the President, Vice-President, Secretary, and Treasurer), who are elected by the full-time faculty at large.
The governing procedures of the Faculty Senate are described in the Constitution of the Faculty Senate of Duquesne University, which was approved by a vote of the full-time faculty, administrators with faculty status, and members of the library faculty, and subsequently by the Board of Directors. It may be amended following the process set forth in Section X of that document. In cases of conflict between the Bylaws of the University and the Constitution of the Faculty Senate of Duquesne University, the Bylaws prevail.

Further information about the Faculty Senate is readily available on its Web page.

4.10 University Councils and Committees

The University relies on councils and committees to provide broad-based input on a wide variety of topics. The standing councils and committees of the University include the following:

- Academic Council
- Graduate Council
- Interdisciplinary Curriculum Committee
- University Committee on Promotion and Tenure
- Grievance Committee for Faculty
- Budget Committee
- Compensation Committee
- Retirement Committee
- Library Committee
- Faculty Workload Committee
- Athletics Academic Advisory Committee
- NCAA Academic Integrity Committee

4.10.1 Academic Council

The Academic Council is responsible for overseeing the development and implementation of the University’s academic plans and policies, subject to the direction and approval of the President. All matters that fall within this scope must be considered by the Council.

4.10.1.1 Membership

The Council consists of the following:
- Voting Members
  - Provost (chair)
• Dean of each college or school
• President of the Faculty Senate
• University Librarian

• Non-voting Members
  • Director of the Biomedical Engineering Program
  • Associate Provosts
  • Executive Director of Computing and Technology Services
  • Vice-President of the Faculty Senate
  • University Registrar
  • One undergraduate student elected by the SGA

4.10.1.2 Terms

The student member serves a one-year term.

4.10.1.3 Meetings

The Council meets once each month throughout the academic year.

4.10.2 Graduate Council

The Graduate Council develops and recommends to the Academic Council policies and procedures to increase the efficiency and effectiveness of graduate programs in all colleges and schools. This includes program review protocols; coordination of procedures and standards; and evaluation of proposals for the creation, suspension, or closure of graduate programs.

4.10.2.1 Membership

The Council consists of the following:

• Voting Members
  • One faculty member appointed by the dean of each college or school that offers a graduate program
  • University Librarian
  • University Registrar
  • One faculty member appointed by the President of the Faculty Senate

• Non-voting members
  • Associate Provost for Academic Affairs (chair)
  • Other Associate Provosts
  • Faculty Advisor to the Graduate and Professional Student Council (GPSC)
  • One student elected by the GPSC

4.10.2.2 Terms

• Appointed and elected faculty members serve one-year terms.
• The student member serves a one-year term.

4.10.2.3 Meetings

The Council meets once each month throughout the academic year.

4.10.3 Interdisciplinary Curriculum Committee

The Interdisciplinary Curriculum Committee supports the development and periodic review of interdisciplinary programming. It reviews proposals for new interdisciplinary programs that involve more than one college or school and makes recommendations to the Provost with respect to these initiatives.

4.10.3.1 Membership

The committee consists of the following:

• One faculty member appointed by the dean of each college or school
• No more than three additional faculty members appointed by the Provost

4.10.3.2 Terms

• To the degree possible, members serve staggered two-year terms.
• Members may not serve more than three consecutive terms.

4.10.3.3 Meetings

The committee meets as necessary to conduct its business.

4.10.4 University Committee on Promotion and Tenure

The University Committee on Promotion and Tenure reviews and evaluates the portfolios of candidates for pre-tenure review, tenure, and/or promotion in rank (see Section 5.7.3.3). It recommends to the Provost those candidates whose retention, tenure, and/or promotion would, in its view, benefit the University and whose professional achievements meet the University’s expectations.

4.10.4.1 Membership

The committee consists of the following:

• Voting
  ▪ One full-time, tenured faculty member from each college or school except the McAnulty College and Graduate School of Liberal Arts
  ▪ Two full-time, tenured faculty members from the McAnulty College and Graduate School of Liberal Arts
Non-Voting
- Provost

Procedures
- A faculty member may not serve simultaneously on this committee and the Grievance Committee for Faculty (see Section 4.10.5).
- Voting members shall be elected by full-time tenured and tenure-track faculty members in the college or school using procedures established by the college or school.
- Each college or school shall also elect one alternate to serve in cases of the extended unavailability of an elected member or his or her recusal.
- Administrators, such as deans, associate deans, department chairs, and program directors, are ordinarily not eligible for membership. All exceptions shall be approved by the President.
- The committee shall ordinarily be chaired by the Provost. If the Provost cannot serve in this capacity or recuses him- or herself, the President shall designate a member of the committee to serve pro tempore.

4.10.4.2 Terms
- Voting members serve staggered three-year terms.
- Voting members may not serve more than two consecutive terms.

4.10.4.3 Meetings
The committee meets as necessary, ordinarily between mid-November and mid-March.

4.10.5 Grievance Committee for Faculty
The Grievance Committee for Faculty receives from faculty members, and investigates according to procedures described in Section 10, grievances that arise from alleged failures on the part of administrators to follow policies, procedures, and criteria adopted by departments, divisions, colleges, and schools, and/or the University.

4.10.5.1 Membership
The committee consists of the following:
- From each college or school except the McAnulty College and Graduate School of Liberal Arts: one full-time faculty member who has completed at least seven years of full-time employment as a faculty member at the University
- From the McAnulty College and Graduate School of Liberal Arts: two full-time faculty members who have completed at least seven years of full-time employment as faculty members at the University
- One member of the library faculty
Procedures

• Members shall be elected by the full-time faculty members in the college or school or in the Library using procedures established by that college or school or the Library.
• A faculty member may not serve simultaneously on this committee and the University Committee on Promotion and Tenure (see Section 4.10.4).
• Elections shall be staggered so that members’ terms begin according to the following schedule:
  o Every three years beginning in fall 2015: Law, Education, Nursing, Natural and Environmental Sciences
  o Every three years beginning in fall 2016: Pharmacy, College A, Business Administration, Health Sciences
  o Every three years beginning in fall 2017: Music, College B, Library
• Each college or school and the Library shall also elect one alternate to serve in cases of the extended unavailability of an elected member or his or her recusal. If a member resigns, the alternate from that college or school or the Library shall serve out the remainder of that member’s term.
• At the start of each year, the committee shall elect one of its number as chair.

4.10.5.2 Terms

• Members serve terms that begin on the first day of the year in which they are elected and end at the conclusion of the committee’s first meeting of the fall semester three years later. Members whose terms will end at the conclusion of that meeting do not vote in the election of the committee chair.
• Members may not serve more than two consecutive terms.

4.10.5.3 Meetings

The committee shall meet as often as is necessary to conduct its business (see Section 10). Five members who are eligible to participate in the business before the committee at a given meeting (see Section 10.1) shall constitute a quorum for that meeting.

4.10.6 Budget Committee

This committee advises the President and vice-presidents in matters relating to the key assumptions used in the development of the University’s pro-forma multi-year operating budgets and seeks to ensure that those assumptions align with the University’s Mission. The committee has a Charter that further defines its purpose and its structure.

4.10.6.1 Membership

The committee consists of the following:
• Vice-President for Management and Business (co-chair)
• Provost (co-chair)
• Vice-President for University Advancement
• Vice-President for Mission and Identity
• Vice-President for Student Life
• President of the Faculty Senate
• Two deans appointed by Academic Council
• Athletic Director
• Associate Provost for Administration
• Vice-President for Enrollment Management
• Assistant Vice-President for Finance and Business
• Assistant Vice-President, Chief Budget and Planning Officer
• Assistant Vice-President, Chief Human Resources Officer
• University Librarian
• Three faculty members elected by the Faculty Senate
• Two undergraduate students elected by the Student Government Association
• One graduate or professional student elected by the Graduate and Professional Student Council (GPSC)
• Two exempt staff and two non-exempt staff appointed by the President.

The Committee Co-Chairs may invite non-Committee members to attend meetings to provide subject matter expertise or additional support.

The President may attend meetings at any time.

4.10.6.2 Terms

• Deans serve staggered two-year terms.
• Faculty members serve terms determined by the Faculty Senate.
• Staff and student members serve one-year terms.

4.10.6.3 Meetings

The committee meets regularly throughout the calendar year but not less than twice in the fall semester and twice in the spring semester.

4.10.7 Compensation Committee

This committee advises the President and vice-presidents in matters pertaining to employee compensation including performance-based salary and wage increases, health and welfare benefits, tuition remission benefits and retirement benefits (contribution levels but not investment options, etc.). The committee has a Charter that further defines its purpose and its structure.
4.10.7.1 Membership

The Committee consists of the following:
- Vice-President for Management and Business (co-chair)
- Provost (co-chair)
- One dean appointed by the Provost
- Two faculty members appointed by the President of the Faculty Senate
- Assistant Vice-President, Chief Human Resources Officer
- One representative of IUOE Local #95
- One representative of SEIU Local #32BJ
- One exempt staff and one non-exempt staff appointed by the President

With the exception of the Assistant Vice-President, Chief Human Resources Officer, members may not serve on both the Compensation Committee and the Budget Committee at the same time.

The Committee Co-Chairs may invite non-committee members to attend meetings to provide subject matter expertise or additional support.

4.10.7.2 Terms

- The dean serves a two-year term.
- Faculty members serve terms determined by the Faculty Senate.
- Staff members serve one-year terms.

4.10.7.3 Meetings

The committee meets in person at least once per year. The Committee Co-Chairs may call special meetings as needed.

4.10.8 Retirement Committee

This committee advises the Vice-President for Management and Business in his or her capacity as the University administrator responsible for selecting and monitoring the investment options offered in the University’s retirement plans. The committee provides non-binding recommendations to the Vice-President for Management and Business, who retains sole responsibility for all plan-related decisions. The committee has a Charter that further defines its purpose and its structure.

4.10.8.1 Membership

The committee consists of the following:
- Vice-President for Management and Business (chair)
- Assistant Vice-President for Human Resources
- Vice-President for Legal Affairs and General Counsel
• Two faculty members elected by the Faculty Senate
• One staff member

Because committee members are expected to provide meaningful input and discussion related to the University’s retirement plans, all members must possess investment or business expertise sufficient to evaluate the issues associated with the committee’s purpose.

4.10.8.2 Meetings

The committee meets as needed.

4.10.9 Library Committee

The Library Committee advises the University Librarian on the development and allocation of library resources for instruction and research, on library facilities, and on the provision of library services to the University community. It also provides a forum for the discussion of library-related concerns.

4.10.9.1 Membership

The committee consists of the following:
• The University Librarian or his or her designee (chair)
• One faculty member from each college or school appointed by its dean
• One faculty member appointed by the President of the Faculty Senate
• One undergraduate student appointed by the President of the Student Government Association
• One graduate or professional student appointed by the President of the Graduate and Professional Student Council (GPSC)

4.10.9.2 Terms

All appointed members serve renewable one-year terms.

4.10.9.3 Meetings

The committee meets at least once per semester.

4.10.10 Faculty Workload Committee

The Faculty Workload Committee has three primary functions. It reviews and makes recommendations to the Provost regarding the principles proposed by each college or school with respect to faculty workload, as described in Section 5.4.1. It recommends to the Provost University-wide principles by which percentages of effort allocated by faculty members to service correspond to typical activities in that category, as described in Section 5.4.1.3. At the request of
individual faculty members or administrators, it may assist in resolving disagreements about the interpretation of workload principles and other related matters (see Section 5.4.2).

4.10.10.1 Membership

The committee consists of the following:
- One full-time faculty member from each college or school except the McAnulty College and Graduate School of Liberal Arts
- One member of the library faculty
- Two full-time faculty members from the McAnulty College and Graduate School of Liberal Arts

Procedure
- Members shall be elected using procedures established by the college or school.
- At the start of each academic year, the committee shall elect one of its number as chair.

4.10.10.2 Terms

- Five of the members appointed in 2017 shall serve two-year terms; five shall serve one-year terms. In following years, all members shall serve two-year terms.
- Members may not serve more than three consecutive terms.

4.10.10.3 Meetings

The committee shall meet as needed but at least once in the fall semester and once in the spring semester.

4.10.11 Athletics Academic Advisory Committee

The Athletics Academic Advisory Committee constitutes a formal means for staff members in the Division of Athletics and members of the faculty to interact on issues of shared interest or concern specific to the University’s intercollegiate athletics program and associated campus initiatives.

4.10.11.1 Membership

The committee consists of the following:
- Director of Athletics (chair)
- Faculty Athletics Representative
- Associate Athletic Director for Sports Administration and Strategic Initiatives
- Associate Athletic Director for Academic and Student Services
- Associate Athletic Director for Administration and Compliance
- Assistant Athletic Director for Student Services, Department of Athletics
- Faculty representatives from colleges and schools, invited to participate by the Director of Athletics in consultation with the deans. Representation from each college or school is preferred.

4.10.11.2

The committee meets three times per year, typically in August, December and March.

4.10.12 NCAA Academic Integrity Committee

The NCAA Academic Integrity Committee conducts an annual review of the academic processes of the Department of Athletics to assure that they are consistent with the University Mission and compliant with NCAA requirements. In particular, the committee reviews the academic outcomes of student athletes and makes recommendations to the President for improving those outcomes.

4.10.12.1 Membership

- Faculty Athletic Representative (chair)
- Associate Provost for Academics
- A dean
- University Registrar
- Director of Admissions
- Director, Learning Skills Program
- Coordinator, Comprehensive Student Advising
- Associate Athletic Director for Sports Administration and Strategic Initiatives
- Associate Athletic Director for Administration and Compliance
- Associate Athletic Director for Academic and Student Services

4.10.12.2

The committee meets at least once per year.
5. Faculty

5.1 Faculty Appointments

All faculty appointments are subject to the terms of the Bylaws of the University, the University Mission Statement, the Faculty Handbook (to the extent the Handbook is not inconsistent with the Bylaws [see Section 1.1]) and The Administrative Policies.

5.1.1 Letters of Appointment

The President signs letters of appointment (including initial offers of employment) for full-time faculty members and delegates to the deans of the colleges and schools the authority to sign letters of appointment for part-time faculty members.

Letters of appointment (including initial offers of employment) shall state

- the applicability of the Bylaws of the University, the University Mission Statement, the Faculty Handbook and The Administrative Policies (see Section 5.1);
- the start date and end date of the current appointment (see Section 5.1.3);
- the classification of the faculty member’s position (see Section 5.2);
- the academic department(s), college(s) and school(s) in which the appointment is to be held (for joint appointments, see Section 5.2.1.5);
- if appropriate, the dates when pre-tenure review and/or tenure review will occur;
- if appropriate, the nature of clinical responsibilities associated with the position;
- the faculty member’s rank (see Sections 5.2.1.4 and 5.2.2.3);
- the faculty member’s current salary;
- any leaves approved for the period of the appointment (see Section 6); and
- any additional applicable terms.

In certain disciplines, accrediting bodies or membership organizations may require the inclusion of additional language in letters of appointment.

No later than June 15 of each year, the Office of Human Resource Management shall make available to continuing full-time faculty members their letters of appointment for the following year.

5.1.2 Initial Offers of Employment

In addition to all the information listed in Section 5.1.1, initial offers of employment shall incorporate in writing any additional understandings concluded between the University and the appointee during prior discussion and/or correspondence regarding the offer. The University’s initial offer of employment thus constitutes the only official offer and supersedes any previous understanding whether oral or in writing.
Faculty members accept the terms of the University’s offer of employment when they return a signed copy of the initial offer of employment to the Office of the Provost.

All initial offers of employment are extended contingent upon the University’s acceptance of satisfactory background checks, which may be repeated as a condition of continued employment.

5.1.3 Duration of Appointment

Appointments for full-time faculty members ordinarily take the form of either “nine-month” or “twelve-month” appointments, depending on the practice in the college or school concerned. Initial offers of employment and letters of appointment for “nine-month” appointees stipulate the exact dates on which their formally assigned teaching and service commitments begin and end, as determined by the University’s academic calendar.

Part-time faculty members are appointed for the period of one term.

5.1.4 Transfer of Appointment

Faculty members who hold appointments in a department, college or school may propose to the Provost that their appointments be transferred to a different department, college or school. Prior to approving or denying the transfer, the Provost shall consult with all department chairs and deans whose departments, colleges or schools would be affected by the transfer. If approved, a transfer shall take effect with the beginning of an academic year and be reflected in the faculty member’s annual letter of appointment for that year. Transfers shall not result in any change to the faculty member’s rank, status with respect to tenure, or compensation unless such a change has been agreed to by all parties.

5.1.5 Reassignment of Appointment

The University may from time to time reorganize departments, colleges or schools and, in the process, reassign faculty members’ appointments to new or different departments, colleges or schools. Reassignment shall take effect with the beginning of an academic year and be reflected in the faculty member’s annual letter of appointment for that year. Reassignment shall not result in any change to the faculty member’s rank, status with respect to tenure, or compensation.

5.2 Classifications of Faculty

5.2.1 Full-Time Faculty

Full-time faculty members are expected to devote all their professional time and effort to the responsibilities associated with their appointments. (For limited exceptions, see Section 6 and Section 7.3.)
5.2.1.1 Tenure-Track Faculty

Tenure-track faculty members are subject to the tenure review process described in Section 5.7.

At the end of the term of appointment defined in their letters of appointment, the appointments of tenure-track faculty members cease without expectation of continued employment unless the faculty members have been reappointed. However, the University shall notify in writing tenure-track faculty members whom it intends not to reappoint for the next year according to the following schedule:

- during the faculty members’ first year of appointment on the tenure track, no later than March 1 of that year;
- during the faculty members’ second consecutive year of appointment on the tenure track, no later than December 15 of that year; and
- during the faculty members’ third consecutive year of appointment on the tenure track and thereafter, at least twelve months before the expiration of the current appointment.

Faculty members initially appointed on the tenure track may not be transferred to non-tenure-track appointments except in highly unusual circumstances. Transfers may be granted only by the President on the recommendation of the department chair, dean and Provost and with the agreement of the faculty member concerned.

5.2.1.2 Tenured Faculty

Tenured faculty members are entitled to renewal of their appointments annually until they resign, retire, or are terminated (see Section 8).

5.2.1.3 Non-Tenure-Track Faculty

Non-tenure-track faculty members are not eligible for tenure. They ordinarily hold full-time one-year appointments unless they are granted promotion (see Section 5.8.2), after which the dean of their college or school may recommend to the Provost that they receive appointments of one, two or three years. The initial offers of employment to non-tenure-track faculty members and all subsequent letters of appointment shall state whether their appointments are renewable and, if so, under what conditions (including provisions required in certain disciplines by the relevant accrediting bodies or membership organizations).

If non-tenure-track faculty members subsequently apply for and are appointed to tenure-track positions, their years of non-tenure-track service do not affect the length of their probationary period unless this is approved by the Provost at the time of their appointment to the tenure track position (see Section 5.7.2.2).

Non-tenure-track faculty members enjoy the academic freedom that all other faculty members enjoy with the attendant responsibilities (see Section 2.1). They enjoy the same voting rights as tenured and tenure-track faculty members except that they may not vote on the tenure or promotion
of tenured and tenure-track faculty members. They are entitled to participate in the process of reviewing candidates for full-time faculty appointments in their department, but colleges and schools may determine whether they are eligible to cast a vote on whom to recommend.

5.2.1.3.1 Library Faculty

Members of the library faculty are employed in the Gumberg Library or the Center for Legal Information and possess a master’s or doctoral degree in Library Science from an institution accredited by the American Library Association or a foreign equivalent.

The University will continue to honor the tenured status awarded to members of the library faculty before the adoption of this Handbook. However, all future appointments to the library faculty will be classified as non-tenure-track.

5.2.1.3.2 Visiting Faculty

Visiting faculty members hold permanent appointments at other institutions or outside the academy and serve at the University on a non-tenure-track basis and ordinarily for no more than one year. Visiting faculty members enjoy no voting rights.

5.2.1.3.3 Executives in Residence

Executives in Residence have enjoyed distinguished careers in their respective professional fields and serve at the University on a non-tenure-track basis for a limited term. Executives in Residence enjoy no voting rights.

5.2.1.4 Ranks

Full-time faculty members hold appointments at ranks appropriate to the classification of their positions.

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>Ranks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tenure-Track</td>
<td>Instructor, Assistant Professor, Associate Professor, or (rarely) Professor</td>
</tr>
<tr>
<td>Tenured</td>
<td>Associate Professor or Professor</td>
</tr>
<tr>
<td>Non-Tenure-Track</td>
<td>Instructor, Senior Instructor, Assistant Professor, Associate Professor, or Professor--optionally in combination with a modifier appropriate to the college or school in which the appointment is held (see paragraph immediately following this table)</td>
</tr>
<tr>
<td></td>
<td>Assistant Librarian, Associate Librarian, Librarian</td>
</tr>
</tbody>
</table>
Colleges and schools may propose for approval by the Provost modifiers commonly employed in their respective disciplines. Modifiers include “Teaching,” “Clinical,” and “of the Practice” (e.g., Clinical Assistant Professor or Associate Professor of the Practice). The Office of the Provost shall maintain a master-list of the modifiers approved for use in each college or school. The use of a modifier may broadly correspond with workload expectations in ways commonly recognized by the discipline concerned, but the actual workload of an individual faculty member at Duquesne University shall be determined only as described in Sections 5.4.2 and 5.4.3.

Ordinarily, full-time faculty members who do not possess the terminal degree recognized by their disciplines are appointed at the rank of instructor. Instructors who complete all requirements for the terminal degree in their disciplines at an accredited university and submit evidence of this to the dean of the college or school shall be issued a replacement appointment letter at the rank of assistant professor.

Promotion to the ranks of senior instructor, associate professor, and professor depend not only on faculty members’ continuous employment for certain periods of time but also on their success in demonstrating that their professional achievements meet the appropriate standards. For details, see Section 5.7 (for tenure-track and tenured faculty members) or Section 5.8 (for non-tenure-track faculty members).

The ranks assigned to members of the library faculty are determined at the time of their initial appointment on the basis of the alignment of their professional experience, educational credentials, and contributions to the library profession with the criteria for librarianship, scholarship, and service outlined in Section 5.4.1.5 and Section 5.9. Their subsequent promotion is addressed in Section 5.9.

The rank assigned to a visiting faculty member shall be the rank most closely equivalent to that held by the faculty member at the institution where he or she holds his or her permanent appointment (if applicable), prefixed by the modifier “Visiting.” If a visiting faculty member holds no other academic appointment, the Provost shall determine the rank to be assigned.

5.2.1.5 Joint Appointments

A joint academic appointment is a faculty appointment that involves responsibilities in two departments, schools, or colleges.

The terms and conditions of a joint academic appointment shall be described in as much detail as is practicable in the initial offer of employment (see Section 5.1), which shall be signed by the chairs of the departments involved and by the deans of the colleges or schools involved, as well as by the faculty appointee.

The initial offer of employment shall specify who will serve as the appointee’s dean and chair for Annual Performance Evaluations, salary recommendations, consideration for pre-tenure leave (if applicable), recommendations regarding personal or professional leave, and all other matters of professional supervision. That dean and chair shall be responsible for consulting with the dean and
chair in the other department(s), school(s), or college(s), and communicating decisions reached with respect to the faculty member.

Additional topics that should be addressed in the initial offer of employment and in annual letters of appointment when they are applicable include

- expectations regarding teaching assignments in each department, college, or school;
- expectations regarding advising, committee work, or other service in each department, college, or school; and
- the appointee’s voting rights in each department, college, or school (which shall include full voting rights in at least one instance).

The initial offer of employment shall state that a request to modify the terms of the joint appointment may be submitted to the Provost at any time either by the appointee or by one of the deans or department chairs concerned. The Provost shall seek the input of all parties before reaching a decision regarding any modification requested. The primary concern in considering modification requests shall be the equitable treatment of the appointee with respect to his or her expectations regarding tenure, promotion, and career development in his or her field. Any adjustment to the terms and conditions of the appointment shall be specified in a revised letter of appointment with copies to all parties.

5.2.2 Part-Time

Part-time faculty members may not be assigned to teach more than 6 credit hours per term (or the equivalent) and are responsible only for teaching unless their letters of appointment specify otherwise. Their responsibilities are determined by their department chair, division head, or dean.

Part-time faculty members are not eligible to be considered for tenure, nor do years of part-time service accrue toward eligibility for tenure if a part-time faculty member is subsequently appointed to a tenure-track position.

This faculty classification does not include currently enrolled Duquesne University graduate students who receive stipends for teaching as part of their courses of study (i.e., graduate assistants, see Section 5.11).

Part-time faculty members enjoy the academic freedom that all other faculty members enjoy with the attendant responsibilities (see Section 2.1). Part-time faculty members enjoy no formal voting privileges. Colleges, schools, and departments may, however, provide means by which their part-time faculty members have a voice in matters directly related to the work they do for the University.

The University arranges for part-time faculty members to receive an orientation to the University’s culture, its expectations and policies, and the opportunities and resources available to them. Departments should endeavor to provide part-time faculty members with the resources necessary to fulfill their responsibilities.
5.2.2.1 Compensated

Compensated part-time faculty members receive from the dean of the college or school a letter of appointment that details their responsibilities and specifies their stipend.

5.2.2.2 Uncompensated

Uncompensated part-time faculty members are individuals who volunteer to participate without compensation in academic activities such as clinical instruction and service on thesis or dissertation committees. They may occasionally receive honoraria and/or be reimbursed for approved professional expenses.

5.2.2.3 Ranks

Part-time faculty members are ordinarily appointed at the rank of Adjunct Lecturer. At the request of a dean, the Provost may, in exceptional circumstances, approve a higher rank (consistent with the criteria listed in Section 5.7), but the rank shall always be prefixed by the modifier “Adjunct.”

5.3 Faculty Hiring

5.3.1 Full-Time

Full-time faculty members are appointed by the President at the conclusion of search processes conducted in good faith and using guidelines published by the Provost.

Tenure-track and tenured faculty positions are ordinarily filled following national or international searches. Exceptions to this policy must be approved in advance by the Provost. Non-tenure-track faculty positions may sometimes be filled following more limited (regional) searches, especially when time is short later in the academic year.

In all cases, every effort must be made to develop a diverse candidate pool (see Section 2.2).

Faculty members in the relevant department present their preferred candidate for consideration and, if appropriate, recommendation by the department chair or division head. The department chair or division head forwards a recommendation to the dean of the college or school. The dean of the college or school forwards a recommendation to the Provost. And the Provost forwards a recommendation to the President for consideration and, if appropriate, approval.

The general principles articulated above also govern searches for members of the library faculty.

Visiting faculty (see Section 5.2.1.3.2) and Executives in Residence (see Section 5.2.1.3.3) may be recruited without the benefit of a formal search and recommended for appointment by the dean.
5.3.2 Part-Time

The President and the Provost delegate to deans the responsibility for overseeing the recruitment and appointment of part-time faculty members. Deans may further delegate that responsibility to department chairs or departmental committees. Ordinarily, part-time positions are filled following limited (local) searches.

5.3.3 Joint Appointments

Searches to fill full-time faculty positions approved by the Provost as joint appointments (see Section 5.2.1.5) are conducted collaboratively by the departments, colleges, and schools in which the appointee will have responsibilities. The name of the candidate recommended for appointment is submitted jointly to the Provost and the President by the relevant deans.

5.3.4 Hiring with Tenure and/or Advanced Rank

The University does not ordinarily authorize searches that would result in the award of tenure to an appointee at the time of his or her initial appointment, nor does it expect to appoint faculty members at a rank above that of assistant professor. Exceptions can be approved by the President on the recommendation of the relevant department chair and dean and the Provost. Situations that could justify an exception include faculty appointments extended to candidates for deanships or other leadership positions in the Division of Academic Affairs; appointments associated with endowed professorial chairs (see Section 5.12); and, more rarely, appointments of senior scholars recruited to meet specific disciplinary needs.

While individuals may be appointed with tenure and/or at advanced rank without having been previously subjected to the review process defined in Section 5.7.3., the criteria articulated in that section shall constitute a key consideration for those recommending such appointments to the President and for the President as he makes his decision.

In preparing initial offers of employment for faculty members to be appointed with tenure and/or advanced rank, the relevant department chair and dean and the Provost shall ensure that they clearly articulate all understandings concluded between the University and the appointees regarding their future eligibility for tenure and/or promotion and the ways in which their prior professional achievements will be incorporated into the relevant review processes (see Section 5.7.7).

5.3.5 Spousal Hiring

The University makes reasonable efforts to assist the spouses of those whom it recruits to fill faculty positions as they seek employment in the Pittsburgh region. However, it has no policy of creating positions to accommodate spousal hires, nor does it require those charged with conducting searches to prioritize the applications of spouses, since this would conflict with the principle of conducting good-faith searches for all positions (see TAP 21: Employment of Relatives of University Employees).
If, with the approval of the appropriate vice-president(s) or the President, two spouses are hired to positions at the University, the Provost shall ensure that the relevant initial offers of employment alert them to TAP 21: Appointment of Relatives of University Employees and delineate steps to forestall foreseeable conflicts of interest.

5.4 Expectations of Faculty

By accepting employment at the University, faculty members commit to (a) upholding through the teaching, scholarship, and service they perform the religious and ecumenical orientation of the University as expressed in its Mission Statement and (b) complying with the Bylaws of the University as well as with all published policies and procedures of the University, of their college or school, and of their department.

Faculty members shall at all times comply with accepted professional and ethical standards.

5.4.1 Areas of Professional Responsibility

Faculty members shall meet the expectations described in this section and elsewhere in this Handbook with respect to teaching, scholarship, service, and (where appropriate) clinical activities or librarianship.

5.4.1.1 Teaching

Excellence in teaching presupposes a commitment to communicating knowledge, skills, and disciplinary expectations to one’s students: assisting them in the development of critical thinking; fostering in them an understanding of the process of problem solving; and instilling in them an awareness of the moral and ethical context of their actions. In these and other ways, faculty members shall promote learning and stimulate the intellectual development of their students.

In addition, the University expects its faculty members to avoid complacency, constantly evaluate their methods, and change and improve those methods based on relevant evidence and feedback. In these and other ways, they shall remain current in their understanding of advances both in pedagogy and in their respective disciplines or interdisciplinary fields and contribute to developing further creative enhancements as they are able.

As determined by the assignments they are given, faculty members shall prepare and deliver courses, whether face-to-face or online.

Preparing courses includes

- creating new courses;
- revising existing courses;
- providing course descriptions;
- ordering course materials;
- selecting appropriate learning outcomes;
• determining what pedagogical methods to employ;
• developing syllabi;
• designing assignments; and
• establishing standards.

Delivering courses includes
• presenting or imparting relevant material either face-to-face or online;
• creating an inclusive and productive learning environment;
• providing feedback to students on their work;
• proctoring exams and monitoring the integrity of student work;
• grading examinations, assignments, and papers;
• submitting grades promptly; and
• where applicable, supervising and accepting final responsibility for work carried out by teaching assistants.

As applicable, faculty members may also fulfill teaching responsibilities by
• supervising laboratories;
• instructing students in clinical skills in non-patient-based settings such as simulation facilities;
• conducting independent studies and directed readings;
• directing or acting as readers for theses, dissertations, and capstone projects or problems of applied practice; and
• delivering workshops, seminars, or guest lectures.

All faculty members shall encourage students to consult them about academic matters, arrange and announce opportunities for them to do so, and make reasonable efforts to accommodate students with challenging schedules. Colleges and schools may establish more specific policies with respect to office hours. In cases where students use advising meetings to describe personal problems an adequate response to which would demand specific expertise or training, faculty members shall refer them to the University’s professional counseling services and/or to the University Chaplain.

If illness or an emergency prevents a faculty member from fulfilling any teaching commitment, the faculty member shall follow the policy established by their department and college or school to ensure that students are informed and that arrangements are made for them to achieve the relevant learning outcomes.

5.4.1.2 Scholarship

Faculty members shall contribute to the discovery, creation, and communication of knowledge in ways appropriate to their disciplines or interdisciplinary fields and consistent both with the Mission of the University and with relevant professional standards. Their productivity shall be consistent with their appointment classification (see Section 5.2) and with the expectations of their departments, colleges or schools, and disciplines or interdisciplinary fields.
Evidence of scholarly productivity includes

- peer-reviewed publications;
- presentations at conferences;
- exhibitions or performances of original creative work; and
- external grant awards.

Faculty members are encouraged to participate in the activities of learned societies and professional organizations. When participation involves out-of-town travel, they shall ensure that they have the approval of their department chair or dean and that their teaching obligations will be met. Policies governing the reimbursement of expenses incurred by faculty members who attend professional meetings are published by the Office of the Provost and by each college, school, and department, as well as by the Office of the Vice-President for Management and Business.

5.4.1.3 Service

Unless excused in advance by their dean, full-time faculty members shall attend faculty meetings in their department and their college or school, and all academic convocations. Tenured and tenure-track faculty members shall attend the appropriate matriculation ceremonies, commencement exercises, and diploma ceremonies; other full-time faculty members are strongly encouraged to do so.

Faculty members shall bear a reasonable share of committee work at the department, college or school, and/or University level and shall conscientiously serve on those committees of which they are members.

Faculty members shall engage in service to their disciplines or interdisciplinary fields and/or their professions and to the community in ways consistent with the Mission of the University.

5.4.1.4 Clinical Activity

When appropriate, faculty members shall engage in clinical instruction and supervision as well as the provision of professional services at a clinical site. Activities may include

- developing and assessing clinical sites or settings;
- training students for, and supervising them in, practicum, fieldwork, or internship experiences as these relate to the students’ courses of study;
- identifying and evaluating students’ clinical competencies;
- attesting to the capability of their students to enter practice in their profession; and
- (where applicable) providing direct patient care, client services, or professional practice.

Faculty members working in clinical or professional settings are expected to maintain appropriate certification and licensure for practice and to adhere to all relevant professional standards.
5.4.1.5 Librarianship

Members of the library faculty shall engage in activities recognized by the Association of College and Research Libraries as constituting librarianship. Activities may include
- optimizing and promoting access to and use of information resources;
- building and preserving print and digital collections;
- advancing research and learning inside and outside the classroom; and
- facilitating scholarly communication and production

Inasmuch as members of the library faculty also teach, conduct scholarship in their fields, and provide service to the University and to their discipline, they are subject to the expectations articulated in Sections 5.4.1.1, 5.4.1.2 and 5.4.1.3.

5.4.2 Allocation of Effort

The University provides the following general guidelines for faculty members’ allocation of effort among the major categories of professional activity according to their appointment classification (see Section 5.2).

<table>
<thead>
<tr>
<th>Category</th>
<th>Teaching</th>
<th>Clinical Activity</th>
<th>Scholarship</th>
<th>Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tenure-Track</td>
<td>30% - 60%</td>
<td>0% - 40%</td>
<td>25% - 60%</td>
<td>5% - 15%</td>
</tr>
<tr>
<td>Tenured</td>
<td>30% - 60%</td>
<td>0% - 40%</td>
<td>25% - 60%</td>
<td>10% - 20%</td>
</tr>
<tr>
<td>Non-Tenure-Track</td>
<td>75% - 90%</td>
<td></td>
<td>5% - 15%</td>
<td>5% - 10%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category</th>
<th>Teaching</th>
<th>Librarianship</th>
<th>Scholarship</th>
<th>Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Library</td>
<td>70% - 80%</td>
<td></td>
<td>5% - 15%</td>
<td>5% - 15%</td>
</tr>
</tbody>
</table>

The percentages of effort allocated to each category of professional activity shall sum to 100%. Faculty members with nine-month appointments shall take into account, when estimating their allocation of effort, their professional activities during the summer, including scholarly work and the direction of dissertation students. Tenured and tenure-track faculty members whose appointments include a contractually determined commitment to providing on-site clinical services shall adjust their estimated allocation of effort to clinical activity and scholarship accordingly.

These guidelines shall be modified for specific periods as necessary to accommodate special circumstances.
- Approved leaves entail an appropriate adjustment of workload expectations during the period for which they are awarded (see Section 6).
- Faculty members who are appointed as department chairs, division heads, or administrators of programs with university-wide responsibilities shall work with their dean to agree upon an allocation of effort that reflects the proportions of effort that the faculty member is expected to allocate to those administrative duties, as well as to teaching, scholarship, service, and (if appropriate) clinical activities (see Section 5.7.3.2.3).
• Similarly, faculty members who receive external grants that impose expectations regarding the time they will allocate to the project being funded shall work with their department chair, division head, or dean to ensure that the allocation of effort agreed upon fully accommodates the funding agency’s expectations. All modifications shall be included in the documentation of the Annual Performance Evaluations of the faculty members concerned (see Section 5.5). In cases of uncertainty or disagreement regarding any modification, faculty members or their supervisors may seek the guidance of the Faculty Workload Committee (see Section 4.10.10).

5.4.2.1 Teaching, Clinical Activity, and Librarianship—*further defined by each college or school*

Each college and school (as well as the Gumberg Library) shall develop a clear statement of the standard expectation for full-time faculty members in the college or school and a set of principles by which percentages of effort allocated to teaching, clinical activity (where appropriate), and librarianship correspond to specific work assignments typical for faculty members in that college or school. Those principles may address factors such as

• faculty members’ classroom, laboratory, studio, or community-engaged teaching (including the number of credit hours taught; the academic level of, and student enrollment in, each course; and additional responsibilities for coordinating multi-section or community-engaged courses);
• responsibilities for academic advising and mentorship;
• direction of dissertations, theses, or capstone projects;
• guidance of students engaged in independent research;
• in clinical settings, practica, or internships, supervision of students and, when applicable, direct provision of professional services;
• delivery of direct patient care, client services, or professional practice; and
• development of innovative pedagogies and/or new courses.

These principles may also address situations in which responsibility for a specific teaching role, clinical activity, or library function is shared by several faculty members. Where appropriate, standards set by disciplinary or professional accrediting bodies or membership organizations may play a role in determining these principles.

The Faculty Workload Committee (see Section 4.10.10) shall review the set of principles proposed by each college or school and by the Gumberg Library for explicitness, transparency, equity, and consistency (both internally and across the University). After further consultation as necessary with the faculty members and the dean in each college and school, the Faculty Workload Committee shall recommend a set of principles for each college or school and for the Gumberg Library for approval by the Provost, who shall then publish them electronically.

Subsequent proposals to amend the principles approved for any college or school or for the Gumberg Library shall be subject to review by the Faculty Workload Committee and approval by the Provost. Each set of principles shall in any case be reviewed by the relevant college or school or by the Gumberg Library and by the Faculty Workload Committee no less than once every five years, and the results of this review reported to the Faculty Workload Committee and the Provost.
5.4.2.2 Service—further defined by the Faculty Workload Committee

The Faculty Workload Committee shall develop university-wide principles by which percentages of effort allocated to service correspond to typical activities in that category. It shall recommend those principles for approval by the Provost, who shall then publish them electronically. Subsequent amendments to the principles approved shall be recommended by the Faculty Workload Committee and subject to approval by the Provost. These principles shall in any case be reviewed by the Faculty Workload Committee no less than once every five years.

5.4.2.3 Scholarship—further defined by the individual faculty member

Faculty members individually retain the responsibility for pursuing scholarly or creative projects of a quality and quantity that appropriately reflect their appointment classification (see Section 5.2) and the percentage of effort they allocate to scholarship.

Colleges and departments may assist their non-tenure-track faculty members by articulating what the minimum 5% allocation in this category may encompass: the publication of a short essay such as a book review or non-refereed article, for example; attendance at a scholarly conference; or evidence of on-going research beyond that directly related to classroom use.

5.4.3 Individual Workloads

As part of the Annual Performance Evaluation (see Section 5.5), a faculty member shall submit for discussion with the department chair or dean the percentage of effort that the faculty member proposes to allocate to each category of professional activity during the following year. This proposal must be consistent with the guidelines appropriate to the faculty member’s appointment classification (see Section 5.4.1).

The department chair or dean shall indicate adjustments to the faculty member’s proposed allocation necessitated by factors such as the instructional needs of the department, college, or school and the faculty member’s career stage. Any suggested adjustment shall still be consistent with the guidelines appropriate to the faculty member’s appointment classification (see Section 5.4.1).

At the conclusion of the Annual Performance Evaluation, the department chair or dean and the faculty member shall agree upon a good-faith estimate of the effort that the faculty member will allocate to each category of professional activity during the following year.

When subsequently assigning the faculty member specific responsibilities in the areas of teaching, clinical activity, librarianship, and service, the department chair or dean shall, to the degree possible, respect both the allocation of effort previously agreed upon and the principles approved for the relevant college or school (see Sections 5.4.1.1 and 5.4.1.2).

During the year following an Annual Performance Evaluation, a department chair may, with the permission of the faculty member concerned, assign him or her teaching responsibilities beyond
those agreed upon following the process described in this section (i.e., overload assignments). Overload assignments shall be appropriately compensated. Compensation may take the form of an agreed adjustment to the faculty member’s allocation of effort in the current year or a future year or a stipend (see Section 5.6.2). The department chair shall notify the dean of each overload assignment.

Retrospective assessment of the degree to which a faculty member’s accomplishments reflected the estimated allocation of effort previously agreed upon shall rely on aggregate data drawn from the preceding three years (see Section 5.6.1), taking into account the impact of any periods of approved leave (see Section 6).

5.5 Annual Performance Evaluation

The professional performance of a full-time faculty member shall ordinarily be evaluated annually according to a schedule developed by the college or school to meet a deadline established by the Provost. The department chair shall complete the evaluation and submit it to the dean. In colleges and schools without departments, division heads or other academic administrators may complete the evaluation and submit it to the dean. In colleges and schools without constituent academic entities, deans shall complete the evaluation. Deans shall conduct the evaluation of department chairs, division heads, and other academic administrators who report to them. In this section, the person completing the evaluation is referred to as the supervisor.

The Office of the Provost shall monitor each college or school’s satisfactory completion of this process. However, documentation of a full-time faculty member’s evaluation shall be routinely retained by the dean of the relevant college or school.

Each college or school shall develop and publish a full-time faculty evaluation form that reflects the University’s Expectations of Faculty (see Section 5.4) and includes the following sections:

- a self-evaluation, prepared by the faculty member, that addresses the preceding year and, where relevant, longer-term projects;
- a set of goals for the following year, together with an agreed upon good-faith estimate of the effort that the faculty member will allocate to each category of professional activity (see Section 5.4.3); and
- the supervisor’s evaluation.

Full-time faculty members shall submit to their supervisor their self-evaluation, a list of goals for the following year, and a proposal regarding the allocation of effort appropriate to achieving those goals. The supervisor shall complete the supervisor’s evaluation and hold a conference with the faculty member to discuss the faculty member’s performance, list of goals, and proposed allocation of effort. Following the conference, the supervisor may revise the supervisor’s evaluation and/or the goals and allocation of effort for the following year and submit the signed form to the faculty member. The faculty member may append further comments and shall then sign the form, indicating that the faculty member has read it, and return it to the supervisor. The supervisor shall forward the evaluation form to the dean and provide a copy to the faculty member.
While annual evaluations may inform decisions regarding compensation and/or promotion, they are not the sole determining factor.

Processes for the evaluation of part-time faculty members vary by department, other academic unit, and school or college. Part-time faculty members should consult their department chair, academic supervisor, or dean for information about the evaluation of part-time faculty.

5.6 Compensation

5.6.1 Salary

Full-time faculty members receive salaries that compensate them for the totality of their work for the University (see Section 7.3). The salaries of full-time faculty members, including faculty members with “nine-month” appointments (see Section 5.1.3) are paid in equal installments over twelve months.

Factors that contribute to determining the salaries of full-time faculty members include the faculty member’s rank, years of service at that rank, and professional performance, as well as the academic discipline in which the faculty member teaches and pursues scholarship.

The University awards full-time faculty members salary adjustments based on factors that include promotion in rank, meritorious professional performance during the period covered by the faculty member’s three most recent Annual Performance Evaluations (see Section 5.5), and the perceived need for the University to maintain competitiveness with salaries at other institutions.

Under the leadership of the dean, the faculty members in each college or school shall develop a uniform process by which salary adjustments based on meritorious professional performance are determined. The process shall rely on objective (though not necessarily quantitative) criteria and shall be consistently applied to all faculty members in the college or school. Once submitted by the dean and approved by the Provost, this process shall be published electronically in a readily accessible location.

In October of each year, faculty members shall receive from the University written notification of any salary adjustment that has been approved, stated both as a dollar amount and as a percentage of the faculty member’s compensation for the prior year. Faculty members shall be afforded the opportunity to discuss the basis for the adjustment during their next annual performance evaluation (see Section 5.5).

5.6.2 Stipends

Holders of endowed professorial positions receive stipends associated with the specific named positions that they occupy (see Section 5.12.1.3).

Full-time and part-time faculty members may receive stipends to compensate them for performing specific tasks.
Full-time faculty members who accept administrative responsibilities may receive stipends according to the policy of their college or school. These stipends may increase over time but increases are not related to increases in the recipients’ salaries (see Section 5.6.1).

Full-time faculty members may receive stipends for agreeing to teach overload courses (see Section 5.4.3). However, a faculty member who has earned or been awarded a leave or a reduced teaching load may not receive an additional stipend for an overload course in the same year.

Part-time faculty members are compensated for their work in the form of stipends based on factors such as the number of credit hours they teach and the number of clinical students for whom they serve as preceptor. Part-time stipends vary by academic discipline and may be augmented when the part-time faculty member previously retired from a full-time teaching position at the University. Part-time stipends apply only to the term of a single appointment (see Section 5.1.3).

Faculty members receive annual letters from the appropriate office that provide the details of any stipend(s) they are to receive.

5.6.3 Benefits

Faculty members receive employee benefits based on the classification of their positions (see Section 5.2). Detailed information is available from the Office of Human Resource Management and in a number of TAPs.

5.6.4 Compensation from Grants

The University seeks to support faculty members who submit grant or fellowship proposals to external funding agencies and encourages applicants to include in their budget requests an appropriate fraction of their faculty salaries. Providing that faculty members received the requisite approvals before submitting their proposals, they may receive additional compensation for grant-supported work, subject to the requirements imposed by the agency or foundation making the award.

5.7 Tenure-Track and Tenured Faculty

5.7.1 Determination of the Probationary Period

Tenure-track faculty members shall be reviewed for tenure only once. This review ordinarily occurs in the sixth year of a tenure-track faculty member’s full-time employment at the University. The period up to and including the year in which the review occurs is the probationary period.

In rare instances, a tenure-track faculty member’s initial offer of employment stipulates that the appointment is to begin in the middle of an academic year. In such cases, the partial first year of employment is not included as one of the six years that constitute the faculty member’s probationary period and tenure review ordinarily occurs in the seventh year.
If a department, college or school, or the University determines that it no longer foresees the need for the expertise that a tenure-track faculty member provides, the Provost shall notify the faculty member that his or her appointment will not be renewed. Notification shall be given at the earliest opportunity, in accordance with the schedule contained in Section 5.2.1.1, and no less than six months before the faculty member would otherwise initiate the tenure review process by submitting his or her Cover Sheet (see Section 5.7.3).

5.7.2 Modification of the Probationary Period

Only the Provost may extend or abbreviate a faculty member’s probationary period as described in Sections 5.7.2.1 and 5.7.2.2. The Provost shall promptly notify the faculty member, the department chair, and the dean of any modification in writing and adjust subsequent annual letters of appointment to reflect the change.

5.7.2.1 Extension

Faculty members may request up to two one-year extensions to their probationary period. However, only in exceptional circumstances shall the probationary period extend beyond the faculty member’s eighth year of full-time employment at the University (or the ninth year if the initial appointment begins in the middle of an academic year). Extensions are granted only by the Provost and always in writing with copies to the department chair or division head and dean.

A faculty member may request an extension for personal reasons, citing as grounds for the request one of the circumstances listed in TAP 23: Leaves of Absence: Family and Medical Leave and Personal Leave, Section A.3 (including the birth or adoption of a child, extraordinary demands for dependent care, or the illness of the faculty member). The University shall not unreasonably deny such a request or retract approval after it has been granted.

A faculty member may request an extension for professional reasons, presenting a compelling case that his or her opportunity to meet the University’s tenure expectations have been impacted by circumstances beyond his or her control. Leave for professional reasons is not guaranteed; the University reserves the right to grant or deny requests based on its assessment of the best interests of the institution.

Requests shall be submitted in writing to the faculty member’s department chair or division head, ordinarily no fewer than six months before the faculty member’s portfolio is due to be submitted (see Section 5.7.3). The department chair or division head shall forward the request with his or her recommendation to the dean, who shall in turn forward both documents with his or her recommendation to the Provost.

5.7.2.2 Abbreviation on the Grounds of Prior Full-Time Employment

Faculty members may request that their probationary period be abbreviated only on the grounds of prior full-time employment as faculty members.
When negotiating the terms of their initial offer of employment or at any time before February 1 of their first year of full-time employment at Duquesne University, a tenure-track faculty member with one or more years of prior full-time employment in an instructional or research capacity at the rank of instructor or higher on the faculty of another college or university may request that the University abbreviate the probationary period by the corresponding number of years up to a maximum of three years. In requesting the maximum three-year abbreviation permitted, the faculty member forgoes the opportunity to undergo pre-tenure review (see Section 5.7.4).

The Provost shall seek the recommendation of the faculty member’s department chair and dean before deciding whether to approve a request to abbreviate the probationary period. Once a request is approved, it may not be rescinded or amended and the faculty member may make no further requests for an abbreviation. The dates approved by the Provost for tenure review shall be included in the initial offer of employment or a revised annual letter of appointment.

A faculty member who held a non-tenure-track appointment at the University before applying for and being appointed to a tenure-track position may request that the University abbreviate the probationary period subject to the same provisions, except that the Provost shall review and approve or deny the abbreviation at the time of the tenure-track appointment and issue an initial letter of appointment that reflects that decision.

The University reserves the right to deny credit for previous experience and accordingly to require any tenure-track appointee to complete up to five complete years of service at the University before being reviewed for tenure.

5.7.2.3 Early Application

Faculty members who believe that their case for tenure already meets all of the University’s criteria may apply before the end of their probationary period. Neither the review process (see Section 5.7.3) nor the criteria employed (see in particular Section 5.7.3.2) shall differ in any way from those for cases submitted at the end of the probationary period. Faculty members who apply early are still subject to the provision that they may be reviewed for tenure only once (see Section 5.7.1); if denied tenure, they shall receive a one-year terminal appointment for the year following the review (see Section 5.7.3.4).

5.7.3 Review Process

Tenure and promotion in rank may be conferred only by the President, who receives recommendations from the Provost, the University Committee on Promotion and Tenure, the appropriate dean and department chair, and faculty committees formed by the candidate’s college or school and department (see Section 5.7.3.3).

The University follows similar but not identical processes when reviewing tenure-track faculty members for both pre-tenure and tenure review, and when reviewing applications for promotion in rank.
Only the President may sanction modifications of or exceptions to the processes described in Sections 5.7.3 through 5.8. The President shall convey his or her approval of a modification or exception in writing to the faculty member, department chair and dean concerned, and to the Provost.

Faculty members should not follow advice that appears inconsistent with the review process as it is described in Sections 5.7.3 through 5.8. All questions of interpretation should be discussed as soon as they arise with the Provost, who shall convey the outcome in writing to the faculty member, department chair, and dean concerned.

During the review process, all aspects (including the nature of the deliberations at all levels of review, the outcome and details of votes taken, and the content of all reports and recommendations) are to be held in the utmost confidence. Any breach of confidentiality violates the ethical code of behavior to which all University employees are held accountable. After the review is concluded and the President’s decision has been conveyed to the candidate, the candidate may ask the Provost to provide a written summary of the review process (see Section 5.7.3.4).

Candidates for pre-tenure review, tenure review, and promotion in rank are responsible for understanding when those reviews will occur. Tenure-track faculty members’ annual letters of appointment include this information (see Section 5.1.1), but individuals should monitor it carefully to ensure that it remains consistent with the provisions of this Handbook (see, for example, Sections 5.7.2 and 6). They should immediately bring any apparent discrepancies to the attention of their department chair and dean.

**Review Process Timetable**

<table>
<thead>
<tr>
<th>DATE</th>
<th>ACTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>by March 25</td>
<td>Faculty member submits Cover Sheet to department chair and dean</td>
</tr>
<tr>
<td>by April 1</td>
<td>Dean forwards names of all candidates in college or school to Provost</td>
</tr>
<tr>
<td>by April 15 *</td>
<td>Faculty member nominates reviewers of scholarship</td>
</tr>
<tr>
<td>by May 1 *</td>
<td>Faculty member provides scholarly materials for external review</td>
</tr>
<tr>
<td>by May 15 *</td>
<td>Department chair or dean identifies reviewers of scholarship and forwards materials to them</td>
</tr>
<tr>
<td>by September 1</td>
<td>Faculty member uploads complete portfolio for evaluation</td>
</tr>
<tr>
<td>by November 15</td>
<td>Dean uploads evaluative reports and recommendations from college or school</td>
</tr>
<tr>
<td>by February 1</td>
<td>Provost uploads evaluative reports from University Committee on Promotion and Tenure and his own recommendation</td>
</tr>
<tr>
<td>by March 1</td>
<td>After reviewing all reports and recommendations, President notifies faculty member of outcome</td>
</tr>
</tbody>
</table>

* These steps do not apply in the case of pre-tenure reviews.
5.7.3.1 Portfolio

By March 25 of the calendar year in which the review will occur, candidates shall obtain a Cover Sheet from the department chair or dean, complete the top portion of the form, and submit the original to the department chair and a copy to the dean. Administrators and faculty committees charged with evaluating the case (see Section 5.7.3.3) shall complete the appropriate portions of the original Cover Sheet immediately after they complete their reviews. The hard copy of the original Cover Sheet constitutes a part of the candidate’s portfolio throughout the review process.

By April 15, candidates for tenure and/or promotion in rank (but not for pre-tenure review) shall submit to the department chair or dean the names of individuals whom they regard as qualified to serve as external reviewers of their scholarly work. External reviewers are individuals who have not been employed by the University at any point in the five years immediately preceding the year of the review. By May 15, or as soon as possible thereafter, the department chair or dean shall secure two reviewers from the list of names submitted by the candidate as well as no fewer than one and no more than two additional external reviewers.

In nominating and selecting individuals from whom to solicit reviews, candidates, chairs, and deans shall consider the degree to which each will be regarded by others as a reliable and objective evaluator. Generally inappropriate nominees include the candidate’s dissertation or thesis advisor; colleagues with whom the candidate has published or presented as a co-author; scholars who have already publicly disparaged the candidate’s work; and family members or close personal friends. Collectively, the three or four reviewers shall be capable of providing a comprehensive evaluation of the candidate’s scholarship and standing in the discipline.

By May 1, candidates for tenure and/or promotion in rank (but not for pre-tenure review) shall submit to the department chair or dean a selection of materials for external review that adequately reflects their achievements as scholars. In assembling these materials, candidates should consult with their department chair or dean regarding the need not to overburden reviewers while still affording them the chance to understand the breadth of the scholarly record they will be evaluating.

By May 15 or as soon thereafter as is practicable, the department chair or dean shall forward to the external reviewers a form letter made available by the Provost (adapted if necessary to apply to the case), a copy of the candidate’s curriculum vitae, and all the scholarly materials selected by the candidate.

By September 1, candidates shall assemble and upload electronically a portfolio that describes their ongoing professional development and provides all pertinent evidence of effectiveness or excellence in teaching, scholarship, clinical activity (if applicable) and service (see Section 5.7.3.2). After September 1, candidates will no longer have access to their portfolios. However, they may still submit to the Provost documentation of any additional professional accomplishment that strengthens their case, including notifications of the acceptance of publications or presentations or the award of grants. The Provost shall upload the documentation to the candidate’s portfolio and notify all individuals and committees that have not yet completed their evaluations of the case.
Portfolios shall consist of two parts: the Main Packet and the Supplementary Packet.

The Main Packet consists of the following:

- The candidate’s current curriculum vitae
  - The Office of the Provost provides guidance to candidates regarding areas that should be addressed and formatting options. However, candidates are ultimately responsible for creating their own documents.
- A framing statement by the candidate
  - The statement should provide a clear and concise description of the candidate’s accomplishments in teaching, scholarship, clinical activities, and service as those accomplishments relate to the criteria for retention, tenure, and promotion; the candidate’s academic discipline; and the Mission of the University.
- Teaching evaluations
  - For untenured faculty members, evaluations should include (a) quantitative data from the Student Evaluation Survey (SES) for all courses taught at Duquesne University,* and (b) at least one peer evaluation report from each year of service.
  - For candidates for promotion to professor, evaluations should include (a) quantitative data from the SES (or equivalent) for one course taught in each of the five years preceding the submission of the portfolio,* and (b) at least five peer evaluation reports completed since appointment as associate professor.

The Supplementary Packet consists of the following:

- Copies of all scholarly publications
- Manuscripts of, and letters of acceptance for, scholarly works accepted for publication but not yet in print
- Documentation of grants or other external funding received
- Documentation of performances, recordings, or installations that give evidence of creative achievement
- Documentation of scholarly presentations at professional meetings, conferences, or other institutions
- Unpublished manuscripts or other works in progress
- Documentation of key claims regarding pedagogical accomplishments as referenced in statement by the candidate
- Documentation of key claims regarding service

Letters from students, colleagues, or other parties (whether solicited or unsolicited) and selected student comments (including comments submitted in response to open-ended questions on the SES) carry relatively little weight during the review process.

* For courses taught before Spring Semester 2014, candidates should submit the one-page summary sheets, entitled “Student Rating Form–Results by Class,” from each SES report. For courses taught in Spring Semester 2014 or thereafter, the Office of the Provost will provide summary reports that the candidate may upload.
Candidates who held academic positions elsewhere before their initial appointment at the University may describe and document their professional achievements during those years to provide a context for their teaching, scholarship, and service at Duquesne University.

Candidates should prepare all portions of the portfolio in a manner that is clear, concise, and logical, and should ensure that it is accessible to all those who will evaluate it, including colleagues from other disciplines. Candidates are individually responsible for articulating and documenting the case that they have met the University’s expectations as described in Section 5.7.3.2.

After September 1, the department chair or dean shall upload electronically to the candidate’s portfolio all external reviews of the candidate’s scholarship that have been received. The evaluative reports and recommendations of administrators and committees shall be uploaded as soon as they have been completed.

5.7.3.2 Criteria

In evaluating the portfolio submitted by a candidate for pre-tenure review, tenure, and/or promotion in rank, academic administrators and faculty committees (see Section 5.7.3.3) shall
• consider the evidence that the portfolio contains regarding the candidate’s teaching, scholarship, service, and (if applicable) clinical activity;
• assess whether the candidate’s performance in each area of professional performance is excellent, effective, or ineffective relative to the University’s expectations for individuals at the relevant stage in their careers; and
• base their recommendation regarding the disposition of the candidate’s case on their assessments in each area of professional performance.

Section 5.7.3.2.1 offers guidance regarding commonly cited indicators of professional accomplishment in each area. Section 5.7.3.2.2 describes in general terms the way in which administrators and committees shall weigh their area-specific assessments of a candidate’s performance when arriving at an overall recommendation. None of the provisions contained in these two sections, however, can override the ultimate responsibility of all participants in the evaluation process, which is to recommend to the President those candidates whose retention, tenure, and/or promotion would benefit the University and whose professional achievements meet or surpass the University’s expectations. This charge cannot always be adequately met by applying a rigid formula. For this reason, administrators and committees shall always submit clear and persuasive written rationales in support of their recommendations.

5.7.3.2.1 Indicators of Professional Accomplishment

Descriptions of the activities and categories of evidence regarded by the University as relevant to the evaluation of a candidate’s teaching may be found in Sections 3, 5.4.1.1, and 5.7.3.1. Specific items often considered as indicative of accomplishment in teaching include the following:
• Receipt of, or nomination for, a university, college or school, or professional society’s award for outstanding teaching

• Evaluations of teaching performance by both students and peers, including
  o Evidence of courses taught at a rigorous and challenging level
  o Evidence of significant student learning as a result of one’s teaching

• Development of new courses or major revisions to existing courses
• Service as coordinator of a multi-section course
• Development of innovative pedagogical methods and materials, including
  o Participation in community-engaged teaching in a manner consistent with the University’s model for such pedagogy (see Section 3.1)
  o Adoption of innovative instructional technology
  o Involvement in effective online delivery of instruction
  o Incorporation of interdisciplinary or interprofessional approaches

• Publication of widely-adopted or acclaimed instructional materials such as textbooks
• Publication in scholarly/peer-reviewed journals in the area of curriculum development and/or teaching methodology (including community-engaged teaching)
• Authorship of externally funded teaching-oriented grant proposals

• Appointment to thesis and/or dissertation committees
• Evidence of outstanding academic advising/mentoring
• Significant self-development activities calculated to lead to enhanced effectiveness as a teacher

Descriptions of the activities and categories of evidence regarded by the University as relevant to the evaluation of a candidate’s scholarship may be found in Sections 3, 5.4.1.2, and 5.7.3.1. Specific items often considered as indicative of accomplishment in scholarship include the following:

• Receipt of, or nomination for, a university, college or school, or professional society’s award for outstanding scholarship
• Receipt of a major fellowship or similar research-related award

• Artistic performance in prestigious venues or with highly regarded ensembles
• Receipt and execution of commissions to compose or create important works
• Reviews of performances or audio recordings to which the faculty member contributed

• Publication of original research or of major review articles in peer-reviewed journals
• Publication of scholarly books or of chapters in scholarly books
• Publication of original research in the refereed proceedings of professional conferences
• Frequent citation of publications
- Presentation of scholarly papers at international, national, regional, or local meetings
- Participation in research or practice workshops, seminars, or other scholarly meetings
- Editorship of major journals or monograph series

- Membership on the editorial boards of major journals or monograph series
- Authorship of externally funded research-oriented grant proposals
- Involvement in community-engaged research as defined in Section 3.1
- Membership on review panels for national research organizations or funding agencies
- Receipt of patents

- Significant self-development activities calculated to lead to increased effectiveness in scholarship and publication

Descriptions of the activities and categories of evidence regarded by the University as relevant to the evaluation of a candidate’s service may be found in Sections 3, 5.4.1.3, and 5.7.3.1. Specific items often considered as indicative of accomplishment in service include the following:

- Receipt of, or nomination for, a university, college or school, or professional society’s award for outstanding service
- Service on the Faculty Senate
- Service on university, college or school, or department committees
- Service in support of applications for (re-)accreditation by professional organizations

- Service in national professional organizations
- Service on governmental commissions, task forces, or advisory boards
- Service as a consultant to businesses or governmental agencies

- Service as program chair at professional meetings
- Organization of research symposia
- Service as a reviewer for peer-reviewed journals

- Service in non-academic areas of the University (e.g., in advising student organizations)
- Significant community service (e.g., membership on institutional boards related to one’s profession, membership on city or municipal planning commissions, membership on school boards, or holding office in regional artistic or social welfare organizations)

Particular notice is often taken of these and other service roles when they entail leadership responsibilities.

Descriptions of the activities and categories of evidence regarded by the University as relevant to the evaluation of a candidate’s clinical activities may be found in Sections 3, 5.4.1.4, and 5.7.3.1.
Specific items often considered as indicative of accomplishment in clinical activity include the following:

- Regional or national recognition as a clinical teaching expert
- Demonstration of the ability to establish, develop, and assess clinical teaching sites
- Assumption of leadership roles for course management in clinical settings
- Development of successful clinical educational programs, advanced degree programs, and certification programs
- Evidence of significant student learning in clinical practice as a result of one’s teaching
- Development of a positive and collaborative learning climate for students
- Publication of clinical practice manuals for practitioners, institutions, or other agencies related to one’s discipline
- Service as a role model for students and peers of the interactive relationship among theory, research, and practice
- Achievement of national certification for advanced clinical specialty practice
- Demonstration of the ability to translate clinical theory and clinical research into practice
- Evidence of active participation in, and contributions to, programs such as continuing education and faculty development workshops
- Effective provision of service in the clinical setting

It is important to stress that the bulleted lists in this section are neither exhaustive nor prescriptive. Candidates may present whatever evidence they believe supports their case, providing in their framing statement an explanation of its relevance and significance.

5.7.3.2.2 Expectations of Accomplishment in Areas of Professional Performance

While faculty members contribute in broadly similar ways to the educational mission of the University, individuals may demonstrate greater skill and engagement in one area or another. Academic administrators and faculty committees charged with reviewing cases for pre-tenure review, tenure, and/or promotion in rank shall consider each case as a whole on its own merits.

The following standards shall be applied with due regard to the relevant stage in a candidate’s career:

- A successful candidate for pre-tenure review shall be judged to have demonstrated effectiveness and ongoing development in each of the areas of teaching, scholarship, service, and (if applicable) clinical activity.
- A successful candidate for tenure and promotion to associate professor shall be judged to have demonstrated effectiveness in each of the areas of teaching, scholarship, service, and
(if applicable) clinical activity; and *excellence* in at least one of the areas of teaching, scholarship, and (if applicable) clinical activity.

- A successful candidate for promotion to professor shall be judged to have demonstrated *effectiveness* in each of the areas of teaching, scholarship, service, and (if applicable) clinical activity; and *excellence* in at least two of the areas of teaching, scholarship, and (if applicable) clinical activity.

5.7.3.2.3 Administrative Appointments

When the University appoints faculty members as department chairs, division heads, or administrators of programs with university-wide scope, it charges them with accountability for the effective functioning of their department, division, or program. In considering portfolios submitted by such individuals for pre-tenure review, tenure, and/or promotion in rank, those charged with evaluating the cases shall take into account the responsibility implicit in their administrative appointments. In addition, the time and effort that these individuals devote to administrative duties may affect the time and effort they are able to allocate to teaching, scholarship, service of all kinds, and (where relevant) clinical activities. Evaluation of their portfolios shall therefore proceed in the context of any modifications to each candidate’s allocation of effort for each year of appointment to the administrative position in question, as described in Sections 5.4.2 and 5.5.

5.7.3.3 Evaluations

Portfolios submitted by candidates for pre-tenure review, tenure, and/or promotion in rank are evaluated in the following order by academic administrators and faculty committees:

i. Departmental or divisional committee (if the college or school so provides–see below)
ii. Department chair or division head
iii. College or school committee
iv. Dean
v. University Committee on Promotion and Tenure
vi. Provost
vii. President

Each successive evaluation represents a level of review. After evaluation of a case at a given level of review has been completed and the required recommendation has been submitted, the individual(s) at that level of review shall no longer have access to the candidate’s portfolio.

The following principles govern the roles that individuals may occupy with respect to this process:

- An academic administrator may not make a formal recommendation regarding a candidate at more than one level of review.
- No faculty member may participate in the evaluation of a candidate at more than one level of review. In particular, a faculty member elected to serve on the University Committee on Promotion and Tenure is ineligible to participate in the evaluation of a candidate at the college, school, departmental, or divisional level. Similarly, a faculty member elected to a college or school committee is ineligible to participate in the evaluation of a candidate at
the departmental or divisional level. (This proscription of participation encompasses more than the act of casting a vote. Individuals may not “sit in” on committee discussions or contribute to the preparation of committee reports.)

- Academic administrators who chair faculty committees shall have no vote on those committees.
- A faculty member who applies for tenure in a given year may not participate in any way in the review of other candidates’ tenure applications in that year, nor may a faculty member who applies for promotion to a given rank in a given year participate in any way in the review of other candidates’ applications for promotion to that rank in that year.
- Individuals shall recuse themselves from participating in cases in which their objectivity might reasonably be questioned, including those in which they have an exceptionally close personal or professional relationship with the candidate.

Each college or school shall determine as a matter of policy whether it will conduct evaluations at the departmental or divisional level. If a college or school elects to do so, those evaluations shall be conducted by departmental or divisional committees. Such committees shall consist of all tenured members of the candidate’s department or division who hold an academic rank higher than that held by the candidate except the department chair or division head and (if applicable) the dean of the college or school. In cases where fewer than three faculty members meet these criteria, a college or school may establish procedures to supplement departmental or divisional committees with tenured faculty members holding an appropriate rank from other departments or divisions. Committees shall select as their chair one of their members who holds tenure in the same department or division as the candidate. If no such member exists, the dean shall appoint the committee chair. If a college or school elects not to conduct evaluations at the departmental or divisional level, the evaluation process shall begin with the chair’s evaluation.

The departmental or divisional committee shall thoroughly review and evaluate the portfolios of all candidates from the department or division. Relying exclusively on information contained in the portfolios, members of the committee shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, as described in Section 5.7.3.2, the committee shall vote on the candidates’ retention, tenure, and/or promotion. The committee chair shall prepare separate narrative reports: addressing each of the areas of professional performance; summarizing the committee members’ individual evaluations; and recording all vote counts on each candidate’s retention, tenure, and/or promotion. The committee chair and all remaining committee members shall sign the report. However, a committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and uploaded to the candidate’s portfolio by, the department chair or division head. They shall not be shared with other committee members. The committee chair shall complete the relevant section of the Cover Sheet and forward it with the committee’s narrative report to the department chair or dean.

The department chair or division head shall thoroughly review and evaluate the portfolios of all candidates from the department or division, including (if applicable) the recommendations of the
departmental or divisional committee. Relying on the information contained in the portfolios and on his or her own knowledge and assessment of the candidates as their supervisor, the chair or head shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, as described in Section 5.7.3.2, the chair or head shall complete the relevant section of the Cover Sheet and support his or her recommendation in a narrative report that addresses each of the areas of professional performance. The chair or head shall submit the completed Cover Sheet and accompanying report to the dean.

The tenured and tenure-track faculty members in each college or school shall annually elect no fewer than five tenured faculty members other than the dean of the college or school to serve on the college or school committee. The requirement regarding departmental and divisional committees that their membership be restricted to faculty members who “hold an academic rank higher than that held by the candidate” (see above) does not apply to college or school committees. The dean may either preside as the non-voting chair of the college or school committee or appoint one of the elected members to serve as chair.

The college or school committee shall thoroughly review and evaluate the portfolios of all candidates from the college or school including the recommendations of all prior evaluators. Relying exclusively on information contained in the portfolios, members of the committee shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, as described in Section 5.7.3.2, the committee shall vote on the candidate’s retention, tenure, and/or promotion. The committee chair (or, in cases where the dean elects to preside, a committee member elected to do so by the other members) shall prepare separate narrative reports: addressing each of the areas of professional performance; summarizing the committee members’ individual evaluations; and recording all vote counts on a candidate’s retention, tenure, and/or promotion. The committee chair (or the committee member elected to prepare the narrative report) and all remaining committee members shall sign the report. However, any committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and uploaded to the candidate’s portfolio by, the dean. They shall not be shared with other committee members. The committee chair (or the committee member elected to prepare the narrative report) shall complete the relevant section of the Cover Sheet and forward it with the committee’s narrative report to the dean.

The dean shall thoroughly review and evaluate the portfolios of all candidates from the college or school including the recommendations of all prior evaluators. Relying on the information contained in the portfolios and on his or her own knowledge and assessment of the candidates as their supervisor, the dean shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, as described in Section 5.7.3.2, the dean shall complete the relevant section of the Cover Sheet and support his or her recommendation in a narrative report that addresses each of the areas of professional performance. The dean shall submit the completed Cover Sheet and accompanying report to the Provost.
The composition of the University Committee on Promotion and Tenure is described in Section 4.10.4. The committee shall thoroughly review and evaluate the portfolios of candidates from all colleges and schools including the recommendations of all prior evaluators. Relying exclusively on information contained in the portfolios, members of the committee shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service.

Based on these factors, committee members shall vote on the candidate’s retention, tenure, and/or promotion. Committee members designated by the committee chair shall prepare separate narrative reports: addressing each of the areas of professional performance; summarizing the committee members’ individual evaluations; and recording all vote counts on a candidate’s retention, tenure, and/or promotion. All committee members other than the committee chair shall sign the report. However, any committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and uploaded to the candidate’s portfolio by, the committee chair. They shall not be shared with other committee members. The committee chair shall sign the Cover Sheet and collect all reports associated with the case for submission as the candidate’s portfolio to the President.

The Provost shall thoroughly review and evaluate the portfolios of candidates from all colleges and schools including the recommendations of all prior evaluators. Relying on the information contained in the portfolios and on his or her own knowledge and assessment of the candidates as their supervisor, the Provost shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those assessments, the Provost shall complete the relevant section of the Cover Sheet and upload to the candidate’s portfolio a narrative report supporting his or her recommendation regarding the candidate’s retention, tenure, and/or promotion.

5.7.3.4 Decision

At the conclusion of the evaluation process described in Section 5.7.3.3, the Provost shall ensure that all candidates’ portfolios are complete and contain fully executed Cover Sheets as well as all narrative reports and recommendations before notifying the President that they are available for review.

After reviewing each candidate’s portfolio, the President shall make his or her decisions, sign the Cover Sheet, and inform the candidate of the decision in writing no later than March 1. Decisions may be conveyed only by the President and shall always be conveyed in writing.

After the candidate has been notified of the President’s decision, he or she may ask the Provost to provide a written summation of the review process. In the summation, the Provost shall indicate the recommendation made by each of the committees that evaluated the candidate’s case (without revealing information about the votes cast by the members of those committees individually) and the principal reasons they provided for their recommendations. The Provost shall similarly indicate the recommendation made by each of the individuals that evaluated the case and the principal reasons they provided for their recommendations. The Provost shall preserve the confidentiality
of views expressed by any external reviewers who contributed to the evaluation process. A copy of each summation shall be provided to the candidate’s department chair and dean.

A candidate may appeal the President’s decision to the Grievance Committee for Faculty but only on certain grounds (see Section 5.7.8).

When the decision made is either (a) not to retain a candidate who applied for pre-tenure review or (b) to deny tenure to a candidate who applied for tenure review, the candidate shall be offered a one-year terminal appointment for the year following the review.

When the decision made is to award tenure and/or promotion, the faculty member’s new status is effective at the beginning of the following year and is reflected in the faculty member’s next letter of appointment.

The Office of the Provost retains a single hard copy of all materials in the candidate’s portfolio other than those scholarly publications and original artistic works that the candidate specifically requested be returned.

5.7.4 Pre-Tenure Review
The University conducts pre-tenure reviews of the progress of tenure-track faculty members at a point approximately halfway through their probationary period as defined in Sections 5.7.1 and 5.7.2 (ordinarily during their third year of full-time employment at the University). However, faculty members whose probationary period has been abbreviated by the maximum three years permitted under Section 5.7.2.2 do not undergo pre-tenure review.

Initial offers of employment and subsequent annual letters of appointment issued to tenure-track faculty members shall state the then-current projected date of their pre-tenure review (see Sections 5.1.1 and 5.1.2). Faculty members shall receive no less than one calendar year’s notice of the date by which they are to submit their pre-tenure review portfolios (see Section 5.7.3.1).

The outcome of pre-tenure review is both summative and formative.

At the conclusion of each pre-tenure review, the President decides whether or not the candidate should be retained as a faculty member at the University (see Section 5.7.3.4). If the President decides in favor of retention, this shall not be construed as a guarantee that the faculty member will ultimately be tenured and/or promoted in rank.

Before the end of the year in which each pre-tenure review occurs, the Provost shall meet with the candidate and the candidate’s dean and department chair or division head to discuss in general terms the strengths and weaknesses of the candidate’s portfolio. Within thirty days of that meeting, the Provost shall summarize in writing the outcome of that discussion and send copies of the summary to the candidate and the candidate’s dean and department chair or division head. While intended in good faith to provide guidance to the candidate, this feedback on his or her pre-tenure review does not constrain in advance the subsequent evaluation of the candidate for tenure and/or promotion in rank.
5.7.5 Tenure Review and Promotion to Associate Professor

For tenure-track faculty members, promotion to the rank of associate professor ordinarily occurs when tenure is granted and is subject to the same criteria.

5.7.6 Promotion to Professor

Promotion to the rank of professor is ordinarily granted on the basis of a candidate’s professional accomplishments since being promoted to associate professor. Evidence submitted as part of a candidate’s portfolio for tenure and promotion to associate professor may be resubmitted only if the candidate can make the case that it is critical to provide a context for subsequent work. (Regarding candidates recruited to the University as lateral hires, see Section 5.7.7.)

Candidates whose applications for promotion to professor are denied may ordinarily reapply no sooner than in the third year following that decision.

5.7.7 Lateral Hires

As noted in Section 5.3.4, faculty members may be appointed with tenure and/or at advanced rank. When an individual is subsequently considered for tenure and/or promotion in rank, the dean of the relevant college or school shall inform those responsible for evaluating the candidate’s portfolio of any provisions in the candidate’s initial offer of employment (see Section 5.1.2) regarding the year in which he or she would be eligible for review and/or the ways in which professional achievements that pre-dated the candidate’s employment at the University would be evaluated as part of those reviews.

Absent explicit direction, the following principles shall apply:

• Each year of full-time faculty employment at prior institutions at a given rank and with either tenure-track or tenured status shall be treated as equivalent to one year of full-time faculty employment at the University at that same rank and with that same tenure status.

• Candidates may submit evidence of professional achievement in teaching, scholarship, service, and, if appropriate, clinical activities at prior institutions that corresponds in broad terms with evidence they submit to demonstrate their achievement at the University.

• To earn tenure and/or promotion in rank, candidates must demonstrate a level of performance in all areas of their professional lives while employed at the University that meets the University’s expectations with respect to the award of tenure or promotion to that rank. Distinguished performance at prior institutions cannot offset inadequate performance at Duquesne University.
5.7.8 Appeal of Decision Regarding Tenure and/or Promotion

The President’s decision regarding applications for retention, tenure, and promotion in rank may be appealed by the candidate to the Grievance Committee for Faculty (see Sections 4.10.5 and 10) on the grounds either (i) that the policies and procedures contained in this Handbook were not followed, or (ii) that the decision resulted from a plain error of fact. If the committee finds such irregularities, it shall recommend to the President that the case be remanded for reconsideration. The committee shall not reconsider the case on its merits.

5.8 Non-Tenure-Track Faculty

In general, members of the library faculty are non-tenure-track faculty members and the provisions of Section 5.8 apply to them. For exceptions regarding eligibility for promotion and the process by which applications for promotion are evaluated, see Sections 5.9.1 and 5.9.2 respectively.

5.8.1 Continuation of Employment

At the end of the term of appointment defined in their letters of appointment, the appointments of non-tenure-track faculty members cease without expectation of continued employment unless the faculty members have been reappointed. Non-tenure-track faculty members who hold renewable appointments may be reappointed based on the needs of the department, division, college or school, and the University and on their performance of their professional responsibilities, as defined in Sections 5.4 and 5.5.

Letters of reappointment for non-tenure-track faculty members whose appointments are being renewed will ordinarily be provided according to the following schedule:

- during the faculty members’ first year of appointment, no later than March 1 of that year;
- during subsequent years of appointment, no later than December 15 of that year.

For non-tenure-track faculty members, being reappointed and earning promotion in rank are unrelated events. Non-tenure-track faculty members need not apply for promotion when eligible to do so to be considered for reappointment. Conversely, achieving promotion does not in itself guarantee reappointment.

5.8.2 Promotion

After serving six complete consecutive years at the rank of instructor, non-tenure-track faculty members are eligible to apply for promotion to senior instructor.

After serving six complete consecutive years at the rank of assistant professor or associate professor (as modified, where appropriate, to reflect disciplinary norms—see Section 5.2.1.4), non-tenure-track faculty members are eligible to apply for promotion to associate professor and professor respectively.
Non-tenure-track faculty members whose applications for promotion are denied may ordinarily reapply no sooner than in the third year following that decision.

Upon the recommendation of the dean and with the approval of the Provost, either one or two years of full-time professional service at another university may be applied to satisfying this eligibility requirement. In addition, if a non-tenure-track faculty member began teaching full-time at the University as an instructor and was subsequently reappointed as an assistant professor upon completing his or her terminal degree, he or she may apply for promotion after completing an aggregate of six complete consecutive years of service, so long as at least four of those years were at the higher rank.

5.8.2.1 Review Process

Promotion in rank may be conferred on non-tenure-track faculty members by the Provost, who receives recommendations from the appropriate dean, the department chair or division head, and a faculty committee formed in the candidate’s college or school. Only the Provost may sanction modifications of or exceptions to the processes described in this section. The Provost shall convey his or her approval of any modification or exception in writing to the faculty member, department chair, and dean concerned. Faculty members should not follow advice that appears inconsistent with the review process as it is described in this section. All questions of interpretation should be discussed as soon as they arise with the Provost, who shall convey the outcome in writing to the faculty member, department chair, and dean concerned.

During the review process, all aspects (including the nature of the deliberations at all levels of review, the outcome and details of votes taken, and the content of all reports and recommendations) are to be held in the utmost confidence. Any breach of confidentiality violates the ethical code of behavior to which all University employees are held accountable. After the review is concluded and the final decision has been conveyed to the candidate, the candidate may ask the Provost to provide a written summary of the review process (see Section 5.7.3.4).

**Review Process Timetable**

<table>
<thead>
<tr>
<th>DATE</th>
<th>ACTION</th>
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<tbody>
<tr>
<td>by March 25</td>
<td>Faculty member submits Cover Sheet to department chair and dean</td>
</tr>
<tr>
<td>by April 1</td>
<td>Dean forwards names of all candidates in college or school to Provost</td>
</tr>
<tr>
<td>by April 15</td>
<td>Faculty member nominates reviewers of professional accomplishments</td>
</tr>
<tr>
<td>by May 1</td>
<td>Faculty member provides materials for reviewers</td>
</tr>
<tr>
<td>by May 15</td>
<td>Department chair or dean identifies reviewers and forwards materials to</td>
</tr>
<tr>
<td></td>
<td>them</td>
</tr>
<tr>
<td>by September 1</td>
<td>Faculty member submits complete portfolio for evaluation</td>
</tr>
<tr>
<td>by November 15</td>
<td>Dean assembles evaluative reports and recommendations for Provost</td>
</tr>
<tr>
<td>by March 1</td>
<td>After reviewing all reports and recommendations, Provost notifies faculty member of outcome</td>
</tr>
</tbody>
</table>
5.8.2.1.1 Portfolio

By March 25 of the calendar year in which they wish a review to occur, candidates shall obtain a Cover Sheet from the department chair or dean, complete the top portion of the form, and submit the original to the department chair and a copy to the dean. Administrators and faculty committees charged with evaluating the case shall complete the appropriate portions of the original Cover Sheet immediately after they complete their reviews. The hard copy of the original Cover Sheet constitutes a part of the candidate’s portfolio throughout the review process.

By April 15, candidates shall submit to the department chair or dean the names of individuals they regard as qualified to serve as reviewers of their professional accomplishments. The reviewers may be either external (as defined in Section 5.7.3.1) or internal, but may not be individuals who will subsequently be evaluating the candidate’s case as part of the process described elsewhere in this section. By May 15, the department chair or dean shall secure two reviewers from the list of names submitted by the candidate and one or two additional reviewers. Collectively, the reviewers shall be capable of providing a comprehensive evaluation of the candidate’s professional accomplishments in all relevant areas. In nominating and selecting individuals from whom to solicit reviews, candidates, chairs, and deans shall consider the degree to which each will be regarded by others as a reliable and objective evaluator. (For more specific guidance, see Section 5.7.3.1.)

By May 1, candidates shall submit to the department chair or dean a selection of materials for the consideration of the reviewers that reflects their professional accomplishments. In assembling these materials, candidates should consult with their department chair or dean regarding the need not to overburden reviewers while still affording them the chance to understand the breadth of the professional record they will be evaluating. By May 15 or as soon after as is practicable, the department chair or dean shall forward to the reviewers a copy of the candidate’s curriculum vitae and the materials selected for review by the candidate.

By September 1, candidates shall submit to the department chair or dean a portfolio that describes their ongoing professional development and provides pertinent evidence of accomplishment in the areas of teaching, scholarship, clinical activity, and service (see Section 5.7.3.2) insofar as each of these areas is designated as germane to their respective faculty appointments. After September 1, the candidate will no longer have access to the portfolio.

The portfolio shall consist of the following:

- The candidate’s current curriculum vitae
- A framing statement by the candidate that provides a clear and concise description of the candidate’s accomplishments in all areas germane to his or her faculty appointment
- Documentation of key claims regarding pedagogical accomplishments referred to in the candidate’s statement, including teaching evaluations (specifically, quantitative data from
the Student Evaluation Survey (SES) for all courses taught at Duquesne University* and a total of at least two peer evaluation reports completed during the preceding two years)

- Documentation of key claims regarding scholarly accomplishments referred to in the candidate’s statement, including copies of any scholarly publications and presentations at professional meetings, conferences, or other institutions; documentation of grants or other external funding received; and documentation of performances, recordings, or installations that give evidence of creative achievement
- Documentation of key claims regarding clinical accomplishments referred to in the candidate’s statement
- Documentation of key claims regarding administrative and service accomplishments as referred to in the candidate’s statement.

Letters from students, colleagues, or other parties (whether solicited or unsolicited) and selected student comments (including comments submitted in response to open-ended questions on the SES) carry relatively little weight during the review process.

Candidates who held academic positions elsewhere before their initial appointment at the University may describe and document their professional achievements during those years to provide a context for their teaching, scholarship, and service at Duquesne University.

Candidates should prepare all portions of the portfolio in a manner that is clear, concise, and logical, and should ensure that it is accessible to all those who will evaluate it, including colleagues from other disciplines.

**After September 1,** the department chair or dean shall add to the candidate’s portfolio the reports submitted by the reviewers. The evaluative reports and recommendations of administrators and committees shall be uploaded as soon as they have been completed.

5.8.2.1.2 Criteria

In evaluating the portfolio submitted by a non-tenure-track faculty member for promotion in rank, academic administrators and faculty committees shall

- consider the evidence contained in the portfolio regarding the candidate’s professional accomplishments in areas germane to his or her faculty appointment, as well as his or her ongoing professional development; and
- assess whether the candidate’s performance meets the University’s expectations, especially with regard to committed and effective teaching, as characterized in Sections 3, 5.4.1.1, and 5.7.3.2.1.

It is the ultimate responsibility of all participants in the evaluation process to recommend to the Provost those candidates who have earned recognition. For this reason, administrators and

* For courses taught before Spring Semester 2014, candidates should submit the one-page summary sheets, entitled “Student Rating Form–Results by Class,” from each SES report. For courses taught in or after Spring Semester 2014, the Office of the Provost will provide summary reports that the candidate shall then upload.
committees shall always submit clear and persuasive written rationales in support of their recommendations.

5.8.2.1.3 Evaluations

Portfolios submitted by non-tenure-track faculty members for promotion in rank are evaluated in the following order by faculty committees and academic administrators:

i. Department chair or division head
ii. A faculty committee established within the college or school
iii. Dean
iv. Provost

Each successive evaluation represents a “level of review.”

Basic principles governing the functions of all individuals with respect to this process (including principles with respect to the eligibility of individuals to vote at specific levels of review and their obligation to recuse themselves under certain circumstances) are identical to those detailed in Section 5.7.3.3 with respect to the review of applications from full-time faculty members for pre-tenure review, tenure, and/or promotion in rank.

The department chair or division head shall thoroughly review the portfolio of each non-tenure-track faculty member from the department or division who applies for promotion in rank and, on the basis of the information it contains and on his or her own knowledge and assessment of the candidates as their supervisor, evaluate the candidate’s record of professional accomplishment in areas germane to his or her faculty appointment as well as his or her ongoing professional development. Based on those judgments, the chair or head shall complete the relevant section of the Cover Sheet and support his or her recommendation in a narrative report. The chair or head shall submit the completed Cover Sheet and accompanying report to the dean.

Each college or school shall establish a faculty review committee to consider applications for promotion in rank from non-tenure-track members of its faculty. Faculty review committees shall consist of no fewer than five full-time faculty members, of whom at least one shall be tenured and at least one shall be a member of a department or division other than that in which the candidate holds his or her appointment. If the college or school employs five or more non-tenure-track faculty members, at least two members of its faculty review committee shall be drawn from that pool; if the college or school employs four or fewer non-tenure-track faculty members, at least one member of its faculty review committee shall be drawn from that pool. Each committee shall select one of its members to serve as chair. The faculty review committee shall thoroughly review the candidate’s portfolio and, on the basis of the information it contains, evaluate the candidate’s record of professional accomplishment in areas germane to his or her faculty appointment as well as his or her ongoing professional development. Based on those judgments, the committee shall vote whether to recommend the candidates’ promotion. The committee chair shall prepare a narrative report summarizing the committee members’ individual evaluations and recording the vote that was taken. The committee chair and all remaining committee members shall sign the report. However, a committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and
added to the candidate’s portfolio by, the dean. They shall not be shared with other committee members. The committee chair shall complete the relevant section of the Cover Sheet and forward it with the committee’s report to the dean.

The dean shall thoroughly review the portfolio of each non-tenure-track faculty member from the college or school who applies for promotion in rank and, on the basis of the information it contains and on his or her own knowledge and assessment of the candidates as their supervisor, evaluate the candidate’s record of professional accomplishment in areas germane to his or her faculty appointment as well as his or her ongoing professional development. Based on those judgments, the dean shall complete the relevant section of the Cover Sheet and support his or her recommendation in a narrative report. The dean shall submit the candidate’s complete portfolio, including the completed Cover Sheet and his or her own recommendation, to the Provost.

5.8.2.1.4 Decision

After thoroughly reviewing each candidate’s portfolio, the Provost shall make the appropriate decision regarding promotion, sign the Cover Sheet, and inform the candidate of the decision in writing no later than March 1. Decisions may be conveyed only by the Provost and shall always be conveyed in writing. A candidate may appeal the Provost’s decision to the Grievance Committee for Faculty but only on certain grounds (see Section 5.7.8).

When the decision taken is to grant promotion, the non-tenure-track faculty member’s new status is effective at the beginning of the following year and is reflected in the faculty member’s next letter of appointment.

Candidates whose applications for promotion are denied may ordinarily reapply no sooner than in the third year following that decision.

The Office of the Provost retains a single hard copy of all materials in the candidate’s portfolio other than any scholarly publications or original artistic works that the candidate specifically requested be returned.

5.8.3 Professional Development

In general, non-tenure-track faculty members shall not be unreasonably denied access to available resources for professional development.

After completing six consecutive years of full-time employment, non-tenure-track faculty members may apply for a reduction in their instructional responsibilities for one or two semesters at full pay to engage in professional development activities germane to their respective faculty appointments. Reductions are neither automatic nor guaranteed and shall be awarded on the basis of three criteria: (a) the teaching needs and financial resources of the college or school; (b) the value of the proposed development activities to the faculty member, the faculty member’s discipline, the college or school, and the University; and (c) where applicable, the results reported by the faculty member following the conclusion of any previous period of reduction.
Each college or school shall develop for approval by the Provost and subsequent publication (a) the form(s) that reductions in instructional responsibilities may take, (b) the application procedure to be followed, and (c) additional college- or school-specific criteria by which applications will be evaluated. Each dean is responsible for reviewing applications from non-tenure-track faculty members in alignment with the college or school policies and for awarding or denying the reduction requested.

Years in which a non-tenure-track faculty member’s instructional responsibilities have been reduced count as years in rank for purposes of promotion consideration (see Section 5.8.2).

Faculty members become eligible to apply for a subsequent reduction in the sixth year following completion of each year on a reduced instructional load.

Faculty members with reduced instructional responsibilities may not accept employment at another institution without explicit prior permission from the Provost.

5.9 Library Faculty

The provisions of Section 5.8 apply to members of the library faculty as non-tenure-track faculty members unless explicitly modified as noted below.

5.9.1 Eligibility

Candidates for appointment as Assistant Librarian shall meet the requirements noted in Section 5.2.1.3.1 and shall ordinarily have served for fewer than five years as professional librarians.

Assistant Librarians at Gumberg Library shall ordinarily apply for promotion to Associate Librarian after completing three consecutive years at that rank.

Associate Librarians at Gumberg Library may ordinarily apply for promotion to Librarian after completing at least eight years as professional librarians and at least three consecutive years at Gumberg Library. In addition, they shall have completed a doctoral degree, a second master’s degree or substantial post-master’s coursework; have earned other appropriate credentials; or demonstrate equivalent experience.

5.9.2 Evaluations

Portfolios submitted by members of the library faculty for promotion in rank are evaluated by a faculty review committee and by the University Librarian. Each evaluation represents a level of review.

Each faculty review committee shall consist of three members drawn from those members of the library faculty who have successfully earned promotion in rank at least once. One member shall be selected by the University Librarian, one member shall be selected by the candidate, and one
member, who will chair the committee, shall be elected by the members of the library faculty eligible to serve. Supervisors are ineligible to serve on review committees for those whom they supervise, and individuals with possible conflicts of interest shall recuse themselves.

5.10 Part-Time Faculty

The instructional needs of each department, division, college, or school constitute the primary criterion for the University’s decision to offer part-time faculty appointments. Prior service in a full-time or part-time capacity is not a consideration.

Department chairs and division heads are responsible for evaluating the professional performance of part-time faculty members and providing them with written assessments at the end of their first period of appointment and at the end of every fourth subsequent period of appointment.

5.11 Other Appointments

5.11.1 Graduate Assistants

Students enrolled in graduate programs at the University may be assigned and compensated for tasks commonly performed by faculty members (including teaching, scholarship, and clinical activities) under two sets of circumstances:

• Graduate assistants perform such tasks as a function of their educational programs under the supervision of the department chair, division head, graduate program director, or other faculty member responsible. When assigned as instructors of record for course sections, graduate assistants carry the responsibilities associated with that role. However, they are expected to consult with their faculty supervisors when addressing complex or challenging situations. The compensation received by graduate assistants takes the form of financial aid and may include tuition remission as well as or in lieu of a living allowance. The University formally defines the employment status of graduate assistants as that of “student.”

• Graduate students who are ineligible for assistantships may be assigned teaching responsibilities as part-time faculty members, in which case they are subject to those sections of this Handbook that refer to part-time faculty members.

5.11.2 Research Appointments

At the request of a dean, the Provost may grant research appointments to individuals who will conduct scholarly research at the University. Such individuals are not compensated by the University from its own budget. If their appointments are supported by extramural grants, the extension or renewal of their appointments is contingent on the continuation of that funding.

Research appointments may carry the titles of Research Assistant Professor, Research Associate Professor, Research Professor, Research Scholar, Research Associate, or Postdoctoral Fellow.
Letters of appointment issued to individuals with research appointments shall state:

- the applicability of the Bylaws of the University, the University Mission Statement, the Faculty Handbook, and The Administrative Policies;
- the name of the tenured or tenure-track faculty member who will serve as the appointee’s sponsor and supervisor during the term of the appointment;
- the start date and end date of the appointment, which may not exceed one year;
- the conditions, if any, under which the appointment may be renewed;
- the nature of the responsibilities associated with the position;
- the appointee’s title;
- the source of any compensation the appointee will receive and, if appropriate, the fact that the appointment is contingent on the continuation of funding; and
- any additional terms.

Individuals holding research appointments are not members of the Faculty Senate and have no right to vote in any area of faculty governance.

The sponsoring college or school is responsible for supervising the work of the appointee and for ensuring his or her compliance with all relevant University policies and procedures.

After consulting with the dean, the Provost may at any time void a research appointment if he or she determines that the appointment no longer serves the best interests of the University.

5.11.3 Courtesy Appointments

The University extends courtesy faculty appointments to individuals who either (a) hold continuing full-time appointments in one University department but contribute without additional compensation to the work of another department in ongoing and substantial ways that are nevertheless not so extensive as to justify a joint appointment (see Section 5.2.1.5); or (b) visit the University while retaining appointments at other academic institutions or in non-academic organizations and contribute without compensation to the fulfilment of a department’s mission.

An academic department or program may at any time request that a courtesy appointment be offered to an individual who meets these criteria. In a written request to the dean of the relevant college or school, the department chair or program director shall outline:

- the role the department or program foresees for the individual;
- the way in which the individual’s activities will be supervised; and
- the rank at which the courtesy appointment should be made (as commensurate with the proposed appointee’s academic qualifications, his or her rank at his or her current institution, if applicable, and his or her expected duties or activities).

The department chair or program director shall also submit a current curriculum vitae or résumé for the proposed appointee that includes appropriate contact information.

If the dean approves the request, he or she shall send a letter to the individual extending the courtesy appointment. This letter shall clearly state...
• the term of the courtesy appointment, which may not exceed one year but may be renewed annually at the request of the sponsoring department or program;
• the academic title that the individual will enjoy (a title that must include the phrase “by Courtesy” [e.g., Assistant Professor of Philosophy by Courtesy] and must always be used in full); and
• any additional privileges or services that will accompany the appointment (e.g., picture ID card, library privileges, email access).

All privileges or services to be provided must have been agreed upon in detail with the University offices responsible for granting or providing them before the appointment letter is issued. Issues or concerns regarding the propriety of extending certain privileges or services shall be resolved by the Provost.

The dean shall send one copy of the appointment letter and the appointee’s curriculum vitae or résumé to the Provost and an additional copy of the appointment letter (only) to all offices that have agreed to provide privileges or services to the appointee.

Unless they hold regular (that is, non-courtesy) appointments in another department, individuals holding courtesy appointments are not members of the Faculty Senate and they may not vote, even in matters limited to the department in which they hold their courtesy appointment.

The sponsoring department or program is responsible for supervising the work of the appointee and for ensuring his or her compliance with all relevant University policies and procedures.

After consulting with the sponsoring department or program and the dean, the Provost may at any time void a courtesy appointment if he or she determines that the appointment no longer serves the best interests of the University.

5.12 Funded Faculty Positions

In pursuit of its goal of academic excellence, the University seeks to recruit, retain, recognize, and support faculty members with distinguished records as scholars, teachers, and clinicians. As one means to this end, it establishes and fills funded faculty positions.

Funded faculty positions may be underwritten externally (by individual benefactors, foundations, or granting agencies; either as endowed positions or by means of a multi-year financial commitment); internally (through the creation of quasi-endowment accounts); or by drawing on a combination of external and internal sources. Salary dollars allocated to an existing vacant faculty position may also contribute to the costs of establishing a funded position.

Funded faculty positions may be school- or discipline-specific or indeterminate with respect to either or both.

In all cases where donor monies contributed to creating a faculty position, the University honors to the best of its ability donor intent as expressed in the relevant gift agreement or other formal documentation.
Endowed faculty positions include
- professorial chairs, which may be designated as either
  - continuing appointments, subject only to sustained distinguished professional performance, or
  - term-limited, with or without the possibility of renewal for additional terms;
- distinguished professorships; and
- faculty fellowships.

5.12.1 Professorial Chairs

Only the President may appoint faculty members to professorial chairs.

5.12.1.1 Continuing

Appointment to a continuing professorial chair constitutes the highest recognition of academic achievement that the University bestows. To be eligible for such an appointment, a faculty member shall either hold the rank of professor at the University or at another institution of comparable status, or show compelling evidence of distinguished professional performance that would justify immediate appointment at that rank. (For guidance, see Section 5.7.3.2.) In addition, candidates for continuing professorial chairs shall demonstrate at least national recognition of their leadership in their respective fields during the three years immediately preceding their candidacy.

5.12.1.1.1 Appointment

In rare instances, the gift agreement creating the endowment that funds a continuing professorial chair may name a tenured faculty member already employed at the University as the inaugural holder of the chair. In all other cases, continuing professorial chairs shall be filled following international searches that invite applications from external as well as internal candidates.

The dean of the college or school in which the chair is to reside shall chair the search committee, to which the full-time members of the relevant department shall elect at least four of their number.

The search process shall follow all the procedures established for faculty searches by the Office of the Provost, the college or school, and the department, with the following additions:

i. Before publishing the position announcement, the search committee shall review all available information concerning the intent of the donor(s).

ii. The committee shall provide opportunities for candidates who are invited to interview on campus to meet with faculty members who reflect the University as a whole.

iii. At the conclusion of the search, the committee shall recommend between one and three candidates to the Provost. The Provost shall then attach his or her own recommendation and forward the materials to the President, who shall make the final decision.

If the search committee recommends, and the Provost and President endorse, the appointment of an external candidate for whom they consider a tenured faculty appointment appropriate, the
President shall consult with the full-time faculty members in the relevant department before extending an initial offer of employment. Following this consultation, the President may confer tenure without consulting the University Committee on Promotion and Tenure.

5.12.1.2  Reappointment

The initial term of appointment to a continuing professorial chair shall ordinarily be five years. To the degree that this is consistent with donor intent and after consulting with relevant deans and the Provost, the President shall renew the appointment for successive five-year terms relying on criteria identical to those for initial appointment (see Section 5.12.1.1).

5.12.2  Term-Limited

The University ordinarily appoints to term-limited professorial chairs distinguished members of its own faculty in recognition of their exceptional professional achievements. To be eligible for such appointments, faculty members shall hold the rank of professor at the University and demonstrate at least national recognition of their leadership in their respective fields during the three years immediately preceding their candidacy.

5.12.2.1  Appointment

Each fall semester, the Provost shall consult with the deans and other relevant offices to develop a list of qualified candidates for all term-limited chairs, professorships, and faculty fellowships to which the University will need to make new appointments before the beginning of the following year. The Provost shall recommend candidates for each position to the President, who shall make the final decision. To the degree possible, appointments shall be announced by December 1 so as to facilitate the scheduling of courses for the following year.

5.12.2.2  Reappointment

The initial term of appointment to a term-limited professorial chair shall ordinarily be five years and the holder has no expectation of reappointment. Even in cases in which the University is not formally precluded from reappointing an incumbent, it may choose not to do so without further explanation. The Provost shall consult with the appropriate deans before recommending reappointments to the President, who shall make the final decision.

Upon completing their (final) term, the holders of term-limited professorial chairs shall lose their entitlement to identify themselves using the names of the chairs they held (see Section 5.12.1.3). However, for the remainder of their employment as faculty members at the University, they shall instead enjoy the title “Duquesne Professor of <Their Discipline>.”

5.12.3  Perquisites and Responsibilities

Holders of professorial chairs, whether continuing or term-limited, may identify themselves using the names of the chairs they hold and shall be so identified by the University in all press releases.
and publications in which their names appear.

Holders of professorial chairs receive stipends in addition to their base salaries (see Section 5.6.2) and discretionary budgets determined by the Provost.

Chair holders’ allocations of effort (see Section 5.4.2) shall align with the orientation of the chairs that they hold and may therefore differ from those typical for faculty members in their department, division, college, or school. Holders of professorial chairs may in particular teach fewer courses than other professors in their department, division, college, or school. Except where a teaching commitment is expressly stipulated in the gift agreement that established the chair in question, however, chair holders shall not teach fewer than two courses per year.

Specific responsibilities (significant among which may be leadership and enrichment of the intellectual life and academic programs of the University and the department, division, or program in which the chair resides) shall be agreed upon by the chair holder, the dean of the relevant college or school, and the Provost, and included in the initial letter of appointment.

Chair holders shall participate fully in the process of Annual Performance Evaluation described in Section 5.5. In addition, they shall provide copies of a narrative summary of their achievements as holders of their respective chairs to the President and the Provost no later than June 1 each year.

5.12.2 Professorships

Professorships differ from term-limited professorial chairs (see Section 15.12.1.2) in one or more of the following respects:

- the position may be funded only on a limited basis or for a limited term;
- to be eligible for appointment to the position, candidates need not yet have attained the rank of professor;
- the stipend and/or the discretionary budget allocated to the holder may be less than would be expected for professorial chairs;
- final appointment decisions are made by the dean of the college or school in consultation with the Provost;
- no annual report is due from the holder of the professorship to the President or the Provost; and
- upon completing the term of the professorship, the holder resumes the title associated with his or her rank as a member of the faculty.

5.12.3 Faculty Fellowships

The University awards faculty fellowships to tenure-track or recently tenured faculty members at the University in recognition of their professional achievements in one or more of the areas of teaching, scholarship, or clinical activities. In all other respects, faculty fellowships are structured in the same way as professorships (see Section 15.3.2).
5.13 Professors Emeriti and Emeritae

The President ordinarily confers the title of Professor Emeritus or Emerita on any faculty member who
- retires at the rank of professor, and
- held full-time faculty appointments at the University either
  - at any rank for a total of at least twenty years or
  - at the rank of professor for at least ten years.

Conferral of the title is however neither automatic nor guaranteed.

Professors Emeriti and Emeritae enjoy no rights or privileges beyond those extended to retired employees under TAP 18: Retirement Benefits–All University Employees.
6. Leave

The University may relieve faculty members of their regular responsibilities under several circumstances. It does so with the expectation that they will ordinarily resume their regular duties at the conclusion of the leave period.

All publications and presentations of work undertaken while on leave shall indicate the faculty member’s continuing association with the University.

6.1 Leave for Professional Advancement

Leaves for professional advancement provide the opportunity for faculty members to pursue scholarly, artistic, and/or professional activities related to their development as teachers and scholars in ways appropriate to their academic disciplines and the University’s Mission.

Final authority to award all leaves for professional advancement resides with the Provost, who shall communicate his or her decision in writing to the applicant, the department chair and the dean.

Within three months of returning from a leave for professional advancement, faculty members shall provide a report on the activities undertaken during the leave to the Provost, dean, and department chair if applicable.

6.1.1 Sabbatical

Faculty members are first eligible to apply for a sabbatical in their sixth year of tenure-track employment (but see Section 6.1.2). Approval under these circumstances is contingent upon the award of tenure. Faculty members become eligible to apply again in the sixth year following completion of their first and all subsequent sabbaticals.

Sabbaticals may take any of the following forms: one semester of leave at full salary; two consecutive semesters at half salary; or two consecutive semesters with a reduced workload at full salary. Faculty members who elect to structure their leaves as two consecutive semesters at half salary may supplement their salaries with internal or external funding consistent with the approved activities. Faculty members are advised to consult the Office of Human Resource Management regarding the impact of each option on their entitlement to employee benefits.

Faculty members seeking a sabbatical leave shall submit a letter of application that provides a detailed description of their sabbatical plans. The letter shall explain the relation of the proposed activities to the applicant’s professional development and in particular to his or her previous scholarly or artistic work, teaching and/or clinical activities. The letter shall not ordinarily exceed two thousand words.
Faculty members shall submit their letter of application to their department chair, who shall forward it with a recommendation to the dean. If there is no department chair, the letter shall be submitted to the dean. In all cases, the dean shall add a recommendation and forward all materials to the Provost, who shall make the final decision. Deans may request additional information from sources internal or external to the university to inform their recommendations, and the Provost may do so before reaching a decision.

Sabbaticals are neither automatic nor guaranteed and shall be awarded on the basis of four criteria: (a) the teaching needs and financial resources of the college or school; (b) the likelihood that the activities proposed can be completed in the leave period requested; (c) the value of those activities to the faculty member, the faculty member’s discipline, the college or school, and the University; and (d) where applicable, the results reported by the faculty member following the conclusion of any previous leave(s) for professional advancement.

**Sabbatical Timetable**

<table>
<thead>
<tr>
<th>DATE</th>
<th>ACTION</th>
</tr>
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<tbody>
<tr>
<td>by September 15</td>
<td>Faculty member submits letter of application to chair or dean</td>
</tr>
<tr>
<td>by October 1</td>
<td>(if applicable) Chair submits application with recommendation to dean</td>
</tr>
<tr>
<td>by October 15</td>
<td>Dean submits materials with recommendation to Provost</td>
</tr>
<tr>
<td>by November 15</td>
<td>Provost notifies faculty member of decision</td>
</tr>
</tbody>
</table>

Faculty members on sabbatical may not accept employment at another institution without explicit permission from the Provost.

Time on sabbatical leave is counted as time in rank for promotion consideration.

6.1.2 Pre-Tenure

With the approval of the Provost, a college or school may invite tenure-track faculty members to apply for a pre-tenure leave. The college or school shall propose for consideration by the Provost the form(s) that pre-tenure leaves may take, the application procedure to be followed, the criteria by which applications will be evaluated, and the process by which recommendations will be forwarded to the Provost. To the degree possible, these shall reflect the corresponding provisions for sabbatical leaves (see Section 6.1.1) and “the teaching needs and financial resources of the college or school” shall always constitute one of the criteria for evaluating applications. Under no circumstances shall the awarding of pre-tenure leaves be defined as either automatic or guaranteed.

Time on pre-tenure leave is counted as time in rank for tenure and promotion consideration.

Faculty members who are granted pre-tenure leaves become eligible to apply for their first sabbatical in the sixth year following completion of their pre-tenure leave.
6.1.3 Uncompensated

Faculty members may apply for uncompensated leaves for professional advancement for a period of up to one year. Under exceptional circumstances, this may be extended for up to one additional year. Faculty members are advised to consult the Office of Human Resource Management regarding the impact of uncompensated leave on their entitlement to employee benefits. Under certain limited circumstances, the University may agree to subsidize these benefits.

Faculty members seeking uncompensated leaves for professional advancement shall submit a letter of application that describes the purpose of the leave and the exact period requested (including the proposed starting and ending dates).

Faculty members shall submit their letter of application to their department chair, who shall forward it with a recommendation to the dean. If there is no department chair, the letter shall be submitted to the dean. In all cases, the dean shall add a recommendation and forward all materials to the Provost, who shall make the final decision. Deans may request additional information from sources internal or external to the University to inform their recommendations, and the Provost may do so before arriving at a decision.

Letters of application should be submitted as far in advance of the proposed starting date as the circumstances permit. The Provost shall communicate a final decision within thirty days of receiving the relevant materials from the dean.

Uncompensated leaves for professional advancement shall be awarded on the basis of two criteria, of which the first is the more significant: (i) the University’s ability to make suitable accommodations for the faculty member’s absence in fulfilling the teaching commitments of the department and college or school; and (ii) the scholarly merits of the proposal.

Time spent on uncompensated leave for professional advancement shall count as time in rank when calculating the recipient’s eligibility for promotion and tenure consideration and also as full-time faculty employment when calculating the recipient’s eligibility for sabbatical leave.

6.1.4 Grant-Supported

In rare cases, faculty members may apply to the Provost for a grant-supported leave that relieves them of all non-grant-related responsibilities. The leave shall be requested before the grant proposal is submitted to the funding agency or foundation. The Provost shall consult with the faculty member’s department chair and dean to determine the implications of granting the leave but shall not unreasonably deny the request.

6.2 Leave for Personal Reasons

Faculty members enjoy the same entitlement as other employees of the University to leave for certain personal reasons. Policies and procedures associated with personal leaves are outlined in The Administrative Policies, including TAP 9: Military Leave of Absence; TAP 15: Sick Leave,
Short-term and Long-term Disability Benefits; and TAP 23 Leaves of Absence: Family and Medical Leave and Personal Leave. The Office of the Provost works with faculty members, deans, and the Office of Human Resource Management to apply provisions of the relevant TAP to the individual circumstances of faculty members in various disciplines.

Faculty members may be granted uncompensated leave for personal reasons other than those described in The Administrative Policies, but such leaves may not ordinarily exceed one year.

Faculty members seeking uncompensated leaves for personal reasons shall submit a letter of request that describes the reason for the leave and stipulates the period requested (including the proposed starting and ending dates). Where appropriate, however, the Provost may accept in confidence an oral explanation of the personal reasons motivating the request.

Faculty members shall submit their letter of request to their department chair, who shall forward it with a recommendation to the dean. If there is no department chair, the letter shall be submitted to the dean. In all cases, the dean shall add a recommendation and forward all materials to the Provost, who shall make the final decision.

Letters of request should be submitted as far in advance of the proposed starting date as the circumstances permit. The Provost shall communicate a final decision within thirty days of receiving the relevant materials from the dean.

Time spent on uncompensated leave for personal reasons shall not count as time in rank for the purposes of promotion or tenure, nor shall it contribute to the recipient’s eligibility for sabbatical leave.
7. Other Privileges and Responsibilities

The University expects faculty members to act in accordance with the highest standards of professionalism and honesty. In particular, faculty members shall (a) avoid involvement in activities that conflict with the University Mission Statement; (b) treat students, faculty, and all employees of the University fairly, honestly and with respect; and (c) refrain from using students, faculty, or employees of the University to perform tasks unrelated to the student’s studies, the faculty member’s responsibilities, or the employee’s position description. In this respect, faculty members are held to the high standards articulated for all University employees in The Administrative Policies.

7.1 Use of University Title and Affiliation

Faculty members are encouraged to use their title and affiliation with the University in public and for purposes of professional identification, but they may not represent themselves as speaking on behalf of the University unless expressly authorized to do so.

As a tax-exempt organization, the University may not engage in political activities. Faculty members may not, therefore, use their title or affiliation in conjunction with any political activity that might imply endorsement or support by the University.

Faculty members may not use the University’s name or logo for personal or commercial gain.

7.2 Conflict of Interest

Faculty members are under the same obligation as other employees of the University to observe the University’s policies regarding conflicts of interest (see TAP 33: Conflict of Interest Policy and the University policy on Conflicts of Interest in Grants and Sponsored Research Projects).

7.3 Conflict of Commitment

Full-time faculty members shall devote themselves fully to their assigned University duties and responsibilities. However, the University recognizes that in certain circumstances a full-time commitment is compatible with limited professional employment outside the University. Indeed, such employment may be appropriate or even necessary as proof of expertise or for professional licensure, certification, or accreditation. The University therefore encourages and approves limited professional employment outside the University to the degree that it is consistent with the Mission of the University and does not unduly limit an individual’s attention to his or her assigned responsibilities at the University. A conflict of commitment arises only when external activities and interests are so substantial or demanding of a faculty member’s time and attention as to interfere with his or her responsibilities to the University.

Full-time faculty members shall obtain annual written permission from the dean of the college or school before accepting or renewing outside employment of any kind, including teaching at
another institution. The dean shall grant permission only after carefully considering the contribution of the activities or proposed employment to the faculty member’s responsibilities at the University, with appropriate regard to

• the amount of time required, which shall not ordinarily exceed an average of one day per week during the period of the faculty member’s term of appointment (see Section 5.1.3),
• its effect upon the faculty member’s availability to students and colleagues,
• the possibility of conflict of interest,
• the consistency of the activity with the Mission of the University, and
• any foreseeable cost to the University for the use of equipment, materials, or facilities.

Permission will not be unreasonably denied.

A faculty member’s failure to seek approval by the dean, or engagement in activities that occupy more than an average of one day per week, may be grounds for disciplinary action (see Section 9).
8. Voluntary and Involuntary Termination of Employment

8.1 Resignation

As a professional courtesy and to allow their departments adequate time to accommodate their resignations, faculty members who do not desire to be reappointed at the expiration of their current term of appointment are asked to notify their department chair and dean in writing no later than December 15 or as soon after that date as individual circumstances permit.

8.1.1 Retirement

TAP 18: Retirement Benefits—All University Employees articulates when resignation will be regarded as retirement. See Section 5.13 regarding emeritus/-a status.

8.2 Non-Reappointment

Non-reappointment differs from dismissal (see Section 9.2) in that it does not represent a disciplinary sanction imposed on the faculty member as an individual.

The University may elect not to reappoint

- part-time faculty members at the end of any term;
- full-time non-tenure-track faculty members at the end of any year; and
- tenure-track faculty members at the end of any year, ordinarily as the result of either pre-tenure or tenure review.

The University may elect not to reappoint any faculty member, including those who hold tenure, for financial or programmatic reasons as described in Sections 8.2.1 and 8.2.2. The University shall terminate faculty members who hold tenure only after first terminating faculty members in an affected program who are untenured.

8.2.1 Non-Reappointment on the Grounds of Financial Exigency

The employment of faculty members may be terminated for reasons of financial exigency only under extraordinary circumstances because of a demonstrably bona fide financial exigency that cannot be alleviated by less drastic means.

Before terminating faculty members on such grounds, the Board of Directors shall establish a joint committee of the Board and the Faculty Senate to appraise the University’s financial condition. This committee shall report its findings and recommendations to the Board and the Board shall determine whether or not to declare that a condition of financial exigency exists.
If a condition of financial exigency is declared, the Academic Council of the University shall assume the responsibility for recommending to the President the extent of reductions in force needed and the areas in which reductions should be made.

Faculty members affected by such decisions shall receive a reasoned explanation for the decision not to reappoint them. The University shall make every reasonable effort to place the faculty members in other positions within the University for which they are qualified. When positions are determined to exist, new letters of appointment shall be offered. When positions are determined not to exist, at least one year's notice of non-reappointment shall be given.

Positions vacated on the grounds of a condition of financial exigency shall not be refilled for three years unless the faculty members released have first been offered reinstatement and a reasonable period to accept.

8.2.2 Non-Reappointment on the Grounds of the Discontinuance of an Academic Program

The employment of faculty members may be terminated as a result of the University’s decision to discontinue a division, department, or program. Such decisions shall take into account both educational and financial considerations and shall be arrived at only after consultation between the Provost, the dean of the college or school, and the faculty of the division, department, or program concerned.

Faculty members affected by such decisions shall receive a reasoned explanation for the decision not to reappoint them. The University shall make every reasonable effort to place such faculty members in other positions within the University for which they are qualified. When positions are determined to exist, new letters of appointment shall be offered. When positions are determined not to exist, at least one year's notice of non-reappointment shall be given.

8.3 Termination on Medical Grounds

The employment of faculty members may be terminated for medical reasons, based upon documented medical evidence that the faculty members cannot continue to fulfill the terms and conditions of their appointment.

The decision to terminate shall be reached only after appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence of inadequate performance.
9. Disciplinary Actions and Dismissal

9.1 Disciplinary Actions

Routine disciplinary actions are the responsibility of department chairs, division heads, and deans.

When a faculty member, department chair or division head has reason to believe that a faculty colleague has knowingly engaged in conduct that constitutes a violation of the provisions of this Handbook or other University policies and procedures, the faculty member, department chair or division head shall immediately notify the dean in writing. If the dean concurs with the judgment of the faculty member, department chair or division head, the dean shall immediately notify the Provost.

The Provost shall promptly conduct a preliminary review of the allegation. Based upon that review and the nature of the alleged offense, the Provost shall notify the faculty member of the allegation at the earliest time consistent with legal prudence.

After notifying the faculty member, the Provost shall further investigate the allegation in a timely fashion. The investigation may involve meetings with the faculty member and other involved parties, as well as consultation with the Office of Human Resource Management or Office of Legal Affairs. To the degree that this is consistent with ascertaining all the relevant facts, the Provost shall limit the number of individuals involved in the investigation and protect all parties from retaliation (see TAP 7: Ethics Reporting Policy & Procedure).

At the conclusion of the investigation, the Provost shall decide whether the faculty member will be disciplined, and shall notify the faculty member in writing of that decision. Sanctions imposed may include one or more of the following:

- an oral warning;
- a written reprimand;
- assignment to other duties;
- referral to a professional body for possible censure;
- restitution to the University for any financial gain to the faculty member arising from the misconduct;
- reduction in compensation; and/or
- suspension with or without pay;

Repeated violations may result in additional and/or more serious sanctions than were imposed following a first offense.

If the Provost determines that the circumstances may warrant the faculty member’s dismissal, he or she shall refer all relevant materials to the President.

Allegations of violations involving academic administrators such as department chairs, division heads, and deans may be made directly to the dean or the Provost.
9.2 Dismissal

Dismissal and, where relevant, termination of a faculty member’s tenure constitutes the most serious sanction the University can impose. Only the President may dismiss a faculty member.

Faculty members may be dismissed and, where relevant, their tenure forfeited for reasons of serious misconduct or professional incompetence.

Serious misconduct includes
- the failure to observe the principles of the Mission Statement of Duquesne University or elaborations thereof approved by the Board of Directors;
- conduct involving moral turpitude;
- the failure to observe specific University policies that address discrimination and sexual harassment;
- the failure to treat faculty colleagues, students, staff, or administrators fairly, honestly, or with respect; and
- the failure to maintain the standards of professional conduct articulated in the TAPs or this Handbook.

Professional incompetence includes such behavior as the repeated and unreasonable failure to meet classes on time and as scheduled; to respond to students’ requests for appointments or assistance; to comply with deadlines established for all faculty members; to attend meetings of committees to which the faculty member belongs; and to submit routine reports, grades and other documents. It also includes the egregious failure to meet the University’s expectations for teaching, scholarship, and service as described in this Handbook.

In the event of the proposed dismissal of a tenured faculty member, the faculty member is entitled to a hearing by the Grievance Committee for Faculty (see Section 10.5). That hearing shall be conducted in accordance with the provisions of Section 10.6.1. The committee’s subsequent recommendations and the President’s final decision shall be governed by Section 10.7.

9.3 Appeal of Disciplinary Actions, Including Dismissal

A faculty member may appeal any disciplinary action as provided in Section 10. During the pendency of any appeal, no sanction may be enforced unless the failure to do so (a) would constitute a breach of the University’s legal obligations; (b) would entail the creation or continuation of a risk of danger to the faculty member concerned or other members of the University community; or (c) might result in egregious harm to the reputation of the University.
10. Grievances

Section 4.10.5 defines the membership of the Grievance Committee for Faculty and the terms that its members serve.

The Grievance Committee for Faculty exists to provide a thorough, efficient, and fair process for the resolution of faculty grievances. Its charge is to assure the proper application in all instances of the policies, procedures, and criteria that departments, divisions, colleges, schools, and/or the University have formally adopted or, in the absence of formal regulations, have historically applied.

A grievance is a written complaint filed by a faculty member against one or more administrators of the University alleging a violation of a department, division, college, school, or University policy, procedure, criterion, or established practice resulting in harm or adverse action to the faculty member (the grievant). Areas of a faculty member’s professional life in which harm may be alleged to have occurred include appointment; renewal of renewable contracts; tenure and promotion; salary, including the denial of merit increases; assignment of duties; working conditions; misconduct sanctions; and academic freedom.

The Grievance Committee for Faculty may not determine the policies and procedures of any department, division, college or school, or of the University, nor shall it establish criteria to be used in reviewing portfolios submitted for pre-tenure, promotion, or tenure reviews (see Section 5.7.3.2). It is within the committee’s purview, however, to determine in a given instance whether such policies, procedures, and criteria are consistent with University policy and to assure (a) that the policies, procedures, and criteria used in reaching a decision were those that the department, division, college or school, or the University had established; (b) that they were applied uniformly and consistently; and (c) that in applying them, adequate consideration was given to all available and relevant information.

10.1. Eligibility of Committee Members to Participate in Committee Business

Members of the Grievance Committee for Faculty who represent a constituency that includes a party to a grievance shall be ineligible to participate in the consideration of that grievance.

Members of the Grievance Committee for Faculty who were directly involved in the sequence of events that occasioned a grievance shall be ineligible to participate in the consideration of that grievance.

Members of the Grievance Committee for Faculty shall recuse themselves from participating in the consideration of grievances in which their objectivity might be questioned, including those in which they have an unusually close personal or professional relationship with a party to the grievance.
10.2. Informal Resolution of Complaints

Because the grievance procedures described in this section are not those of a court of law, it is important that they be implemented with flexibility and in an atmosphere of collegiality, and that all participants avoid an excessively legalistic approach. Efforts should be made to resolve complaints informally before initiating the grievance process, and such efforts may continue even after the formal process is underway. To this end, grievants may wish to consult informally with the Chair of the Grievance Committee for Faculty, who may (a) assist them in focusing or framing their complaint; (b) advise them on the suitability of their complaint for review by the Grievance Committee for Faculty; (c) suggest alternate avenues of appeal; or (d) otherwise assist in the pursuit of an informal resolution.

Faculty members with complaints shall exhaust all regular avenues of appeal in their department, division, college or school, and in the University before filing a grievance with the Grievance Committee for Faculty. Grievants may, however, petition the committee to intervene or take jurisdiction of cases in which they believe regular channels of appeal have not been made available or are being unreasonably delayed.

10.3. Filing a Grievance

A complaint becomes a grievance when it is expressed in writing and submitted to the Chair of the Grievance Committee for Faculty.

Grievants shall file formal grievances as soon as reasonably possible but no later than thirty days after they know or should have known of the basis for their complaint.

The written grievance shall contain the following information:

- the person(s) against whom the grievance is filed (the respondent(s));
- the specific policy, procedure or established practice that was allegedly violated;
- the date(s) of the alleged violation(s);
- facts relevant to the alleged violation(s);
- the identities of other University personnel with knowledge of the alleged violation(s);
- the resolution sought by the grievant; and
- all relevant supporting documentation.

The grievance document, excluding the supporting documentation, shall not ordinarily exceed ten pages.

10.4. Establishing Jurisdiction

Upon receiving a written grievance, the Chair of the Grievance Committee for Faculty shall determine whether or not the committee has jurisdiction. Jurisdiction shall be determined by a consideration of the following factors:

- whether the grievant has standing by virtue of being a faculty member;
• whether the grievance was filed in accordance with the requirements set forth in Sections 10.2 and 10.3 and, in particular,
• whether respondents named in the grievance are administrators of the University;
• whether the grievance identifies existing policies, procedures, or practices alleged to have been violated; and
• whether the grievance might more appropriately be addressed by another established process of the University.

The chair may also determine that the Grievance Committee for Faculty has jurisdiction if he or she believes that regular channels of appeal within a department, division, college or school, or within the University have not been made available or have been unreasonably delayed. In making his or her determination regarding jurisdiction, the Chair of the Grievance Committee may consult with other members of the committee either formally or informally.

Within five days of receiving the grievance, the Chair of the Grievance Committee for Faculty shall communicate with the grievant, acknowledging receipt of the grievance and communicating his or her determination regarding jurisdiction.

If the Chair determines that the committee has jurisdiction, the date of this communication (the filing date) shall serve as the date relative to which key deadlines for subsequent steps in the review of the grievance are calculated.

If the Chair determines that the committee has no jurisdiction, he or she shall provide a rationale for that determination and shall inform the grievant of any other University policy or office known to him or her that might help in resolving the grievant’s complaint. No further action shall be taken and the grievance shall be considered closed.

10.5. Initial Review

The Grievance Committee for Faculty shall review all grievances over which it accepts jurisdiction and shall decide in each instance whether the facts as presented merit further investigation or whether the grievance should be dismissed. Submission of a grievance shall not automatically entitle the grievant to an investigation, and the committee has broad discretion to define the scope of any investigation it undertakes.

In the following instances, however, grievants may demand certain procedures as a matter of right:
• Grievants who have been dismissed from the University faculty may demand an investigation.
• Tenured grievants who have been dismissed from the University faculty may demand that the investigation include a hearing.
• Grievants who allege a violation of their right to academic freedom (see Section 2.1) may demand an investigation that includes a hearing.

Within ten days of the filing date, the Chair of the Grievance Committee for Faculty shall convey to the grievant the committee’s decision whether to investigate further or to dismiss the grievance.
If the committee’s decision is to dismiss the grievance, no further action shall be taken and the grievance shall be considered closed.

If the committee’s decision is to pursue an investigation, the Chair shall (on the same date that he or she so notifies the grievant) provide a copy of the grievance and any supporting documentation to the respondent(s). Respondents shall be informed that they have ten days in which to submit a written response.

10.6. Investigation

If the Grievance Committee for Faculty decides to pursue an investigation, it shall empanel a subcommittee composed of three to five of its members to conduct that investigation. The subcommittee shall have access to those University records that it deems pertinent to the grievance and may request the Provost to assist it in gaining access. The subcommittee has the right to request oral or written testimony relevant to the grievance from members of the University community, including the President and the Provost.

The grievant bears the burden of proving there has been a violation of policy, procedures, or established practice. The standard of proof is a preponderance of the evidence.

At its sole discretion (except insofar as it is constrained by the provisions of Section 10.5), the subcommittee may elect to convene a hearing in the course of its investigation. However, the grievant may waive in writing the right to a hearing at any time before the hearing is held. If the grievant waives the right to a hearing but does not withdraw the grievance, the subcommittee shall evaluate all available evidence and rest its findings and recommendations (see Section 10.7) upon the evidence in the record.

10.6.1. Hearing

If a hearing is to be held, the subcommittee chair shall set a date, time, and place for the hearing as expeditiously as possible but with due regard for the commitments of all parties. A hearing may not be scheduled more than forty-five days after the filing date without the written approval of the Provost.

As soon as the hearing date has been set, the subcommittee chair shall notify the grievant and the respondent(s) (a) that written documentation already provided by them to the Grievance Committee for Faculty may be amended or supplemented only up until ten days before the hearing; and (b) that the subcommittee must receive no later than ten days before the hearing the names of members of the University community whom they intend to call as witnesses.

The subcommittee chair may, with the consent of all parties, hold informal joint pre-hearing meetings with the parties to clarify the issues; effect stipulation of certain facts; provide for the exchange of documentary or other information; and achieve other appropriate pre-hearing objectives and make the hearing fair, effective, and expeditious.
At least five days before the hearing, the subcommittee chair shall provide subcommittee members and all parties to the grievance with the following materials:

- formal notice of the date, time, and place of the hearing;
- copies of all documents submitted; and
- lists of all witnesses.

The subcommittee may elect to call additional witnesses at its discretion.

The hearing shall be closed to non-participants, and the subcommittee chair shall advise all participants (including the subcommittee members, the parties, and witnesses) of the obligation to respect the absolute confidentiality of all proceedings and records. (However, see Section 10.8.)

Each faculty member may have an advisor of his or her choosing present at the hearing. An attorney may act as an advisor, but an advisor does not have the right to act as legal counsel, to speak on behalf of the faculty member, or to question either the other parties or the witnesses.

A grievant or respondent may choose not to appear at the hearing, in which event he or she may not be represented at the hearing, which shall proceed in his or her absence. The subcommittee may not consider an absence prejudicial to the grievant. A grievant who is unavailable in person may also choose to appear by electronic means, making the necessary arrangements through the subcommittee chair.

The hearing is not subject to strict rules of legal evidence and the subcommittee may admit any evidence or testimony that will assist it in determining the merits of the issues.

The grievant and respondent(s) shall be permitted to present their respective positions to the subcommittee and the subcommittee members may question the parties and the witnesses. The parties are not permitted to question each other or the witnesses directly.

The hearing shall be audio-recorded and the grievant and respondent(s) may request copies of the recording. The original recording and all documents submitted to and considered by the subcommittee shall be retained by the Office of the Provost for a period of three years.

Once initiated, the hearing process shall be completed within ten days unless the chair of the subcommittee and the Chair of the Grievance Committee for Faculty agree that an extension of time is essential if the subcommittee is to meet its charge responsibly, in which case all parties shall be notified. An extension may not exceed an additional ten days without the written approval of the Provost.

10.7. Findings and Recommendations

As soon as possible after it concludes its investigation, but never more than seventy-five days after the filing date, the subcommittee shall present a written report to the Grievance Committee for Faculty that includes its findings of fact, a statement of the basis in the record for those findings of fact, the subcommittee’s recommendations, and a rationale for those recommendations. The
findings of fact and the recommendations contained in the report shall be based solely on the material submitted by the grievant and the respondent(s); on evidence obtained by the subcommittee in the course of its investigation; and on evidence produced at the hearing, if any.

Upon receiving the subcommittee’s report, the Grievance Committee for Faculty shall consider the recommendations and the rationale provided for them. It may vote either to accept the subcommittee’s recommendations as submitted or to amend them. It may not dispute the findings of fact. Within ten days of receiving the subcommittee’s report, the Grievance Committee for Faculty shall submit its final written report to the Provost (or to the President if the Provost is a party to the grievance). Copies of the final report shall also be provided to the grievant and the respondent(s).

As soon as possible, but never more than fifteen days after receiving the Grievance Committee for Faculty’s final report, the Provost shall decide to accept, reject, or modify its recommendations, notifying in writing the chair of the committee and all parties to the grievance.

10.8. Confidentiality

Confidentiality is critical to the success of any grievance process. Accordingly, it is expected that those who participate in the grievance process and become privy to a grievant’s allegations, the response(s) furnished by respondent(s), information obtained in the course of any investigation, the report of the investigative subcommittee, the final report of the Grievance Committee for Faculty, and the Provost’s determination, will respect the confidentiality of all matters disclosed to them.

The confidentiality referred to above is designed to protect the grievant. Thus, if the grievant chooses to make public information that would otherwise be deemed confidential, the University may respond by disclosing related matters that ought in fairness to the University or to the Grievance Committee for Faculty be disclosed.

10.9. Retaliation

Retaliation exists when action is taken against a grievant or other participant in a grievance process that (a) adversely affects the individual’s employment or academic status, and (b) is motivated in whole or in part by the individual’s participation in the grievance process.

An individual who files a grievance or who participates in the investigation or resolution of a grievance may not be subjected to retaliation as a result of his or her activity or participation. Any acts of retaliation shall be grounds for disciplinary action, up to and including termination as a member of the University faculty.
11. Administrative Policies and Procedures

The Office of the Provost shall publish on the University’s Web site all policies and procedures with which faculty members are expected to comply in the areas of teaching; academic advising; and scholarship and research. Links shall be provided to relevant TAPs or statements of University policy on topics of importance to faculty members.

Colleges and schools may establish policies and procedures in these or other areas specific to their own faculty, providing that they publish them electronically in readily accessible locations and notify faculty members how to find them.
12. Amending the Faculty Handbook

12.1 Periodic Review

In every calendar year that ends with the digits 0 or 5, the Provost shall consult with the President of the Faculty Senate before appointing an ad hoc committee of no fewer than five and no more than eight full-time faculty members. At least four members shall hold tenure-track appointments and at least one member shall hold a non-tenure-track appointment. No more than three members may hold concurrent administrative appointments.

The Provost shall charge the ad hoc committee with (a) reviewing the then-current Faculty Handbook; (b) consulting with their faculty colleagues and with relevant administrators and staff; (c) drafting amendments for the consideration of all appropriate constituencies; (d) soliciting feedback from those constituencies; and (e) recommending whatever amendments they believe enjoy widespread support.

The Provost shall submit amendments recommended by the committee (singly, in groups, or as a package) to a vote by the faculty. Amendments that receive substantial endorsement shall be submitted for consideration by the Board of Directors and (where appropriate, see Section 4.1) by the Members of the Corporation.

12.2 Time-Sensitive Amendments

If the Chairman of the Board of Directors, the President, the Provost, or the President of the Faculty Senate believes that a compelling reason exists to amend the Faculty Handbook before the next scheduled periodic review, he or she shall consult with the other parties before drafting language for the consideration of all appropriate constituencies.

The Provost shall then submit the proposed amendment(s) (singly, in groups, or as a package) to the President and thereafter to the faculty, conducting a poll to ascertain their recommendation. Amendments that receive substantial endorsement shall be submitted for consideration by the Board of Directors and (where appropriate, see Section 4.1) by the Members of the Corporation.
List of Useful Links

Faculty Development
Faculty Support Services
The Employee Assistance Program
Campus Threat Assessment
Ethics Reporting Policy and Procedure (or Whistle-blower Policy)
Other Councils and Committees
Chronology of the Development of this Handbook

At the October 2013 meeting of the Academic Affairs Committee of the University’s Board of Directors, Provost Timothy Austin presented a proposal for undertaking a comprehensive review of the Faculty Handbook. He outlined some of the many ways in which the current document was outdated or confusing and thus invited inconsistent or ad-hoc interpretations of critical governance processes. After discussion of the rationale for a revision at that time, the Committee charged the Provost with undertaking the proposed review.

A Drafting Committee was created in the Spring Semester 2014, consisting of Provost Austin; Dean J. Douglas Bricker of the School of Pharmacy; Professor Diane Williams of the John J. Rangos, Sr., School of Health Sciences, President of the Faculty Senate; and faculty members Professor Holly Mayer (McAnulty College and Graduate School of Liberal Arts), Professor Laura Crothers (School of Education), and Professor Jan Levine (School of Law). That committee oversaw the entire process of the revision, with the exception that, when Professor Williams left the University in July 2016, her seat was taken by the new Faculty Senate President, Professor Anne Burrows (John J. Rangos, Sr., School of Health Sciences).

In September 2014, the Drafting Committee released for faculty review and comment a complete table of contents for the new Handbook. Minor feedback was forthcoming at that time.

In December 2014, the Drafting Committee released for faculty review and comment a first “tranche” of material, equivalent to perhaps 40% of the whole. Each school or college held meetings to discuss the material and feedback was received both from those meetings and from individuals via an online Wiki.

In March 2015, the Drafting Committee provided detailed responses to each of the comments it had received and resumed its work on the remainder of the text.

In September 2015, the Drafting Committee convened an open meeting to discuss the issue of how to define faculty workload. This was a topic that had been isolated for attention during the 2008 MSCHE accreditation process and was proving challenging for those on the Drafting Committee.

In October 2015, the Drafting Committee released for faculty review and comment a second “tranche” of material.

In December 2015, the Drafting Committee once again provided detailed responses to each of the comments it had received and resumed its work on the remainder of the text.

In September 2016, the Drafting Committee released for faculty review and comment the first complete draft of the proposed new Handbook. It set up a Wiki that attracted over 450 comments; it welcomed more discursive commentary from interest groups, hearing from 12 such groups; it held 3 open forums, each attended by several dozen individuals; working with the Faculty Senate, it conducted an online straw poll to gauge opinion regarding the issue of confidentiality in rank
and tenure reviews; and it also conducted another straw poll to assess overall satisfaction with key sections of the draft.

In a conference call in December 2016, Provost Austin briefed the members of the Academic Affairs Committee of the Board on progress to that point, describing the steps in the review process and highlighting key proposed changes.

In February 2017, Provost Austin held further discussions on key provisions with President Ken Gormley and, again, with the members of the Academic Affairs Committee of the Board.

In March 2017, the Penultimate Draft of the complete document was released for review and comment by faculty, the University General Counsel, the Academic Affairs Committee of the Board, and President Gormley.

In April 2017, the Drafting Committee incorporated a final round of editing into text, which was then released as the Final Text for Adoption Consideration.

In May 2017, faculty members participated in an advisory poll on adopting the Final Text for Adoption Consideration, the results being reported, by faculty appointment type, to the Academic Affairs Committee of the Board. At its May meeting, the Academic Affairs Committee further reviewed the Final Text for Adoption Consideration and then reported on its ongoing actions to the Board.

In July 2017, the Academic Affairs Committee of the Board held an extraordinary meeting to review the full text recommended by the faculty. In preparation, all members of the Committee had studied the entire draft; as a result, several valuable suggestions were made. Provost Austin referred these proposals to the Drafting Committee, which then incorporated amendments to address the concerns. The Drafting Committee also introduced several minor adjustments to reflect issues that had been pointed out by faculty members or administrators on campus after the faculty had completed their advisory poll. None of these changes were, in the Committee’s view, substantial enough to merit formal reconsideration by the faculty.

In September 2017, the Academic Affairs Committee of the Board held a meeting by teleconference to review the changes proposed by the Drafting Committee, approving them individually by voice vote.

On October 13, 2017, the Academic Affairs Committee of the Board voted unanimously to recommend adoption of the revised Faculty Handbook. A resolution was made later that day at a meeting of the full Board and passed unanimously. The motion for adoption stipulated an effective date of July 1, 2018.

In November 2017, the Members of the Corporation affirmed the Board’s decision.

On July 1, 2018, this Handbook takes effect.