Southwestern University
Faculty Handbook
2015-2016



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Accreditation

Southwestern University is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award the baccalaureate degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of Southwestern University.

I. HISTORY, MISSION, CORE PURPOSE AND CORE VALUES OF THE UNIVERSITY

History

Southwestern University is a direct descendant of four of the earliest institutions of higher learning in the state. In fact, the forerunner of the University, Rutersville College, was chartered by the Republic of Texas in 1840, making it the first college in what was to become the State of Texas. The three other colleges founded by pioneer Methodists and united in one central college in Georgetown were Wesleyan College, chartered in 1844; McKenzie College, 1848; and Soule University, 1856. When the five Methodist Conferences of Texas located the central institution in Georgetown in 1872, it was known as Texas University. In 1875, that name was ceded to the State of Texas and the present name, Southwestern University, adopted. Georgetown is a city with a population of about 48,000 and is located twenty-eight miles north of Austin, the state capital.

Southwestern University has had fifteen presidents and three interim presidents since it was established in Georgetown. Francis Asbury Mood, 1872-1884; John Wesley Heidt, 1885-1889; John Howel McLean, 1891-1898; Robert Stewart Hyer, 1898-1911; Charles McTyeire Bishop, 1911-1922; Paul Whitfield Horn, 1922-1924; James Samuel Barcus, 1924-1928; King Vivion, 1928-1935; John William Bergin, 1935-1942; John Nelson Russell Score, 1942-1949; William Carrington Finch, 1949-1961; Lawrence Durwood Fleming, 1961-1981; Roy B. Shilling, Jr., 1981-2000; Jake B. Schrum, 2000-2013; and Edward B. Burger, 2013-present. Faculty members McLean, John R. Allen, and Randolph Ward Tinsley each served as interim presidents in the late 1800s and early 1900s during changes in administration.

Institutional Mission Statement

Officially adopted by the faculty and the Board of Trustees in 1972, amended in 2001, 2008 and 2011.

Southwestern University, under the auspices of the United Methodist Church, is committed to undergraduate liberal education involving both the study of and participation in significant aspects of our cultural heritage, expressed primarily through the arts, the sciences, the institutions and the professions of society. As a teaching-learning community, Southwestern encourages rigorous inquiry and scholarship, creative teaching and the expression of free human life. The University seeks to involve the student in finding a personal and social direction for life, developing more sensitive methods of communication, cultivating those qualities and skills which make for personal and professional effectiveness, and learning to think clearly and make relevant judgments and discriminations.

Southwestern University's Core Purpose

Fostering a liberal arts community whose values and actions encourage contributions toward the well-being of humanity.

Southwestern University's Core Values

- Cultivating academic excellence.
- Promoting lifelong learning and a passion for intellectual and personal growth.
- Fostering diverse perspectives.
- Being true to oneself and others.
- Respecting the worth and dignity of persons.
- Encouraging activism in the pursuit of justice and the common good.

II. GOVERNANCE AND GENERAL FACULTY OF THE UNIVERSITY

Amended and Restated Certificate of Formation and Amended Bylaws

Southwestern University, Georgetown, Texas, is a non-profit corporation organized under the laws of the State of Texas to establish, maintain, and support an institution that "promotes higher education in any and all of its branches and confers any and all college and university diplomas, both liberal and professional, regular and honorary." The Bylaws of Southwestern University are promulgated in accordance with provisions, which provide that the board of trustees may adopt appropriate Bylaws. The Amended and Restated Certificate of Formation and Amended Bylaws under which the University operates were approved by the board of trustees on January 30, 2015, and confirmed by the annual conferences of The United Methodist Church in June 2015.

Board of Trustees

"Responsibility for the University's overall educational mission governance, academic life, student life, and fiscal affairs is vested in the University's board of trustees." It is composed of not more than 45 trustees, consisting of the president of the University, two bishops of The United Methodist Church, the president and president-elect of the Association of Southwestern University Alumni, two recent graduates of the University nominated by students, members at large, and representatives~~,~~ from the six patronizing annual conferences. [See Bylaws, Articles I.]

The President

"The day-to-day governance of the University is committed to the president. He or she is responsible for implementing the policies adopted by the board of trustees, for overseeing every phase of the University's operation, and for formulating and enforcing all rules and regulations. In performing his or her duties, he or she shall strive to establish a direct relationship with every member of the University community. By way of enumeration, but not by way of limitation, the president shall:

i. advise and counsel with the board of trustees in establishing, changing, and developing policy for the governance and operation of the University;

ii. keep abreast of education trends throughout the nation and keep the board of trustees apprised of significant developments;

iii. report to the board of trustees at its meetings and at such other times as the occasion may require concerning legislation adopted by the officers and faculty of the University;

iv. supervise, review, recommend and present to the board budgets for the operation of the University;

v. appoint, with the concurrence of the chair of the board of trustees, all administrative officers of the University;

vi. maintain continuity in the overall operations of the University, taking into consideration its policies, tradition, and achievements of the past and furnish leadership in development of plans and programs that will enrich the resources and services of the University;

vii. act as the official medium of communication between the board of trustees and the University's officers, staffs, faculty, and students ;

viii. prescribe such rules and regulations as are necessary for the administration, control, and discipline of the University and for the direction and guidance of its employees;

ix. head all divisions of the University, providing such supervision and direction as to promote their efficient operation;

x. in his or her discretion, suspend an action of the faculty of the University. In so doing, he or she shall submit to the body concerned, in writing, at its next regular meeting, a statement of his or her action and his or her reasons for taking that action, and he or she shall report his or her actions to the board of

trustees or the executive committee at its next regular meeting together with any pertinent statement submitted by the body affected;

xi. preside at public academic occasions;

xii. exercise general responsibility for the care and use of the real and personal property of the University. In carrying out this responsibility, he or she shall execute all deeds, deeds of trust, bills of sale, assignments, transfers, releases, notes, obligations or contracts, or other instruments of the University as the board of trustees may direct;

xiii. establish policies and procedures for determining developmental needs of the University and exercise control of the University's fundraising activities;

xiv. oversee the University's intercollegiate athletics program, its resources and its compliance with NCAA and conference regulations;

xv. as and when necessary and appropriate, represent the University at meetings of organizations of which the University is a member or with which it is associated;

xvi. interpret and explain the programs and needs of the University to the public pursuant to and in accordance with policies established by the board of trustees;

xvii. prepare and submit to each of the University's patronizing conferences an annual report on the state of the University, including, significant developments regarding its financial condition, its faculty and students, and its physical plant and other properties; and

xviii. perform such other duties and functions as the board of trustees or the executive committee may assign to him or her." [See Bylaws, Article II.]

Other Officers

"The president, with the concurrence of the chair of the board of trustees, shall appoint such vice-presidents, deans, associate deans, and other administrative officers as are needed to administer the University effectively and efficiently." [See Bylaws, Article 2.] The following officers comprise the President's Staff: Dean of the Faculty; Vice President for Finance and Administration, Vice President for Student Life; Dean of Enrollment Services; Vice President for University Relations; Chief Marketing Officer; Vice President for Information Services and Chief Information Officer; and Executive Manager for the Office of the President and Staff Liaison for the Board of Trustees.

President's Staff

Dean of the Faculty

The Dean of the Faculty is the officer responsible for the University's total educational program and functions as Dean of the Brown College of Arts and Sciences and the Sarofim School of Fine Arts. The Dean of the Faculty has responsibility for administering the academic program in such areas as institution-wide planning; faculty recruitment, evaluation, promotion, and development; academic testing and advising; publications of the *Faculty Handbook* and the *University Catalog*; class scheduling, registration, and student records; certification of graduates; summer school; and academic internships. These duties are performed in consultation and collaboration with the Curriculum Committee, the Faculty Steering Committee, and the Strategic Planning and Budget Committee as these bodies exercise their legislative functions on behalf of the faculty.

The Dean of the Faculty is responsible for coordinating the academic student life areas and meets regularly with the Vice President for Student Life and other staff members in academic and student affairs. The following individuals report to the Dean of the Faculty: the Associate Deans, the Coordinator of Testing (in academic matters), the Assistant Dean for Academic Success and Director of Records, the Director of Intercultural Learning, the Director of the Language Learning Center, the Director of the Debby Ellis Writing Center, the Director of Upward Bound, the Director of the Paideia Program, the Director of Civic Engagement, the Director of Institutional Research, the Manager of the Sarofim School of Fine Arts Administration, the Associate Vice President for Academic Affairs, and the Associate Dean for Faculty Development and Academic Assessment.

The Dean of the Faculty works with the academic deans, administrators who support academic services, and the department and program chairs to review the University's academic program and to discuss policies and procedures affecting the academic life of the University. When assessments of judgments concerning individual faculty members are necessary, the Dean of the Faculty has final responsibility and authority in academic matters.

Vice President for Finance and Administration
The Vice President for Finance and Administration is responsible for planning and directing the business and financial affairs of the University. Areas overseen include: facilities planning, construction projects, property management, human resources and payroll, investment management, budgeting, accounting, purchasing, general services contracting, risk management and safety, legal services, physical plant, campus post office, dining services and the bookstore. Reporting to the Vice President for Finance and Administration are: Associate Vice President for Human Resources; Associate Vice President for Facilities and Campus Services; Controller; Director of Campus Safety and Risk Management; bookstore manager; and dining services manager.

Vice President for Student Life
Student Life promotes the mission of Southwestern University by implementing programs and delivering services that provide values-centered education of the whole person. These programs and services facilitate students' development of social competencies, and reflect a shared responsibility for student learning within an undergraduate liberal arts community. Student life fosters a challenging, secure, residential environment in which the uniqueness of each individual is respected and celebrated.

The Vice President for Student Life is responsible for administration of student programs and services that facilitate the academic mission of the University and promote learning outside of the classroom. The Vice President serves as a general advocate for student concerns. Student Life includes: the Dean of Students; Career Services; the Corbin J. Robertson Center; Counseling Services; Diversity Education; Health Services; Intramural and Recreational Activities; the Red and Charlene McCombs Campus Center; Residence Life; Student Activities; Honor Code; student discipline; student government; student organizations; student publications; alcohol and other drug education; and University Police.

Dean of Enrollment Services
Dean of Enrollment Services provides strategic leadership in advancing the University's recruitment and enrollment goals. He/she provides experience and oversight to the recruiting, admission, retention and financial aid processes. Reporting to the Dean are the Office of Admission and the Office of Financial Aid, which are comprised of a team of experienced staff members. The Enrollment Services organization is also complemented by numerous student workers. Additionally, the Dean, along with the Enrollment Services staff, maintains the institutional commitment to superior service, student retention, promoting institutional awareness, working with other offices on marketing initiatives, and assures effective use of technology and analysis of data in achieving enrollment objectives. The Dean of Enrollment Services collaborates with other senior officers, University staff, academic leadership, faculty and students to ensure an extraordinary educational experience for all Southwestern University students.

Vice President for University Relations
The Vice President for University Relations leads the Offices of Alumni and Parent Relations, Corporate & Foundation Relations, Annual Giving, Major Giving, Planned Giving, University Events, Gift Processing, and Constituent Information Systems, in united achievement of the division's core mission, which is to foster the intentional creation and evolution of meaningful relationships that enhance purposeful engagement with, and support for, the mission of Southwestern University.

Chief Marketing Officer
The Chief Marketing Officer directs and manages the Office of Marketing and Communications, which serves as the primary internal and external communications and information hub for Southwestern University. The office's responsibilities are separated into four main areas: marketing strategy, design and digital media, public relations, and editorial. Through these four concentrated areas, the office serves the university in planning, executing, and measuring integrated marketing programs through traditional and online platforms. Additionally, the Marketing and Communications office manages the university website and social media channels, calendars, campus news, and publications such as Southwestern Magazine.

Vice President for Information Services and Chief Information Officer
The Vice President for Information Services and Chief Information Officer is responsible for strategic and operational leadership for library, information and technology services and programs that support the academic mission and administrative operations of the University. The Information Services professionals, librarians and staff provide a comprehensive suite of services, resources and programs designed to promote learning and scholarship, and to engage students, faculty and staff in effective and innovative uses of information resources and technologies. Responsibilities include assisting the campus community in understanding and responding to the changes occurring in -moving to a more digital world; collaborating with the campus community to define policies, standards, and services about the appropriate use of information and technology, and developing strategic relationships with other colleges, Universities, cultural institutions, consortia, and professional organizations for collaborative projects that advance the mission of the University.

Executive Manager for the Office of the President and Staff Liaison for the Board of Trustees
The Executive Assistant to the President is a member of the President's Staff and serves as staff liaison for the Board of Trustees. Working in collaboration with the President and the various constituencies within the University community, external publics, foundations, and organizations, the Executive Assistant is responsible for the day-to-day management of the President's Office as well as the President's calendar and travel. In addition to attending the President's Staff meetings, the Executive Manager attends Faculty Meetings and Facilities Meetings.

Academic Deans

Associate Deans
The current responsibilities of the associate deans include convening area meetings on the second Tuesday of the month; arranging joint meetings with other areas at least once a semester; attend biweekly meetings with the Dean of the Faculty before and after area meetings; attending department chair meetings; working with the Dean of the Faculty on various curricular, department, faculty and programmatic issues; assisting faculty in preparing for 2nd and 4th, tenure and promotion reviews; assisting faculty applying for internal funding; monitoring section sizes; overseeing department-level curriculum reform; helping develop benchmarks for faculty loads; providing advice on visiting position and adjunct requests; providing oversight of department assessment; serving ex officio on the Intellectual Property Rights Committee alongside the Dean of the Faculty and the Vice President for Finance and Administration; and soliciting external reviews for faculty undergoing reviews for 2nd year, 4th year, tenure and promotion. The Associate Deans will play a mentoring, not an evaluative role in the tenure process. The mentoring role might include coordinating mentoring policy networks across areas, recommending mentoring resources, and in some cases providing more direct mentoring. The Associate Deans will be available as a resource to the Faculty Status Committee during the tenure process but not as formal evaluators.

Associate Dean for Faculty Development and Academic Assessment
The Associate Dean provides leadership for faculty professional development efforts at Southwestern University by working with faculty and staff throughout the University to seek external funding for research, creative works and projects benefiting the institution as a whole. The Associate Dean oversees academic and administrative assessment at Southwestern, and is a member of the Dean of the Faculty's staff.

The General Faculty

"A University faculty member is a citizen, a member of a learned profession, and a member of a church-related educational institution. As a person of learning and an educator he or she enjoys a special position in the community. A faculty member should, as a teacher, as a scholar, as an administrator and, as an individual, discharge his or her duties and responsibilities in such a manner as to bring honor to the profession, to the University, and to the faculty member." [See Bylaws, Article III.]

1. Powers and Duties. "The faculty of the University of which the President is the chief executive officer, shall, subject to the approval of the Board of Trustees:

    A. Concern itself with all matters connected with the educational program of the University: academic, cultural, social, and religious;
    B. Nominate to the Board of Trustees for favorable action candidates for all degrees;
    C. Delegate to committees of its own constitution such of its powers and functions as it may see fit; and

D. Have such other powers and duties as the Board of Trustees may from time to time delegate to the faculty." [See Bylaws, Article III.]

2. Composition. "The faculty shall consist of the President of the University, the Deans of Instructions, the Vice Presidents, the Dean of Students, Professors, Associate Professors, Assistant Professors, Instructors, and such other personnel as designated by the President." [See Bylaws, Article III.]

3. Classification. "The members of the University faculty are classified and ranked in the order as listed:

A. President;
B. Deans and Vice Presidents;
C. Professors;
D. Associate Professors;
E. Assistant Professors;
F. Instructors" [See Bylaws, Article III.]

Department Chairs

Department Chairs are appointed by the President on an annual basis, though appointments are renewable. The Department Chairs are accountable to the Dean of the Faculty and meet regularly with her/him.

It is the responsibility of the department chair to provide leadership, vision, and coherence in relation to department faculty, department programs, assessment of departmental academic programs, and students who major or otherwise take courses in the department. The chair is both the administrative officer of the department, the assessment officer of the department and the focus of leadership within the department. At present, department chairs teach the equivalent of five courses per year.

Departmental Leadership

- The chair is expected to give leadership in planning and assessment for the department. The chair conducts regular departmental meetings and an annual departmental meeting focusing on the assessment plan, counsels with individual faculty members, encourages improvement in teaching, evaluates departmental work, promotes program innovation, and helps provide for the on-going vitality of the department.

- The chair participates in scholarly and professional activities pertinent to his or her discipline and encourages the active scholarly and professional participation of all members of the department.

- In order to provide guidance to candidates for tenure and promotion to Associate Professor, and to candidates for promotion to Professor, chairs will ensure that their department will describe its general expectations for each of those promotions. To ensure compliance with University standards, these expectations will be vetted through the Dean of the Faculty and the Associate Deans. Each department and program will review and revise its statement of expectations as part of its 7-year self-study.

- The chair consults with Dean of the Faculty and the appropriate Associate Dean on any personnel changes needed, such as promotion, load adjustments, retirement, or released time.

- The chair works with other tenured members of the department to effectively assess the work of the candidate under review for tenure and promotion. Access to the professional file and teaching evaluations should be provided to these members. Based on review of this material and the other information at the disposal of the chair and the tenured members of the department, the chair and the tenured members of the department will determine, in their judgment, whether the faculty member has met the University's expectation in teaching, professional growth, and service. Based on a review of the faculty member's teaching, professional work, and service to the community, the chair and all of the other tenured members of the department will craft a departmental opinion of whether the faculty member under review has met the University's expectation in each of the three areas. If the opinions are mixed, the document should clearly indicate the differences in opinion and their justifications.

- In collaboration with other tenured members of the department or program, the candidate's chair will generate a list of at least 3 potential external reviewers in addition to the list the candidate makes. The

candidate under review will generate a list of at least 5 potential external reviewers. The candidate may provide a list of names to be excluded from the department's list.

- The chair participates in the selection of new members for the department, in accordance with the provisions outlined in the *Faculty Handbook*, and is responsible for counseling with new members on procedures and responsibilities of membership in the department and the University.

- The chair submits an annual written report to the Dean of the Faculty on the state of the department. This report serves as a basis for an annual conference between the chair and the Dean of the Faculty. See section "Annual Report of the Department or Program" below.

General Administration and Supervision of Departmental Matters

- In the case of standardized courses regularly taken elsewhere, the chair may register approval for transfer credit with the Director of Records; the Director of Records may then automatically grant the pre-approval credit.

- The chair coordinates course listings, class schedules, and oversees development of the curriculum in the department.

- The chair coordinates faculty's contributions to the departmental assessment plan based on student learning outcomes.

- The chair convenes an annual department faculty meeting on the departmental assessment plan based on student learning outcomes.

- The chair is responsible for supervision of the departmental budget and the chair's approval is needed for all expenditures charged to the departmental budget.

- The chair may provide a substitute signature for any instructor in the department (approving an add or drop of a course) or for any advisor in the department (for drop/add or registration). The chair's approval is required for a course taken at Southwestern or at another institution, when the student requests that the course substitute for a course in the chair's department that is specifically required in a major or minor. The chair in the appropriate department may be asked by the Director of Records to evaluate a course that is proposed to substitute for a course in the general education requirements common to all degrees. Substitutions are made on the basis of content equivalency, which is evaluated by comparing catalog descriptions or syllabi (See the *University Catalog*). The chair may pre-approve a particular transfer equivalency, or may change the equivalence rendered by the Records Office to a more favorable credit within the department.

- The chair coordinates the department review process according to the schedule set forth by the Curriculum Committee

- Working with department colleagues and library liaisons, the chair is responsible for developing a strong library collection to undergird the teaching in the department.

- The chair maintains a file of syllabi for all courses offered in the department. Each syllabus should be retained for six years.

Program Chairs

The President appoints all chairs of non-departmental programs that produce majors or minors. These interdisciplinary academic programs are overseen by chairpersons, each of whom is responsible to the Dean of the Faculty. Committees act with these chairpersons in an advisory capacity. In most cases, the responsibilities of program chairs follow those of department chairs.

Annual Report of the Department or Program

Each department/program chair submits a Departmental/Program Annual Report to the Dean of the Faculty. It should contain the following parts:

- Part I: A report on the teaching, research, and contributions to the department/program and the University of the members of the department/program during the previous academic year. This information will be a factor in salary considerations. In the spring of each year, the Dean of the Faculty will ask department/program chairs to provide information on the faculty that is needed within the salary consideration process. (Due May 1.)

- Part II: An updated, current departmental assessment plan based on student learning outcomes. This should also include a statement concerning departmental/program direction, activity, growth, e.g., new programs undertaken or planned, experimental projects being considered, "success" stories, and departmental/program aspirations. This statement should address the status of issues raised in the department's/program's most recent seven year review. A statement of departmental/program needs and/or problems in the areas of personnel, equipment, administrative support, and program development.

At the end of the academic year, the Dean of the Faculty will meet with each department and program chair to discuss the chair's annual report and to plan how to implement any appropriate changes in the next academic year. The Dean of the Faculty will provide the department/program chair with a letter documenting the conference and outlining the agreed-upon actions for the following year.

III. LEGISLATIVE ORGANIZATION OF THE UNIVERSITY

The organizational and operational structure of the general faculty for legislative purposes was recommended to the President at a faculty meeting on April 3, 1979, and subsequently implemented by him with modifications on May 1, 1979. A revised committee structure (described below) was recommended to the President by the faculty on May 6, 2014, and subsequently implemented by him with modifications on May 23, 2014.

Academic Areas

Southwestern University is divided into the Brown College of Arts and Sciences and the Sarofim School of Fine Arts. The College of Arts and Sciences is composed of three areas: Humanities, Natural Sciences, and Social Sciences.

1. The Humanities Area is composed of the departments of Communication Studies, English, History, Modern Languages and Literatures, Religion, and Philosophy.

2. The Social Sciences Area is composed of the departments of Economics and Business, Education, Exercise and Sport Studies, Political Science, Psychology, and Sociology and Anthropology.

3. The Natural Sciences Area is composed of the departments of Biology, Chemistry and Biochemistry, Kinesiology, Mathematics and Computer Science, and Physics.

4. The School of Fine Arts Area is composed of the departments of Art and Art History, Music, and Theatre.

Non-teaching faculty members are assigned by the President to the area wherein their competence is appropriate.

Because interdisciplinary programs/areas engage faculty from a variety of disciplines, they are not listed in the above structure. These include Animal Behavior, Classics, Environmental Studies, Feminist Studies, International Studies, and Latin American and Border Studies.

Area Organization

Each area holds regular faculty meetings. A quorum for business is one-half of the voting members of the area. Its members appoint such committees as it deems desirable to expedite its work.

The areas have, in their meetings, expanded their voting membership to include students in the following ways, their actions being subsequently approved by the President. Student membership in area meetings does not qualify them for membership in departmental or in general faculty meetings.

Humanities. The Associate Dean of Humanities shall determine in every case whether students will attend the area meeting. Students may be asked to attend an area meeting when issues of particular concern to students are under discussion.

Fine Arts. Members of the School of Fine Arts communicate with students while working together in classes and on other occasions. Special provisions have not been made for their representation in School meetings.

Natural Sciences. Members of the Natural Sciences Area communicate with students while working together in laboratory sessions and on other occasions. Special provisions have not been made for their representation in area meetings.

Attendance at area meetings is expected of all faculty members. The Dean of the Faculty is an ex-officio member of all areas with voice but no vote in meetings.

Each area elects a secretary on an annual basis to keep minutes and records of all business, including attendance in order to document a quorum. To maintain a historical record of the University's business, minutes are kept by the Dean of the Faculty in a permanent file. Faculty members of all areas may receive the minutes of the faculty meetings of any area upon request to the Dean of the Faculty.

General Faculty Meetings

The President or, with his/her concurrence, the Dean of the Faculty may call a general faculty meeting. General faculty meetings approve all regular degrees upon recommendation of the Director of Records, approve all honorary degrees upon recommendation from the Awards and Honors Committee, resolve all academic and faculty matters referred to it in line with the provisions listed above, and deal with any matters brought before it by the President. The President or, at his/her designation, the Dean of the Faculty presides at all general faculty meetings. (Note that the Faculty Steering Committee collaborates with the President and the Dean of the Faculty to the agenda for Faculty Meetings.) All members of the faculty have the privilege of the floor in faculty meetings. Vote is granted to all full-time members of the faculty and to part-time faculty who teach on a regular basis, i.e., have taught six hours per semester and have completed or are in the process of completing three successive annual appointments. Four students elected by the Southwestern Student Government Association attend general faculty meetings with voice but no vote. The Associate Vice President for Academic Administration, the Director of Records, the Assistant Dean of Academic Success and Advising, the Director of Intercultural Learning, the Associate Dean for Faculty Development and Academic Assessment, Dean of Students, the Director of Civic Engagement, and the Director of Institutional Research and Assessment may attend meetings with voice but no vote.

Appeal by Faculty Meeting

The President has provided that whenever he/she suspends an action of the faculty, a two-thirds majority of the faculty in attendance may appeal the President's suspension to the Board of Trustees or to the Executive Committee of the Board. Furthermore, the faculty may, by petition of two-thirds of the members, request the chair of the Board of Trustees for a special meeting.

The Committee System

Preamble

The purpose of the committee system is to provide a structure for University planning. To that end, it is designed to promote the broadest possible exchange of ideas among administrators, faculty, staff, and students in a way that recognizes the inescapable interdependence of all stakeholders within the University. It provides for initiatives and referrals of policy issues and for the implementation of existing policy.

The committees and offices within the committee system have a variety of functions and engage with sometimes distinct, sometimes overlapping areas of concern. For the most part, their function is to provide advice within a particular area or to carry out established policy. In some cases, such as the University faculty's responsibility to "concern itself with all matters connected with the educational program of the University" as stipulated in the University bylaws, they have decision-making responsibility. In every case, they are tasked as working groups with promoting the success of the University and helping it fulfill its core mission.

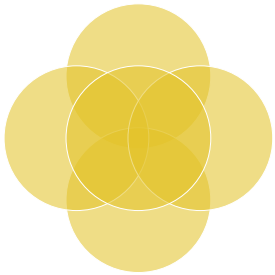
Those participating on University committees are responsible for establishing clear channels of communication among stakeholders and with other committees, recognizing that open and coordinated effort will support the welfare and success of the University in both the short and long term.

The committee system presented below marks out 5 key zones: Curriculum, Faculty Affairs, Planning and Budget, Staff Affairs, and Student Affairs. These zones are not discrete. Concerns, discussions, questions, and initiatives related to planning and the conduct of University life will necessarily flow across zones, involving committees and offices in several or even all of them.

Visual Overview of the Committee Structure

Curriculum

Academic Departments and Programs
Academic Standards Committee
*Curriculum Committee **
FYS/AES Committee
Institutional Animal Care and Use Committee
Institutional Review Board for Human Research
Intercultural Programs and Perspectives Committee
Paideia Committee
Pre-Med Advisory Committee



Staff Affairs

*Staff Steering Committee **

Student Affairs

Alcohol and Other Drugs Committee
Campus Life Advisory Committee
Honor Code Council
Sexual Assault Risk Reduction Committee
Sexual Misconduct Hearing Board
*Student Government Association **
University Committee on Discipline

Faculty Affairs

Awards and Honors Committee
Emeritus Faculty Committee
Faculty Status Committee
*Faculty Steering Committee **

Planning & Budget

Academic and Administrative Assessment Committee
Committee Review Board
Diversity Enrichment Committee
Enrollment and Retention Committee
Facilities and Space Utilization Committee
Information Services Committee
Safety Committee
*Strategic Planning and Budget Committee **
Sustainability Committee

* This is the designated coordinating committee for the respective area.

Guiding Principles for Committee Deliberations and Policy Formation

1. All University issues are intended to be deliberated and decided by the most appropriate unit(s) within the system, and the results then reported through the system to the university community. In many cases, this will involve collaboration among multiple units.

2. For implementation of an existing policy in routine daily business, the appropriate unit is the affiliated committee or administrative office directly charged with implementing the policy.

3. For planning or deliberation that may involve policy changes or new policy related to the function area of a Coordinating Committee or one of its affiliated groups, the respective Coordinating Committee is the appropriate deliberating committee. Under normal circumstances, the Coordinating Committee will submit proposals for major policy changes to a vote of the full faculty for approval and forward its recommendations to the President in accordance with the faculty handbook.

4. For planning or deliberation that involves a University policy or that may involve a policy with fiscal implications, the President's Office and the Strategic Planning and Budget Committee are the appropriate collaborating units.

5. Ultimate faculty legislative authority is to be expressed at the general faculty meeting level, with (or without) prior recommendation transmitted to the general faculty through the committee system as provided below.

Remarks:
i) Unless otherwise stated, the Faculty Steering Committee collaborates with the Dean of the Faculty's office and the Dean of the Faculty to appoint faculty to non-elected committee positions. Similarly, the Staff Steering Committee collaborates with the Dean of the Faculty's office to appoint staff to non-elected committee positions. The Student Government Association recruits and appoints/elects student representatives to almost every University committee. ii) To provide continuity, multi-year terms should be staggered within each committee and within each area where appropriate. iii) Unless otherwise stated, ex officio positions have voice and vote. iv) All committee meetings are open unless otherwise stated. Committees can, on occasion, choose to go into executive session. v) In general, all committee actions shall be subject to challenge by petition of 20% or more of the faculty membership (see Faculty Challenge of Committee Actions at the end of Section III). [This Committee System was first approved by the Faculty on May 6, 2014.]

Curriculum

Affiliated Groups

- Academic Departments and Programs
- Academic Standards Committee
- Curriculum Committee *
- First Year Seminar / Advanced Entry Seminar (FYS/AES)
- Institutional Animal Care and Use
- Institutional Review Board for Human Research
- International and Intercultural Experiences Committee
- Paideia Committee
- Pre-Med Advisory Committee

* This is the designated Coordinating Committee for these affiliated groups. It accepts action items from affiliated committees for review and, where it recommends new policy or policy changes, forwards items to the full faculty. (Note that the Faculty Steering Committee collaborates with the Dean of the Faculty to set the agenda for Faculty Meetings.)

Academic Departments and Programs (Appointed)
Academic Department and Program Chairs work within their department or program to provide leadership and mentoring; to shape and promote group vision; to oversee curricular, budgetary, and administrative processes; and to develop outreach to prospective and current students. Department and Program Chairs meet directly as necessary with the Dean of the Faculty's office, the Dean of the Faculty, the Associate Dean of their area, and other committees to promote a culture of intentional sharing and collaboration. The Academic Department and Program Chairs also oversee summer school planning in collaboration with the Dean of the Faculty's office and the Director of Records. This committee has a reserved monthly meeting time, for which the Dean of the Faculty's office will set the agenda in consultation with Department and Program Chairs.

Academic Standards Committee (Elected)
The Academic Standards Committee considers and recommends action on student requests for exceptions to University academic policies. These requests usually refer to the extension of deadlines, including, but not limited to, the following: adding courses; changing from graded to pass/fail status; withdrawal without record; and withdrawal after the final semester deadline. The committee also hears appeals to mandatory withdrawal or dismissal from the University for academic reasons and grade appeals in accordance with official procedure as described in the Faculty Handbook. This committee has a reserved, weekly meeting time, but may make some decisions via e-mail. Discussion of dismissal appeals mandates meeting outside of the regular semester calendar. Students wishing their cases to be heard by the committee begin by contacting the Assistant Dean for Academic Success in the Director of Records' office.
Membership: Faculty representatives are elected by their respective academic areas.

1. Faculty Representative School of Fine Arts (elected to 2-year term)
2. Faculty Representative Humanities (elected to 2-year term)
3. Faculty Representative Social Sciences (elected to 2-year term)
4. Faculty Representative Natural Sciences (elected to 2-year term)
5. *Ex officio* Assistant Dean for Academic Success and Dir. of Records
6. *Ex officio* (voice, no vote) Associate Director for Academic Success

Curriculum Committee (Elected/Appointed)

The Curriculum Committee focuses on overarching aspects of the curriculum and how they work together. It interfaces with the appropriate departments, programs, and committees to oversee aspects of the curriculum that are central to its design, including, but not limited to, all departmental and interdisciplinary programs, Paideia, First-Year and Advanced-Entry Seminar, Social Justice, Intercultural Programs and Perspectives. It proposes changes and innovations that strengthen Southwestern University's Core Values, evaluates long-term student-learning outcomes from Academic Assessment, and advises the Strategic Planning and Budget Committee on the allocation of resources and faculty positions. It also maintains current curriculum protocols, including the final approval of Social Justice and Intercultural Perspectives designation, catalog changes, departmental reviews, course additions, and revisions to degree plans.

Membership:

1. Faculty Representative School of Fine Arts (elected to 2-year term)
2. Faculty Representative Humanities (elected to 2-year term)
3. Faculty Representative Social Sciences (elected to 2-year term)
4. Faculty Representative Natural Sciences (elected to 2-year term)
5. Faculty Representative at-large (elected to 2-year term)
6. Faculty Representative at-large (elected to 2-year term)
7. Student Representative (appointed to 1-year term)
8. Student Representative (appointed to 1-year term)
9. Staff Representative Professional Librarian (elected by Librarians to 2-year term)
10. Staff Representative (Open, appointed by Staff Steering to 2-year term)
11. *Ex officio* Director of Paideia
12. *Ex officio* (voice, no vote) Dean of the Faculty
13. *Ex officio* (voice, no vote) AVP for Academic Affairs
14. *Ex officio* (voice, no vote) Assistant Dean for Academic Success & Dir. of Records

The Curriculum Committee invites appropriate administrators, staff, faculty, and students to meetings when appropriate, and members of this committee also report to and/or attend other relevant committee meetings.

Election/Appointment of Members:

Faculty area representatives: nominated within the areas, voted on by all faculty members. Faculty at-large representatives: nominated and elected by all faculty members. (At-large representatives must come from two different areas.)

Library Staff representatives: elected by Librarians to 2-year term. The open Staff representative: appointed by Staff Steering to a 2-year term**.** Any faculty or staff member who has been elected to serve two consecutive terms on this coordinating committee should wait one full term before standing for election again.

Curricular Changes

The President shall submit with his/her own recommendation all legislation taken by the faculty relative to instituting, eliminating, or substantially changing the nature of University degrees to the Board of Trustees for its confirmation.

The action of all University legislative bodies instituting, eliminating, or substantially changing the nature of major and minor fields of study, academic programs, and academic departments, including changes in names or titles, shall be brought to the Strategic Planning and Budget Committee, which will in turn forward it to the President with its recommendation. [Approved by the Board of Trustees, January 18, 1980. The Strategic Planning and Budget Committee replaced University Council in this capacity, approved by Faculty and President, May 2014.]

Changes of this type are instituted as follows:

1. A proposal for the curricular change is first proposed and approved by the participating departments. The proposal should include a needs assessment, learning goals and student learning outcomes, course requirements, program objectives, and budgetary implications. In some cases, the changes may warrant a discussion at the appropriate academic area.
2. Following departmental approval, the proposal is submitted to the Curriculum Committee for deliberation. In its deliberation of the proposal, the Curriculum Committee may request that the proposal be discussed and approved by the appropriate academic area.
3. If approved by the Curriculum Committee, the proposal must be considered by the Strategic Planning and Budget Committee to assess the fiscal implications of the proposed change.

4. If the Strategic Planning and Budget Committee deems the proposed change to be fiscally feasible, the proposal, along with this assessment, is forwarded to the faculty as a whole for a vote.
5. If approved by the faculty, the Strategic Planning and Budget Committee will forward the proposal with its recommendation to the President for consideration.

Curricular changes involving general education requirements and/or the overall structure of the curriculum originate in the Curriculum Committee and, if changes are recommended, are forwarded to the Strategic Planning and Budget Committee to assess the financial impact and then to the faculty as a whole for a vote.

First-Year Seminar / Advanced-Entry Seminar (FYS/AES) Committee (Appointed)
Charge: The First-Year Seminar/Advanced-Entry Seminar (FYS/AES) Committee is charged with general oversight of the First-Year and Advanced-Entry Seminar programs, including selection of the seminars and faculty who teach in the program each fall and spring. (Provisionally, FYS/AES and Paideia merge into one committee in fall 2017.)

1. Faculty Representative (appointed to 2-year term)
2. Faculty Representative (appointed to 2-year term)
3. Faculty Representative (appointed to 2-year term)
4. Faculty Representative (appointed to 2-year term)
5. Faculty Representative (appointed to 2-year term)
6. Library Representative (appointed to 1-year term)
7. Student Representative (appointed to 1-year term)
8. Student Representative (appointed to 1-year term)
9. *Ex officio* (voice, no vote) (Convener) AVP for Academic Affairs
10. *Ex officio* (voice, no vote) Assistant Dean for Academic Success & Dir. of Records
11. *Ex officio* (voice, no vote) Dean of Students

Institutional Animal Care and Use (Appointed)
Charge: The Institutional Animal Care and Use Committee (IACUC) reviews and approves permission of any SU personnel to use vertebrate animals in research on campus or in the field. Additionally, the IACUC inspects (twice per year) all labs that have permission to use and house animals on campus.
Membership:

1. Faculty Representative (appointed to 2-year term)
2. Faculty Representative (appointed to 2-year term)
3. Faculty Representative (appointed to 2-year term)
4. Veterinarian
5. Community Member (off-campus representative)

Members appointed for 2-year terms, with at least one faculty member having previously been a member of the committee, whenever possible. Legally, the minimum composition includes five members, including the following:

- a veterinarian with program responsibilities
- a scientist experienced in laboratory animal procedures
- a non-scientist
- a non-affiliate (a person who has no other affiliation with the University other than sitting on the IACUC.)

This committee reports primarily to the Dean of the Faculty and engages with the Curriculum Committee as needed.

Institutional Review Board for Human Research (Appointed)
Charge: The Institutional Review Board for Human Research (IRB) was established to approve research projects involving the use of human participants. The Board exists both because Southwestern wants to ensure that research participants are treated with the utmost respect and safety and because federal law requires that all federally-funded research involving human participants receive Board approval.
Membership:
The committee is composed of five faculty members, one off-campus representative ("community member"), and the Director of Institutional Research (*ex officio*). The faculty members should be interested and informed parties from fields that might include Education, Modern Languages, Psychology, Sociology, the majority of whom will have expertise in human research and represent departments that frequently submit proposals to the Institutional Review Board.

1. Faculty Representative (appointed to 3-year term)
2. Faculty Representative (appointed to 3-year term)
3. Faculty Representative (appointed to 3-year term)
4. Faculty Representative (appointed to 3-year term)
5. Faculty Representative (appointed to 3-year term)
6. Community Member (off-campus representative)
7. *Ex officio* Director of Institutional Research

Members appointed for 3-year terms, with the chair having been a member of the committee the prior year, whenever possible. Appointment of the faculty members should consider the federal requirements (including diversity of professions, gender, and the explicit requirement for at least one scientist and at least one non-scientist). This committee reports primarily to the Dean of the Faculty and engages with the Curriculum Committee as needed.

Intercultural Programs and Perspectives Committee (Appointed)

The Intercultural Programs and Perspectives Committee leads efforts to promote intercultural learning through: 1) advancing and supporting efforts to recruit and retain international students, faculty, and staff; 2) supporting faculty and student participation in study abroad programs; 3) setting criteria for establishing new Southwestern study abroad programs and reviewing faculty proposals for new programs; 4) setting criteria for and reviewing faculty proposals to teach in the Southwestern London semester abroad program; 5) allocating the Global Citizens Fund to support lectures and engagement with the campus community that lead to greater intercultural understanding; 6) setting criteria and evaluating proposals for courses that would fulfill the Intercultural Perspectives requirement; and 7) collaborating with other University committees and offices in implementing recommendations regarding the above-stated areas.

Membership:

Committee members should be interested and informed parties who have experience with intercultural programs and/or studies. Student representatives will have studied abroad prior to serving on the committee. Committee convener is the Director of Intercultural Learning.

1. Faculty Representative (appointed to 2-year term)
2. Faculty Representative (appointed to 2-year term)
3. Faculty Representative (appointed to 2-year term)
4. Faculty Representative (appointed to 2-year term)
5. Faculty Representative (appointed to 2-year term)
6. Staff Representative (appointed to 2-year term)
7. Student Representative (appointed by Student Government Association to 1-year term)
8. Student Representative (appointed by Office of Intercultural Learning to 1-year term)
9. *Ex officio* (Convener) Director of Intercultural Learning

Paideia Committee (Appointed)

Charge: The Paideia Committee provides advice and planning on the Paideia curriculum, including cluster development, student and faculty resources, faculty development, assessment of Paideia and its impact on students. *(Provisionally, FYS/AES and Paideia merge into one committee in fall 2017.)*

1. Faculty Representative (appointed to 2-year term)
2. Faculty Representative (appointed to 2-year term)
3. Faculty Representative (appointed to 2-year term)
4. Faculty Representative (appointed to 2-year term)
5. Staff Representative (appointed to 2-year term)
6. Student Representative (appointed to 1-year term)
7. Student Representative (appointed to 1-year term)
8. *Ex officio* (Convener) Director of Paideia
9. *Ex officio* AVP for Academic Affairs
10. *Ex officio* Director of Civic Engagement
11. *Ex officio* Director of Intercultural Learning
12. *Ex officio* Assoc. Dean for Faculty Development and Institutional Assessment

Pre-Med Advisory Committee (Appointed)
Charge: Members of the Pre-med Advisory Committee serve in an advisory role to students from various academic disciplines who express an interest in health-related careers. The Committee works to help inform other faculty members who advise pre-health professions students about ways for their students to complete the requirements of their majors while fulfilling the prerequisite courses for professional studies. The Committee also serves to write letters of evaluation and recommendation for students who apply to medically related professional programs. Committee members are often called upon to meet with prospective students who express an interest in premedical studies.
Membership:

1. Faculty Representative (appointed to 2-year term)
2. Faculty Representative (appointed to 2-year term)
3. Faculty Representative (appointed to 2-year term)
4. Faculty Representative (appointed to 2-year term)
5. Faculty Representative (appointed to 2-year term)
6. *Ex officio* (voice, no vote) Center for Academic Success Representative

Faculty Affairs

Affiliated Groups

- Awards and Honors Committee
- Emeritus Faculty Committee
- Faculty Status Committee
- Faculty Steering Committee *

* This is the designated Coordinating Committee for these affiliated groups. It accepts action items from affiliated committees for review and, where it recommends new policy or policy changes, forwards items to the full faculty.

Awards and Honors Committee (Elected)
This committee is responsible for reviewing applications and making recommendations to the President regarding competitive professional development funds, sabbatical and summer funding, and teaching and advising awards (in consultation with the Dean of the Faculty). In collaboration with the President, this committee makes recommendations to Trustees concerning honorary degrees.
Membership:

1. Faculty Representative Fine Arts (elected to 3-year term)
2. Faculty Representative Fine Arts (elected to 3-year term)
3. Faculty Representative Humanities (elected to 3-year term)
4. Faculty Representative Humanities (elected to 3-year term)
5. Faculty Representative Natural Sciences (elected to 3-year term)
6. Faculty Representative Natural Sciences (elected to 3-year term)
7. Faculty Representative Social Sciences (elected to 3-year term)
8. Faculty Representative Social Sciences (elected to 3-year term)
9. Librarian/Academic Affairs Staff with faculty rank (elected at-large to a 2-year term)
10. *Ex officio* (voice, no vote) Dean of the Faculty

Election/appointment of members:
The faculty members are elected by each of the four areas. One librarian/Academic Affairs staff with faculty rank is elected at-large.

Emeritus Faculty Committee (Appointed)
Charge: This committee works to foster involvement by emeritus faculty in university life, to ensure access to university services, and to provide a voice for emeritus faculty concerns.
Membership:

1. Two faculty Representatives (appointed to 2-year terms)
2. Two emeritus Faculty Representatives (volunteers, appointed to 2-year terms)

Election/appointment of members:
Appointed by the Faculty Steering Committee in consultation with the Dean of the Faculty's office.

Faculty Status Committee (Elected)
According to the provision adopted by the Board of Trustees at its meeting on January 30, 1970, the teaching faculty is actively involved in decisions on status. The legislation reads as follows:

"A committee of four, known as the Committee on Faculty Status, will be elected by the faculty, with one member from each of the 4 areas. The responsibility of this committee is to make recommendations to the administration concerning changes in faculty rank. For non-tenured members of the faculty, the committee will also recommend reappointment or dismissal. The committee would also assist in hiring procedures when possible and when desired by the department concerned."

1. The committee prepares a review of each faculty member in the second, fourth, and sixth year of service (prior to the contract date) as well as faculty members under consideration for promotion to the rank of Professor. The committee makes specific recommendations concerning each faculty member to the administration. The review consists of accumulation and evaluation of reports prepared by department chairs, Associate Deans, and colleagues in related departments and from the faculty member, describing professional accomplishments during the past year. External reviews are also included during the sixth year review for tenure and reviews for promotion to Professor.

2. Normal action of the committee will proceed from recommendations of the supervisor of each individual faculty member, but this guideline is not meant to exclude initiation of recommendations by the committee itself.

3. The administration will report action of the recommendation to the committee.

In the interest of continuity and equity in the process of tenure and promotion review, faculty members who serve on the Faculty Status Committee agree to forego sabbatical leave during their four-year terms. However, faculty who serve on the Status Committee will also be eligible to apply for an additional semester of sabbatical leave at the completion of their terms. If granted, this leave may not be taken in the same academic year as another sabbatical.

If a member of the Faculty Status Committee (FSC) who holds the rank of Associate Professor submits her/his file for review for promotion to the rank of professor, that FSC member will be replaced for the review of all promotion cases to professor by the person from his/her area who most recently served on the FSC. If, for any reason, that person is not able or willing to replace the FSC member, then the next, most recent member elected by the academic area will replace him/her. If neither can serve, the Dean of the Faculty, the Chair of FSC, and the appropriate Associate Dean will select someone to serve.

Membership:
The committee is made up of four tenured members having been in residence at Southwestern for at least six years, one from each of the four academic areas, along with the Dean of the Faculty.

1. Faculty Fine Arts Representative (elected to 4-year term)
2. Faculty Humanities Representative (elected to 4-year term)
3. Faculty Natural Sciences Representative (elected to 4-year term)
4. Faculty Social Sciences Representative (elected to 4-year term)
5. Dean of the Faculty (voice, no vote)

Election of members and term:
From the pool of eligible nominees in an area, each full-time tenured and tenure-track faculty member from that area will vote (via written or electronic balloting) for up to two candidates. The two faculty members with the highest number of votes will be the nominees. All eligible voting faculty from that area will then cast a written or electronic vote for 1 of the nominees. The terms typically begin on July 1. Each member serves for four years, with a new member joining each year.

Reporting/Flow of Information:
The four voting members of the Faculty Status Committee may go into closed session for the purposes of deliberating and letter editing. The committee meets as needed with the President and other academic officers.

Faculty Steering Committee (Elected)
This committee provides a venue for faculty representatives to discuss, on an ongoing and regular basis, issues of importance to the faculty; to develop common approaches and responses to those issues; and to advise the faculty,

administration, and other committees. It also acts as a representative of the faculty in meetings with the senior administration and the Board of Trustees; and, in collaboration with the President, and the Dean of the Faculty, sets the agenda for Faculty Meetings. It also recommends agenda items for other committees as well as refers faculty and academic issues to the appropriate committees. This committee collaborates with the Dean of the Faculty's office to appoint faculty to non-elected committees as well as holding those committees accountable for their work through annual written activity reports. The committee also has oversight of the Faculty Handbook and assumes the responsibilities as described in the Procedures for Dismissal with Cause. The group of 8 faculty representatives meets on a bi-weekly basis.

Membership:

The committee is comprised of eight full-time permanent faculty members, two from each of the four academic areas. When possible, one representative from each area will be non-tenured and the other tenured.

1. Faculty Representative Fine Arts (elected to 2-year term)
2. Faculty Representative Fine Arts (elected to 2-year term)
3. Faculty Representative Humanities (elected to 2-year term)
4. Faculty Representative Humanities (elected to 2-year term)
5. Faculty Representative Natural Sciences (elected to 2-year term)
6. Faculty Representative Natural Sciences (elected to 2-year term)
7. Faculty Representative Social Sciences (elected to 2-year term)
8. Faculty Representative Social Sciences (elected to 2-year term)
9. Dean of the Faculty *Ex officio* (voice, no vote)

Election of members and term:

Each elected member serves for a 2-year term, and an effort will be made to make sure that not all members are elected in the same year. Two candidates in each of the categories will be nominated by a vote of their respective areas. The entire body of voting faculty will then elect the individual who will serve the committee in that category. Any faculty or staff member who has been elected to serve two consecutive terms on this coordinating committee should wait one full term before standing for election again.

Reporting/Flow of Information:

One member of the Staff Steering Committee will be appointed to serve as a liaison to the Faculty Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Faculty Steering Committee. This liaison will attend Faculty Steering Committee meetings upon request. Similarly, 1 member of the Faculty Steering Committee will be appointed to serve as a liaison to the Staff Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Staff Steering Committee. This liaison will attend Staff Steering Committee meetings upon request. The chair of each Steering Committee will forward copies of each committee meeting agenda and minutes to the respective liaison when made available to the committee members.

Planning and Budget

Affiliated Groups

- Academic and Administrative Assessment Committee
- Committee Review Board
- Diversity Enrichment Committee
- Enrollment and Retention Committee
- Facilities and Space Utilization Committee
- Information Services Committee
- Safety Committee
- Strategic Planning and Budget Committee *
- Sustainability Committee

* This is the designated Coordinating Committee for these affiliated groups. It accepts action items from affiliated committees for review and, where it recommends new policy or policy changes, forwards items to the full faculty. (Note that the Faculty Steering Committee collaborates with the President and the Dean of the Faculty to set the agenda for Faculty Meetings.)

Academic and Administrative Assessment Committee (Appointed)

The Academic and Administrative Assessment Committee reviews annual assessment plans from academic departments and programs and from administrative units of the University. Annual assessments are mandated by Southwestern University's accreditor, the Southern Association of Schools and Colleges Commission on Colleges

(SACSCOC). The committee reviews and discusses the assessment plans' missions, goals, performance objectives, assessment mechanisms and results, and plans for improvement. The committee comments on the plans and requests revisions, if necessary. Academic assessment plans are published annually and reported to SACSCOC as part of the 5th-year Interim Report to the Commission and as part of the 10-year Self-Study. Administrative assessment plans are a required part of the SACSCOC 10-year Compliance Certification. Academic assessment and administrative assessment are integral to the University's analysis of its most crucial components and to the improvement of academic and administration functions. The Office of the Dean of the Faculty will determine the membership of this committee on an annual basis.

Committee Review Board (Appointed)
The Committee Review Board reviews the effectiveness of the new committee structure and facilitates proposed adjustments. The Committee Review Board is charged with periodically examining and evaluating the functioning of the University's committee system. It makes recommendations for changes and/or modifications in the committee structure, including, but not limited to, the addition and/or subtraction of committees, working groups, and task forces; the composition of these bodies; and the recommendation that particular bodies be abolished or disbanded, including itself. The Committee Review Board has a sunset clause: It will phase out four years after the new committee system is implemented.
Membership:

1.	Faculty Representative Fine Arts	(appointed to 4-year term)
2.	Faculty Representative Humanities	(appointed to 4-year term)
3.	Faculty Representative Natural Sciences	(appointed to 4-year term)
4.	Faculty Representative Social Sciences	(appointed to 4-year term)
5.	Staff Representative	(appointed to 4-year term)
6.	Staff Representative	(appointed to 4-year term)
7.	Student Representative	(appointed to 1-year term)
8.	Student Representative	(appointed to 1-year term)
9.	*Ex officio* (voice, no vote)	President

Diversity Enrichment Committee (Appointed)
The Diversity Enrichment Committee leads efforts to promote the diversification of Southwestern University through: 1) advancing recruitment and retention efforts of under-represented students, faculty, and staff; 2) enhancing and challenging the existing thoughtful, open, and inclusive conversations, educational programs, and events that address diversity concerns; 3) allocating resources to University-recognized groups to provide diversity enrichment programs; 4) setting criteria for courses that would fulfill the Social Justice requirement; and 5) collaborating with other University committees and offices in implementing recommendations regarding the above-stated areas. The committee also serves in an advisory role to the Curriculum Committee regarding proposals for Social Justice designation.
Membership:

1.	Faculty Representative	(Open - appointed to 2-year term)
2.	Faculty Representative	(Open - appointed to 2-year term)
3.	Faculty Representative	(Open - appointed to 2-year term)
4.	Faculty Representative	(Open - appointed to 2-year term)
5.	Staff Representative	(appointed to 2-year term)
6.	Staff Representative	(appointed to 2-year term)
7.	Student Representative	(appointed by Coalition for Diversity & Social Justice to 1-year term)
8.	Student Representative	(appointed by Student Government Association to 1-year term)
9.	Student Representative	(appointed by Student Multicultural Affairs to 1-year term)
10.	*Ex officio*	Assistant Dean for Student Multicultural Affairs
11.	*Ex officio* (voice, no vote)	Dean of the Faculty

On a regular basis members of this committee will engage with other appropriate members of the President's Staff.

Enrollment and Retention Committee (Elected)
The Enrollment and Retention Committee supports and evaluates efforts of the University to recruit, enroll, and retain a high-achieving and diverse student body by: 1) reviewing admission, financial aid, and retention reports; 2) collaborating with Admissions staff on strategies for attracting highly qualified applicants; 3) receiving and developing proposals related to admission and retention goals; and 4) actively engaging the faculty and

departments to participate in enrollment and retention programs led by the Admissions staff. It may discuss and offer recommendations in areas including, but not limited to, student retention, admission, financial aid, marketing initiatives, effective use of technology, and analysis of data in achieving enrollment objectives. The committee ensures that admissions policies, procedures, and messages are effectively communicated to faculty and that faculty questions and concerns are expressed directly to Admissions staff. This committee also participates in the selection of Southwestern's Brown Scholars. A current Brown Scholar will be invited to participate in this process. This group will engage regularly with the Enrollment Analysis Committee. The Enrollment and Retention Committee meets on a bi-weekly basis.

Membership:

1. Faculty Representative School of Fine Arts (elected by area to 2-year term)
2. Faculty Representative Humanities (elected by area to 2-year term)
3. Faculty Representative Natural Sciences (elected by area to 2-year term)
4. Faculty Representative Social Sciences (elected by area to 2-year term)
5. Student (elected by SGA to 1-year term)
6. Student (elected by SGA to 1-year term)
7. *Ex officio* (Convener) Dean of Enrollment Services
8. *Ex officio* Assistant Dean for Academic Success & Records
9. *Ex officio* Director of Financial Aid
10. *Ex officio* Director of Intercollegiate Athletics
11. *Ex officio* (voice, no vote) Vice President for Student Life

Facilities and Space Utilization Committee (Appointed)

The Facilities and Space Utilization Committee encourages the wise, effective, and efficient use of campus facilities and spaces and the careful consideration of pedagogical functions, operating costs, energy expenditures, long-term viability, income generation, and community values associated with campus lands and buildings. Regular activities of the committee include: 1) conducting a yearly review of the campus facilities audit; 2) communicating with and gathering input from campus constituencies about facility issues; 3) assessing and prioritizing project requests; 4) providing feedback on renovation and major capital projects; and 5) monitoring and advising on implementation of and/or revisions to the Facilities Master Plan.

Membership:

1. Faculty Representative School of Fine Arts (appointed to 2-year term)
2. Faculty Representative Humanities (appointed to 2-year term)
3. Faculty Representative Natural Sciences (appointed to 2-year term)
4. Faculty Representative Social Sciences (appointed to 2-year term)
5. Student Representative (appointed to 1-year term)
6. Student Representative (appointed to 1-year term)
7. Student Representative (appointed to 1-year term)
8. *Ex officio* Director of Physical Plant
9. *Ex officio* Director of Residence Life
10. *Ex officio* Associate Athletic Director
11. *Ex officio* Director of University Relations-Events
12. *Ex officio* Technology Support Manager
13. *Ex officio* Assistant Dean for Academic Success
14. *Ex officio* AVP for Facilities and Campus Services

Information Services Committee (Elected/Appointed)

The Information Services Committee succeeds the ITAC (Information Technology Advisory Committee) and the Library Committee. It advises on library and technological resources and services to support the intellectual and operational activities of the University, including, but not limited to, a focus on strategic planning, program and service assessment, oversight of policies and practices including the web, social media, data retention, technology use, copyright and intellectual property fair use policies, and funding priorities. The committee enables important, ongoing discussions about the role, scope, and resources of Information Services in support of the instructional, research, administrative, and operational aspects of the University. The committee, which meets monthly, conducts assessments for and makes recommendations to the Strategic Planning and Budget Committee concerning resource and service needs and future planning.

Membership:

1. Faculty Representative School of Fine Arts (elected by area to 2-year term)
2. Faculty Representative Humanities (elected by area to 2-year term)

3. Faculty Representative Natural Sciences (elected by area to 2-year term)
4. Faculty Representative Social Sciences (elected by area to 2-year term)
5. Staff Representative Enrollment Services (appointed to 2-year term)
6. Staff Representative University Relations (appointed to 2-year term)
7. Staff Representative Student Life (appointed to 2-year term)
8. Staff Representative Academic Support (appointed to 2-year term)
9. Staff Representative Business Affairs (appointed to 2-year term)
10. Student Representative (appointed to 1-year term)
11. Student representative (appointed to 1-year term)
12. *Ex officio* Director of Research and Digital Scholarship
13. *Ex officio* Director of Library Resources
14. *Ex officio* Senior Director of Information Technology
15. *Ex officio* Chief Information Officer

Safety Committee (Appointed)
The Safety Committee works to establish a safe living, learning, and working environment for all community members by developing and promoting safety policy and providing visible safety leadership. It acts as a liaison to departments and groups and reviews and communicates campus safety concerns and current safety/risk management issues.
Membership:

1. Athletics Representative (appointed to 2-year term)
2. Fine Arts Representative (appointed to 2-year term)
3. Academic Support Representative (appointed to 2-year term)
4. Human Resources Representative (appointed to 2-year term)
5. Physical Plant Representative (appointed to 2-year term)
6. University Events Representative (appointed to 2-year term)
7. Science Building Representative (appointed to 2-year term)
8. Student Life Representative (appointed to 2-year term)
9. Student Representative (appointed to 1-year term)
10. *Ex officio* Dir. of Campus Safety & Risk Mgmt. (Convener)
11. *Ex officio* AVP for Facilities and Campus Services
12. *Ex officio* Chief of Police

(Appointments made by appropriate areas in collaboration with the Dean of the Faculty's office and the Director of Campus Safety and Risk Management.)

Strategic Planning and Budget Committee (Elected)
The Strategic Planning and Budget Committee receives, reviews, and disseminates information about the University's budget; collates and conveys information regarding budgetary needs, faculty and staff positions, compensation and benefits, institutional priorities, etc. for appropriate committees; and advises the President on all such matters. This committee also functions as a forum for discussion of the direction, values, goals, difficulties, and aspirations of the institution and a body for developing and evaluating ideas and specific proposals for how to address them. This committee actively participates in the Strategic Planning Process and receives issues and action items from relevant committees. The meetings are bi-weekly.
Membership:

1. Faculty Representative School of Fine Arts
2. Faculty Representative School of Fine Arts
3. Faculty Representative Humanities
4. Faculty Representative Humanities
5. Faculty Representative Natural Sciences
6. Faculty Representative Natural Sciences
7. Faculty Representative Social Sciences
8. Faculty Representative Social Sciences
9. Staff Representative (elected by Staff)
10. Staff Representative (elected by Staff)
11. Staff Representative (elected by Staff)
12. Staff Representative (elected by Staff)
13. Student Representative (elected by Student Government Association)

14. Student Representative (elected by Student Government Association)
15. *Ex officio* Dean of the Faculty
16. *Ex officio* (voice, no vote) Director of Institutional Research

This group engages regularly with the President's budget officers. It is expected that agenda items will require attendance by at least one member of the President's Staff, in addition to the Chief Academic Officer, who will then serve in a communicative liaison role to fellow President's Staff members. These include:

- President of the University
- VP for Finance and Administration
- VP for University Relations
- VP for Information Services and CIO
- Dean of Enrollment Services
- VP for Student Life
- Chief Marketing Officer
- Executive Office Manager for the Office of the President and Liaison to the Board of Trustees

Election of members and term

Faculty Representatives: All area representatives are elected to 2-year terms by vote of the full faculty. The slate of nominees from which the full faculty votes will be determined by vote of the area membership and submitted to the full faculty.

Staff Representatives: The staff representatives are elected to 2-year terms by vote of a majority of the staff.

Student Representatives: The student representatives are appointed to 1-year terms at the end of the academic year for the following year (to be determined by the Student Government Association.)

Any faculty or staff member who has been elected to serve two consecutive terms on this coordinating committee should wait one full term before standing for election again.

Sustainability Committee (Appointed)

The Sustainability Committee is charged with the promotion of practices and programs that support the principles of social, financial, and environmental sustainability of Southwestern University as outlined in the Talloires Declaration and the American College and University President's Climate Commitment. In keeping with the principles of these agreements, this committee is tasked with: 1) promoting civic engagement and interdisciplinary learning to reduce climate change; 2) increasing awareness of and practices of sustainability within the campus and among community stakeholders; 3) reducing negative impacts on the global climate; 4) creating an institutional culture of sustainability; and 5) fostering environmental literacy. The committee collaborates with groups devoted to curriculum, student life, and facilities and space utilization, among others. Issues on which the committee advises include, but are not limited to: energy use; recycling and composting; sustainability initiatives; building and landscape design; faculty and curriculum development; community partnerships; and civic engagement.

Membership:

1. Faculty Representative (appointed to 2-year term)
2. Faculty Representative (appointed to 2-year term)
3. Faculty Representative (appointed to 2-year term)
4. Staff Representative (appointed to 2-year term)
5. Staff Representative (appointed to 2-year term)
6. Staff Representative (appointed to 2-year term)
7. Student Representative SEAK (appointed to 1-year term)
8. Student Representative SGA (appointed to 1-year term)
9. Student Representative (Open) (appointed to 1-year term)
10. Student Representative (Open) (appointed to 1-year term)
11. *Ex officio* (voice, no vote) AVP for Facilities and Campus Services

Note: All faculty, staff, and students who wish to participate are welcome to attend. The committee may also schedule meetings with other committees and invite guests or speakers to attend as needed.

Staff Affairs

Staff Steering Committee (Elected)

The mission of the Staff Steering Committee is to give all members of the staff the opportunity for a voice and engagement in the governance of the Southwestern community. The Staff Steering Committee is a representative body of non-faculty employees that provides a forum for all staff and works to strengthen the lines of communication across the University, to discuss issues of importance to staff, to develop common approaches to them, and to advise the staff as a whole.

Membership:

1. Staff Representative Academic Support (elected by area to 3-year term)
2. Staff Representative Academic Support (elected by area to 3-year term)
3. Staff Representative Academic Support (elected by area to 3-year term)
4. Staff Representative Student Life (Athletics) (elected by area to 3-year term)
5. Staff Representative Student Life (elected by area to 3-year term)
6. Staff Representative Student Life (elected by area to 3-year term)
7. Staff Representative University Operations (elected by area to 3-year term)
8. Staff Representative University Operations (elected by area to 3-year term)
9. Staff Representative University Operations (elected by area to 3-year term)
10. Staff Representative Physical Plant (elected by area to 3-year term)
11. Staff Representative Physical Plant (elected by area to 3-year term)
12. Staff Representative Physical Plant (elected by area to 3-year term)
13. Administrative Liaison (voice, no vote) (AVP of HR)
14. Ex-officio Retiree (voice, no vote) (voluntary, 1-year term)
15. Faculty Liaison (voice, no vote) (appointed from within Faculty Steering annually)
16. Student Liaison (voice, no vote) (appointed by Student Government Association annually)

* This is the designated coordinating committee for the Staff Affairs area.

Election/appointment of members and term:

- Members from each of the major staff areas (Student Life, Academic Support, University Operations, and Physical Plant) will be nominated and elected by their respective areas.
- One volunteer from the retiree group will be elected by the retiree group to serve in an *Ex-officio* capacity (voice, no vote).
- All voting members of the Staff Steering Committee will be operational staff (i.e., non-President's Staff).
- One member of the Staff Steering Committee will be appointed to serve as a liaison to the Faculty Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Faculty Steering Committee. This liaison will attend Faculty Steering Committee meetings upon request. Similarly, 1 member of the Faculty Steering Committee will be appointed to serve as a liaison to the Staff Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Staff Steering Committee. This liaison will attend Staff Steering Committee meetings upon request. The chair of each Steering Committee will forward copies of each committee meeting agenda and minutes to the respective liaison.
- To avoid over representation and ensure equal voice on the council, no more than two staff members per department.
- The 12 staff representatives will all have a voice and a vote.
- Administrative Liaison will be invited to attend the Staff Steering Committee meetings on an as-needed basis.
- Three-year staggered terms for staff members.
- One-year term for the voluntary retiree member.
- This committee collaborates with the office of the Dean of the Faculty to appoint staff to non-elected committees (with appropriate supervisor approval).

Reporting/Flow of Information:

- Report directly to Strategic Planning and Budget Committee.
- Agendas are posted by chair online to entire campus community in advance of all meetings in a timely manner.
- Final meeting agenda and minutes are to be posted by chair-elect online to entire campus community in a timely manner (within one week).

- The 12 staff representatives and the retiree representative meet once per month during the semester. The administrative liaison will attend alternate meetings. Additional meetings may be called by the chair.
- A meeting of all staff will occur once each semester (preferably no later than the tenth week of the semester).
- Joint meeting of Staff Steering Committee and Faculty Steering Committee will occur as needed.
- Meets with the Strategic Planning and Budget Committee at least once per year.

Additional Functions:

- Absorb the work of the New Staff Orientation Committee
- Staff Development
- Assist with annual review of Staff Handbook
- Campus Enrichment

Student Affairs

Affiliated Groups

- Alcohol and Other Drugs Committee
- Campus Life Advisory Committee
- Honor Code Council
- Sexual Assault Risk Reduction Committee
- Sexual Misconduct Hearing Board
- Student Government Association *
- University Committee on Discipline

* This committee accepts action items from affiliated committees for review and, where new policy or policy changes are recommended, forwards items to the appropriate committee and/or administrative unit (see Guiding Principles for Committee Deliberations and Policy Formation). (Note that the Faculty Steering Committee collaborates with the President and the Dean of the Faculty to set the agenda for Faculty Meetings.)

Alcohol and Other Drugs Committee (Appointed)

Charge: The Alcohol and Other Drugs Committee's purpose is to examine Southwestern's current alcohol and other drug policies, explore effective prevention measures on other campuses, and implement any revisions and/or new procedures that will help keep Southwestern a liberal arts community whose actions are congruent with its values.

Membership:

1.	Faculty Representative	(appointed for 2-year term)
2.	Faculty Representative	(appointed for 2-year term)
3.	Student Representatives (#tbd)	(appointed by Student Government Association)
4.	*Ex officio*	Director of Residence Life
5.	*Ex officio*	SU Chief of Police
6.	*Ex officio*	Associate Athletic Director
7.	*Ex officio*	Dean of Students
8.	*Ex officio*	Wellness Counselor & Outreach Coordinator

Campus Life Advisory Committee (Appointed)

Charge: The Campus Life Advisory Committee works closely with the Student Government Association to identify opportunities and issues of concern related to student life. It is responsible for helping support conversations within the Student Government Association, among the student body as a whole, and within the larger Southwestern community regarding student life, including curricular and co-curricular matters.

Membership:

1.	Faculty Representative	(appointed for 2-year term)
2.	Faculty Representative	(appointed for 2-year term)
3.	Staff Representative	(appointed for 2-year term)
4.	Staff Representative	(appointed for 2-year term)
5.	*Ex officio*	Student Government Association President
6.	*Ex officio*	Student Government Association Vice President
7.	*Ex officio*	VP for Student Life
8.	*Ex officio*	Dean of Students

Honor Code Council (Elected/Appointed)
The Honor Code Constitution and a full description of the hearing process can be found in the Honor Code section.
Membership:

1.	Student Representative	President (elected for 1-year term)
2.	Student Representative	Vice President (elected for 1-year term)
3.	15 Student Representatives	(elected for 1-year term)
4.	3 Faculty Advisors	(appointed for 1-year term)
5.	Faculty Hearing Board Representatives	(drawn from the full faculty for each hearing)
6.	*Ex officio*	Dean of Students

Other than the three faculty advisors, faculty service in hearings will follow a jury duty model. All faculty members will be trained on how the hearing process works, with refresher courses offered annually. The call for service in a hearing will come from the Dean of Students and the Dean of the Faculty to signal the importance of this work for all faculty members. Those who cannot serve when called will be asked to serve again at the next hearing.

Sexual Assault Risk Reduction Committee (Appointed)
Charge: The Sexual Assault Risk Reduction Committee is charged with identifying strategies for ensuring that students: know the school's prohibition against sexual discrimination, including sexual harassment and violence; recognize sex discrimination, sexual harassment, and sexual violence when they occur; understand how and to whom to report any incidents; know the connection between alcohol and drug abuse and sexual harassment or violence; feel comfortable that school officials will respond promptly and equitably to reports of sexual harassment and /or violence. It is also charged with issuing new policy statements or other steps that clearly communicate that the school does not tolerate sexual harassment and violence and will respond to any incidents and to any student who reports such incidents, and revising grievance procedures used to handle sexual harassment and violence complaints to ensure that they are prompt and equitable, as required by Title IX. The committee also explores and sponsors programming that seeks to educate and inform the entire campus community about these issues.
Membership:

1.	Faculty Representative	(appointed for 2-year term)
2.	Faculty Representative	(appointed for 2-year term)
3.	Staff Representative	(appointed for 2-year term)
4.	Staff Representative	(appointed for 2-year term)
5.	5 Student Representatives	(appointed)
6.	Student Government Association Representative	(appointed by SGA)
7.	*Ex officio*	Sexual Harassment Officer
8.	*Ex officio*	Director of Counseling Services

Sexual Misconduct Hearing Board (Appointed)
Charge: The Sexual Misconduct Hearing Board hears cases involving alleged student or student organization sexual misconduct. A subset of the ten faculty and staff representatives participate in each hearing.
Membership:

1.	10 Faculty Representatives	(appointed for 1-year terms)
2.	5 Staff Representatives	(appointed for 1-year terms)

Student Government Association (Elected)
The Student Government Association (SGA) shall be the primary student governing body. It shall:

- Complete the business of student government;
- Work closely and communicate with administration and faculty;
- Empower and support student leaders and initiatives;
- Take a proactive and forward-looking approach to identifying student issues and developing effective policy;
- Promote the welfare of the student body and the University as a whole.

SGA should advocate for the interests and needs of students and the University. It is responsible for encouraging and facilitating student involvement in governance of Southwestern. It responds to and helps focus student ideas and concerns. It works closely and communicates with administrators, faculty, and Board members to promote student success and the vitality of the University. The presiding officer and vice-presiding officer of SGA shall meet with the President, the Dean of the Faculty, the Vice-President for Student Life, and the four Associate

Deans to discuss initiatives and student interests. SGA recruits and appoints student representatives to almost every committee at Southwestern. SGA shall be composed of an appropriate number of student representatives who are appointed according to methods determined by SGA (see the SGA Constitution and Bylaws for details). SGA controls funding for student organizations and clubs. SGA is responsible for convening the Southwestern student body within the first 4 weeks of each semester to discuss its agenda for the semester and identify and discuss issues of student interest and concern. SGA shall be responsible for convening the student body annually to reaffirm the Honor Code.

University Committee on Discipline (Elected/Appointed)

Charge: The University Committee on Discipline (UCD) is the judicial body that adjudicates all student violations of University policies that may result in suspension or expulsion, with the exception of violations of the Honor System, and sexual misconduct and sexual harassment policies, which are adjudicated by other bodies. UCD also hears all judicial cases against student organizations, with the exception of sexual misconduct and sexual harassment violations. A subset of the faculty, staff, and student representatives participate in each hearing.

Membership:

1. Student Representative — President of the Honor Code Council (elected to 1-year term)
2. 11 Student Representatives — (appointed 1-year term)
3. 5 Staff Representatives — (appointed 1-year term)
4. 4 Faculty Representatives — (appointed 1-year term)
5. *Ex officio* — Dean of Students

Faculty Challenge of Committee Actions

"All actions of any committee may be challenged by a petition supported by 20% of the faculty members eligible to vote. Petitions may be in written form or voted from the floor of a faculty meeting. They must be made within thirty days of the meeting of the coordinating committee except at the end of the normal academic year, in which case they must be made by the last day of classes. The period for petitions may be extended by the President where adequate notice of committee actions within the specified period should be deemed not to have occurred. Written petitions shall be presented to the President and the chair of the coordinating committee involved. When a petition has been presented, the President shall schedule discussion of the matter for resolution at the next regular meeting of the faculty or call a special faculty meeting to take care of it. A special faculty meeting shall be called before the end of the academic year to take care of all items on which a petition has been submitted." [Faculty Minutes, April 29, 1980.]

IV. FACULTY PROCUREMENT AND SERVICES

Introduction

Southwestern University recognizes that an open application system, where all interested and qualified individuals are given an equal opportunity to apply, is essential to a non-discriminatory work environment. Accordingly, special efforts are made to reach a broad pool of qualified candidates, including women and minorities, for all positions.

Types of Faculty Members

The Bylaws state that the "faculty shall consist of the President of the University, the Dean of Instruction, the Vice Presidents, the Dean of Students, Professors, Associate Professors, Assistant Professors, Instructors, and such other personnel as designated by the President [Article III, 310.1.1]." The faculty is thus divided into three types: 1) Deans, and Vice Presidents; 2) administrators and professional staff with faculty rank [i.e., professional librarians]; and 3) regular and special teaching faculty [e.g., Professors, Associate Professors, Assistant Professors, and Instructors]. Administrative professionals are employed to serve principally as staff, though they may do some teaching. All administrators and professional staff members with professorial rank are assigned by the President to membership in an academic area of the University. Teaching members are employed to serve principally as teachers, though they may do some administrative work. The type of relationship to the University under which one is employed will normally be specified in the appointment letter. Unless otherwise specified in the letter, administrators and professional staff are employed on a twelve-month basis, while teachers are employed on a nine-month basis. Persons whose principal activities are teaching programs, those whose load is primarily coaching and directing Fitness and Recreational Activity courses, professional librarians, and any others whose principal work is not classroom or studio teaching are administrators or professional staff members with teaching appointments.

A teaching faculty member may be full-time or part-time. A "normal" full-time load for tenured and tenure-track faculty is five courses for 18-20 credits per year or its equivalent, plus advising, committee work, attendance at faculty/area/school/department/program meetings, and certain other non-classroom duties, which may qualify for released time, as defined by agreement with the Dean of the Faculty. Only full-time faculty members designated by the President as tenure-track are eligible for tenure. The teaching load of full-time visiting faculty is at least five courses per year. Full-time visiting faculty and part-time faculty do not have advising or committee responsibilities. Part-time teachers who have taught the equivalent of two courses per semester for six to eight credits and who have completed or are in the process of completing three successive annual appointments are eligible for competitive faculty development funds and are granted voting privileges.

Professorial Rank for Administrators

Because early in its history most of the administrators at Southwestern came out of the teaching faculty and thus held professorial rank in their administrative positions, it has become customary for the President to assign an equivalent professorial rank to some administrators and professionals who do not emerge from the teaching faculty. Such assignment of rank does not place the administrator or professional on the tenure track but does automatically make him or her a member of the general faculty by presidential appointment with right of vote in faculty meetings and the right to march as a faculty member in academic processions. Certain other administrative or professional personnel are advised annually of their rights to attend faculty meetings with voice but without vote or the right to march in academic processions.

Part-time Faculty Members

Southwestern University employs full-time faculty members insofar as possible to teach its curriculum and to perform the other educational tasks of the University. Part-time faculty members normally serve in situations where the University may want to take advantage of special courses or skills which it cannot contract on a full-time basis, for additional curricular needs beyond that offered by the full-time faculty, or where temporary replacement faculty is needed because of sabbatical, leave of absence, or course releases.

Part-time faculty members are all persons who teach less than a full-time load. Part-time faculty members are not eligible for tenure and receive appointment letters either each semester or yearly from the Dean of the Faculty.

The University values its part-time faculty members and considers them to be important partners in the teaching and learning enterprise. They are entitled to many of the advantages of University affiliation to which full-time faculty members are entitled. Their teaching assignment should be carefully determined by the department chair

and the Dean of the Faculty so as not to exceed the load appropriate to the individual's fraction of a full-time load. The part-time faculty member is assigned a faculty rank consistent with his or her educational background and experience, and that rank may be adjusted by the Dean of the Faculty from year to year, in consultation with the department chair, when a promotion is deemed to be appropriate. The part-time faculty member should be provided office space, insofar as possible, and should share the faculty support services of the University, including faculty secretarial services.

Part-time faculty members are eligible for certain University benefits, which vary depending upon the members' category. All persons whose appointment is at least three-quarter time (consisting of a combination of courses taught and other duties as determined by the Dean of the Faculty) in each of two consecutive semesters per academic year are eligible to participate in the University's individual group health insurance and group life insurance programs, dental insurance and the vision plan. They may also participate in the University's retirement program subject to certain eligibility limitations. The details of benefits available to part-time faculty members may be obtained from the Human Resources department.

All teaching faculty, including part-time faculty, participate in the student course evaluation system. All part-time faculty members must be regularly evaluated. They must have their students complete student evaluation forms in every class, consistent with University course evaluation procedures and with the advice and cooperation of their department chair. Committee work and academic advising are negotiated with the Dean of the Faculty. Weekly presence on campus and office hours should be proportional to the fraction of full-time load that the position carries. Other specific responsibilities are determined by the department chair or Dean and the part-time faculty member.

Administrators and professional staff may be authorized to teach even though their major responsibilities classify them as administrators, but who also may do some teaching. This category currently includes full-time coaches, professional librarians, members of the President's Staff, academic affairs staff with faculty rank, and others. Teaching assignments must be approved by the Dean of the Faculty, upon recommendation of the department chair. Individuals in this category do not receive extra compensation for teaching during their regular appointment period.

Coaches
The duties of full-time head coaches include coaching at least one major sport, recruiting athletes for one or more sports, sharing departmental responsibilities, and teaching Fitness and Recreational Activity courses as assigned by the chair of the Department of Exercise and Sport Studies. Coaches may be assigned occasionally to teach other courses for which they are qualified, subject to the approval of the Dean of the Faculty, and have the participatory responsibilities and opportunities outlined in this handbook. Initial appointments for full-time coaches state the title of the position and the academic rank. Coaches' benefits are described in the *Staff Handbook*. Individuals in this category do not receive extra compensation for teaching during their regular appointment period.

Professional Librarians
"The function of the librarian as a participant in the process of teaching is the essential criterion of faculty status," according to the "AAUP Joint Statement on Faculty Status of College and University Librarians." [*AAUP Bulletin*, Winter 1972: 434-5]. Recognizing this, Southwestern University grants faculty status to all full-time professional librarians who possess the appropriate professional credentials.

Professional librarians hold at least a master's degree for the field of library and information science. Librarians hold twelve-month staff appointments and are not eligible for tenure. Their benefits are described in the *Staff Handbook*. Otherwise, they have the participatory responsibilities and opportunities outlined in this handbook. They contribute fully to faculty governance structures. Initial appointment letters for all professional librarians state the title of the position and the academic rank accorded.

Each librarian's professional contribution to the library, the University, and the profession are reviewed periodically by the Chief Information Officer in a formal, written evaluation and/or by individual consultation. These evaluations are conducted in conformity with University procedures as administered by the Human Resources department.

Adjunct Instructors in Applied Music and Fitness and Recreational Activity Instructors
Adjunct instructors in applied music are employed in the School of Fine Arts to teach applied lessons where the regular full-time faculty does not have the expertise to teach the desired instrument or where there is an overload.

The student pays the University for the cost of the instruction and the University pays the teacher on the basis of credentials, ability, experience, and time commitment to the assignment.

Instructors in Fitness and Recreational Activity (FRA) courses are employed in the Exercise and Sport Studies Department to teach one-credit FRA courses where the regular faculty does not have the required expertise.

While their contributions are valued by the University, adjunct instructors in applied music and FRA instructors are not members of the regular teaching faculty. Their responsibilities are limited to classroom instruction.

Determining Faculty Credentials

The Dean of the Faculty's Office is responsible for verifying that teaching faculty carry the appropriate credentials to teach in the discipline for which they are hired -- a terminal degree in the field or at least 18 graduate-level credits in the field. In instances where a faculty member does not have these credentials, prior to the preparation of the appointment letter, the Associate Vice President for Academic Administration will solicit from the department/program chair a statement of certification that the instructor has the professional experience or other attributes which are the equivalent of the 18 graduate-level credits prior. This statement will be reviewed by the Associate Vice President for Academic Administration and the Dean of the Faculty to determine whether the faculty member is qualified to teach in the field. A recommendation will be made to the Dean of the Faculty Dean and the Associate Vice President for Academic Administration will then convey the decision to the department/program chair.

The Paideia, First-Year Seminar, and Advanced-Entry Seminar programs offer learning experiences for students that are not geared toward the transmission of disciplinary content. Rather, they are programs of integrated learning that introduce students to ways of teaching and knowing. Therefore, faculty teaching in these programs are selected based on their teaching records and the quality of proposals submitted to the respective committee, not on disciplinary credentials.

The Faculty Hiring Process

Tenure-track Faculty Appointments

The process of securing new tenure-track full-time faculty appointments involves a national search to identify candidates with the strongest possible academic credentials and a strong commitment to work effectively within the setting of a liberal arts and sciences undergraduate education. Searches are carried out under the guidelines established by the University. The President is ultimately responsible for the appointment of faculty members. When deciding when and where to establish new tenure-track lines, the President, in consultation with the Dean of the Faculty and the Associate Deans should consider the following criteria (listed alphabetically):

- Disciplinary requirements
- Diversity
- Opportunity to address current weaknesses
- Opportunity to take advantage of current strengths
- Potential contributions to general education requirements
- Potential contribution to interdisciplinary programs, area studies, and/or to multiple departments
- Potential for strengthening Southwestern's identity as a liberal arts college
- Student interest, broadly understood

This list is not ranked, and there are a variety of ways in which these criteria may be used to reflect on the University's staffing needs.

The search process involves wide faculty and student participation under the direction of the Dean of the Faculty. Tenure-track search procedures involve three major steps:

1. The Organization of the Search:
   As soon as it is known that an opening will occur, the appropriate department chair consults with the Associate Deans and the Dean of the Faculty. The Deans define the nature and character of the position in consultation with the department chair and other appropriate persons. The level of appointment, the salary range, and the responsibilities of the position are determined by the Dean of the Faculty, in consultation with the appropriate Associate Dean and the President. While administrative responsibility for searches rests with the Deans, the day-to-day responsibility for the organization and operation of the

search is under the purview of the Search Chair (most often the department chair) who is appointed by the Dean of the Faculty. Faculty search guidelines are available on the Dean of the Faculty's Office Web page.

2. Selection of Candidates:
The Search Committee is approved by the Dean of the Faculty. The Search Committee is composed of the department chair (if other than the Search Chair), other tenured, tenure-track, and other department members, a faculty member outside the department, and one or two students (normally majors within the department). The Dean of the Faculty, in reviewing the composition of search committees, will consider the gender balance of the committee an important factor in conducting the search. The Search Chair must appoint a faculty member on the Search Committee to serve as the "diversity advocate" for the search process. This individual will be responsible for ensuring that the development of a diverse applicant pool is a high priority in the search process.

Notice of the opening is published nationally, and it is listed with professional organizations. Letters announcing the opening may be sent to universities known to produce strong candidates, to department chairs at other institutions and to agencies, which screen applicants within the discipline. Whenever possible, prospective candidates are interviewed informally at regional or national meetings.

The Search Committee determines whom to interview initially, whether by telephone or on campus. Invitations to visit campus are issued by the Search Chair upon approval of the Dean of the Faculty. At least two final candidates are brought to campus, where they are normally interviewed by the President, the Dean of the Faculty, the appropriate Associate Dean, and the Search Committee. Students majoring or minoring in the department shall have the opportunity to meet separately with the candidates and will report to the Search Chair. The candidates' formal presentations will be in a public forum whenever possible.

3. The Offer of Appointment:
After the on-campus interviews, reports from all individuals who were involved in the interview are gathered by the Search Chair and made available to members of the Search Committee. The Search Committee then meets to consider the qualifications and performances of the candidates and to rank the acceptable candidates. The Committee's recommendations and supporting documents are then sent to the Dean of the Faculty. The reports of those involved in the interview process and the recommendations of the Search Committee are summarized by the Dean of the Faculty, who then makes the recommendation to the President. The decision to appoint is ultimately left to the President.

Non Tenure-track Full-time Faculty Appointments
It is often necessary to seek and appoint individuals to full-time, non-tenure track (visiting) positions when, for example, a vacancy occurs late in the academic year, when a tenure-track search is unsuccessful, or when an impending departmental/program review makes a tenure-track appointment undesirable. Individuals in these positions serve for limited periods of time, with appointments not to exceed two years (appointments may be renewed). These appointments carry the titles of Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, or Visiting Instructor. After authorization by the Dean of the Faculty, the search is conducted under the leadership of the department chair.

The search procedures used for non-tenure-track appointments are usually simplified, subject to the approval of the Dean of the Faculty. Advertising may be restricted to local or regional publications, fewer candidates may be brought to the campus, and fewer members of the department may be involved in the search. The candidates and their credentials are then carefully evaluated, and a recommendation to appoint a candidate is made to the Dean of the Faculty or the appropriate Associate Dean. The Dean of the Faculty, in consultation with the President, authorizes the department chair to offer the position.

Renewal of Visiting Full-time Faculty Appointments
The Dean of the Faculty and the President determine whether to offer an additional year of visiting full-time appointment. Prior to being rehired, the department chair submits a written evaluation of the visiting faculty member to the Dean of the Faculty using the results of student evaluations, the input received from the faculty member being evaluated, the opinions of other faculty members, and other relevant and appropriate information. This evaluation serves as the basis for determining whether the faculty member may be rehired.

Part-time Faculty Appointments

The department chair has primary responsibility for recruiting and hiring part-time faculty members. When the need for a part-time faculty member is determined jointly by the department chair, the Dean of the Faculty, and appropriate Associate Dean, the Dean of the Faculty authorizes the department chair to seek out and recommend candidates for the position. At the time of the authorization, rank, salary range, and specific responsibilities are determined. Search procedures may vary depending upon the nature of the position. The department chair may choose to involve students and other faculty members in the search and consults with the Dean of the Faculty and appropriate Associate Dean as the search progresses. The names of recommended candidates for the position are forwarded to the Dean of the Faculty for approval. Hiring procedures are initiated by the Dean of the Faculty with the Human Resources department for approved candidates for part-time faculty positions.

Renewal of Part-time Faculty Appointment

The department chair may recommend continuing the employment of an already employed part-time faculty member. Prior to being rehired and on an annual basis, the department chair submits a written evaluation of the part-time faculty member to the Dean of the Faculty using the results of student evaluations, the input received from the faculty member being evaluated, the opinions of other faculty members, and other relevant and appropriate information. This evaluation serves as the basis for determining whether the part-time faculty member may be rehired. With permission of the department chair and the part-time faculty member, another permanent member of the department can contribute to this process by reviewing student evaluations and making a report to the chair, who in most cases will also review the evaluations. Though part-time faculty members receive appointment letters either each semester or yearly, they should receive timely notification of whether an appointment letter will be offered in subsequent semesters, consistent with the Dean of the Faculty's evaluation of the University's needs. The final decision to rehire rests with the Dean of the Faculty, under authority delegated by the President. The Dean of the Faculty authorizes the chair to make an offer of employment. If the part-time faculty member accepts the offer for renewal, the Dean of the Faculty initiates appointment renewal procedures with the Human Resources department.

The Appointment Letter

The terms of employment are specified by the University and accepted by the faculty member by means of an appointment letter. All faculty members will normally receive an annual notification of reemployment, though once tenure has been granted, reemployment is automatic and the person may assume reemployment on the same conditions as those of the previous year. Faculty members will always be notified by letter of special elements regarding any appointment which is to be changed.

The following elements will be assumed to have been covered to the satisfaction of the faculty member by the return of the signed appointment letter to the Dean of the Faculty:

1. The title of the position and the rank accorded therewith;
2. The salary;
3. The granting of prior experience credit toward tenure and promotion;
4. The dates corresponding to the nine months of annual employment, with the University's right to change them annually by means of a general announcement during the preceding academic year applicable to all teaching faculty members. A faculty member's appointment obligation to the University is for nine months. Under the present arrangement, the University calls on the faculty member for two semesters of teaching within the nine-month period. It may stipulate further academic responsibilities within the nine-month period outside the time announced for the beginning and end of the two semesters should the two semesters not encompass the entire nine-month period. Unless a specific agreement is made at the time of appointment, all faculty positions are full-time;
5. The agreement that the newly appointed faculty member has read or been given the opportunity to read the *Faculty Handbook*, especially the provisions related to the probationary period prior to the granting of tenure, work outside the University, faculty responsibilities, and the expectations of the University regarding faculty relationship to University policy in student life matters, and that the faculty member understands that the *Faculty Handbook* outlines the general expectations and procedures of the University for faculty members;
6. An understanding that the letter of appointment requires confirmation by the Board of Trustees; and
7. An understanding that failure to live up to the terms of the appointment as specified above will be considered adequate cause for non-renewal of appointment for probationary faculty members and may

constitute adequate grounds for instigation of dismissal with cause procedures for faculty members with tenure.

Faculty Transcripts

All faculty must submit original transcripts to the Dean of the Faculty's Office from all institutions from which a college degree was earned.

Renewal of Appointment for Tenure-track Faculty Members

1. "Written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of her/his appointment, as follows:

a. Not later than March 1 of the first academic year[1] of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.

b. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if one-year appointment terminates during an academic year, at least three months in advance of its termination;[2]

c. At least twelve months before the expiration of an appointment after two or three years of service at the institution; the institution will normally notify faculty members of the terms and conditions of the renewals by March 15.

2. A faculty member may terminate her/his appointment effective at the end of an academic year, provided that she/he gives notice in writing at the earliest possible opportunity, but no later than April 15, or thirty days after receiving notification of the terms of her/his appointment for the coming year, whichever date occurs later." [Minutes, Board of Trustees, January 30, 1970.]

The University clearly reserves the right to make decisions on retention or non-retention both because of the qualifications of the faculty member and because of the needs of the department. Because such a variety of factors relate to appointment decisions, a decision not to reappoint does not reflect adversely upon the adequacy of the faculty member.

Privacy of Faculty Offices

It is the policy of the University to respect the privacy of all personal offices. Personal offices should not be entered by anyone other than the recognized occupant except for purposes of cleanup, for delivery services (to leave mail or materials), or on the basis of invitation or prior recognized agreement. During periods of building renovation, permission is given to architects and builders to enter offices specifically and solely for the purpose of ascertaining the measurement and design facts needed for planning purposes. In cases where offices are to be changed, the occupant will be advised ahead of time and invited to engage in any pre-packing which is desired, to leave instructions to the movers, or to participate in the moving process. In cases where the occupant does not respond to the notice within a reasonable period of time, the administration will assume that such failure to respond constitutes permission to effect the change. No changes will be made during holiday periods unless the occupant has been advised prior to the last class day. Information Technology Services (ITS) staff will assume that a request for service includes permission to enter an office to provide that service unless told otherwise. In the infrequent situations where many or all faculty offices must be entered, ITS will provide twenty-four hour advance notification of the time period(s) during which ITS will be servicing computer equipment. In an emergency situation, such as when a computer system is actively propagating a virus or is otherwise disrupting network services, ITS may enter an office to disconnect the infecting system from the network.

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[1] For purposes of appointment renewal, "academic year" is defined to extend from September 1 to August 31 of the following year.

[2] Nevertheless, even after December 15 of the second year, a faculty member whose appointment has been renewed may still be notified by

[2] Nevertheless, even after December 15 of the second year, a faculty member whose appointment has been renewed may still be notified by the following August 31 that his/her third year appointment is terminal.

V. FACULTY RESPONSIBILITIES AND ACADEMIC PROCEDURES

Faculty Teaching Load

It is expected that every department and every faculty member will make a serious effort to bear a reasonable share of the workload. Modification would result from consideration of laboratory contacts and preparations, activity contacts, unusual paper grading responsibilities, etc.—Records of workloads are kept in the Office of the Dean of the Faculty and are available to the Faculty Status Committee, the Associate Deans and department chairs, and to the individual faculty member. Credit for Independent Study toward the faculty member's workload shall be granted only on the basis of consultation with the department chair and approval by the Dean of the Faculty. Responsibility for making the Dean of the Faculty or Associate Dean aware of special elements in workloads rests with the faculty member. Special elements connected with workloads are cumulative. A faculty member who carries a heavier-than-normal load for a semester or two is entitled to a comparable lightening of the load in succeeding semesters. The use of more efficient teaching procedures, however, is not to be penalized by increased workloads. On the other hand, the use of less than efficient teaching procedures in order to perpetuate artificially high workloads is discouraged. Experimentation and innovation are encouraged and rewarded.

The following general standards govern the present workload policies during the regular semesters.

1. A "normal" load is 5 standard courses per academic year (18-20 credits distributed as a 3-2 or 2-3 teaching load; non-laboratory and having no "special features") or its equivalent as approved by the Dean of the Faculty, plus the handling of no more than two students in Independent Study or Academic Internships. In terms of student contact hours, such a "normal" load would range from 50 to 100 students per semester in total class contacts. Modification would result from consideration of laboratory contacts and preparations, activity contacts, unusual paper grading responsibilities, etc. The exception may be in the laboratory sciences where teaching may exceed nine contact hours in one semester due to lab instruction.

2. The minimum class size is 6 students. Decision to cancel classes below 6 rests with the Dean of the Faculty, the Associate Dean, and the department chair. If the class falls below 6, the same standards for crediting course load will be used as are used for Independent Study.

3. Independent Study or Academic Internships may be credited to the faculty workload in the following pattern: 1 or 2 students, 1 credit; 3, 4 or 5 students, 2 credits; 6 students, 3 credits.

4. In Kinesiology, fitness and recreational activity courses normally meet 150 minutes per week for one credit. Because of the difference of preparation and contact time, fitness and recreational activity courses are currently being calculated at 1 ½ contact hours per credit.

5. In Education, supervision of practice teachers is calculated on a formula of 18 student teachers to the full semester load, i.e., the supervision of 6 student teachers is equated to a three-credit course.

6. Because of the unique teaching situations for many of the courses in the School of Fine Arts, each area is outlined below. Except for Music Ensemble, the first figure is clock hour; the second figure is semester credit. A "normal" load is prorated on this basis to the "normal" load of the University.

   A. Art – classroom 1:1, studio 2:1
   B. Theatre – classroom 1:1, laboratory 2:1
   C. Music – classroom: theory/literature 1:1, music education 1:1. Music – applied: 3:2 (private and group instruction). Music – ensembles: (each receives a set number of semester credits) 3 – Wind Ensemble, Chamber Orchestra, University Chorale, Opera Theatre, Southwestern Singers, Jazz Ensemble. [Additional groups may be organized receiving 0-2 credits for a particular semester.]

Standards 1, 2, 3 and 6 above are also considered in arriving at loads in Fine Arts.

Faculty Committee Responsibilities

Faculty service on University committees is essential to the governance of the institution. Membership on committees is established through presidential appointment and elections by areas, committees, and other bodies.

The Office of the Dean of the Faculty is responsible for making committee assignments in such a way that there is a fair and equitable distribution of faculty members among the various committees. Following a review by the Associate Deans, the Dean of the Faculty submits the committee listing to the President each year for his/her approval. A faculty member may, because of special circumstances, request withdrawal from any appointed or elected committee by making such a request in writing to the Dean of the Faculty. Appointed committee members are assigned by the Dean of the Faculty and approved by the President based on faculty preference, committee functions, institutional need, and other factors relevant to balancing institutional governance and individual workloads.

Faculty are not expected to serve on University committees during their first year. Faculty in their second year and beyond should maintain at least two service components each year. Typically, this will involve service on one University governance committee and at least one significant contribution at the Department/Program level, which may include membership on an interdisciplinary committee.

Academic Advising

As an integral part of a liberal arts education, regular teaching faculty who have been at Southwestern University for one academic year advise students. At Southwestern, advising involves more than course selection; it provides students with an opportunity to discuss and review their academic and life plans with an interested and experienced member of the faculty.

The Assistant Dean for Academic Success and Director of Records assigns faculty new student advisees based on students' initial academic interests. Advisors assume a significant educational role by encouraging their advisees to become engaged in their education, to meet their educational goals, and to develop the habit of learning. Advisees, in turn, must routinely contact their advisors each semester and must assume final responsibility for course scheduling, program planning, and the successful completion of graduation requirements.

An attempt is made to balance advisee assignment among faculty members, based on the departmental situation as a whole. Typically, a faculty member will be assigned 5-8 new students, but in no case more than 15. Any faculty member with 30 or more advisees will be assigned no new student advisees. After the first semester, a student may change to another advisor with the written consent of that faculty member and confirmation by the Records Office. The form for changing advisors is available in the Records Office or the Center for Academic Success.

Course Syllabi

At the beginning of every course, faculty members should provide the students with a syllabus that gives another level of orientation to the course, including student-learning outcomes. The syllabus should introduce the topics to be covered, expectations for individual or collaborative work, tentative dates for tests and assignments, and expectations regarding work load (suggested schedule for readings, homework, labs, etc.). The syllabus should also contain the following basic pieces of information: a. attendance policy, including the University's policy on absences due to religious and cultural traditions, b. grading policy (e.g., what percentage tests, papers, attendance, class participation, etc. count toward the course grade), and c. required activities outside the normal class period (including tests, lectures, field trips, performances, and other events). The syllabus should also contain Southwestern's statement on disabilities:

> "Southwestern University will make reasonable accommodations for persons with documented disabilities. Students should contact the Center for Academic Success and Records to determine their eligibility to receive accommodations."

The Chair maintains a file of syllabi for all courses offered in the department. Each syllabus should be retained for six years.

Faculty Advisors to Student Organizations

Faculty members may be asked by student organizations to serve as faculty advisors. The faculty member must be interested in the organization to the extent of being willing to meet with and advise the group. Duties of faculty advisors are to assist students in decisions concerning all social functions of the group, to represent the organization to the faculty and administration, and to be acquainted with and to help the organization maintain the rules of the University. The duties of the organization toward faculty advisors are to invite advisors to attend meetings and social functions of the organization, and to consent with the faculty advisors concerning proposed functions.

Presence on Campus

Full-time faculty members are normally expected to be on campus five days a week, Monday through Friday, during any semester in which they are teaching, excluding holidays. Part-time faculty members' time on campus should be a reasonable proportion of the fraction of a full-time load that the position carries, worked out in consultation with the department chair. A faculty member's presence and availability to students are vital to the functioning of the University, and any departure from this expectation should be discussed with and approved by the Dean of the Faculty.

Faculty Absence from Classes and Substitutes

Faculty members are expected to meet all classes for which they are scheduled. Necessary absences should be reported in advance to the department chair. Department chairs should report their own absences to the Dean of the Faculty. In cases of extended absences, the department chair should notify the Dean of the Faculty about the use of substitute teachers.

Faculty Participation in Convocation/Commencements

All full-time members of the faculty are expected to appear in academic cap and gown at special convocations and commencements. The participation of part-time faculty members is desirable but not obligatory. The commencement procession is under supervision of the faculty marshals. Faculty members who do not own academic cap and gown should make arrangements for rental with the appropriate faculty secretary.

Research Integrity

It is expected that all research conducted at Southwestern University will be carried out with integrity, consistent with the research ethics of the field in which it is conducted. Reports of suspected scientific misconduct should be made to the Dean of the Faculty, who serves as the University's Research Integrity Officer. In all cases, University policies and procedures will protect the confidentiality of both the individual who makes the allegations and the individual accused of scientific misconduct. For allegations of scientific misconduct made against individuals conducting federally-funded research through the Public Health Service (e.g., NIH), the investigation of these allegations will be carried out following the "Model Policy for Responding to Allegations of Scientific Misconduct" (see Appendix H).

Public Statements by Faculty Members

Faculty members are advised to avoid making public statements where such statements might be construed as representing a University position, without clearly indicating that their statements are their own private opinions. No one is authorized to speak for the University except the President and those specifically authorized by the President.

Faculty Members and Outside Employment

Teaching at Southwestern University is a full-time profession requiring a substantial commitment of time, abilities, and efforts on the part of the faculty in both teaching and scholarly pursuits. Therefore, full-time faculty members are discouraged from engaging in outside employment obligations that require substantial commitments of time and may, as a result, distract from the faculty member's responsibilities at Southwestern University. Faculty are, however, encouraged to share their expertise and professional knowledge as consultants, workshop leaders, reviewers, and lecturers, so long as these activities are congruent with the faculty member's academic and intellectual pursuits.

Accordingly, outside employment requires the written approval of the Dean of the Faculty and is required for substantial professional activity outside the University. Summer employment is exempt from Dean of the Faculty approval for faculty on a nine-month contract.

Faculty members who wish to engage in outside employment that may require a substantial commitment of time (e.g., teaching a course at another institution) should submit a request, in writing, to the Dean of the Faculty for his/her approval. The request should include a letter of support from the appropriate department chair. If the faculty member making the request is the department chair, a letter of support from a senior member of the department is required. Fees for consultative services are not regulated by the University.

Evaluations, Examinations, and Grades *(http://southwestern.edu/academics/registrar/faculty/)*

Establishment of a New Course *(http://southwestern.edu/academics/registrar/faculty/)*

Assignment of Course Designations *(http://southwestern.edu/academics/registrar/faculty/)*

Designation of Intercultural Perspectives (IP) Credit *(http://southwestern.edu/academics/registrar/faculty/)*

Deletion of a Course *(http://southwestern.edu/academics/registrar/faculty/)*

Semester Credits at Southwestern University *(http://southwestern.edu/academics/registrar/faculty/)*

Student Attendance and Excused Absences *(http://southwestern.edu/academics/registrar/faculty/)*

Absences Due to Religious and Cultural Traditions *(http://southwestern.edu/academics/registrar/faculty/)*

Smoking, Food, or Drink in Classroom/Laboratories *(http://southwestern.edu/policy/)*

Academic Rights for Students

Free inquiry and expression are necessary to foster independent thought in students and start them on a sustained and independent search for truth. The freedom to learn is as inseparable from academic freedom as is the freedom to teach. This policy is designed to promote these ends by insuring an open environment for learning that is also fair and explicit in the expectations placed on both students and faculty members. The following provisions are essential to the student's right to learn.

Freedom of Access to Higher Education
Southwestern University is committed to the principle of equal opportunity for all persons without regard to race, color, religion, age, sex, disability, or national or ethnic origin.

Protection Against Improper Evaluation
Faculty members should encourage free thought and expression both in the classroom and out. Students are entitled to disagree with interpretations of data or views of a faculty member and reserve judgment in matters of opinion, but this disagreement does not excuse them from learning the content of any course for which they are enrolled or from demonstrating the skills and competencies required by a faculty member. Students should be evaluated solely on academic performance.

In the Classroom

1. Course Syllabus: At the beginning of every course, faculty members shall provide the students with a course syllabus containing the following basic pieces of information: a. attendance policy (including the policy on Absences Due to Religious and Cultural Traditions), b. grading policy (e.g., what percentage tests, papers, attendance, class participation, etc. count toward the course grade), c. required activities outside the normal class period (including tests, lectures, field trips, performances, and other events). These activities must be scheduled in accordance with the Scheduling Courses and Other Academic Activities Policy posted on the Dean of the Faculty's Office website (http://southwestern.edu/offices/dean/forms.php). Students should be advised of revisions to the syllabus in a timely fashion; any syllabus changes that concern attendance policy, grading policy, or required activities outside the normal class period must be done in writing, with a copy sent to the department or program chair

2. Announcement of Tests, Papers and Projects in a Regular Semester: All tests worth 10% or more of the final course grade shall be announced at least one week before they are administered. All papers and projects worth 10% or more of the final course grade shall be announced at least three weeks before they are due.

3. Return of Assignments to Students: All tests, papers, and projects shall be graded and made available to the student no more than three weeks after the assignment is turned in. No test worth 10% or more of the course grade shall be administered until at least one class period after the previous test worth 10% or

more of the final course grade has been graded and made available to the student. No paper worth 10% or more of the final course grade shall be due until at least one class period after the previous paper worth 10% or more of the final course grade has been graded and made available to the student.

4. Reading Load/Major Assignments at the End of a Regular Semester: No more than 20% of the total reading load for the course shall be assigned during the last two weeks of the regular semester. No assignment worth 20% or more of the final course grade shall be initiated in the last full week of the regular semester. (In this context, an assignment is considered "initiated" when it is both assigned and students have gained the information, knowledge and skills necessary to be capable of beginning the assignment or studying/preparing for another form of assessment).

5. Teacher Tardiness to Class: Students may leave after they have waited ten minutes for a faculty member who is late for class. If the faculty member has notified the class that he or she will be late and requests that the students wait for his or her arrival, the ten minute limit does not apply. This rule does not apply to final examinations. Students shall wait for the faculty member to arrive or until notice is received that the examination is cancelled.

Procedure
Should a student have reason to believe that the "Academic Rights for Students" has been violated; the student should request a conference with the faculty member involved, within 14 days of the alleged violation. If no informal resolution between the student and the faculty member can be reached, the student should meet with the faculty member's department chair. If no resolution is reached after meeting with the department chair, the student then requests a conference with the Associate Director of Academic Success and Director of Records. The Associate Director shall evaluate the alleged violation and advise the student about his or her academic rights and try to affect an informal resolution between the student and the faculty member involved.

If no satisfactory settlement is reached at this level, the alleged violation may serve as a basis for grade appeal. The student should follow the procedure for Appeal of Grades as stated in the *Student Handbook* and the *Faculty Handbook*. [Approved by the Faculty on April 27, 1993 and amended on January 22, 2013.]

Study Days and Final Exams *(http://southwestern.edu/academics/registrar/faculty/)*

Student Records and Privacy *(http://southwestern.edu/academics/registrar/faculty/)*

Guidelines for Archiving Student Research *(http://southwestern.edu/academics/registrar/faculty/)*

Honor Code

Honor Code Council
One of the chief responsibilities of the Honor Code Council is to serve as a Hearing Board to guarantee the integrity of the Honor Code, by serving as the tribunal for hearing alleged cases of violation of that Code. The Board determines guilt or non-guilt and imposes appropriate penalties. It follows procedures and sanctions prescribed in its constitution. If a student is found guilty, the Hearing Board recommends an academic penalty to the instructor. However, the instructor is not bound by such a recommendation. In the event a student is not found guilty, no academic penalty may be assessed by the instructor. In that situation, the work in question must be judged on merit alone.

Constitution of the Honor Code of Southwestern University
We, the students and faculty of Southwestern University, in order to conduct our academic work under high standards of individual responsibility, thereby promoting a high sense of personal honor and integrity, renew our commitment to the Honor Code and set forth this Constitution.

Article I: Principles
1. The purpose of the Honor Code of Southwestern University is to stimulate and promote the ideals of honesty and integrity among students, and to eliminate the practice of cheating by putting into practice these ideals of honesty and integrity.

2. The Honor Code is based on the principle that a student, when placed on his or her honor, will not violate that trust.
3. The Honor Code is furthermore based on the belief that cheating in any form is injurious to all students and a grievance to an institution of higher learning.
4. Cheating is hereby construed to mean the intentional giving or receiving of aid by any means on examinations, themes, or any work which is specified by the professor to be done individually.
5. It is the obligation of the student or faculty member not to violate the Honor Code, nor aid in any violation, and to report any violation seen or suspected.
6. The Student Body is directly responsible for the effective working of the Honor Code. In order to uphold the validity of credits under the Honor Code, this group must take such steps as are necessary to protect itself from those who violate the trust placed in them.

Article II: Oath
1. Upon entering Southwestern each student shall sign the following oath: *"As a student of Southwestern I hereby pledge my full support to the Honor Code. I pledge to be honest myself, and in order that the spirit and integrity of the Honor Code may endure, I pledge that I will make known to the Honor Code Council any case of academic dishonesty which I observe at Southwestern."*
2. The following pledge shall be signed at the end of all final examinations, hour quizzes, and on other material as required by the instructor. "I have acted with honesty and integrity in producing this work and am unaware of anyone who has not."

Article III: The Honor Code Council
1. These measures shall be carried out by a body known as the Honor Code Council.
2. The faculty confer the power to determine guilt/non-guilt on charges of academic dishonesty to the Honor Code Council Hearing Board. The Board may recommend academic penalties to the instructor when a student is found guilty. The Honor Code Council Hearing Board may also impose non-academic penalties.
3. The Honor Code Council shall be responsible to the President of Southwestern University through the Dean of Students.

Article IV: Adoption of This Constitution
This Constitution must be approved by the Honor Code Council and the Curriculum Committee before it is presented to the students and faculty for a vote. The Constitution shall go in effect immediately once affirmed by a majority of the faculty voting at a scheduled Faculty Meeting and by two-thirds (2/3) of the students voting at a called or regular election.

Article V: Amendments
1. Students or faculty may at any time bring before the Honor Code Council any suggestions concerning the rules and operation of the Honor Code. The Council must consider such suggestions promptly.
2. Proposed amendments to the Constitution must be approved by the Honor Code Council and the Curriculum Committee before they are presented to the students and faculty for a vote. The amendments shall go into effect immediately if passed by a majority of the faculty voting at a scheduled Faculty Meeting and by two-thirds (2/3) of the students voting at the next scheduled general election.

Constitution of the Honor Code Council of Southwestern University

Article I: Duties and Responsibilities
1. The Honor Code Council is directly responsible for the effective working of the Honor Code to assure the protection of the academic integrity of Southwestern University.
2. It is the purpose of the Honor Code Council to interpret and administer the Honor Code.
3. Disciplinary action concerning possible Honor Code violations will be carried out by the Honor Code Council Hearing Board. In order to uphold the validity of individual academic work under the Honor Code, this group must take such steps as are necessary to protect the Southwestern community from those who might violate the trust placed in them.
4. The Honor Code Council acts to uphold the Honor Code and interpret its Constitution and corresponding applications.
5. Members of the Honor Code Council inform the Student Body as to the purpose of the Honor Code at least once each year and in each orientation session for incoming students each semester.
6. The President of the Council shall address the Faculty each year.

Article II: Violations

Any breach of the principles, as described in Article I of the Constitution of the Honor Code, will constitute a breach of the Honor Code.

Article III: Accusations

Section 1. If one witnesses or is aware of a violation of the Honor Code, he or she must make a written, signed report to the Honor Code Council or the Dean of Students as soon after the violation as possible. This report will serve as formal notification to the Honor Code Council that an accusation is being made. The Council President shall then make such investigation as is deemed necessary preliminary to a hearing.

Section 2. If the accusation is made by a faculty member, and the alleged violator has no previous academic dishonesty record, and the accused student acknowledges guilt, then a Non-Judicial Resolution between the faculty member and the student can ensue at the discretion of the faculty member. The faculty member must first notify the Honor Code Council President and the Dean of Students of the suspected violation and the proposed Non-Judicial Resolution and document the agreement; however, this will not become a part of the student's formal record at the University. This Non-Judicial Resolution must be mutually agreeable, or the student has a right to request a hearing by the Honor Code Council Hearing Board. Each student is entitled to only one Non-Judicial Resolution while a student at Southwestern.

Section 3. When a student has a pending Honor Code hearing or an unsigned non-judicial resolution pending, the student may not drop the course in question. If a student withdraws from Southwestern for any reason, and there is a pending Honor Code violation, the student must resolve the violation within 30 days of returning to Southwestern in a future semester.

a. If a student withdraws with a pending non-judicial resolution prior to withdrawal, the student must sign or otherwise resolve the non-judicial resolution within 30 days of returning to SU.

b. If a student who has an Honor Code hearing pending at the time of withdrawal, a hearing will be held within 30 days of the student returning to the University.

c. In cases where the faculty member alleging the violation is not available or no longer at the University upon the student's return, the Chair of the department/program in which the course resides may act as the instructor's designate.

d. The terms of the resolution of any Honor Code violation as described above will be articulated in a re-enrollment contract as part of the student's readmission to the University.

Article IV: Hearing

The formal hearing will be held as soon as possible when all the parties involved can be present after the presentation of the accusation. The hearing relating to a violation must occur before the last day for final grades to be posted for that semester (the last day in the following semester to change an Incomplete into a grade). No accusation may be heard more than once unless it is appealed.

Article V: Failure of Accused to Attend

If the accused fails to attend his or her hearing, the absence will be an admission of guilt. The sanction of suspension will be considered.

Article VI: Decision

Immediately after the hearing, the Honor Code Council Hearing Board will render a decision in secret session. A two-thirds (2/3) vote of the Hearing Board members present is necessary for a decision of "guilty."

Article VII: Penalties and Practical Powers

Upon a decision of "guilty" the Honor Code Council Hearing Board will assess an appropriate penalty as follows:

1. Recommend an academic penalty to be levied by the professor.
2. Impose disciplinary probation to the student(s) in question. Probation may or may not apply throughout the student's academic career at Southwestern dependent on the Hearing Board's recommendation.
3. Impose suspension or expulsion from Southwestern.
4. Any other penalty deemed suitable providing it is not in conflict with any other University policy.

Article VIII: Appeals

1. Appeals must be submitted in writing to the Office of the Vice President for Student Life within five business days from the date of the written notification of the hearing results. An appeal must concisely set forth the grounds for appeal, as well as provide any supporting material. A decision on the appeal will be rendered by an Appeals Committee, which will include one faculty representative from the Honor Code Council, one student

representative from the Honor Code Council, and a Southwestern administrator appointed by the Vice President for Student Life. The faculty and student representatives are to be appointed by the Dean of Students and the Honor Code Council President and must be members who did not sit on the Hearing Board for the case in question. A decision on the appeal, which must be reached by 2/3 majority of the Appeals Committee, is final and will be mailed, within ten business days of receipt of the appeal, to both the accuser and the party filing the appeal. If a decision cannot be reached by the appointed Appeals Committee, a new Committee will be appointed and the appeals process will be repeated until a decision is reached.
2. An appeal may be made on the following grounds:
a. evidence of improper procedure during the hearing
b. argument supporting the claim that penalty sanctioned by the Hearing Board is too severe
c. introduction of evidence that was not available at the time of the hearing

Article IX: Reopening a Hearing
A hearing may be reopened either by presentation of new evidence relevant to the case or by consultation of the President of the Honor Code Council and the Dean of Students.

Article X: Ratification and Amendment
Section 1. This Constitution of the Honor Code Council will go into effect after:
a. A 2/3 vote of the Honor Code Council.
b. A 2/3 vote of the student body voting on the Constitution and Bylaws.
Section 2. is Constitution may be amended with:
a. A 2/3 vote of the Honor Code Council.

Article XI: Budget
The Student Honor Code Council shall adopt a budget consistent with its needs and the funds available.

Plagiarism *(http://southwestern.edu/academics/registrar/faculty/)*

Procedure for Changing Grades *(http://southwestern.edu/academics/registrar/faculty/)*

Appeal of Grades Procedure *(http://southwestern.edu/academics/registrar/faculty/)*

VI. EVALUATION OF FACULTY

Academic Freedom

"Academic freedom is the cornerstone of the free society, and it will be scrupulously defended at the University. The Board of Trustees desires to maintain, commensurate with the idea of the university of the first class, a learned faculty chosen on the basis of their scholarship, teaching ability, interest in youth and general usefulness, who will search for truth and who by precept and example will instruct, guide and inspire the students." [Adopted by the Board of Trustees, December 10, 1999; Amended April 3, 2001.]

The Nature of Academic Freedom

The nature of academic freedom is clearly outlined in the following Statement of Principles of 1940 (revised November 1989 and January 1990), officially endorsed by nearly every important educational organization since that time, including the Association of American Colleges and the American Association of University Professors.

"(a) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution."

"(b) Teachers are entitled to freedom in the classroom in discussing their subjects, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment."

"(c) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate they are not speaking for the institution."

Tenure

Tenure applies upon a granting of an appointment letter for the year following the required number of years in the rank of the individual concerned. Faculty members who have served in institutions comparable to Southwestern University may be given credit for service in the other institution, thus reducing the number of years required at Southwestern University, rank affected, to secure tenure. Normally, no faculty member shall be granted tenure for any term of service less than three (3) years at Southwestern University. After the time limits previously outlined, yearly appointment letters may be considered for faculty members not granted tenure. The names of all faculty members whose continuance with the University a year hence calls for tenure decision will be presented to the Board of Trustees at the winter meeting of the Board. The President will make a recommendation regarding tenure for each person. The Board will vote approval, disapproval, or continuance of the recommendation. The Executive Committee will review and approve or disapprove of all continuances before the automatic tenure deadline shall have passed. It may review and annul any approval voted by the Board should circumstances develop before the automatic tenure deadline which in its judgment warranted a reversal of the earlier decision. Faculty will be notified by the Dean of the Faculty of their tenure decision no later than the conclusion of the Board of Trustees regular winter meeting in the academic year during which the review is conducted. A letter confirming tenure will be sent by the President to each faculty member who is placed on tenure once the deadline has passed.

Tenure regulations do not apply to part-time members of the faculty or to administrators. Full-time faculty members are occasionally appointed who are not eligible for tenure. These non-tenure-track faculty members serve for limited periods of time, usually not exceeding three years, and are titled Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, or Visiting Professor. These members of the faculty have privileges and responsibilities equivalent to tenure-track faculty members during the time of their appointments and receive benefits as described on the Human Resources department website. They are eligible to apply for tenure-track positions as these open.

Promotion – Teaching Faculty

Recommendations for tenure shall be made to the President in time for action by the Board of Trustees at the Board's regular winter meeting. Recommendations for promotion to the rank of Professor shall be made to the President in time for action by the Board of Trustees no later than the Board's regular spring meeting. Provisions adopted by the Board of Trustees at its meeting on April 23, 1982, are as follows:

"There are four faculty ranks at Southwestern University: Instructor, Assistant Professor, Associate Professor, and Professor. In special circumstances, titles such as lecturer, teaching fellow, special professor, or visiting professor may be used for persons with special qualifications who hold temporary appointments or who do not meet normal qualifications for rank."

Eligibility for most appointments requires completion of the doctorate (or in some areas of the fine and performing arts, the MFA). In rare circumstances the professional equivalent to the doctorate or MFA may be appropriate. The professional equivalent consists of a master's degree (other than the MFA) and three years of full-time professional experience. When such is the case, this determination shall be made at the time of initial appointment and made explicit in the appointment letter.

The rank of Instructor is a junior rank used for faculty members who have completed a master's degree but not the doctorate or MFA or the professional equivalent, and whose service at the University has not been sufficient for promotion to the next rank. A faculty member who serves six years as Instructor will be promoted or given a terminal appointment letter before the beginning of the seventh year.

The rank of Assistant Professor is a junior faculty rank used in two ways: (1) The rank of Assistant Professor is used for faculty members who have not completed the doctorate or MFA or the professional equivalent but who have served six years as Instructor and have received a non-terminal contract for the seventh year. (2) The rank of Assistant Professor is used for faculty members who have completed the doctorate or MFA or the professional equivalent and who are serving a period of time before acceptance as a senior faculty member.

The rank of Associate Professor is a senior faculty rank used for faculty members who have shown clear evidence of competence and professional growth during service as Assistant Professor. Ordinarily, a review which results in the awarding of tenure to an Assistant Professor will establish evidence of competence and professional growth sufficient to warrant promotion to the rank of Associate Professor. Normally, a faculty member must serve at least five years as Assistant Professor with the doctorate or MFA or the professional equivalent before becoming eligible for promotion to the rank of Associate Professor.

The rank of Professor is a senior faculty rank reserved for faculty members who have distinguished themselves with a record of substantial achievement. It signifies recognition by the University of teaching, professional activities, and service of the highest quality. In some cases, the rank of Associate Professor will be the appropriate final rank for a faculty member at Southwestern University. If a faculty member chooses to request review for promotion to professor, the request should occur after serving four years as a tenured associate professor at Southwestern University in the fifth year of service. However, faculty holding tenure on or before August 31, 2014 have the right to request a promotion review after serving three years as a tenured Associate Professor, i.e. in the fourth year of service. Faculty awarded tenure after August 31, 2014 can request their first review for promotion following their fourth year of employment after the awarding of tenure, i.e. in their fifth year of service.

The rank at which a new faculty member is hired and the number of years of credit granted toward tenure and eligibility for promotion for service at other institutions are to be negotiated at the time of hiring so as to conform with the above descriptions of rank.

Criteria for Tenure, Promotion, and Salary Increases

Faculty members contribute to the aims and mission of Southwestern University in a variety of ways. While it is important to set forth clear criteria for the purposes of evaluating faculty for tenure, promotion, and salary increases, it is also important to state that equal weight need not be assigned to each of the criteria. Demonstrated excellence in any of the criteria listed below should be recognized and rewarded accordingly. Over the course of an academic career, individual faculty members may (in consultation with the Dean of the Faculty, appropriate Associate Dean and/or department chair) choose to shift their areas of emphasis and should expect to be evaluated accordingly. Evaluation should take into account varying levels of institutional support for faculty

pursuit of instructional, professional, and service activities in different academic areas and departments, as well as at different stages of faculty members' careers.

Among the criteria listed below, the most important is effective teaching. There shall be no compromising on this criterion in the consideration of tenure and promotion decisions. While listed as second in order of importance, professional growth, as demonstrated through professional activity and achievement, is also an essential characteristic of an effective Southwestern University faculty member. All faculty members are expected to remain professionally active in their respective fields. They must also be able to demonstrate professional achievement at the time of consideration for tenure and/or promotion. Contributions to the University through service to the life and operation of the community are expected of faculty at Southwestern University. No amount of University service will compensate for deficits in teaching or professional activity and achievement. Teaching faculty members are also expected to fulfill their responsibilities as outlined below under Faculty Responsibilities.

Teaching Effectiveness

Sustained teaching effectiveness is the most important of the evaluation criteria, and excellence in other areas cannot compensate for the deficiency in teaching effectiveness. Effective teaching is best defined in the context of each particular situation. In general, however, an effective teacher is one whose work is characterized by commitment to subject, to student, and to constant improvement in teaching. The effective teacher exhibits enthusiasm for the subject and has a thorough and demonstrable knowledge of the field and developments therein. In this regard, the effective teacher is one who actively engages in scholarly and/or creative endeavors and who supports intellectual development of students and, to this end, is willing to be available to students in a variety of settings, both in and out of the classroom. An effective teacher encourages questions from students, welcomes diversity of opinion from them, and is considerate and fair in all dealings with them, seeking always to increase their capacity to think. In addition, the effective teacher motivates and challenges students by setting rigorous academic standards and by providing timely and substantial feedback on all course assignments and exams. The effective teacher also welcomes and profits from constructive criticism. Finally, an effective teacher is one who regularly engages in course development and/or revision to ensure currency of content and/or methodology in the implementation of courses.

Faculty participation in an interdisciplinary program involves curricular demand outside of those in the faculty member's own department. In evaluating faculty for the purposes of awarding tenure, promotion, or salary increases, effective teaching in an interdisciplinary course and participation in Paideia are recognized and valued as involving these special demands.

Professional Growth

Engagement in scholarly and/or creative endeavors is an essential characteristic of an effective faculty member at Southwestern University. Faculty are expected to engage in scholarly and/or creative activities throughout their careers, and results of these activities should be shared with the greater academic community, on and off campus, through publications, presentations, exhibitions, and performances. In comparison with research oriented institutions, the level of scholarly and/or creative activity, particularly in terms of quantity, is limited by heavier teaching loads, greater demands for university service, greater expectations for work with students, and the absence of advanced research facilities. Nevertheless, faculty are expected to remain current in their fields and to maintain professional growth at a level commensurate with faculty at other national liberal arts colleges with similar resources.

An assessment of professional growth involves a complex judgment, particularly by peers, based on concrete experience and evidence. For the purpose of evaluation for tenure, promotion, and salary increase, the scholarly and/or creative endeavors of faculty members shall be evaluated in two categories: Professional Activity and Professional Achievement. The amount and quality of professional activity and achievement necessary for favorable consideration in tenure, promotion, and salary increase decisions shall be determined by the academic department and the Dean of the Faculty. Each department will develop and submit to the Office of the Dean of the Faculty a list of acceptable criteria for evaluating professional activity and achievement in that department. This list will be updated every 7 years to reflect changing expectations in these areas (the update will be included in the Departmental Annual Report).

1. **Professional Activity** refers to the meaningful pattern of related professional activities that demonstrate an articulated effort on the part of the faculty member to remain current in her/his discipline. All faculty members must be able to show evidence of professional activity throughout their careers at Southwestern University.

2. **Professional Achievement** refers to the results of professional activities normally judged and accepted by a peer review process. Typical peer review processes include review by publishing houses, journals, foundations and grant supporting agencies, academic conferences, and their equivalent, or in the case of artistic activities, by composition, performance, and gallery exhibition for which selection is competitive or which is reviewed by off-campus critics. At the time of consideration for tenure and promotion, a faculty member must be able to show evidence of professional achievement, relative to her or his rank and years at Southwestern University. Further, each faculty member is asked to provide evidence of the review process of his or her professional achievements. Examples of this evidence might include, but are not limited to, comments from conference discussants, journal referees, editors, or other reviewers involved in the professional evaluation of the scholarly/creative work, and general descriptions of the review procedures.

Contributions to the University Community

Contributions to the University community are highly valued and are expected of all members of the Southwestern University faculty. Evidence of significant contributions to the University is a critical element of the evaluation process for tenure, promotion, and salary increases. Some of the activities listed below, such as chairing academic departments, academic areas, or programs, offer opportunities for significant leadership, but may not be accessible to all members of the faculty. It is the responsibility of the department chair and others meeting with the Faculty Status Committee and the Dean of the Faculty to discuss candidly what opportunities are available to the faculty member under review. While not intended to be all-inclusive or exclusive, or presented in any order or rank, the following list outlines examples of generally acceptable evidence of contributions to the University community:

1. Chairing or co-chairing an academic department, area, or interdisciplinary program, or coordinating or co-coordinating a Paideia Cluster
2. Constructively participating in University governance, especially faculty meetings and committees
3. Academic advising of students, including that beyond immediate course work
4. Developing and/or revising academic programs and strategic plans
5. Organizing and planning events, library exhibits, and other activities
6. Teaching in extra-departmental course offerings, including FYS, Paideia seminars, and cross-listed courses
7. Participating in extramural community service activities
8. Developing studios and labs and maintaining inventories
9. Recruiting students, particularly in the fine arts and athletics
10. Recruiting faculty
11. Participating in community events to enhance the various programs of college life, such as fine arts events, athletic events, lectures, convocations and other campus gatherings
12. Creating posters, publicity, or Web pages at the request of the University
13. Working to reach department and academic program objectives
14. Other

Service as an academic department or program chair at Southwestern University is considered to be among the most significant contributions that a faculty member can make to the University community. The University recognizes that faculty serving as department and program chairs are devoting a great deal of time to administrative duties and departmental/programmatic leadership – time that would normally be spent in the development of their teaching, professional activities, and professional achievements. While no amount of service (including service as a department or program chair) can substitute for insufficiencies in teaching, professional activity, and professional achievement, the University recognizes that faculty serving as department and program chairs will have fewer opportunities for growth in these areas during their service as chair. Therefore, effective service as a department or program chair will be taken into consideration when determining salary increases and in the evaluation of faculty for promotion to subsequent rank.

The Pre-tenure Evaluation Process

The objective of pre-tenure evaluation is two-fold. First, it assists Southwestern University in identifying faculty members with the strongest credentials for tenure. Second, it provides the faculty with feedback that promotes enhanced teaching skills and professional growth.

All tenure-track faculty appointees are expected to attend a special orientation in the fall semester to learn about the evaluation process, including the importance of the professional file and the role of the Faculty Status Committee. At the orientation, a member of the Faculty Status Committee and an academic administrator will discuss criteria for tenure and the tenure process. The procedures described below do not alter the scope of the activities, responsibilities, or authority of the Faculty Status Committee to carry out reviews and make recommendations to the President with regard to contract renewal. The confidentiality of the Committee's activities and of its recommendations to the President is maintained, as well as its ability to gather information that it deems appropriate to carry out its responsibilities. The pre-tenure period of appointment normally involves six years. This period of time is consistent with most other universities and allows for adequate development and growth of faculty members subsequent to the comprehensive second and fourth year reviews and prior to the tenure decision. In the tenure year review, faculty are required to go through the external review process described below. Faculty have the option of requesting external review at the second and fourth year.

Procedures for Persons with Credit Toward Tenure

One year credit: For persons employed at the rank of Associate Professor or persons receiving one year credit toward tenure, the first comprehensive review will take place in the first year. The second comprehensive review will take place in the third year. In the case of each comprehensive review, the faculty member will be held to the standards of the second and fourth year review respectively. The tenure review by the Faculty Status Committee will take place during the fifth year.

Two years credit: For persons employed at the rank of Professor or persons receiving two years credit toward tenure, a comprehensive review (applying the standards at the level of the fourth-year review) by the Faculty Status Committee will take place during the second year, with the tenure review occurring during the fourth year.

First Year Review

The first year review is conducted by the department chair and is communicated to the faculty member through two informal conferences with no written record of the conferences. These conferences serve a formative function and focus primarily on teaching effectiveness and the faculty member's development of her/his professional file. Opinions expressed in the first year review do not represent an administrative view of the faculty member's progress toward tenure, but are intended to provide feedback at the departmental level. Normally, the Dean of the Faculty would not participate in these conferences, but under special circumstances could hold a separate conference; such a conference could be conducted at the request of the Dean or the individual faculty member. Ideally, the conferences should be held at the end of each semester in the first year. The conferences will include discussions of the following:

Course syllabi
Course evaluations for the most recent semester
Views solicited from tenured departmental colleagues
Classroom visitations (if requested by the faculty member or department chair)
Brief Annual Report (spring semester)
Professional file and C.V. (spring semester)

Second Year Comprehensive Review

The Faculty Status Committee will conduct the first comprehensive review in the second year. This review will be a major evaluation, which will give the untenured faculty member a realistic picture of her/his progress toward tenure. Prior to that review and no later than the Wednesday of finals week during the fall semester of that year, the faculty member will update his or her professional file and personal statement for review by the Faculty Status Committee. At the second year review, the faculty member should have established a record of effective teaching, must be able to demonstrate evidence of professional activity and have a plan for scholarly/creative achievement, and should be able to document contributions to the University community through departmental service and participation in events and activities on campus. Teaching ability will be evaluated on the basis of course evaluations and conferences with colleagues, and the department chair. Professional activity and contributions to the University community will be evaluated through conferences with the department chair and careful examination of the professional file. (See "Professional Files" in this chapter.) Prior to meeting with the Faculty

Status Committee the department chair will conduct a conference with the faculty member to discuss the evaluation that will be shared with the committee.

A concise personal statement is required for this review and the faculty member is encouraged to develop it in a way that is appropriate to his or her discipline and individual circumstances. The personal statement must include two sections: 1) a brief summary of teaching, professional development, and contributions to the University community to date, synthesizing highlights from the Curriculum Vitae and Brief Annual Report, and 2) a brief statement of projected teaching and professional plans for the next two years.

The Dean of the Faculty will discuss the results of the second year review in conference with the faculty member. This conference will represent, to the extent possible, the institution's viewpoint with respect to the faculty member's progress toward tenure but will be constructed to protect the confidentiality of the Faculty Status Committee report. The department chair will be present at this conference as an auditor, except when the Dean of the Faculty and the faculty member agree that a private conference would be more appropriate. If a private conference is held, the Dean will communicate the information from this conference to the department chair. A written summary of the conference will be submitted by the Dean to the faculty member, with copies to the department chair and the Faculty Status Committee.

Faculty Status Committee will use the following guidelines for the 2nd Year (Spring Semester) Comprehensive Review:

- Teaching Effectiveness. It is expected that the faculty member's teaching program is well-established, with any issues identified during the first year substantially addressed.

- Professional Growth. a) The faculty member must demonstrate on-going professional activity. b) The faculty member must develop a plan for a scholarly/creative program that will lead to achievement by the 4th year.

- Contributions to the University Community. There must be evidence of the beginning of substantive involvement in departmental service. Prior to the 3rd year, active participation on one University committee or other significant service shall be considered as meeting expectation. It should be noted, however, that no amount of University service will compensate for deficits in teaching effectiveness or professional growth.

Third Year Review
The third year review is conducted by the department chair and is communicated to the faculty member in an informal conference conducted at the end of the academic year with no written record of the conference. The Dean of the Faculty acts in an advisory capacity in the third year and, at his or her discretion, could participate in this conference or require a separate conference. This review is formative, providing advice and monitoring progress in all areas of tenure criteria and will address issues outlined in the summary letter from the second year comprehensive review. In the third year, the department chair will place a special emphasis on the faculty member's progress in the area of professional growth. The conference will include discussions of the following:

Course syllabi
Course evaluations for the most recent semester
Views solicited from tenured departmental colleagues
Classroom visitations (if requested by the faculty member or department chair)
Brief Annual Report
Professional file, personal statement, and C.V.
Summary letter from the second year comprehensive review

Fourth Year Comprehensive Review
The Faculty Status Committee will conduct the second comprehensive review in the fourth year. As with the second year review, this review will be a major evaluation, which will give the untenured faculty member a realistic picture of her/his progress toward tenure. Prior to that review and no later than the Wednesday of fall semester finals that year, the faculty member will update his or her professional file and personal statement for review by the Faculty Status Committee. At the fourth year review, the faculty member should have established a record of sustained and consistent teaching effectiveness, should be able to demonstrate evidence of professional activity and achievement with a plan for further achievement, and should be able to document contributions to the

University community through service beyond the department and participation in events and activities on campus. It is expected that the faculty member will be able to demonstrate significant improvement regarding any concerns identified in the second year comprehensive review. Teaching ability will be evaluated on the basis of course evaluations and conferences with colleagues, the department chair, and the Dean of the Faculty. Professional activity and achievement and contributions to the University community will be evaluated through conferences with the department chair and careful examination of the professional file. (See "Professional Files" in this chapter.) Prior to meeting with the Faculty Status Committee the department chair will conduct a conference with the faculty member to discuss the evaluation that will be shared with the committee.

As with the second year review, a concise personal statement is required for this review and the faculty member is encouraged to develop it in a way that is appropriate to his or her discipline and individual circumstances. The personal statement must include two sections: 1) a brief summary of teaching, professional growth, and contributions to the University community to date, synthesizing highlights from the Curriculum Vitae and Brief Annual Report, and 2) a brief statement of projected teaching and professional plans for the next two years.

The Dean of the Faculty will discuss the fourth year review in conference with the faculty member. This conference will represent, to the extent possible, the institution's viewpoint with respect to the faculty member's continuing progress toward tenure but will be constructed to protect the confidentiality of the Faculty Status Committee report. The department chair will be present at this conference as an auditor, except when the Dean and the faculty member agree that a private conference would be more appropriate. If a private conference is held, the Dean will communicate the information from this conference to the department chair. A written summary of the conference will be submitted by the Dean to the faculty member, with copies to the department chair and the Faculty Status Committee.

Faculty Status Committee will use the following guidelines for the 4th Year (Spring Semester) Comprehensive Review:

- Teaching Effectiveness. At this point, exemplary teaching effectiveness is a given.

- Professional Growth. (a) The faculty member must show evidence of continuing professional activity. (b) There is to be evidence of scholarly/creative achievement, and a plan for further achievement.

- Contributions to the University Community. There must be evidence of continuing service to the department. Meaningful service to the University community beyond the department shall have begun by the time of the 4th year review. Active participation on two or three University committees or in other significant service accumulated since the 2nd year review shall be considered as meeting expectation. It should be noted, however, that no amount of University service will compensate for deficits in teaching effectiveness or professional growth.

Fifth Year Review
The fifth year review is conducted by the department chair and is communicated to the faculty member in an informal conference conducted at the end of the academic year with no written record of the conference. As with the third year review, the Dean of the Faculty acts in an advisory capacity in the fifth year and, at his or her discretion, could participate in this conference or require a separate conference. This review is formative, providing advice and monitoring progress in all areas of tenure criteria and should address issues outlined in the summary letters from the second and fourth year comprehensive reviews. In the fifth year, the department chair will place a special emphasis on the faculty member's preparation for the tenure review in the following academic year. This will include providing guidance on the preparation of the professional file and the personal statement (outlined below). The conference will include discussion of the following:

Course syllabi
Course evaluations for the most recent academic year
Views solicited from tenured departmental colleagues
Classrooms visitations (if requested by the faculty member or department chair)
Brief Annual Report
Professional file, personal statement, and C.V.
Summary letter from the second and fourth year comprehensive reviews

Tenure Year Review

The final tenure-track review is normally held in the sixth year, unless credit was granted at the time of hiring. The tenure decision will be made in the year specified in the faculty member's letter of appointment. The review will be based on the same criteria and information as the fourth year comprehensive review with additional information about progress in the areas of tenure criteria. Prior to that review and no later than August 1 of that year, the faculty member will update his or her professional file and personal statement for review by the Faculty Status Committee. The professional file provided by the faculty member under review will include information and documentation of teaching effectiveness, professional activity, and contributions to the University community. Contributions to the University community will be assessed through conferences with the department chair and the Dean of the Faculty. The personal statement should be concise, and the faculty member is free to develop it in a way that is appropriate to his or her discipline and individual circumstances. The personal statement must include two sections: 1) a brief summary of teaching, professional growth, and contributions to the University community during the tenure track years, synthesizing highlights from the *Curriculum Vitae* and Brief Annual Reports, and 2) a statement of projected teaching and professional plans for the next five years. Letters from external reviewers will also be part of the tenure review (see section on External Reviews below).

The chair will consult with all tenured members of the department (or program committee in the case that the faculty member is not attached to a department) and provide a written recommendation that reflects the views of the chair and all the tenured faculty; the letter is addressed to the President, the Dean of the Faculty, the appropriate Associate Dean, and the Faculty Status Committee. Prior to the chair visiting with the Faculty Status Committee, all tenured members of the department/program will read and sign the letter. The contents of this letter will not be shared with the candidate and will only be shared with those officially involved in the review process.

Faculty Status Committee will use the following guidelines for the 6th year (Fall Semester) Tenure Review:

- Teaching Effectiveness. A record of sustained exemplary teaching effectiveness is expected.

- Professional Growth. (a) The faculty member must show evidence of continuing professional activity. (b) He/she must show evidence of scholarly/creative achievement relative to rank and years at Southwestern [cf. *Faculty Handbook*]. Moreover, there must be a plan for a scholarly/creative program that will lead to achievement beyond tenure.

- Contributions to the University Community. There must be evidence of continuing service to the department. The faculty member must demonstrate meaningful service to the University community beyond the department. Active participation on two or three University committees or in other significant service accumulated since the 4th year review shall be considered as meeting expectation. It should be noted, however, that no amount of University service will compensate for deficits in teaching effectiveness or professional growth.

After thorough consideration, the Faculty Status Committee delivers a formal, confidential recommendation to the President. The Dean of the Faculty will also submit a report to the President.

Review and Promotion – Tenured Faculty Members

Tenured Associate Professors will be reviewed every five years by the Dean of the Faculty. The review will be developed in consultation with the department chair. The Dean of the Faculty will discuss the review in conference with the faculty member. This conference will represent the institution's viewpoint regarding the faculty member's performance in the three areas related to faculty evaluation and where appropriate, progress toward promotion to Associate or Full Professor. The department chair will be present at this conference, unless the Dean of the Faculty and/or faculty member feel that a private conference would be more appropriate. If the private conference is held, the Dean will communicate the information from this conference to the department chair.

Formal review of the eligibility for promotion of a tenured faculty member with the rank of Associate Professor to the rank of Professor will be done by the Faculty Status Committee only at the request of the faculty member. Requests for review for promotion to professor should occur after serving four years as a tenured associate professor at Southwestern University in the fifth year of service. However, faculty holding tenure on or before August 31, 2014 have the right to request a promotion review after serving three years as a tenured Associate

Professor, i.e. in the fourth year of service. Faculty awarded tenure after August 31, 2014 can request their first review for promotion following their fourth year of employment after the awarding of tenure, i.e. in their fifth year of service.

Faculty members must request a review by writing a letter of intent to the Dean of the Faculty with a copy to the Chair of the Faculty Status Committee in the year they intend to be reviewed, by April 1 of the preceding academic year. At that time, the professional file, including a concise personal statement, must be complete. (See "Professional Files" in this chapter.) Letters from external reviewers will also be part of the promotion review (see section on External Reviews below). After each promotion review is completed, the Dean of the Faculty will hold a conference with the faculty member to discuss the outcome of the review. All reviews of faculty performance will conform to the procedures and criteria for evaluation described in the *Faculty Handbook*. Recommendations for promotion to the rank of Professor are considered by the Board of Trustees no later than the Board's regular spring meeting. The President informs by letter those persons who have been promoted, and all promotions are announced on campus through campus publications.

Following each review, the faculty member, in conjunction with the department chair, will establish a set of goals for the following academic year. These goals will be based on feedback provided by the department chair to the faculty member during the promotional review. Progress toward these goals should be reflected in the faculty member's annual report and in the department chair's annual report, both submitted to the Dean of the Faculty.

The Post-tenure Evaluation Process

The rank of Professor is reserved for those faculty who, in the years following the awarding of tenure, have demonstrated excellence in the areas of teaching, professional growth (activity and achievement), and contributions to the University Community.

Timing of Reviews

Promotion to Professor is a significant milestone in the career of a faculty member at Southwestern University and it is expected that the process of developing considerable evidence of a record of excellence may take a number of years. If the faculty member is not recommended for promotion, they will be notified no later than the conclusion of the Board of Trustees regular spring meeting in the academic year during which the review is conducted. After consulting with the Dean of the Faculty, a faculty member not recommended for promotion may resubmit their promotion request in subsequent years.

Faculty Status Committee will use the following guidelines for Review for Promotion to Professor (conducted in Fall Semester):

- Teaching:
  While holding the rank of Associate Professor, a faculty member must have demonstrated excellence in teaching. All elements of course evaluations will be consistently favorable, and will reveal no patterns of deficiencies in teaching. The personal statement for promotion will show a commitment to teaching excellence, including an on-going approach to teaching that is reflective and seeks continuous improvement. Innovation in pedagogy and the willingness to participate in a variety of teaching opportunities on and off campus will be viewed favorably in the review process. These activities might include collaborative summer research with students, courses specific to department needs, exhibits, FYS, honors, independent studies, interdisciplinary programs, international programs, performances, Paideia cluster courses and Paideia seminars, performances, etc.

- Professional Growth (activity and achievement)
  Faculty must demonstrate an on-going program of professional activity and achievement that provides evidence that these successes will continue after the granting of the Professor rank. The program must be well defined and thoroughly discussed in the personal statement. Faculty must demonstrate that their professional achievements are national and/or international in scope, show a clear trajectory, and an on-going commitment to professional activity and achievement.

- Contributions to the University Community
  Faculty under consideration for promotion to Professor will show evidence of consistent service and leadership within the University Community. Whereas this evidence may vary according to the opportunities for leadership that are available to them, evidence of clear patterns of significant contributions must be present and will be evaluated in terms of both quantity and quality. This evidence

will include a consistent pattern of positive contributions as a member of the Southwestern community, including regular and active membership on committees, councils, and/or in chairing departments and programs.

The chair will consult with all tenured members of the department (or program committee in the case that the faculty member under review is not attached to a department) and provide a written recommendation that reflects the views of the chair and all the tenured faculty; the letter is addressed to the President, the Dean of the Faculty, the appropriate Associate Dean, and the Faculty Status Committee. Prior to the chair visiting with the Faculty Status Committee, all tenured members of the department/program will read and sign the letter. The contents of this letter will not be shared with the candidate, and will only be shared with those officially involved in the review process.

External Review

Pre-Tenure External Review

The decision whether or not to request an outside evaluation during a pre-tenure review rests solely with the faculty member, and no implications shall be drawn from the presence or absence of such a request. Faculty considering external reviews should consult with the appropriate Associate Dean no later than August 1 of the review year. When a faculty member makes a request for an outside evaluation, the faculty member generates a list of five potential outside evaluators. The faculty member also provides a packet of relevant professional work from his or her professional file. The Associate Dean selects a name(s) from the list and forwards the packet of professional materials to the selected evaluator(s). The evaluator(s) will provide a written report in a timely manner to the Dean of the Faculty, who forwards the report to the Faculty Status Committee, the relevant Associate Dean(s), and the department and/or program chair. After deleting the name(s) of the evaluator(s), the Dean of the Faculty will also forward the report to the faculty member under review. This procedure for obtaining outside evaluations can be modified upon mutual agreement of the faculty member and the Dean of the Faculty.

Tenure External Review and Promotion to Professor External Review

External review is required for all candidates going up for tenure and promotion from Assistant to Associate Professor. External review is also required for all candidates going up for promotion from Associate Professor to Professor, effective August 2018. Candidates under review for either tenure or promotion to the rank of Professor will generate a list of at least 5 potential external reviewers by April 1 of the preceding academic year. The candidate's chair, in collaboration with other tenured members of the Department or Program, will also generate a list of 3 potential external reviewers. No rule prohibits the candidate and the chair from producing lists that overlap by identifying one or more reviewer(s) in common. The candidate may provide a list of names to be excluded from the Department/Program's list. The appropriate Associate Dean will request 2 letters from the candidate's list and 1 letter from the Department/Program's list. The Associate Dean will use the external review request template as a guide. (See Appendix L for template.)

By April 15 (suggested date), each faculty member under consideration will put together a packet of information to be sent the outside reviewers. A *vitae* is a necessary part of the packet of material sent to reviewers. Faculty will determine what specific work, published and/or in-progress, is forwarded to reviewers. Faculty may include professional statements of their research focus or anything else they deem relevant to the external reviewer. The appropriate Associate Dean forwards the packet of professional materials to the selected reviewers. In addition to these professional materials, external reviewers will be sent a brief description of the University and the resources available to faculty (this section will vary by department and be produced by the Associate Dean and Department Chair), and the typical teaching load and service responsibilities of the faculty member. The letter to the reviewer will indicate that we are not looking for the reviewer's opinion as to whether or not the candidate should receive tenure or promotion at Southwestern, or whether the level of professional activity and achievement would make a favorable case for tenure or promotion at the reviewer's institution. Instead, reviewers will be asked to provide their assessment of (1) the quality and rigor of the work submitted by the candidate that has not been peer reviewed, (2) the standards, rigor, and quality, and regional or national standing of the venues in which the candidate has presented, displayed, performed, or published work, and (3) whether those venues are appropriate to her/his field. In addition, reviewers will be asked to offer guidance to untenured faculty by commenting on the potential this work has and how it might be expanded and developed further. The reviews will be addressed to, and sent to, the Dean of the Faculty. The external reviewers will be informed that their identity will not be disclosed to the faculty member under review, although their evaluation will be forwarded to the faculty member.
Reviewers will be asked to submit their reviews by July 15. Once received, the Dean of Faculty will remove the reviewers' identifying information and forward the reviews to the faculty member. The reviews will also be

forwarded to the Department Chair, appropriate Associate Dean, and the Status Committee. Faculty members may add a response to reviewer comments to their professional files. This procedure for obtaining outside evaluations can be modified upon mutual agreement of the faculty member, the appropriate Associate Dean, and the Dean of the Faculty.

Post-Tenure Conferences

The post-tenure evaluation process will follow the pattern of informal conferences between department chairs and faculty members that were established in years 1, 3, and 5. These conferences focus on Brief Annual Reports, syllabi, course evaluations, etc., and should include biennial informal conversations between chairs or designated senior members and tenured department members (including department chairs), in which the faculty member's work as a teacher-scholar is the key focus. No written record is to be kept of these conversations. They are formative rather than evaluative, intended to promote ongoing discussion about career development, and will exist alongside the pattern of formal post-tenure review.

Post Promotion

The granting of promotion to Professor is as much forward looking as a review of the successes of the faculty member during her or his time as an Associate Professor. Southwestern University reserves the distinction of the rank of Professor for those faculty members whose commitment to the institution will continue post promotion. Faculty members at the rank of Professor are expected to continue their excellence in the classroom and in working with students in smaller settings. Professors are expected to be career-long scholars and/or artists who continue to contribute to the knowledge in their field. Given their history with and understanding of the institution, faculty members at the rank of Professor have a particular duty to be leaders in the area of service to the University community. They should be regular and active members of committees and councils, chair departments and programs, and actively seek other leadership opportunities.

Professional Files

Each faculty member is responsible for establishing and maintaining a professional file. This file provides a record of professional activities and accomplishments. All faculty members should make sure that their files are an accurate current reflection of all professional activities. Each faculty member is the only person who may add materials to or remove materials from his or her professional file. Beginning Fall 2015, all professional materials to support reviews for tenure or promotion to Professor must be ready for review by August 1st.

Professional files for each member of the faculty are housed in the Office of the Dean of the Faculty. The purpose of this file is to provide administrative personnel with material needed to make judgments concerning a faculty member's professional activities as a teacher, scholar, or artist, and participants in the Southwestern University academic community for the purpose of reappointment, promotion, and salary decisions. Access to the file is limited to the faculty member, the President, Dean of the Faculty, the appropriate Associate Dean, the Faculty Status Committee, and the appropriate department chair.

Contents of the professional file:

1. All professional files should contain annually updated Curriculum Vitae which delineates professional, academic, and University involvement and experience. Appropriate documentation for recent activities should also be included, especially in the case of tenure-track faculty members, who should document all significant professional activities during the probationary period.

2. The professional file should contain the Brief Annual Report and updated vitae annually from the first year of employment or, in the case of senior faculty members, from at least the date of the most recent promotion. (The Dean of the Faculty solicits the Brief Annual Report from all faculty members annually. Faculty members also provide a copy to their department chair.)

3. Tenured faculty members being reviewed for promotion and tenure-track faculty members preparing for their comprehensive or tenure year review should include a concise personal statement. It should summarize accomplishments in teaching, professional development and University service and state projected teaching and professional plans for the next five years. The faculty member is free to develop it in a way that is appropriate to his or her discipline and individual circumstances.

Other appropriate materials for the professional file might include, but are not limited to:

- Copies of published work and papers presented to professional associations.
- Copies of exhibition catalogs, performance programs, CDs and slides of artwork (for faculty members in the School of Fine Arts.)
- Letters of comments from colleagues outside the University who are in the position to comment on the faculty member's professional activity.
- Any unpublished material that might provide an insight into the faculty member's professional involvement and development within the appropriate field.
- Evaluations of the faculty member's professional activity by an outside evaluator.
- Course syllabi and other material that might assist administrators and, in the case of tenure-track and tenured faculty members, the Faculty Status Committee, in assessing teaching effectiveness and classroom or studio activities.

Course Evaluation System

1. All teaching faculty participate in the student course evaluation program. All courses shall be evaluated near the end of each regular semester by those students taking each course. A common evaluation form is used by all faculty. However, in special cases, a faculty member may provide a form that meets the approval of the Dean of the Faculty in consultation with the Chair of the Faculty Steering Committee. These evaluations become part of the normal University faculty evaluation process in which evaluation forms may be reviewed only by those persons who have access to a faculty member's professional file as defined in item 5 below.

   In special circumstances (such as an experimental course, a course being taught for the first time, teaching out of the faculty member's field, team teaching), a faculty member may request that the evaluation for a particular course be reviewed only by the faculty member. Such an exception to the normal evaluation process may be requested by filing a form provided for this purpose by the Office of the Dean of the Faculty. The form includes a section for stating the reason for exception and whether such an exception has been made for that course in the past. The request form is approved by the faculty member's department/program chair and the Dean of the Faculty, and then filed with the Dean of the Faculty by the published deadline.

2. Evaluations are to be scheduled within the last two weeks of the semester, with twenty minutes set aside during each class for this purpose. Note: Students not present for the evaluation session may not complete evaluation forms at a later time.

3. The Office of the Dean of the Faculty prepares packets for each course/section to be evaluated. These packets are then mailed to the faculty member, who takes the appropriate packet to class on the scheduled days. The designated student hands out the forms to the class, then picks up and returns the completed forms to the Office of the Dean of the Faculty in the original envelope. This procedure is carried out without comment by the student, and the teacher does not remain in the classroom while the evaluation forms are being completed.

4. The completed evaluation forms, upon their return, are electronically scanned and hard copies are also kept in the Office of the Dean of the Faculty. Once grades have been submitted, the forms are then made available to the faculty member and to other authorized individuals as defined elsewhere in this policy.

5. Evaluation forms are available for review only by persons who have access to a faculty member's professional file: the faculty member, the department and program chair, members of the Faculty Status Committee, the Dean of the Faculty (or designate), and other administrative personnel involved in faculty evaluation for the purpose of reappointment, promotion, tenure, and salary decisions. None of the information is available to students.

Hard copies of completed evaluation forms for all faculty are available in the Office of the Dean of the Faculty for the most recent two semesters, then moved to archival storage for a period of seven years. Hard copies of additional semesters are also available for those authorized to participate in comprehensive reviews (Faculty Status is provided with electronic access). After that time, the Dean of the Faculty offers them to the faculty. Those files that are not claimed are shredded.

Exceptional Cases

In cases where the previously outlined procedures have not been followed, please see the following. To give assurance to faculty members that they may feel secure in their positions, tenure is established as follows:

1. The initial appointment of a full-time, tenure-track faculty member is on a year-to-year basis unless stated otherwise in writing by the President to the faculty member involved until:

   A. Professors have completed at least five (5) years of satisfactory service in that rank or a higher rank;

   B. Associate Professors have completed at least six (6) years of satisfactory service in that rank or a higher rank;

   C. Assistant Professors have completed at least seven (7) years of satisfactory service in that rank or a higher rank; or

   D. Instructors have completed at least seven (7) years of satisfactory service in that rank or a higher rank.

2. After the expiration of the probationary periods set forth above, service will be continued during good behavior and satisfactory service, except for resignation, retirement or for circumstances due to financial exigencies or good cause shown.

3. In the case where dismissal is for good cause, the issue will be determined by an equitable procedure established by the Board of Trustees affording protection to the rights of the individual and to the interests of the University. [See Bylaws, Article III.] [Sections 1, 2, 3 adopted by the Board of Trustees on April 6, 1989; Amended April 3, 2001.]

Promotion – Academic Affairs Staff with Faculty Rank

The system of promotion for Academic Affairs staff with faculty rank reflects certain staff members' distinct work responsibilities, education, skills, and contributions within the academic community. Although individuals in this category are not eligible for tenure, this promotion system is a means of acknowledging and rewarding sustained excellence of professional performance.

To be eligible for consideration for promotion within this policy, 100% of the individual's work must be dedicated to one academic area or school and at least 50% percent of the individual's duties, as reflected in the job description, must be dedicated to classroom instruction of academic coursework and/or direct support of classroom instruction of academic coursework (i.e. class preparation, laboratory management, or curriculum management). As members of the University staff, all staff members with faculty rank are governed by the University's *Staff Handbook*.

General Guidelines:

1. Appointment as a staff member with faculty rank at Southwestern requires a strong academic background appropriate to departmental needs, including a graduate degree in a relevant field from an accredited institution.

2. A staff member's initial professional appointment at Southwestern will be at the rank of Assistant Professor (assuming the appropriate terminal degree has been earned; if not, the rank will be Instructor). The initial letter of appointment will state the staff member's rank.

3. From the time of initial hire in a regularly budgeted professional position, staff begin to build a professional file that reflects the full range of their activities and accomplishments. The professional file is housed in the office of the Dean of the Faculty and maintaining and updating the file is the sole responsibility of the individual.

4. Staff may be considered for promotion (either from Instructor or Assistant Professor) in the sixth year of professional employment at Southwestern. For consideration of promotion to rank of Associate Professor, a staff person must hold a terminal degree in that discipline. Previous professional employment at other academic institutions may reduce the length of time for promotion consideration. Such early eligibility for promotion must be stated in writing at the time of initial hire. In May of an individual's fifth year of service, she or he may write a letter to the Dean of the Faculty requesting consideration for promotion.

5. Staff who wish to enhance further their professional record before being considered for promotion may defer the promotion review beyond the sixth year. Staff may choose to discuss the viability of a promotion request with the Dean of the Faculty before writing a formal letter of request for consideration for promotion.

6. Once staff are promoted for the first time and complete five additional years of service, their activities and accomplishments pursued since the first promotion will serve as the basis for consideration for the second promotion. When the individual is ready for consideration, she or he activates the promotion process with a letter to the Dean of the Faculty. Note that the rank of Associate Professor may be the highest attained rank for some staff members, as it is in the case of some teaching faculty.

7. A denial of promotion does not necessarily constitute grounds for termination of employment. If an individual is denied promotion, she or he must wait at least two years before requesting another promotion review.

Criteria for Promotion (Staff with Faculty Rank):

Employment as a staff member with faculty rank requires that the individual have a thorough knowledge of their academic discipline and the ability to effectively use this knowledge in their respective duties. The following criteria apply to the staff member in consideration for promotion:

1. *Primary Professional Responsibilities*. It is expected that each staff member with faculty rank will fulfill their responsibilities at a level of excellence. These responsibilities are detailed in the position's job description on file in the Human Resources department.

2. *Teaching Effectiveness and Instructional Support*. In addition to each individual's professional activities within his or her academic specialty, all members of the professional staff contribute to the undergraduate teaching mission of the University. Staff members with faculty rank participate directly and indirectly in classroom instruction in multiple ways according to the position's job description on file in the Human Resources department.

3. *Service*. It is expected that staff members with faculty rank demonstrate commitment to the University's educational goals through productive committee work or other University service. Especially in consideration for promotion from Associate Professor to Professor, the individual's ability and willingness to demonstrate qualities of leadership in her or his professional life also will be taken into account.

4. *Professional Development*. Staff members with faculty rank are expected to demonstrate an articulated effort to remain current in their discipline and to demonstrate continuing commitment to their profession by participation in and contribution to its activities. Evidence of this commitment may include, but is not limited to, membership in professional organizations, continuing education, publication or presentation of papers, leading of workshops, participation in professional meetings, and use of internal grant opportunities to further professional development and research.

Promotion Process (Staff with Faculty Rank):

1. To begin the process, the staff member writes to the Dean of the Faculty requesting consideration for promotion. The Dean of the Faculty reviews the individual's professional file to determine, in consultation with the staff member, if the review process should proceed.

2. At the time of promotion, a committee will be appointed consisting of the Dean of the Faculty, the chair of the Faculty Status Committee, and three persons who the Dean of the Faculty deems to be best suited to evaluate the individual's work. This committee may solicit any information deemed necessary to perform this evaluation.

3. The complete professional file of a staff member under consideration for promotion is maintained in the office of the Dean of the Faculty and is made available to the committee for review. After examination of the professional file and deliberation of the matter, the Committee makes its recommendation regarding promotion in writing to the President.

Documentation in the Professional File (Staff with Faculty Rank):
Listed below are examples of the kinds of documentation that might be included in building the professional file. It is anticipated that a staff member will have a range of documentation to support promotion, but not necessarily all of the kinds noted below. The professional file will contain a complete, up-to-date curriculum vita, plus:

1. *Primary Professional Responsibilities.* Copies of departmental annual reports, where applicable; annual performance evaluations; a personal statement outlining fulfillment of primary professional responsibilities; and letters from faculty colleagues, students, and others.

2. *Teaching Effectiveness and Instruction.* Handouts, including syllabi; online documents and other educational materials prepared; acknowledgments or correspondence from teaching faculty regarding materials development and/or collaboration on projects; awards or other recognition; and lab surveys that document faculty or student satisfaction with various materials and services. Although not part of the professional file, course evaluations (where applicable) will be considered in evaluating teaching effectiveness.

3. *Professional Development.* Evidence of substantial job-related study; pursuit of additional advanced degrees; attendance at professional meetings, seminars, or workshops; evaluation of course work from faculty; research and publication of articles, books, or book chapters that contribute to the literature of the staff member's field; presentations (e.g. papers, panel discussions, workshops) at national, regional, or state professional conferences; and preparation and submission of grant proposals.

4. *Service.* A record of appropriate University service that may include the types of service outlined under "Contributions to the University Community" in the *Evaluation of Faculty* section of this handbook.

Salary Increases

Provisions adopted by the Board of Trustees at its meeting on January 30, 1970, are as follows:

1. Increases in salary will be given for the following reasons:
   A. Cost of living increase adjustments across the board;
   B. Salary increases to bring Southwestern in line with current salary norms will be made with deliberate speed;
   C. Merit increases to individual faculty members.

2. Because of inequalities in the personnel market in different fields, it is desirable to provide rather large overlaps in the salary ranges of different ranks.

3. The University conducts periodic studies of the salary system and makes every attempt to provide an equitable system of salary distribution based on both objective measures and assessment of performance. [In 2015, the Faculty Steering Committee approved the proposal that these salary studies occur every two years.]

The Faculty Member and the Academic Community

The Southwestern faculty member shares a responsibility for the tone and atmosphere of the campus community. This responsibility will be expressed, of course, in many ways, not all of them possible to define. There are, however, opportunities that a conscientious member of the community will take seriously.

Worship in Lois Perkins Chapel has far-reaching influence. Here, faculty and students come together to acknowledge dependence and ask for guidance. Chapel meets weekly on Thursdays at 11:30 a.m., and faculty members are invited to attend. Chapel is an open hour, and meetings, reviews, make-up exams, etc., should not be scheduled during this hour.

Many outstanding lecturers, speakers, and artists are presented on campus each year by various groups and organizations. The School of Fine Arts regularly presents art exhibits, theatrical productions and music concerts throughout the year. These highlight artists and performers from the faculty, well-known artists from off-campus and student artists. Such events are intended for the entire University community. Faculty members will not only benefit from attending these events, but will, by their attendance, encourage students to also take advantage of them.

Faculty Procurement and The Religious Commitment of the University

Southwestern University values its heritage as a United Methodist Church-related university and seeks to reflect in its life and work the finest traditions of the historical and continuing relationship. Thus, the University is committed to an ecumenical, non-sectarian, cosmopolitan approach to undergraduate education focused on the development of the whole person through a broad-based, value-centered education. Since the recruitment of quality faculty is vital in the achievement of this commitment, faculty appointments are not dependent upon a particular denominational affiliation. Rather, the University seeks persons who can support the ethical traditions, the Institutional Mission, Core Purpose, and Core Values of the University, so that they can feel comfortable and work closely with the University in achieving its mission.

SU Statement on Religious Diversity

Southwestern University is a crossroads for a range of communities. We are a meeting place for and home to a wide array of cultures, generations, academic disciplines, and perspectives. Consonant with the educational mission of The United Methodist Church, our United Methodist heritage, and Southwestern University's Core Purpose – fostering a liberal arts community whose values and actions encourage contributions toward the well being of humanity – we recognize that diversity in one category is impossible without diversity in others. We are a meeting place for differing religious beliefs and practices as well as spiritualities, and we encourage, and are committed to providing institutional support to a diversity of such traditions, and we understand that an enlightened model of religious diversity also encourages the presence and perspective of humanists, agnostics, and atheists. We are committed to making it as easy as possible for students, faculty, and staff to participate in the celebrations and observances of their respective faith communities. We facilitate participation of Southwestern students in religious communities beyond the campus, and welcome our neighbors to religious practices and celebrations on campus. Our goal is to be respectful and appreciative of our various religious and non-religious traditions. We seek to provide educational opportunities for each of us to learn about one another's cultures and practices. Dialogue can sometimes be painful; the legacies of intolerance run through the histories of almost all religious and secular traditions. Respectful dialogue, nevertheless, is the first step in modeling a peaceful world, in welcoming what is strange, in making new friends, and in deepening our lives. Indeed, no position should be imposed from one person on another. We welcome dialogues based on mutual consent in which the explanation of each person's secular or religious position is offered.

The Faculty and University Policy in Student Life Matters

Though the University seeks in no way to control the personal lives of faculty members outside of their faculty role, it expects that faculty members will not participate in activities with students that contravene University policy in student life matters.

Faculty Responsibilities and Georgetown Residency

An historic, continuing, and enduring sense of community is the foundation for the entire educational program of Southwestern University. It is, to a large extent, the faculty who foster and perpetuate that sense of community. Members of the University faculty do so by identifying, sharing, and perpetuating a common core of values with regard to broad-based, undergraduate education in a residential setting. They also contribute importantly to a sense of community by their presence on campus, not only in their work with students and colleagues, but also through their fields of specialization and in the ongoing life of the University.

Each faculty member, by his or her presence and activity throughout the life of the University, makes a very special and needed contribution to the enrichment of the intellectual/creative life of the University. The immediate and most obvious place where this occurs is in the classroom/laboratory/studio. However, faculty

responsibility extends beyond the classroom into such areas as advising and conversations arising over issues raised in class.

In a very special sense, a faculty member serves as a model for students. It is, thus, critical that faculty members be present on campus in a regular and consistent way to be accessible to students both during office hours and at unscheduled times. Members of the faculty are expected, for example, to support by their presence activities throughout the life of the University, such as the Brown Symposium, Lecture Series, Artist Series, and various other University events.

Because faculty responsibilities extend across the entire life of the University – from the classroom to advising and informal contact with students, to fostering a sense of educational community – faculty members are encouraged to live within reasonable proximity to Georgetown. While the institution recognizes that residence is a matter of personal choice, the University also acknowledges that active, on-going participation in the life of the University can be more difficult if an individual lives outside the Georgetown area. Thus, faculty members who choose to live beyond the Georgetown area have a special obligation to ensure that this does not interfere with their regular participation in the life of the University, their ability to be on campus as needs may arise, and/or to be available to students, colleagues, and staff.

Grievance Procedures

Faculty members may file grievance petitions, including grievances related to academic freedom, with the Dean of the Faculty. Non-faculty personnel may file such petitions with the Vice President for Finance and Administration. In each case, the administrative officer receiving the petition shall consult with the Human Resources department for setting up an equitable procedure for dealing with the grievance.

Grievances related to equal employment opportunity must be filed in writing and must relate to issues regarding race, color, religion, age, sex, national or ethnic origin, or disability status. The University's Associate Vice President for Human Resources is located in the Cullen Building. The office telephone number is (512) 863-1435.

Faculty Appeal

Faculty members on continuing appointment shall be heard forthwith at their request on any matter pertaining to their status, duties, or privileges at meetings of the Executive Committee of the Board of Trustees or at a full meeting of the Board provided they have exhausted all regular administrative remedies related to the issue which they propose to bring before the Executive Committee. Such requests for a hearing should be addressed in writing to the Chair of the Board of Trustees.

Procedures for Dismissal with Cause

The Bylaws of the University, Article III.4.d, state: "In the case where dismissal is for good cause, the issue will be determined by an equitable procedure established by the Board of Trustees affording protection to the rights of the individual and to the interests of the University." In conformity with this provision, the Board of Trustees adopted the following procedures at its regular meeting on January 27, 1978.

"Adequate cause for a dismissal will be related, directly and substantially, to the fitness of the faculty member in his professional capacity as a teacher, and ordinarily will be for incompetence or moral turpitude. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

Dismissal of a faculty member with continuous tenure, or with a special or probationary appointment before the end of the specified term, will be preceded by:

1. Discussion between the faculty member and appropriate administrative officers looking toward a mutual settlement;

2. Informal inquiry by the duly elected Faculty Steering Committee which may, failing to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding upon the President (for the purposes of informal inquiry by the Faculty Steering Committee, the Dean of the Faculty shall be excused from serving);

3. A statement of charges framed with reasonable particularity by the President or the President's delegate.

A dismissal will be preceded by a statement of reasons, and the individual will have the right to be heard by the Special Hearing Committee. The Special Hearing Committee will be selected from a list of all full-time teaching faculty by the faculty member and the President or his/her delegate. These two parties will alternate in striking single names from the list until five names remain. The party taking the first turn will be chosen by flipping a coin. The five faculty members whose names remain will constitute the committee.

1. Pending a final decision by the Special Hearing Committee, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to self or others is threatened by continuance. Before suspending a faculty member, pending an ultimate determination of status through the institution's hearing procedures, the administration will consult with the Faculty Steering Committee concerning the propriety, the length, and the other conditions of the suspension. A suspension which is intended to be final is a dismissal and will be treated as such. Salary will continue during the period of suspension.

2. The Special Hearing Committee may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties in order to: a.) simplify the issues, b.) effect stipulations of facts, c.) provide for the exchange of documentary or other information, and d.) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

3. Service of notice of hearing with specific charges in writing will be made at least twenty days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against him or her or asserts that the charges do not support a finding of adequate cause, the hearing tribunal will evaluate all available evidence and rest its recommendation upon the evidence in the record.

4. The Committee, in consultation with the President and the faculty member, will exercise its judgment as to whether the hearing should be public or private.

5. During the proceedings, the faculty member will be permitted to have an advisor and counsel of choice.

6. At the request of either party or the Special Hearing Committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer.

7. A verbatim record of the hearing or hearings will be taken and a typewritten copy will be made available to the faculty member without cost, at the faculty member's request.

8. The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

9. The Special Hearing Committee will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.

10. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Special Hearing Committee in securing witnesses and making available documentary and other evidence.

11. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the Committee determines that the interests of justice require admission of their statements, the Committee will identify the witness, disclose their statements, and if possible provide for interrogatories.

12. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

13. The Special Hearing Committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

14. The findings of fact and the decision will be based solely on the hearing record.

15. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees of the institution. The President and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.

16. If the Special Hearing Committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President rejects the report, he/she will state his/her reasons for doing so, in writing, to the Committee and to the faculty member and provide an opportunity for response before transmitting the case to the Board of Trustees. If the Committee concludes that adequate cause for a dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons.

17. Members of the Special Hearing Committee will be forbidden to communicate with any persons concerning the case outside of official meetings of the Committee.

If dismissal or other severe sanction is recommended, the President will, on record of the faculty member, transmit to the Board of Trustees the record of the case. The Board's review will be based on the record of the Committee hearing, and it will provide opportunity for argument, oral or written, or both, by the principals at the hearing or by their representatives. The decisions of the Special Hearing Committee will either be sustained, or the proceeding returned to the Committee with specific objections. If the proceeding is so returned, the Committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after study of the Committee's reconsideration."

VII. FACULTY DEVELOPMENT PROGRAMS *(For forms and dates, see http://www.southwestern.edu/offices/dean/research.php)*

Southwestern University is committed to a systematic and comprehensive program of faculty development. This program is provided in order to make possible the continued renewal of individual faculty members as professionals within their disciplines and as masters in the art of teaching. It also serves to maintain a strong and vital academic environment for the education of students. Professional development and renewal form a part of every faculty member's responsibility at Southwestern University, and the University seeks to support that kind of activity through several channels.

Southwestern University is grateful to the J.S. Abercrombie Foundation, the William A. McMichael Enrichment Fund, the Cullen Foundation, the Claud Howard and Elizabeth A. Crawford Endowment Fund, and the John McKee Sharpe Sr. and John McKee Sharpe Jr. Faculty Development Endowment for their generous support of faculty professional development. Additionally, the University is grateful to the Pauline and J.C. Fleming Endowment for Excellence, the Cullen Foundation, the William B. Jones Faculty Fellowship Fund and the Mundy Faculty Fellowship Fund for their generous support of faculty and student research through the Faculty-Student Projects Program.

Faculty Professional Development Support

Each tenured and tenure-track faculty member, academic staff member with faculty rank and three-year instructor is eligible to apply for faculty professional development support, except for those who hold Brown Chairs/Endowed Chairs. All other faculty and staff with faculty rank are eligible to apply for funding. The categories of the Faculty Professional Development Support are Special Conference Participation up to twice per year, one special conference participation and fees for one professional membership, one international special conference participation, or invited travel-based projects in the Fine Arts.

Competitive Professional Development Funds

Tenured and tenure-track faculty members, full time coaches, three year visitors, librarians and academic affairs staff with faculty rank may apply for competitive professional development funds for scholarly and academic projects. These funds may be used for any legitimate professional development expense including domestic and international research travel, books and supplies, subvention fees (subject to the Book Subvention Award Policy), journal publication costs, projects leading to permanent and/or public documentation of creative works in the Fine Arts, and other research related expenses.

Faculty-Student Projects

This program funds a range of faculty-student projects including but not limited to laboratory research, archival research, research in preparation for honors theses or other significant student projects, and projects in the studio arts, music and theatre. Projects may involve collaborative faculty-student research, faculty supervised undergraduate research, or intensive projects in the arts, music and theatre. The goal is to accommodate different types of faculty-student projects aimed at improving student learning and strengthening faculty teaching and/or scholarship. Tenured and tenure-track faculty members, full-time coaches, librarians and academic affairs staff with faculty rank may apply. Part-time and visiting faculty may apply with departmental approval. The program pays faculty and student project expenses during the academic year. For up to eight summer weeks, the program pays faculty and student stipends, student housing, project expenses, travel and other items related to the particular project.

Internal Grant Guidelines

Review the guidelines for Faculty Professional Development Support program, the Competitive Professional Development Funds, and Faculty-Student Project Program at
http://www.southwestern.edu/offices/dean/research.php

The guidelines must be met when submitting a proposal. **Please note that the Awards and Honors Committee will not consider incomplete applications.**

University Scholars Program

The University Scholars Program was established to make it possible for Southwestern University to achieve a new level of distinction among liberal arts colleges and universities by supporting faculty members who have a national

reputation in their discipline and who are committed to the role of teacher/scholar. The program recognizes persons on the faculty who have achieved national recognition in their field, and who have contributed to the enhancement of the mission of the University in a significant manner, over a substantial period of time. Individuals appointed as University Scholars are provided with opportunities to continue a substantial commitment to the academic pursuits that have brought them prominence, while fully participating actively in the educational life of the University. These opportunities include a reduced teaching load, more frequent eligibility for sabbatical leaves, research stipends, and funds for the support of research and professional activities. University Scholars are appointed by the President upon consultation with the Dean of the Faculty.

Policies and Procedures for Full-time Faculty Sabbatical Leaves

Statement of Purpose

The professional expertise of the faculty is among Southwestern University's most important resources. The purpose of the faculty sabbatical leave program is to enhance this resource by supporting the long-term professional growth of the faculty.

General Policies

1. Sabbatical leaves support the professional growth and development of the faculty. They are not automatically granted; they are investments in the future of Southwestern University's educational program, not rewards for past service. Each application will be individually considered in light of available resources and the overall interests of the University. Where appropriate, the level of professional activity and achievement that occurred since the last sabbatical will be used in evaluating whether additional sabbaticals are awarded.

2. Approved post-tenure sabbatical leaves may be taken for one academic year at half salary or one semester at full salary. Normally, sabbatical leaves taken pre-tenure will be for a period of one semester at full pay. Payment of salary shall be made in accordance with the normal university payroll cycle, unless otherwise arranged with the Dean of the Faculty and Associate Vice President for Human Resources. The Dean of the Faculty must initiate the payment process by notifying the Human Resources department in writing of the approval of the sabbatical leave.

3. Faculty members who accept sabbatical leaves agree to report the results of their research activities to the Dean of the Faculty and the President. The written report shall take the form of a summary of the sabbatical activities and may include proper documentation of research, e.g., a copy of a book, programs of musical and theatrical performances produced, slides of artwork produced, an article or a paper. A presentation to the general academic community is normally expected. The quality of the leave accomplishment is a criterion in evaluating the total contribution of the faculty member to the University.

4. Faculty members who accept a sabbatical leave agree to provide a year of service to the University after returning and at least three years of service before retirement. To determine eligibility, applicants must consider the timing of the proposed sabbatical leave relative to the anticipated year of retirement.

5. A successful sabbatical project will contribute to scholarly or artistic work that has been peer reviewed through the process of publication or performance, such as a new book contract at an academic press, an article at a peer-reviewed journal, a major exhibition or highly selective performance.

6. For the next sabbatical, the faculty member needs to demonstrate evidence of professional achievement in the form of scholarly or artistic work that has been peer reviewed through the process of publication or performance, such as a new book contract at an academic press, an article at a peer-reviewed journal, a major exhibition or highly selective performance.

Eligibility

1. Faculty members may apply for sabbatical leaves to be received during the fourth year of full-time service at Southwestern University, with subsequent sabbatical eligibility every seventh year thereafter. Calculation of time between sabbatical leaves is based on full academic years, not calendar years or semesters. A leave of absence for either a semester or a year delays eligibility for a full academic year. Faculty members granted credit toward tenure in their initial appointment will be eligible the year following their fourth-year comprehensive review.

2. The initial sabbatical in the fourth year is contingent upon a successful second year comprehensive review.

3. If faculty members are required by the Dean of the Faculty and the Awards and Honors Committee to delay their sabbatical leaves by a full academic year to accommodate departmental or University needs as determined by the Dean of the Faculty, they will receive one academic year's credit toward eligibility for the succeeding sabbatical period.

4. Faculty members who have served the University prior to the tenure-track appointment shall not automatically be entitled to credit toward the first sabbatical leave. No credit shall be earned for part-time service. Credit for non-tenure-track, full-time service to the University may be granted by the Dean of the Faculty, preferably at the time of the initial appointment, but no later than the time of the awarding of tenure. Such credit shall not be considered awarded unless defined in writing by the Dean of the Faculty.

Sabbatical Activities

1. Innovative, substantial research or creative projects consistent with faculty members' plans for long-term professional growth and development are encouraged and supported by the sabbatical program. Frequently cited proposals include:

   A. projects that require extended travel;
   B. projects that require the use of facilities other than Southwestern's;
   C. projects that cannot be accomplished while teaching a full-time load.

   This list identifies only a few appropriate sabbatical activities. The breadth and scope of potential projects extend beyond the limitations of this document. Faculty members are encouraged to discuss potential projects with their department chair and the Dean of the Faculty well in advance of application.

2. Work for additional salary (other than grant or fellowship monies), including teaching courses at another university, shall not be undertaken by faculty members while on sabbatical leave without special approval from the Dean of the Faculty and the President prior to application.

Procedures for Application

1. To apply for a sabbatical leave, the faculty member shall submit a substantive written application to the department chair that contains: a) the detailed proposal; b) the dates requested for the sabbatical leave; c) the role of the proposal in the context of ongoing professional plans; d) the expected professional outcomes; e) a current curriculum vitae and statement of outcomes for previous sabbaticals; and f) the anticipated budget (see Section H below). Under advisement of the department chair, the following questions should be addressed:

   A. How does the sabbatical request fit within the faculty member's overall plans for professional growth and development, i.e., is the proposal appropriate and consistent?
   B. Will the proposed sabbatical activities enhance the curriculum?

   Should the faculty member find that modifications suggested by the department chair would unacceptably compromise the substance or integrity of the proposal, the Dean of the Faculty may meet with the faculty member or the department chair to assist in resolving differences before the application is submitted. Final authority to resolve these differences rests with the Dean of the Faculty.

   When a department chair applies for a sabbatical leave, the Dean of the Faculty will appoint a department member to evaluate the proposal and to follow the procedures defined in this document.

2. After the above issues have been discussed and resolved to the mutual satisfaction of the faculty member and the department chair, the application shall be submitted to the Dean of the Faculty. After consulting with faculty members of the department about the impact the sabbatical will have on the department, the department chair shall concurrently submit an evaluation of the proposal and a "departmental impact statement" to the Dean of the Faculty, including what arrangements can be made to procure replacement staffing. The Dean of the Faculty shall review the application and may consult with the faculty member or the department chair about modifications.

3. The Dean of the Faculty is responsible for presenting all sabbatical requests to the Awards and Honors Committee for its review and recommendation. The Dean of the Faculty will deliver the recommendations of the committee and his or her recommendations to the President for a final decision.

Template: Faculty Sabbatical Application (approx. 3-8 pages, excluding the C.V.)

- Abstract of the sabbatical proposal.
- Dates Requested for Sabbatical Leave
- Personal History of Years of Service, including dates of leaves of absences and prior sabbatical leaves.
- Proposed Activities (in detail), including a discussion of the significance of the proposal and the expected date of completion.
- Context: Provide a statement in which you relate this proposal to your previous activities and your long-range plans for scholarly and professional development.
- Expected Outcomes
- Budget: If your sabbatical proposes financial support from the University or from sources outside the university, provide an anticipated budget, and indicate from what outside sources you expect the funds to be provided.
- Department Evaluation and Impact Statement: Your department chair should submit an evaluation of your proposal and a "departmental impact statement" to the Dean of the Faculty, due on the same date as this application.
- Current C.V.
- Statement on Outcomes of Previous Sabbaticals

Deadlines and Time-Line (Does not include deadlines for external funding)

Two academic years prior to the proposed sabbatical date

An informal conference with the department chair and written notification to the Dean of the Faculty.

One academic year previous to the proposed sabbatical date

Early September – conferences with the department chair to discuss a substantial, written proposal and to formulate plans for replacement staffing.

Mid-September – Conference with the Dean of the Faculty, if necessary.

October – Application deadline for sabbatical leave. Faculty member's application and the department chair's evaluation and "Departmental Impact Statement" due concurrently.

November – Review of applications by the Awards and Honors Committee.

December – Sabbatical award announcements from the President.

The academic year following the sabbatical leave

March 1 - Deadline for written reports on a fall sabbatical leave.

November 1 - Deadline for written reports on a spring or yearlong sabbatical leave.

Criteria for Award

When reviewing the sabbatical proposals, the Awards and Honors Committee will consider:

a. Is the project worth funding? What does it contribute to the existing body of work in the field?
b. Is the proposal clearly written?
c. What are the specific outcomes/what will be produced as a result of the sabbatical work?
d. What has been produced since the faculty member's most recent sabbatical?

Financial Considerations

Funding for Sabbatical Expenses

1. Funds to support sabbatical activities must be requested at the time the sabbatical request is submitted. The Awards and Honors Committee may approve, disapprove or adjust funds. The Dean of the Faculty, in consultation with the President and the Vice President for Finance and Administration, must approve the allocation of funds to support each sabbatical request. (Remarks: Southwestern student research assistants are not funded. Also, faculty are not eligible for competitive funds related to the sabbatical project in the summer adjoining the sabbatical

2. Faculty members are encouraged to pursue funding from sources external to the University to support sabbatical activities, which may include funds to cover salary, replacement costs and associated sabbatical expenses. However, the award of a sabbatical leave is not contingent upon external funding. The availability of external funding in no way obligates Southwestern University to accept said funding or to award sabbatical leave to a faculty member; neither is Southwestern University required to seek external funding to support sabbatical leaves.

Replacement Costs

Departments should make every effort to absorb the responsibilities of the faculty member on sabbatical leave. If departments anticipate that they cannot satisfactorily absorb the additional workload, the department chair shall determine appropriate solutions in consultation with the Dean of the Faculty.

Leave of Absence

Normally, faculty members who have completed a minimum of three years with satisfactory service may apply for a one-semester or one-year leave of absence without pay. Normal fringe benefits of a financial nature provided by the University will not be made during leaves but may be maintained upon payment by the faculty member for the benefits involved (hospitalization, etc.). Departments should make every effort to absorb the responsibilities of a faculty member on a leave of absence. A leave of absence for a non-tenured faculty member will not be counted toward tenure consideration. Termination of contract may be effected by the University for non-tenured persons on leave with the regular dates of notification being effective. The procedures involved for securing a leave of absence and the deadline dates of application are the same as that for securing a sabbatical leave.

Southwestern University Teaching Awards

Eligibility: Three awards will be presented each academic year. One will be awarded to an untenured faculty member, including Academic Affairs staff with faculty rank. A second award may be presented to a part-time or visiting faculty member. Eligibility for the third award requires either tenure or the rank of full professor. Faculty members are ineligible for five years after receiving an award.

Nomination and Selection Procedures: In early spring, the Dean of the Faculty will announce a call for nominations. Students will nominate individual faculty members by writing a letter of support to the Dean of the Faculty.

A committee member who is nominated will be replaced by the Dean of the Faculty with another faculty member to act on the selection committee.

After narrowing the field to the top candidates, the committee may request additional supporting material from the nominated faculty members. The following are suggested:

- The names of two students or recent alumni who will be asked by the Awards and Honors Committee to write letters in support of the candidate.

- A one-page single-spaced letter of teaching philosophy.

- Up to five supporting documents. These could include syllabi, descriptions of assignments and projects used in class, research involving students, and other awards or fellowships.

- Permission for the committee to review their teaching evaluations from the most recent two years.

Announcement of the Awards: The presentation of the awards will occur at the end of the academic year. The nominating students have the option of presenting the awards; if they are unable, the awards will be presented by the Dean of the Faculty. Each award will carry a cash award and a plaque commemorating the award. Additionally, a plaque with the names of all the winners will be displayed in a prominent location on campus.

Advising Awards

In an effort to reward the hard work of exceptional faculty advisors, the Center for Academic Success presents an annual Advising Award. Nominations are generated by students, and the recipient is selected by the Academic Success staff. The $500 cash award is to be presented to a faculty member by a student at the conclusion of the academic year. A plaque with the names of all recipients is displayed in the Center for Academic Success.

The William Carrington Finch Award

The William Carrington Finch Award is made to a full-time faculty member for conspicuous accomplishments in furthering the aims of Southwestern University. A plaque and a cash award of $5,000 will be made normally on alternate years as an appropriate recipient is identified. President Finch was a member of the faculty of Southwestern University from 1941 to 1950 and was its eleventh President from 1950 to 1961. His presidential leadership in giving Southwestern a new academic vision and commitment distinguished his administration. The award was made possible by a gift to the endowment by his wife, Lucy, and their two sons, Dr. William Tyree Finch and Dr. Richard Carrington Finch. Its purpose is to recognize and encourage faculty who best identify themselves with an attempt to fulfill the objectives and aims of the University, as well as to encourage that combination of ability and achievement which makes for an effective faculty member.

> The first criterion is involvement in a teaching field interpreted to include the creative and performing arts. Research for either publication or teaching should be broad enough to guarantee familiarity with the continuing growth within a field.
>
> Another standard is excellence in teaching. Here, competence must be combined with the ability to communicate. Enthusiasm for the subject matter and interest in the student are necessary for responsible teaching.
>
> A third area of proficiency is the contribution made to the governance of the University in leadership shown on committees and councils, and,
>
> Finally, the contribution outside the class to the establishment and support of better community relationships in the area of the common life of students, faculty, and administration. This involves relating to the students in extra class academic enterprises (public lectureships, symposia, etc.), active support of some of the work of other areas of the University (concerts, athletics, etc.), and relating to other members of the community as a person (chapel, union projects, etc.)

The final selection of the recipient is made by the President from nominations transmitted by the Selection Committee. The Selection Committee is composed of the Dean of the Faculty, two faculty members, and two students. The Dean of the Faculty serves as chair of the committee. The faculty representatives are the two most recent recipients of the award. The two students are elected by the most appropriate student group identified by the Vice President for Student Life. The Committee submits to the President for his/her final selection the names of several candidates who have been nominated by members of the community. Every other year, the Committee invites letters of nomination from faculty, staff, administration, and student government. Student input is made in such a way as to allow teachers with a limited number of students to be considered in an equitable fashion with those better known through large or required classes.

The award is normally presented by the President on the occasion of the spring commencement. The *University Catalog* will indicate that the recipient is, in addition to any other title, the William Carrington Finch Professor for the appropriate year.

VIII. FACULTY BENEFITS AND RETIREMENT *(http://southwestern.edu/hr/benefits/)*

IX. REGULATIONS REGARDING SPECIAL COURSES AND PROGRAMS

Academic Internships *(http://southwestern.edu/academics/registrar/catalog/index.php)*

Independent Study *(http://southwestern.edu/academics/registrar/catalog/index.php)*

Research Courses *(http://southwestern.edu/academics/registrar/catalog/index.php)*

Tutorial Courses *(http://southwestern.edu/academics/registrar/catalog/index.php)*

Policies Governing Summer School *(http://southwestern.edu/academics/registrar/faculty/)*

Scheduling Special Events *(http://southwestern.edu/policy/)*

X. POLICY AND PROCEDURES ON SEXUAL HARASSMENT

At the faculty meeting on February 27, 1990, the faculty adopted the following policy and procedures on sexual harassment formulated by the Faculty Affairs Council. The Board of Trustees adopted the same policy and procedures at its regular meeting on April 6, 1990. Amendments to the policy were approved by the faculty on April 28, 1992 and February 15, 1994, and the Board of Trustees on October 30, 1992 and April 15, 1994. On October 31, 2002, the University Council approved a proposal from the Faculty Affairs Council that the Sexual Harassment Advisory Committee report to the University Council effective immediately. Amendments to the procedures were approved by the University Council on February 3, 2003 and subsequently by the faculty on February 11, 2003. Administrative updates were approved by the Strategic Planning and Budget Committee in April, 2015.

A. Policy and Definition

Sexual harassment in any manner or form, including sexual harassment based on sexual orientation, is expressly prohibited. It is the policy of Southwestern University (the University) to maintain both an academic and a working environment free from all forms of sexual harassment of any employee or applicant for employment, student, donor, former student, volunteer, or any other constituent of the University. Two reasons for this policy are to reaffirm the University's commitment of respect for the person and to enhance the University community's level of consciousness regarding gender issues. Sexual harassment violates both University policy and Title VII of the Civil Rights Act of 1964, as amended by the Civil Rights Act of 1991 and the Texas Commission on Human Rights Act. All reported or suspected occurrences of sexual harassment will be promptly and thoroughly investigated. All investigations will be conducted in a professional manner, and to the fullest extent possible. The University intends that these investigations will be kept confidential within the limits of the law. Where sexual harassment has occurred, the University will take appropriate and timely disciplinary action.

As used in this policy, the term "sexual harassment" means unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

1. submission to such conduct is made, either explicitly or implicitly, a term or condition of a person's employment or education; or

2. submission to or rejection of such conduct by a person is used or threatened as the basis for academic or employment decisions, or evaluations affecting that person; or

3. such conduct has the purpose or effect of a) unreasonably interfering with a person's academic or professional performance or b) of creating an intimidating, hostile, or offensive employment, educational, or campus environment for any person or group of persons.

Other sex-related behaviors, that may or may not be definable as sexual harassment, will hereinafter be referred to as “sex-related misconduct”.

B. Examples of Sexual Harassment

The examples of sexual harassment given below are intended to illustrate inappropriate behavior, but are not all-inclusive. Courts in this country have recognized two types of sexual harassment: The first type is *quid pro quo* ("something for something") harassment, where sexual activity is demanded or offered in exchange for an actual, tangible job or benefit; the second type is hostile environment harassment, where there is not necessarily a loss or gain of a tangible job or benefit. The University intends for this policy to include *quid pro quo* harassment and hostile environment harassment.

Examples of unacceptable verbal or physical conduct which may constitute sexual harassment include, but are not limited to:

1. Direct or implied threats that submission to sexual advances will be a condition of employment, work status, promotion, grades, or letters of recommendation;

2. Intimidating conduct which exerts pressure for sexual activity;

3. A pattern of conduct in class or in the workplace (not legitimately related to the subject matter of the course or job) which would discomfort or humiliate a reasonable person at whom the conduct was directed, through comments of a sexual nature, such as sexually explicit statements, questions, jokes, anecdotes, or references to sexual orientation.

4. A pattern of conduct that would discomfort or humiliate a reasonable person at whom the conduct was directed, through one or more of the following: a) inappropriate touching, patting, hugging, or brushing against a person's body, b) repeated or unwanted staring, c) remarks of a sexual nature about a person's clothing or body, or d) remarks about a person's sexual orientation, sexual activity, or speculations about previous sexual experience;

5. A pattern of conduct which a reasonable person would identify as one or more of the following: a) inappropriate remarks or humor based on gender stereotypes or sexual orientation, b) inequities in references to males and females (e.g., "men and girls"), c) the assignment according to gender stereotype of tasks that are not gender specific.

This policy is not intended to limit legitimate claims of academic freedom. In particular, the policy does not limit classroom teaching concerning sexual topics legitimately related to the content or purposes of a course, even though such topics may elicit discomfort in some class members.

C. University Administration of Policy

Persons in positions of authority have specific responsibility in the area of sexual harassment. Particular sensitivity should be addressed to such questions as whether consent is as free as it seems, and to the inherent conflicts of interest in personal relationships where professional and educational relationships are also involved.

When faculty or staff members suspect sexual harassment on the part of a person or persons under their jurisdiction, they should immediately take action by contacting the Sexual Harassment Officer (SHO) to discuss the situation and determine a course of action.

A SHO, appointed by the President of the University, is available to assist the University community in dealing with all complaints of sexual harassment and sex-related misconduct (even if the sex-related misconduct is not processed through the Sexual Harassment Policy). The SHO works in close coordination with the University's Title IX Coordinator, Deputy Title IX Coordinator, and other appropriate University officials.

The duties and responsibilities of the SHO include:

1. Receiving notification from University officials and/or members of the University community of all allegations of sex-related misconduct including, but not limited to, "sexual harassment" and "sexual misconduct";

2. Reporting, as needed, to the University community allegations of sexual harassment and sexual misconduct and the subsequent resolution of those reported incidents not otherwise reported by the University;

3. Reporting the initiation of any formal complaint to the appropriate member of the University's Senior Staff and to the Associate Vice President for Human Resources (AVPHR);

4. Serving as a member of the University's Title IX Compliance Committee (an administrative working group) and also as an ex-officio member of the University's Sexual Assault Risk Reduction Committee

5. Assisting with the training of Sexual Misconduct Intake Advisors, and other individuals in similar roles, as needed;

6. Initiating the informal and/or formal complaint processes as appropriate; be involved in resolutions of the incidents as appropriate.

D. General Procedures for Handling Complaints

Members of the Southwestern University community who believe that they have been sexually harassed (or those who have been accused of sexual harassment) may turn for assistance to the University's SHO, the AVPHR, the appropriate supervisor, the appropriate member of the President's Senior Staff, or the Associate Vice President for Academic Affairs (AVPAA). The complainant has the option of taking an informal or formal action according to the procedures outlined below.

Advisory Option

Any person who believes that she or he has been sexually harassed is encouraged to seek advice from the SHO, the AVPHR, or the AVPAA. These individuals are administrators whose job responsibilities include handling such complaints and will be available to aid a member of the University Community in the following ways:

1. Provide immediate support by listening to and discussing the allegation with the advisee;

2. Discuss with the advisee the definition of sexual harassment to help the advisee reach a reasonable decision whether sexual harassment as defined in this policy has occurred;

3. Outline for the advisee possible courses of action, including the Informal and Formal Complaint Procedures described in this policy and including selection of the authority who should be notified should the advisee wish to make a formal complaint;

4. Discuss with the advisee possible effects of the various courses of action, including consequences to the advisee and to the person against whom the advisee has a complaint;

These individuals will maintain confidentiality within the limits of the law, including Title IX and related regulations. Unless a complainant gives the SHO, AVPHR, or AVPAA permission to disclose specific information concerning the alleged act of harassment, these individuals will limit his or her assistance to the items described in 1 through 4 above and will not discuss with or report the alleged act of harassment to any person other than the SHO (unless required by law, including Title IX and related regulations). The complainant should realize, however, that these individuals and the University cannot take any actions to attempt to resolve the alleged problem if the complainant desires to keep the allegation and the circumstances surrounding such allegation anonymous. An exception to non-disclosure of anonymous complaints may be made in cases where the SHO reasonably believes that the safety of a member of the University community or general public will be at risk; this includes the risk of other individuals being subjected to sexual harassment.

Contact with the SHO, AVPHR, or AVPAA in no way obligates the complainant to pursue an official complaint. The SHO, AVPHR, or AVPAA, however, may be required to independently report the incident to appropriate University officials which may initiate an investigation under the law, including Title IX and related regulations. The complainant has the option of choosing, upon reflection, not to pursue the matter and not to make contact with the accused. On the other hand, the complainant may pursue an Informal or Formal Complaint Procedure.

Informal Complaint Procedure

A common method of utilizing the informal approach is through a letter written by the alleged victim to the accused person. Other options may include, but are not limited to, the use of a mediator or a facilitated face-to-face meeting between the parties. If a letter is used, it generally should address three matters:

1. The facts of what has occurred, told without evaluation. These facts should be as detailed and precise as possible, with dates, places, and a description of the incident(s).

2. How the writer feels about the events.

3. How the writer wants the matter resolved and within what time frame. This part should include a statement that if the matter is not resolved satisfactorily within a specified amount of time the writer may take formal action.

The writer has the option of preparing such a letter with the assistance of the SHO, AVPHR, or AVPAA. If the writer declines that option, the writer is to have the SHO, AVPHR, or AVPAA review the communication prior to it being sent. In all cases, the SHO conducts the final review of the letter. The letter may be delivered in person, by registered or certified mail, or by the SHO. The accused person may reply to a writer who wishes to remain anonymous through the SHO. The writer should keep a copy of the letter, but not send copies to others. If the letter does not achieve its purpose, it can be used to support a formal complaint. Although it is the personal decision of the complainant as to whether she or he wishes to remain anonymous, choosing to remain anonymous may hinder resolution of the matter in circumstances where the accused is unsure or does not clearly recall the incident leading to the complaint.

Formal Complaint Procedure

In a formal complaint action, the complainant must notify in writing an appropriate University official, with or without the help of the SHO, AVPHR, or AVPAA. If the complaint involves a student, the Vice President for Student Life will be notified; if it involves a faculty member, the Dean of the Faculty; if it involves staff/administration, the Vice President for Finance and Administration; in any of the above cases, the University's SHO will be notified. Should either the Vice President for Student Life, the Dean of the Faculty, or the Vice President for Finance and Administration be notified of a complaint involving sexual harassment, such party shall inform the SHO in a timely manner of any such allegations and actions regarding sexual harassment. In any situation where the SHO is notified of the complaint because the accused is the party set forth above to whom complaints should be given, then the SHO will make the determinations described in 1, 2, and 3 below and report directly to the President of the University.

Once the SHO is notified of allegations concerning sexual harassment and the complainant's desire to proceed with a formal complaint against the accused, a prompt investigation by the University will follow. The University is committed to investigate formal complaints which it receives and to deal appropriately with any person found to have violated the policy. Proceedings under the Formal Complaint Procedure shall take place in accordance with the following guidelines:

1. Faculty: Upon receipt of a formal, written complaint involving a faculty member, the Dean of the Faculty shall determine, with the assistance of the SHO, and with or without the assistance of the appropriate associate dean and/or department chair, depending on whether or not the Dean of the Faculty elects to notify such associate dean or department chair, whether further investigation or recommendation for sanctions is warranted. The Dean of the Faculty shall notify the accused faculty member as soon as reasonably possible of the complaint and the Dean of the Faculty's finding as to whether further investigation or recommendation for sanctions is warranted.

2. Staff: Upon receipt of a formal, written complaint involving a staff member/administrator, the Vice President for Finance and Administration shall determine, with the assistance of the SHO, and with or without the assistance of the appropriate administrator/department head, whether further investigation or recommendation for sanctions is warranted. The Vice President for Finance and Administration shall notify the accused staff member/administrator as soon as reasonably possible of the complaint and the finding as to whether further investigation or recommendations for sanctions is warranted.

3. Students: Upon receipt of a formal, written complaint involving a student, the Vice President for Student Life shall determine, with the assistance of the SHO, whether further investigation or recommendation for sanctions is warranted. The Vice President for Student Life shall notify the

accused student as soon as reasonably possible of the complaint and the finding as to whether further investigation or recommendation for sanctions is warranted.

With respect to any formal written complaint filed involving faculty, staff, or students, as described in 1, 2, or 3 above, if the circumstances warrant it, the Dean of the Faculty, the Vice President for Finance and Administration, or the Vice President for Student Life, as the case may be, may convene an *ad hoc* committee to investigate, review, and summarize the facts surrounding the case and make recommendations for resolution of the complaint. If appropriate, the SHO may recommend an *ad hoc* committee to the respective Senior Staff member. No member of the committee shall have been the complainant or the accused. The SHO shall chair any such *ad hoc* committee unless such person is either the complainant or the accused. The *ad hoc* committee will conduct its own inquiry to gather whatever information it deems necessary to assist it in reaching a determination as to the merits of the allegations. The *ad hoc* committee will summarize the information gathered from the inquiry for the appropriate party who convened the committee. The SHO, as chair of the *ad hoc* committee, will consult with the appropriate party who convened the committee to discuss recommendations regarding resolution of the complaint(s).

Once the Senior Staff member has received the report of the *ad hoc* committee convened (if he or she has not served on the committee or has otherwise reached a basis for making a decision) and has consulted with the SHO, then he or she shall determine the judgment and sanctions, if any, and shall submit his or her decision in writing to the President. The President shall review the decision and if in agreement with the recommendations, the President shall notify the accused faculty, staff, or student, as well as the complainant, of the decision. If the President does not agree with the decision, he or she shall refer it back to the appropriate Senior Staff member. If either side chooses to appeal the decision for any reason, including but not limited to alleged procedural errors or alleged new evidence, such appeals shall be made to the President. Requests for appeals should be made in writing and addressed to the President within 30 days after notification of the original decision.

E. University Disciplinary Actions and Penalties

Students found guilty of sexual harassment may receive a warning, specific penalties, disciplinary probation, suspension, or expulsion, as explained in the *Student Handbook* under Personal Conduct Policies (including Student Sexual Misconduct Policy).

Faculty members found guilty of sexual harassment may receive penalties ranging from a warning to dismissal with cause. If procedures for dismissal with cause are instituted on the basis of sexual harassment, those procedures must conform to the policy and procedures adopted at the January 27, 1978, meeting of the Board of Trustees and as may be subsequently amended. (See the section in the *Faculty Handbook* on Dismissal with Cause, Section VI.)

Staff and administrative members found guilty of sexual harassment may receive penalties ranging from a warning to immediate dismissal as described within the Performance Management Guidelines section of the *Staff Handbook*.

The University will take timely and appropriate corrective action to end sexual harassment when it is know to have occurred.

F. Retaliation

Except in regard to false accusations as detailed below, no retaliation by any member of the Southwestern community may be taken against any person because she or he makes a complaint concerning sexual harassment or against any member of the University community who serves as an advocate for a party in any such complaint. All reasonable action will be taken to assure that the complainant and those testifying or participating in other ways in the complaint resolution process will suffer no retaliation as a result of their participation.

G. False Accusations

While the University is committed to preventing and punishing unlawful discrimination, harassment, and retaliation, it also recognizes that false accusations of sexual harassment or retaliation may harm an innocent party who has been falsely accused. Accordingly, any person, who, after an investigation, is found to have knowingly

made a false accusation of sexual harassment or retaliation will be subject to appropriate disciplinary action. However, if a person makes a report of what he or she in good faith believes to be sexual harassment or retaliation, the person will not be subject to disciplinary action even if the person turns out to be mistaken or there has been a finding of no sexual harassment or retaliation.

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Additional Information

More information about sexual harassment and sexual misconduct can be found at the following University web sites:

Sexual Harassment: www.southwestern.edu/acsh/index.php

Title IX main web page: www.southwestern.edu/titleix/

Title IX Compliance Committee: www.southwestern.edu/titleix/committee/

Sexual Assault Risk Reduction Committee: www.southwestern.edu/titleix/sarr.php

Help for Sexual Assault/Misconduct: www.southwestern.edu/titleix/yellowbook.php

Resources for Sexual Assault and Dating Violence: www.southwestern.edu/titleix/resources/index.php

XI. ASSESSMENT OF ACADEMIC PROGRAMS AT SOUTHWESTERN UNIVERSITY

(http://www.southwestern.edu/offices/dean/assessment/)

Note: Information for annual academic assessment plans is now posted at this Dean's Office site. Guidelines for seven-year department/program reviews will be posted here once revisions are complete.

XII. APPENDICES

Appendix A – Regular Retirement Plan for all Employees *(http://southwestern.edu/hr/benefits/)*

Appendix B – Employee Tuition Assistance Policy *(http://southwestern.edu/hr/faculty-staff-scholarship-program/)*

Appendix C – Policy on Patents, Copyrights, and Trade Secrets

(Also posted at *http://southwestern.edu/policy/*)

PREAMBLE

Southwestern University is steeped in the tradition of liberal arts universities in providing its students a well-rounded education, and its faculty academic freedom. As the oldest university in Texas existing under its original charter, the University has always striven to be in the forefront of education in the State of Texas by promoting the arts and sciences. Historically, the University has encouraged the free and creative exchange of ideas, the publication of scholarly works, basic scientific research, and the production of artistic works and musical composition.

PURPOSE

The purpose of this policy is to advance the interests of the University, promoting and protecting the results of research, scholarship, and artistic work. The policy also preserves and protects the interests of the University which has the responsibility of the stewardship and cultivation of its financial resources. The policy is committed to academic freedom, recognizing that the pursuit of research, scholarship and artistic work complements

instruction as well as enhances it, and is integral to the life of this community of teaching and learning. Members of the University Community may also undertake such a pursuit with the primary goal of creating commercially exploitable products, and where the University makes a substantial financial investment in such an enterprise, it acquires a financial interest that this policy also seeks to protect. This policy has been developed to ensure that the rights and interests of all parties concerned are determined according to established, uniform, and fair procedures.

PROTECTABLE RIGHTS

Artistic works, musical compositions, computer programs and software, and writings are subject to Copyright protection. The fruits of research are protectable by obtaining Patents, in both the U. S. and foreign countries. For purposes of this policy, computer software shall be treated as Patentable subject matter.

TRADE SECRETS

In order to foster the free exchange of ideas and information, there shall be no trade secrecy or other confidentiality of information arising out of research performed at the University, except as otherwise agreed in a Special Contractual Arrangement, or for a limited time as necessary under this policy for the purposes of preserving the University's right to seek Patent protection on an Invention owned by the University.

DEFINITIONS

The following terms shall have the meaning in this policy defined below:

1. Author. The member of the University Community who writes or creates a Copyrightable Work.

2. Committee. The University's Committee for Patents, Copyrights, and Trade Secrets.

3. Copyright. Copyright refers to the right of literary and artistic property as recognized and protected by law. Copyright protection subsists in original works of authorship fixed in any tangible medium of expression from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device. In no case does Copyright protection for an original work of authorship extend to any idea, procedure, process, system, method of operations, concept, principle, or discovery disclosed in such work, but rather extends only to the manner in which it is expressed. The Copyright owner has the exclusive right to reproduce the work, prepare derivative works, distribute copies by sale or otherwise, and display or perform the work publicly for a period of time set forth in the U.S. Copyright Law; currently equal to the life of the author plus 70 years after the author's death; or as otherwise set forth in Chapter 3 of Title 17, United States Code.

4. Copyrightable Work. Works of authorship that are copyrightable include, but are not limited to, the following categories:

   A. Literary works such as books, journal articles, poems, manuals, memoranda, tests, computer programs and computer software, programmed instructional material, databases, and bibliographies.

   B. Musical works including any accompanying lyrics.

   C. Dramatic works and screenplays, including any accompanying musical scores.

   D. Improvisational and choreographic works (if fixed, as in notation or videotape).

   E. Recognized forms of art, including, but not limited to, paintings, graphic designs, sculptural works, photographs, architectural designs and sketches.

   F. Film, television and radio and related media.

   G. Sound recordings.

5. Invention or discovery. As defined by current patent law, an invention or discovery is a new and useful process, machine, manufacture, composition of matter or material, or new and useful improvement thereof. It may cover such things as new or improved devices, systems, circuits, chemical compounds, mixtures, etc. An invention may result when something new, useful, and non-obvious has been

conceived or developed, or when unusual, unexpected, or non-obvious results are obtained and can be exploited. An invention is made when the conception has been reduced to practice.

6. Inventor. The member of the University Community who conceives an Invention.

7. Patent and Patentable Invention. A United States Patent is a property right granted by the U. S. Government giving the Inventor the right to exclude others from making, using, offering for sale, selling and/or importing the patented Invention in the United States and its territories and possessions for a limited period of time. For Patents issued on applications filed prior to June 8, 1995, the period of time is from issuance until (a) 20 years after the original application was filed or (b) 17 years after the Patent was issued, whichever of (a) or (b) is later. For Patents issued on applications filed on or after June 8, 1995, the period of time is 20 years after the original application was filed. These periods may be extended under certain circumstances. To be a Patentable Invention, the Invention must be a new, useful and unobvious machine, composition of matter, article of manufacture or process.

   Foreign countries' patent laws have various additional or different requirements and time periods. Subject to those differences, Foreign Patents are to be covered by this policy.

8. Substantial Use of University Facilities. Substantial use of University facilities in the creation of intellectual property for purposes herein means extensive, unreimbursed use of University facilities, equipment or space, or human resources which are not normally used in the education or instruction of University students. Facilities commonly available to all faculty and professional staff, whether within a department or at large, and which have a normal educational use or which are primarily instructional in nature, shall not be considered in determining whether Substantial Use of University Facilities has been made. For example, but without limitation, the following facilities, and equipment would not be used in determining whether Substantial Use of University Facilities had been made: (i) faculty offices, faculty studio or laboratory offices, (ii) library, (iii) laboratory and studio space (including classroom, theaters and physical education facilities) and equipment available to all within a department and which is normally used for educational purposes. Facilities will be used in such determination if, for example, but without limitation, they are segregated for use in an individual's research or they are specially purchased or renovated for the purpose of furthering an individual's research. Use will be considered "substantial" if similar use of similar facilities would cost the inventor more than $25,000 (to be adjusted in the future for inflation from January 1, 2001) if purchased or leased in the public market. Any questions as to whether a facility will be so considered and whether use of included facilities is substantial shall be submitted to the Committee.

9. University. Southwestern University.

10. University Community. The faculty, staff, and students of the University.

POLICY

1. Copyrights. In keeping with academic traditions at the University, the Author retains all rights to Copyrightable Works, unless otherwise agreed pursuant to a Special Contractual Arrangement, or where the primary purpose of the research is the production of a commercially exploitable result, and Substantial Use of University Facilities has been devoted to its production (in such instances, refer to Procedure (Copyright) section that follows).

2. Patents. In keeping with academic traditions at the University, the Inventor retains ownership to patentable works, unless otherwise agreed pursuant to a Special Contractual Arrangement, or where the primary purpose of the research is the production of a commercially exploitable result, and Substantial Use of University Facilities has been devoted to its production (in such instances, refer to Procedure (Patent) section that follows).

   A. No Substantial Use of University Facilities.

      (1) Ownership of Patentable Inventions resulting from the research of a member of the University Community without Substantial Use of University Facilities shall belong to that member, subject only to any Special Contractual Arrangement that a member of the University Community or the University may have executed including, but not

limited to, contracts with the Federal Government. Members of the University Community whose Inventions fall into this category may avail themselves of the opportunity to submit the invention to the University for a Patent and for its commercial exploitation and management under terms to be agreed between the University and the Inventor.

(2) Members of the University Community who believe that they have made Inventions without Substantial Use of University Facilities shall not file, or permit others to file in their name, Patent applications without providing at least 90 days notice and a statement of the circumstances of the invention to the Committee for review and consideration. If requested, additional information as to the nature and circumstances under which the Invention was developed and a copy of the Invention Disclosure or proposed Patent application shall be provided. Requests for such additional information shall be made within 45 days of the original notice. Unless the Committee determines otherwise within 90 days of receiving all requested information, the claim of the Inventor to have made No Substantial Use of University Facilities shall stand and the member of the University Community may then file a Patent application without further coordination with the University or the Committee.

B. Substantial Use of University Facilities.

(1) The University shall own Inventions (as defined herein), Patent applications and Patents resulting from research involving Substantial Use of University Facilities. The Inventor shall assign all rights to such Inventions, Patent applications and Patents covering Inventions, under this Section B, to the University.

(2) If the University in its sole discretion determines that it does not desire to pursue Patent protection for an Invention, it may release the Invention to the Inventor who may apply for a Patent at the Inventor's own expense. Under these circumstances, the University shall retain a royalty-free right to make or use the Invention for its educational, research and public service functions.

(3.) Special Contractual Arrangements. Copyrightable Works and Patentable Inventions resulting from Special Contractual Arrangements, whether with the University or outside sources, shall be handled pursuant to the terms of such contract so long as such terms are not inconsistent with other University policies. Any member of the University Community engaged in Special Contractual Arrangements with outside sources is responsible for ensuring that the provisions of any such contract are not in conflict with University policy or University commitments. Under University policy, any Special Contractual Arrangements with outside sources must not make substantial unreimbursed use of University facilities, except by prior written agreement with the University. For purposes of this policy, a faculty member's general obligation to produce scholarly and artistic works shall not constitute such a Special Contractual Arrangement with the University. Notwithstanding anything herein to the contrary, the University shall retain a royalty-free right to make, use, copy, distribute within the University Community or perform such works in connection with its educational, research and public service functions.

(4.) Dispute. Any dispute pertaining to the above terms and conditions shall be resolved as set forth in the Dispute Resolution section.

PROCEDURE

Copyright

1. General. The Author of any Copyrightable Work resulting from Substantial Use of University Facilities, or under a Special Contractual Arrangement with the University providing for rights in the work to be assigned to the University, shall notify the Committee as soon as practical after its creation. The Author also shall execute any document(s) deemed necessary to perfect legal rights in the University and/or enable the University to file applications for Copyright registration, as applicable. The Disclosure shall

be made at the time the contract is negotiated and at the time when legal protection for the work is contemplated; and it must be made before the work is sold, used for profit, or disclosed to the public.

2. Required Copyright Notice.

   A. Property rights in Copyrightable Works are secured by creation of the works in any fixed, tangible medium of expression. The Copyright notice, when used, includes either the word "copyright," the abbreviation "Copr.," or the symbol "©," accompanied by the name of the Copyright owner and the year of first publication. Both the word "Copyright" and the symbol "©," i.e., "Copyright [year] by [copyright owner]" are recommended to prevent innocent infringement of the Copyright by others. The notice must be placed on the works in a manner and at any location that is reasonably calculated to give sufficient notice to the public.

   B. If Notice appears on sound recordings, the notice must be indicated on the label by the designation "p", the year of the first performance of the sound recording, and the name of the owner of the Copyright in the sound recording.

   C. Copyright law also provides for the registration of the Copyright with the U.S. Copyright Office of the Library of Congress. The form for registering Copyrightable material may be obtained from the Register of Copyrights, U.S. Copyright Office, Washington, D. C. 20025.

Patents

1. General. The Inventor of any Invention thought to be Patentable resulting from Substantial Use of University Facilities shall promptly notify the Committee within 60 days of such Invention or discovery. The Notice shall include the Disclosure (as hereinafter defined). The Inventor shall also execute any document(s) deemed necessary to perfect legal rights in the University and enable the University to file Patent applications. Notice to the Committee shall be made at the time when legal protection for the Invention is contemplated, and it must be made before any product or service embodying the Invention is offered for sale, sold, used for profit or disclosed to the public.

2. Responsibility of Inventor and definition of "Disclosure".

   A. When a member of the University Community believes that an Invention has been conceived or made, a Disclosure shall be made to the Committee as soon as possible. The Disclosure is a document describing the Invention and establishing legally the name of the Inventor(s) and the date of conception. Included as part of the Disclosure are drawings, sketches, and other pertinent data and information to show the principle of the Invention, its operation, and performance. The Inventor(s) should sign and date each page of the Disclosure and all sketches and data sheets.

   B. To qualify as a document corroborating the Invention, the Disclosure must be read, understood, and signed by preferably by two witnesses who can understand the Invention. The witnesses must sign and date each sketch and each page of the Disclosure. A working model of the Invention may be prepared and tested before witnesses.

   C. Since priority of a conception date is often the deciding factor in awarding a Patent, it is most important that the Invention be disclosed as early as possible, with the earliest conception date verified by witnesses. Therefore, the Inventor shall consult promptly with the Committee.

   D. Further, the Inventor shall promptly seek the advice of the Committee before taking any steps to publish or disclose publicly the Invention or discovery. Any publication describing an unpatented material, device, or process may make it impossible to secure a valid Patent and thereby reduce any benefit that may accrue to the Inventor and the University from such development.

E. When the Inventor is conducting research pursuant to a grant to the University from an outside source, the Inventor agrees to assist the University to meet time and documentation constraints required by the grantor.

COMMITTEE ORGANIZATION AND ADMINISTRATION

1. Administrative Matters. The Committee shall be responsible for administrative matters relating to Patents, Copyrights, and Trade Secrets.

2. Members. The Committee shall consist of the following persons: The academic area Associate Deans; the Dean of the Faculty; and the Vice President for Finance and Administration. The Committee shall elect its own chair. Members having business pending with the Committee in the form of a potential Patent application, potential Copyright application, royalty agreement, or related matters shall not participate in the deliberation on that matter. A substitute for such a disqualified member shall be appointed by the President.

3. Powers and Duties. The Committee shall have the following powers and duties:

   A. To examine the merits of each notice to it regarding Patents and Copyrights.

   B. To make recommendations to the President of the University with regard to the preparation and filing of Patent and Copyright applications.

   C. To consider and make recommendations to the President with regard to license and other agreements covering Patents and Copyrights.

   D. To consider and make recommendations to the President with regard to the release of Inventions to the Inventor and Copyrightable Works to the Author.

   E. To oversee the distribution of royalties derived from Patents and Copyrights coming into the University.

   F. To consider all questions and matters regarding this Policy and its administration and expenses and continuing obligations, and to make recommendations to the President thereon.

   G. To take such other action as may come before it regarding Patents and Copyrights, or which may be requested of it from time to time by the President, Dean of the Faculty, Vice President for Finance and Administration, or the Board of Trustees.

4. Procedural Matters. Quorum, voting requirements, and other procedural matters of the Committee shall be pursuant to University policy regarding committees. The Committee in exercise of its duties in paragraph 3 above, upon receipt of a Notice from an Inventor(s) or Author(s) shall:

   A. Docket the Notice of discovery or Invention or Copyrightable Works and include the date received and all bibliographical data concerning Inventor(s) or Author(s).

   B. Within five (5) business days provide a copy of the Notice to a member of the Committee competent to assess the merit of the contents of the Notice.

   C. The reviewing member shall provide a written report and recommendation to the Committee within twenty-one (21) days of the member's receipt of the Disclosure for review.

   D. The Committee shall consider the recommendation of the member and arrive at a decision concerning its recommendation to the President of the University, advising the named Inventor or Author of its decision in writing no less than sixty (60) days after the docket date of receipt of the Notice.

E. The Committee shall inform the Inventor or Author in writing of the status of the consideration by the President every sixty (60) days until the University makes its decision.

F. The President has final authority for approval of notice for filing for a Patent or copyright registration. The President has final authority for approval to release an Invention or Copyright to the inventor(s) or author(s), subject to the Dispute Resolution procedure herein.

DISTRIBUTION OF INCOME

The following provisions apply only to work resulting from substantial use of University facilities.

1. Special Contractual Arrangements. The following provisions on distribution of income shall not apply to a work prepared pursuant to a special contractual arrangement with the University. The provisions of such special contractual arrangement shall govern unless otherwise agreed in writing. All special contractual arrangements must conform to University policy or University commitments unless prior written agreements with the University are entered into.

2. Royalty Account. The University shall establish a royalty account for each property for which it anticipates receiving royalties or other income. All expenses and income relating to that item shall be recorded therein. Income to each royalty account shall be distributed as follows:

   A. The direct expenses of the University allocable to preparing and prosecuting the Patent application of the Invention or Copyright registration of the work covered by the account shall be charged to the account before making any distributions of income. Direct expenses shall not include University salaries or other overhead associated with the administration of this policy.

   B. After the direct expenses [as referred to in paragraph (a) above] are paid, any remaining balance shall be distributed as follows: (i) 50% to the Inventor, Author or artist, (ii) 50% to the University, unless other percentages were agreed upon in a Special Contractual Arrangement involving Substantial Use of University Facilities.

   C. In the event the University receives equity in an enterprise as a result of a transfer of rights under an Invention or Copyright, the amount, if any, to share with the Inventor(s) or Author(s) shall be the same percentages as noted in subsection B above unless other percentages were agreed upon in a Special Contractual Arrangement.

3. Payment of Royalty. Payment of royalties to an Inventor or Author shall be on an annual basis on such date each year as is set forth by the Committee, unless the Committee makes special arrangements otherwise.

4. Subsequent Expenses. Any expenses of the University arising subsequent to the preparation and prosecution of a Patent application or Copyright registration, including but not limited to, a) marketing and licensing of an Invention, and b) enforcement of the rights in and to the Invention or work, shall be charged to the account before any further royalties, become due and owing to the Inventor or Author.

CONFLICT OF INTEREST

In order to avoid conflicts of interest relating to any Patent and/or Copyright made with Substantial Use of University Facilities, each member of the University shall (a) disclose to the Committee any equity, consultancy or management relationship which such member has or is considering with any entity then being considered by the University as a potential licensee of such Invention, and (b) refrain from any involvement in the University's evaluation and/or negotiation of the license with that entity or any competitor of that entity. In the event the member elects to participate in management of the entity, the member shall report quarterly to the Committee the proportion of time being devoted to the entity in a manner decided by the Committee.

DISPUTE RESOLUTION

Any question of interpretation or claim arising out of, or relating to, this policy, or dispute as to ownership rights of property affected by this policy, shall be settled as follows:

A. The matter first shall be submitted to the Committee in written form setting forth the question, claim, or dispute to be resolved. The Committee shall review the matter and take such other steps as may be required to formulate a response, after which the Committee shall advise the parties as to the determination. The Committee shall endeavor to respond as quickly as possible and within 30 days of submittal of the written request.

B. If any party is dissatisfied with the Committee's decision, the party may appeal in writing to the President, who will respond to the appeal within 30 days of submittal of the written request.

C. If any party is dissatisfied with the President's decision, the party may appeal to an ad hoc committee of the Board of Trustees, which will be convened for purposes of conducting a review of the appeal and rendering a final decision.

D. Final authority for administration of this policy lies with the Board of Trustees of the University.

BOARD OF TRUSTEE APPROVAL

All changes in this policy are subject to review and approval by the Board of Trustees.

Appendix D – Statement on Sponsored Projects for Research, Scholarly Work, and Public Service

(http://southwestern.edu/policy/)

Appendix E – Southwestern University Policies

Equal Employment Opportunity *(http://southwestern.edu/policy/)*
Policy Statement on Harassment *(http://southwestern.edu/policy/)*
Sexual Harassment *(http://southwestern.edu/policy/)*
No Solicitation *(http://southwestern.edu/policy/)*
Inclement Weather and Other Emergency Events *(http://southwestern.edu/policy/)*
Use of Equipment and Vehicles *(http://southwestern.edu/policy/)*
Safety *(http://southwestern.edu/policy/)*
Campus Police Department *(http://www.southwestern.edu/studentlife/safety/)*
No Weapons Policy (*Revised policy will be posted at http://southwestern.edu/policy/)*
Acceptable Use of Computing Resources *(http://southwestern.edu/policy/)*
Smoke-free Workplace Policy *(http://southwestern.edu/policy/)*
Drug-Free Workplace Policy *(http://southwestern.edu/policy/)*
Memorandum of Understanding between the Texas Department of Public Safety and the Texas Higher Education Coordinating Board *(http://southwestern.edu/policy/)*
Military Leave *(http://southwestern.edu/policy/)*

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Computer Technology Allocation Policy *(http://southwestern.edu/policy/)*
Information Security Plan *(http://southwestern.edu/policy/)*
Emergency Preparedness *(http://southwestern.edu/policy/)*
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Student Course Evaluation Form *(http://southwestern.edu/offices/dean/forms.php)*
Internal Proposal Cover Sheet *(http://www.southwestern.edu/offices/dean/funding/)*

Internal Grants Cover Sheet *(http://www.southwestern.edu/offices/dean/research.php)*

Appendix H - Model Policy for Responding to Allegations of Scientific Misconduct for Federally-Funded Research

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XII. Record Retention

I. Introduction[3*]

A. General Policy

It is expected that all research conducted at Southwestern University will be carried out with integrity, consistent with the research ethics of the field in which it is conducted. Reports of suspected scientific misconduct should be made to the Dean of the Faculty who serves as the University's Research Integrity Officer. In all cases, University policies and procedures will protect the confidentiality of both the individual who makes the allegation and the individual accused of scientific misconduct.

B. Scope

This policy and the associated procedures apply to all individuals at Southwestern University engaged in research that is supported by or for which support is requested from PHS. The PHS regulation at Code of Federal Regulations, Title 42, Part 50.102 applies to any research, research-training or research- related grant or cooperative agreement with PHS. This policy applies to any person paid by, under the control of, or affiliated with the institution, such as scientists, trainees, technicians and other staff members, students, fellows, guest researchers, or collaborators at Southwestern University.

The policy and associated procedures will normally be followed when an allegation of possible misconduct in science is received by an institutional official. Particular circumstances in an individual case may dictate variation from the normal procedure deemed in the best interests of Southwestern University and PHS. Any change from normal procedures also must ensure fair treatment the subject of the inquiry or investigation. Any significant variation should be approved in advance by the Dean of the Faculty of Southwestern University.

II. Definitions

A. Allegation means any written or oral statement or other indication of possible scientific misconduct made to an institutional official.

B. Conflict of interest means the real or apparent interference of one person's interests with the interests of another person, where potential bias may occur due to prior or existing personal or professional relationships.

C. Deciding Official means the institutional official who makes final determinations on allegations of scientific misconduct and any responsive institutional actions. The Deciding Official will not be the same individual as the Research Integrity Officer and should have no direct prior involvement in the institution's inquiry, investigation, or allegation assessment.

D. Good faith allegation means an allegation made with the honest belief that scientific misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

E. Inquiry means gathering information and initial fact-finding to determine whether an allegation or apparent instance of scientific misconduct warrants an investigation.1

F. Investigation means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred, and, if so, to determine the responsible person and the seriousness of the misconduct.2

G. ORI means the Office of Research Integrity, the office within the U. S. Department of Health and Human Services (DHHS) that is responsible for the scientific misconduct and research integrity

[3*] Sections that are based on requirements of the PHS regulations codified at 42 C.F.R. Part 50, Subpart A have endnotes that indicate the applicable section number, e.g., 42 C.F.R. ß 50.103(d)(1).

activities of the U. S. Public Health Service.

H. PHS means the U. S. Public Health Service, an operating component of the DHHS.

I. PHS regulation means the Public Health Service regulation establishing standards for institutional inquiries and investigations into allegations of scientific misconduct, which is set forth at 42 C. F. R. Part 50, Subpart A, entitled "Responsibility of PHS Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science."

J. PHS support means PHS grants, contracts, or cooperative agreements or applications therefore.

K. Research Integrity Officer means the institutional official responsible for assessing allegations of scientific misconduct and determining when such allegations warrant inquiries and for overseeing inquiries and investigations.

L. Research record means any data, document, computer file, computer diskette, or any other written or non- written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of scientific misconduct. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; X- ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.

M. Respondent means the person against whom an allegation of scientific misconduct is directed or the person whose actions are the subject of the inquiry of investigation. There can be more than one respondent in any inquiry or investigation.

N. Retaliation means any action that adversely affects the employment or other institutional status of an individual that is taken by an institution or an employee because the individual has in good faith, made an allegation of scientific misconduct or of inadequate institutional response thereto or has cooperated in good faith with an investigation of such allegation.

O. Scientific misconduct or misconduct in science means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.3

P. Whistleblower means a person who makes an allegation of scientific misconduct.

III. Rights and Responsibilities

A. Research Integrity Officer

The Dean of the Faculty will serve as the Research Integrity Officer who will have primary responsibility for implementation of the procedures set forth in this document. The Research Integrity Officer will be an institutional official who is well qualified to handle the procedural requirements involved and is sensitive to the varied demands made on those who conduct research, those who are accused of misconduct, and those who report apparent misconduct in good faith.

The Research Integrity Officer will appoint the inquiry and investigation committees and ensure that necessary and appropriate expertise is secured to carry out a thorough and authoritative evaluation of the relevant evidence in an inquiry or investigation. The Research Integrity Officer will attempt to ensure that confidentiality is maintained.

The Research Integrity Officer will assist inquiry and investigation committees and all institutional personnel in complying with these procedures and with applicable standards imposed by

government or external funding sources. The Research Integrity Officer is also responsible for maintaining files of all documents and evidence and for the confidentiality and the security of the files.

The Research Integrity Officer will report to ORI as required by regulation and keep ORI apprised of any developments during the course of the inquiry or investigation that may affect current or potential DHHS funding for the individual (s) under investigation or that PHS needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.4

B. Whistleblower

The whistleblower will have an opportunity to testify before the inquiry and investigation committees, to review portions of the inquiry and investigation reports pertinent to his/ her allegations or testimony, to be informed of the results of the inquiry and investigation, and to be protected from retaliation. Also, if the Research Integrity Officer has determined that the whistleblower may be able to provide pertinent information on any portions of the draft report, these portions will be given to the whistleblower for comment.

The whistleblower is responsible for making allegations in good faith, maintaining confidentiality, and cooperating with an inquiry or investigation.

C. Respondent

The respondent will be informed of the allegations when an inquiry is opened and notified in writing of the final determinations and resulting actions. The respondent will also have the opportunity to be interviewed by and present evidence to the inquiry and investigation committees, to review the draft inquiry and investigation reports, and to have the advice of counsel.

The respondent is responsible for maintaining confidentiality and cooperating with the conduct of an inquiry or investigation. If the respondent is not found guilty of scientific misconduct, he or she has the right to receive institutional assistance in restoring his or her reputation.5

D. Deciding Official

The Deciding Official will receive the inquiry and/ or investigation report and any written comments made by the respondent or the whistleblower on the draft report. The Deciding Official will consult with the Research Integrity Officer or other appropriate officials and will determine whether to conduct an investigation, whether misconduct occurred, whether to impose sanctions, or whether to take other appropriate administrative actions [see section X].

IV. General Policies and Principles

A. Responsibility to Report Misconduct

All employees or individuals associated with Southwestern University should report observed, suspected, or apparent misconduct in science to the Research Integrity Officer. If an individual is unsure whether a suspected incident falls within the definition of scientific misconduct, he or she may call the Research Integrity Officer at (512) 863-1567 to discuss the suspected misconduct informally. If the circumstances described by the individual do not meet the definition of scientific misconduct, the Research Integrity Officer will refer the individual or allegation to other offices or officials with responsibility for resolving the problem.

At any time, an employee may have confidential discussions and consultations about concerns of possible misconduct with the Research Integrity Officer and will be counseled about appropriate procedures for reporting allegations.

B. Protecting the Whistleblower

The Research Integrity Officer will monitor the treatment of individuals who bring allegations of misconduct or of inadequate institutional response thereto, and those who cooperate in inquiries or investigations. The Research Integrity Officer will ensure that these persons will not be retaliated against in the terms and conditions of their employment or other status at the institution and will review instances of alleged retaliation for appropriate action.

Employees should immediately report any alleged or apparent retaliation to the Research Integrity Officer.

Also the institution will protect the privacy of those who report misconduct in good faith to the maximum extent possible. For example, if the whistleblower 6 requests anonymity, the institution will make an effort to honor the request during the allegation assessment or inquiry within applicable policies and regulations and state and local laws, if any. The whistleblower will be advised that if the matter is referred to an investigation committee and the whistleblower's testimony is required, anonymity may no longer be guaranteed. Institutions are required to undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.7

C. Protecting the Respondent

Inquiries and investigations will be conducted in a manner that will ensure fair treatment to the respondent(s) in the inquiry or investigation and confidentiality to the extent possible without compromising public health and safety or thoroughly carrying out the inquiry or investigation.8 Institutional employees accused of scientific misconduct may consult with legal counsel or a non-lawyer personal adviser (who is not a principal or witness in the case) to seek advice and may bring the counsel or personal adviser to interviews or meetings on the case. [Option: Some institutions do not permit the presence of lawyers at interviews or meetings with institutional officials.]

D. Cooperation with Inquiries and Investigations

Institutional employees will cooperate with the Research Integrity Officer and other institutional officials in the review of allegations and the conduct of inquiries and investigations. Employees have an obligation to provide relevant evidence to the Research Integrity Officer or other institutional officials on misconduct allegations.

E. Preliminary Assessment of Allegations

Upon receiving an allegation of scientific misconduct, the Research Integrity Officer will immediately assess the allegation to determine whether there is sufficient evidence to warrant an inquiry, whether PHS support or PHS applications for funding are involved, and whether the allegation falls under the PHS definition of scientific misconduct.

V. Conducting the Inquiry

A. Initiation and Purpose of the Inquiry

Following the preliminary assessment, if the Research Integrity Officer determines that the allegation provides sufficient information to allow specific follow- up, involves PHS support, and falls under the PHS definition of scientific misconduct, he or she will immediately initiate the inquiry process. In initiating the inquiry, the Research Integrity Officer should identify clearly the original allegation and any related issues that should be evaluated. The purpose of the inquiry is to make a preliminary evaluation of the available evidence and testimony of the respondent, whistleblower, and key witnesses to determine whether there is sufficient evidence of possible scientific misconduct to warrant an investigation. The purpose of the inquiry is *not* to reach a final conclusion about whether misconduct definitely occurred or who was responsible. The findings of the inquiry must be set forth in an inquiry report.

B. Sequestration of the Research Records

After determining that an allegation falls within the definition of misconduct in science and involves PHS funding, the Research Integrity Officer must ensure that all original research records and materials relevant to the allegation are immediately secured. The Research Integrity Officer may consult with ORI for advice and assistance in this regard.

C. Appointment of the Inquiry Committee

The Research Integrity Officer, in consultation with other institutional officials as appropriate, will appoint an inquiry committee and committee chair within 10 days of the initiation of the inquiry. The inquiry committee should consist of individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegations interview the principals and key witnesses, and conduct the inquiry. These individuals may be scientists, subject matter experts, administrators, lawyers, or other qualified persons, and they may be from inside or outside the institution.

The Research Integrity Officer will notify the respondent of the proposed committee membership in 10 days. If the respondent submits a written objection to any appointed member of the inquiry committee or expert based on bias or conflict of interest within 5 days, the Research Integrity Officer will determine whether to replace the challenged member or expert with a qualified substitute.

D. Charge to the Committee and the First Meeting

The Research Integrity Officer will prepare a charge for the inquiry committee that describes the allegations and any related issues identified during the allegation assessment and states that the purpose of the inquiry is to make a preliminary evaluation of the evidence and testimony of the respondent, whistleblower, and key witnesses to determine whether there is sufficient evidence of possible scientific misconduct to warrant an investigation as required by the PHS regulation. The purpose is not to determine whether scientific misconduct definitely occurred or who was responsible.

At the committee's first meeting, the Research Integrity Officer will review the charge with the committee, discuss the allegations, any related issues, and the appropriate procedures for conducting the inquiry, assist the committee with organizing plans for the inquiry, and answer any questions raised by the committee. The Research Integrity Officer and institutional counsel will be present or available throughout the inquiry to advise the committee as needed.

E. Inquiry Process

The inquiry committee will normally interview the whistleblower, the respondent, and key witnesses as well as examining relevant research records and materials. Then the inquiry committee will evaluate the evidence and testimony obtained during the inquiry. After consultation with the Research Integrity Officer and institutional counsel, the committee members will decide whether there is sufficient evidence of possible scientific misconduct to recommend further investigation. The scope of the inquiry does not include deciding whether misconduct occurred or conducting exhaustive interviews and analyses.

VI. The Inquiry Report

A. Elements of the Inquiry Report

A written inquiry report must be prepared that states the name and title of the committee members and experts, if any; the allegations; the PHS support; a summary of the inquiry process used; a list of the research records reviewed; summaries of any interviews; a description of the evidence in sufficient detail to demonstrate whether and investigation is warranted or not; and the committee's determination as to whether an investigation is recommended and whether any other actions should be taken if an investigation is not recommended. Institutional counsel will review the report for legal sufficiency.

B. Comments on the Draft Report by the Respondent and the Whistleblower

The Research Integrity Officer will provide the respondent with a copy of the draft inquiry report for comment and rebuttal and will provide the whistleblower, if he or she is identifiable, with a summary of the inquiry findings that address the whistleblower's role and opinions in the investigation.

1. Confidentiality

The Research Integrity Officer may establish reasonable conditions for review to protect the confidentiality of the draft report.

2. Receipt of Comments

Within 14 calendar days of their receipt of the draft report, the whistleblower and respondent will provide their comments, if any, to the inquiry committee. Any comments that the whistleblower or respondent submits on the draft report will become part of the final inquiry report and record. Based on the comments, the inquiry committee may revise the[9] report as appropriate.

C. Inquiry Decision and Notification

1. Decision by Deciding Official

The Research Integrity Officer will transmit the final report and any comments to the Deciding Official, who will make the determination of whether findings from the inquiry provide sufficient evidence of possible scientific misconduct to justify conducting an investigation. The inquiry is completed when the Deciding Official makes this determination, which will be made within 60 days of the first meeting of the inquiry committee. Any extension of this period will be based on good cause and recorded in the inquiry file.

2. Notification

The Research Integrity Officer will notify both the respondent and the whistleblower in writing of the Deciding Official's decision of whether to proceed to an investigation and will remind them of their obligation to cooperate in the event an investigation is opened. The Research Integrity Officer will also notify all appropriate institutional officials of the Deciding Official's decision.

D. Time Limit for Completing the Inquiry Report

The inquiry committee will normally complete the inquiry and submit its report in writing to the Research Integrity Officer no more than 60 calendar days following its first meeting, [10] unless the Research Integrity Officer approves an extension for good cause. If the Research Integrity Officer approves an extension, the reason for the extension will be entered into the records of the case and the report. [11] The respondent also will be notified of the extension.

VII. Conducting the Investigation

A. Purpose of the Investigation

The purpose of the investigation is to explore in detail the allegations, to examine the evidence in depth, and to determine specifically whether misconduct has been committed, by whom, and to what extent. The investigation will also determine whether there are additional instances of possible misconduct that would justify broadening the scope beyond the initial allegations. This is particularly important where the alleged misconduct involves clinical trials or potential harm to human subjects or the general public or if it affects research that forms the basis for public policy, clinical practice, or public health practice. The findings of the investigation will be set forth in an investigation report.

B. Sequestration of the Research Records

The Research Integrity Officer will immediately sequester any additional pertinent research records that were not previously sequestered during the inquiry. This sequestration should occur before or at the time the respondent is notified that an investigation has begun. The need for additional sequestration of records may occur for any number of reasons, including the institution's decision to investigate additional allegations not considered during the inquiry stage or the identification of records during the inquiry process that had not been previously secured. The procedures to be followed for sequestration during the investigation are the same procedures that apply during the inquiry.

C. Appointment of the Investigation Committee

The Research Integrity Officer, in consultation with other institutional officials as appropriate, will appoint an investigation committee and the committee chair within 10 days of the notification to the respondent that an investigation is planned or as soon thereafter as practicable. The investigation committee should consist of at least three individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegations, interview the principals and key witnesses, and conduct the investigation.12 These individuals may be scientists, administrators, subject matter experts, lawyers, or other qualified persons, and they may be from inside or outside the institution. Individuals appointed to the investigation committee may also have served on the inquiry committee.

The Research Integrity Officer will notify the respondent of the proposed committee membership within 5 days. If the respondent submits written objection to any appointed member of the investigation committee expert, the Research Integrity Officer will determine whether to replace the challenged member or expert with a qualified substitute.

D. Charge to the Committee and the First Meeting

1. Charge to the Committee

The Research Integrity Officer will define the subject matter of the investigation in a written charge to the committee that describes the allegations and related issues identified during the inquiry, defines scientific misconduct, and identifies the name of the respondent. The charge will state that the committee is to evaluate the evidence and testimony of the respondent, whistleblower, and key witnesses to determine whether, based on a preponderance of the evidence, scientific misconduct occurred and, if so, to what extent, who was responsible, and its seriousness.

During the investigation, if additional information becomes available that substantially changes the subject matter of the investigation or would suggest additional respondents, the committee will notify the Research Integrity Officer, who will determine whether it is necessary to notify the respondent of the new subject matter or to provide notice to additional respondents.

2. The First Meeting

The Research Integrity Officer, with the assistance of institutional counsel, will convene the first meeting of the investigation committee to review the charge, the inquiry report, and the prescribed procedures and standards for the conduct of the investigation, including the necessity for confidentiality and for developing a specific investigation plan. The investigation committee will be provided with a copy of these instructions and, where PHS funding is involved, the PHS regulation.

E. Investigation Process

The investigation committee will be appointed and the process initiated within 30 days of the completion of the inquiry, if findings from that inquiry provide a sufficient basis for conducting an investigation.13

The investigation will normally involve examination of all documentation including, but not necessarily limited to, relevant research records, computer files, proposals, manuscripts, publications, correspondence, memoranda, and notes of telephone calls. 14 Whenever possible, the committee should interview the whistleblower(s), the respondent(s), and other individuals who might have information regarding aspects of the allegations.15 Interviews of the respondent should be tape recorded or transcribed. All other interviews should be transcribed, tape recorded, or summarized. Summaries or transcripts of the interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file.16

VIII. The Investigation Report

A. Elements of the Investigation Report

The final report submitted to ORI must describe the policies and procedures under which the investigation was conducted, describe how and from whom information relevant to the investigation was obtained, state the findings, and explain the basis for the findings. The report will include the actual text or an accurate summary of the views of any individual(s) found to have engaged in misconduct as well as a description of any sanctions imposed and administrative actions taken by the institution.17

B. Comments on the Draft Report

1. Respondent

   The Research Integrity Officer will provide the respondent with a copy of the draft investigation report for comment and rebuttal. The respondent will be allowed 10 days to review and comment on the draft report. The respondent's comments will be attached to the final report. The findings of the final report should take into account the respondent's comments in addition to all the other evidence.

2. Whistleblower

   The Research Integrity Officer will provide the whistleblower, if he or she is identifiable, with those portions of the draft investigation report that address the whistleblower's role and opinions in the investigation. The report should be modified, as appropriate, based on the whistleblower's comments.

3. Institutional Counsel

   The draft investigation report will be transmitted to the institutional counsel for a review of its legal sufficiency. Comments should be incorporated into the report as appropriate.

4. Confidentiality

   In distributing the draft report, or portions thereof, to the respondent and whistleblower, the Research Integrity Officer will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to ensure such confidentiality. For example, the Research Integrity Officer may request the recipient to sign a confidentiality statement or to come to his or her office to review the report.

C. Institutional Review and Decision

Based on a preponderance of the evidence, the Deciding Official will make the final determination whether to accept the investigation report, its findings, and the recommended institutional actions. If this determination varies from that of the investigation committee, the Deciding Official will explain in detail the basis for rendering a decision different from that of the investigation committee in the institution's letter transmitting the report to ORI. The Deciding Official's explanation should be consistent with the PHS definition of scientific misconduct, the institution's policies and procedures, and the evidence reviewed and analyzed by the investigation committee. The Deciding Official may

also return the report to the investigation committee with a request for further fact-finding or analysis.

The Deciding Official's determination, together with the investigation committee's report, constitutes the final investigation report for purposes of ORI review.

When a final decision on the case has been reached, the Research Integrity Officer will notify both the respondent and the whistleblower in writing. In addition, the Deciding Official will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case. The Research Integrity Officer is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

D. Transmittal of the Final Investigation Report to ORI

After comments have been received and the necessary changes have been made to the draft report, the investigation committee should transmit the final report with attachments, including the respondent's and whistleblower's comments, to the Deciding Official, through the Research Integrity Officer.

E. Time Limit for Completing the Investigation Report

An investigation should ordinarily be completed within 120 days of its initiation,18 with the initiation being defined as the first meeting of the investigation committee. This includes conducting the investigation, preparing the report of findings, making the draft report available to the subject of the investigation for comment, submitting the report to the Deciding Official for approval, and submitting the report to the ORI.19

IX. Requirements for Reporting to ORI

An institution's decision to initiate an investigation must be reported in writing to the Director, ORI, on or before the date the investigation begins.20 At a minimum, the notification should include the name of the person(s) against whom the allegations have been made, the general nature of the allegation as it relates to the PHS definition of scientific misconduct, and the PHS applications or grant number(s) involved.21 ORI must also be notified of the final outcome of the investigation and must be provided with a copy of the investigation report.22 Any significant variations from the provisions of the institutional policies and procedures should be explained in any reports submitted to ORI.

If an institution plans to terminate an inquiry or investigation for any reason without completing all relevant requirements of the PHS regulation, the Research Integrity Officer will submit a report of the planned termination to ORI, including a description of the reasons for the proposed termination.23

A. If the institution determines that it will not be able to complete the investigation in 120 days, the Research Integrity Officer will submit to ORI a written request for an extension that explains the delay, reports on the progress to date, estimates the date of completion of the report, and describes other necessary steps to be taken. If the request is granted, the Research Integrity Officer will file periodic progress reports as requested by the ORI. 24

B. When PHS funding or applications for funding are involved and an admission of scientific misconduct is made, the Research Integrity Officer will contact ORI for consultation and advice. Normally, the individual making the admission will be asked to sign a statement attesting to the occurrence and extent of misconduct. When the case involves PHS funds, the institution cannot accept an admission of scientific misconduct as a basis for closing a case or not undertaking an investigation without prior approval from ORI.25

C. The Research Integrity Officer will notify ORI at any stage of the inquiry or investigation if:
   1. there is an immediate health hazard involved;26

2. there is an immediate need to protect Federal funds or equipment;27
3. there is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;28
4. it is probable that the alleged incident is going to be reported publicly; or 29
5. the allegation involves a public health sensitive issue, e. g., a clinical trial; or
6. there is a reasonable indication of possible criminal violation. In this instance, the institution must inform ORI within 24 hours of obtaining that information.30
7.

X. *Institutional Administrative Actions*

Southwestern University will take appropriate administrative actions against individuals when an allegation of misconduct has been substantiated.31
If the Deciding Official determines that the alleged misconduct is substantiated by the findings, he or she will decide on the appropriate actions to be taken, after consultation with the Research Integrity Officer. The actions may include:

- withdrawal or correction of all pending or published abstracts and papers emanating from the research where scientific misconduct was found.

- removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment;

- restitution of funds as appropriate.

XI. *Other Considerations*

A. Termination of Institutional Employment or Resignation Prior to Completing Inquiry or Investigation

The termination of the respondent's institutional employment, by resignation or otherwise, before or after an allegation of possible scientific misconduct
has been reported, will not preclude or terminate the misconduct procedures.

If the respondent, without admitting to the misconduct, elects to resign his or her position prior to the initiation of an inquiry, but after an allegation has been reported, or during an inquiry or investigation, the inquiry or investigation will proceed. If the respondent refuses to participate in the process after resignation, the committee will use its best efforts to reach a conclusion concerning the allegations, noting in its report the respondent's failure to cooperate and its effect on the committee's review of all the evidence.

B. Restoration of the Respondent's Reputation

If the institution finds no misconduct and ORI concurs, after consulting with the respondent, the Research Integrity Officer will undertake reasonable efforts to restore the respondent's reputation. Depending on the particular circumstances, the Research Integrity Officer should consider notifying those individuals aware of or involved in the investigation of the final outcome, publicizing the final outcome in forums in which the allegation of scientific misconduct was previously publicized, or expunging all reference to the scientific misconduct allegation from the respondent's personnel file. Any institutional actions to restore the respondent's reputation must first be approved by the Deciding Official.

C. Protection of the Whistleblower and Others32

Regardless of whether the institution or ORI determines that scientific misconduct occurred, the Research Integrity Officer will undertake reasonable efforts to protect whistleblowers who made allegations of scientific misconduct in good faith and others who cooperate in good faith with inquiries and investigations of such allegations. Upon completion of an investigation, the Deciding Official will

determine, after consulting with the whistleblower, what steps, if any, are needed to restore the position or reputation of the whistleblower. The Research Integrity Officer is responsible for implementing any steps the Deciding Official approves. The Research Integrity Officer will also take appropriate steps during the inquiry and investigation to prevent any retaliation against the whistleblower.

D. Allegations Not Made in Good Faith

If relevant, the Deciding Official will determine whether the whistleblower's allegations of scientific misconduct were made in good faith. If an allegation was not made in good faith, the Deciding Official will determine whether any administrative action should be taken against the whistleblower.

E. Interim Administrative Actions

Institutional officials will take interim administrative actions, as appropriate, to protect Federal funds and ensure that the purposes of the Federal financial assistance are carried out.33

XII. Record Retention

After completion of a case and all ensuing related actions, the Research Integrity Officer will prepare a complete file, including the records of any inquiry or investigation and copies of all documents and other materials furnished to the Research Integrity Officer or committees. The Research Integrity Officer will keep the file for three years after completion of the case to permit later assessment of the case. ORI or other authorized DHHS personnel will be given access to the records upon request.34

Issued April 1995

Revised February 1997

NOTES:

1. 42 C. F. R. ß 50.102.
2. 42 C. F. R. ß 50.102.
3. 42 C. F. R. ß 50.102.
4. 42 C. F. R. ß 50.103(d)(12).
5. 42 C. F. R. ß 50.103(d)(13).
6. 42 C. F. R. ß 50.103(d)(2).
7. 42 C. F. R. ß 50.103(d)(13).
8. 42 C. F. R. ß 50.103(d)(3).
9. 42 C. F. R. ß 50.103(d)(1).
10. 42 C. F. R. ß 50.103(d)(1).
11. 42 C. F. R. ß 50.103(d)(1).
12. 42 C. F. R. ß 50.103(d)(8).
13. 42 C. F. R. ß 50.103(d)(7).
14. 42 C. F. R. ß 50.103(d)(7).
15. 42 C. F. R. ß 50.103(d)(7).
16. 42 C. F. R. ß 50.103(d)(7).
17. 42 C. F. R. ß 50.104(a)(4); 42 C. F. R. ß 50.103(d)(15).
18. 42 C. F. R. ß 50.104(a)(2).
19. 42 C. F. R. ß 50.104(a)(2).
20. 42 C. F. R. ß 50.104(a)(1).
21. 42 C. F. R. ß 50.104(a)(1).
22. 42 C. F. R. ß 50.103(d)(15).
23. 42 C. F. R. ß 50.104(a)(3).
24. 42 C. F. R. ß 50.104(a)(5).
25. 42 C. F. R. ß 50.104(a)(3).
26. 42 C. F. R. ß 50.104(b)(1).
27. 42 C. F. R. ß 50.104(b)(2).
28. 42 C. F. R. ß 50.104(b)(3).

29. 42 C. F. R. ß 50.104(b)(4).
30. 42 C. F. R. ß 50.104(b)(5).
31. 42 C. F. R. ß 50.103(d)(14).
32. 42 C. F. R. ß 50.103(d)(14).
33. 42 C. F. R. ß 50.103(d)(11).
34. 42 C. F. R. ß 50.103(d)(10).

Appendix I - Substantive Change Policy

Importance of Policy

Southwestern University (the University) is responsible for following the substantive change procedures of the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) and to inform SACSCOC of such changes in accordance with those procedures. Individuals or departments with questions about the substantive change policy should consult the University's Accreditation Liaison, who if necessary, will contact the institution's assigned SASCOC Vice President for further advice and guidance. It is expected that each SACSCOC member institution will follow the reporting requirements of the substantive change policy.

Institutional Obligations:

1. Southwestern University is required to notify the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) of changes in accordance with the substantive change policy and, when required, seek approval prior to the initiation of changes.
2. Southwestern University, to comply with SACSCOC *Principles of Accreditation*, must have a policy and procedure to ensure that all substantive changes are reported to the Commission in a timely fashion.

Definition: Substantive change is a significant modification or expansion of the nature and scope of an accredited institution. Under federal regulations, substantive change includes

- Any change in the established mission or objectives of the institution
- Any change in legal status, form of control, or ownership of the institution
- The addition of courses or programs that represent a significant departure, either in content or method of delivery, from those that were offered when the institution was last evaluated
- The addition of courses or programs at a degree or credential level above that which is included in the institution's current accreditation or reaffirmation
- A change from clock hours to credit hours
- A substantial increase in the number of clock or credit hours awarded for successful completion of a program
- The establishment of an additional location geographically apart from the main campus at which the institution offers at least 50 percent of an educational program
- The establishment of a branch campus
- Closing a program, off-campus site, branch campus or institution
- Entering into a collaborative academic arrangement such as a dual degree program or a joint degree program with another institution
- Acquiring another institution or a program or location of another institution
- Adding a permanent location at a site where the institution is conducting a teach-out program for a closed institution
- Entering into a contract by which an entity not eligible for Title IV funding offers 25% or more of one or more of the accredited institution's programs

SACSCOC Procedures

The Commission outlines three procedures for substantive changes and provides a table (Appendix[1] A) illustrating the types of changes, the specific procedure to be used for each, their respective approval/notification requirements, and the reporting time lines. The three procedures are:

1. Substantive Changes Requiring Notification and Approval Prior to Implementation
2. Substantive Changes Requiring Only Notification Prior to Implementation
3. Closing a Program, Site, Branch Campus or Institution: Teach-out Plans and Teach-out Agreements.

Procedures for Southwestern University Curricular Changes

The President shall submit with his/her own recommendation all legislation taken by the faculty relative to instituting, eliminating, or substantially changing the nature of University degrees to the Board of Trustees for its confirmation.

The action of all University legislative bodies instituting, eliminating, or substantially changing the nature of major and minor fields of study, academic programs, and academic departments, including changes in names or titles, shall be brought to the Strategic Planning and Budget Committee, which will in turn forward it to the President with its recommendation. [Approved by the Board of Trustees, January 18, 1980. The Strategic Planning and Budget Committee replaced University Council in this capacity, approved by Faculty and President, May 2014.]]

The President will consult with the University Accreditation Liaison to determine if the curricular changes are at a level of significance that would warrant submission to SACOC as a substantive change.

Procedures for Southwestern University Administrative Substantive Changes

Administrative substantive changes are first proposed in writing to the appropriate Senior Administrator who will consult the University's Accreditation Liaison. The proposal should include the need and rationale for the proposed action; objectives of the proposed change; issues related to quality, costs, benefits and funding sources.

With endorsement from the Senior Administrator, the proposal will be submitted to the Strategic Planning and Budget Committee and if necessary other bodies within the University governance system, for consideration and approval. Following its approval, the Strategic Planning and Budget Committee will submit the proposal to the President for consideration. If approved, the Senior Administrator will supervise the development of the required prospectus for submission to SACSCOC. Assistance is available from the University's Accreditation Liaison, who will mail the prospectus to the SACSCOC with correspondence from the President or his/her designee.

Timeline for Reporting Substantive Changes

Depending on the type of change proposed, notification and approval requirements vary. The chart in the SACSCOC Policy Statement regarding Substantive Change (pages 3 and 4) clearly outlines exactly the time frame and paperwork required. The University will comply with these or updated requirements when seeking a Substantive Change.

That table is shown here for your quick reference. It is also found on the SACS official website:

http://www.sacscoc.org/pdf/081705/Substantive%20change%20policy.pdf

Implementation Date

Immediate upon approval by University Council – February 14, 2012

Notification

The Substantive Change Policy and Procedures will be presented to University's Senior Administrators in a meeting in February, 2012. It will be posted on the University's website and will be published in the Faculty Handbook and the Staff Handbook beginning fall, 2012.

Appendix J - Scheduling Courses and Other Academic Activities *(http://southwestern.edu/offices/dean/forms.php)*

Appendix K – Conflict of Interest Model Policy

(suggested for use by subrecipients who are not prime awardees of HHS/PHS funding)

INTRODUCTION [The subrecipient may want to insert its own statements, principles or standards regarding financial conflicts of interest. This policy has been limited to PHS-sponsored research but it could be broadened for all research regardless of funding source.]

This policy governing financial conflict of interest applies to all PHS-sponsored Investigators of the Institution. The Institutional Official is responsible for ensuring implementation of this policy and may suspend all relevant activities until the financial conflict of interest is resolved or other action deemed appropriate by the Institutional official is implemented. Violation of any part of these policies may also constitute cause for disciplinary or other administrative action pursuant to Institutional policy.

DEFINITIONS

Clinical Trial means any PHS-sponsored research study that involves interaction with human subjects and the concurrent investigative use of drugs, biologics, devices or medical or other clinical procedures, such as surgery. [option for those organizations conducting clinical trials as a subawardee]

Conflict of Interest Committee (*COI Committee*) means the Institution's committee or individual that advises the Institutional Official on conflict of interest matters. The committee consists of <to be completed by subrecipient>. [option; a committee is specifically not required]

Family means any member of the Investigator's immediate family, specifically, any dependent children and spouse.

Financial Interest means anything of monetary value received or held by an Investigator or an Investigator's Family, whether or not the value is readily ascertainable, including, but not limited to: salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works); any equity interests (e.g., stocks, stock options, or other ownership interests); and intellectual property rights and interests (e.g., patents, trademarks, service marks, and copyrights), upon receipt of royalties or other income related to such intellectual property rights and interests.

Financial Interest does NOT include:

a) salary, royalties, or other remuneration from the Institution;
b) income from the authorship of academic or scholarly works;
c) income from seminars, lectures, or teaching engagements sponsored by or from advisory committees or review panels for U.S. Federal, state or local governmental agencies; U.S.

institutions of higher education; research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers; or

d) equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions made in these vehicles.

For Investigators, *Financial Interest* also includes any reimbursed or sponsored travel undertaken by the Investigator and related to his/her institutional responsibilities. This includes travel that is paid on behalf of the Investigator as well as travel that is reimbursed, even if the exact monetary value is not readily available. It excludes travel reimbursed or sponsored by U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers.

Significant Financial Interest means a Financial Interest that reasonably appears to be related to the Investigator's Institutional Responsibilities, and:

a) if with a publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure, and the value of any equity interest during the 12 month period preceding or as of the date of disclosure, exceeds $5,000; or
b) if with a non-publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure exceeds $5,000; or
c) if with a non-publicly-traded company, is an equity interest of any value during the 12 month period preceding or as of the date of disclosure; or
d) is income exceeding $5,000 related to intellectual property rights and interests not reimbursed through the Institution, or
e) is reimbursed or sponsored travel related to their institutional responsibilities.

Financial Conflict of Interest means a Significant Financial Interest (or, where the Institutional official requires disclosure of other Financial Interests, a Financial Interest) that the Institution reasonably determines could directly and significantly affect the design, conduct or reporting of PHS-sponsored research.

Institutional official means the individual within the Institution that is responsible for the solicitation and review of disclosures of significant financial interests including those of the Investigator's Family related to the Investigator's institutional responsibilities. For the purposes of this policy, the Institutional Official is designated as <to be completed by subrecipient>.

Institutional responsibilities means the Investigator's professional responsibilities associated with his or her Institutional appointment or position, such as research, teaching, clinical activities, administration, and institutional, internal and external professional committee service.

Investigator means any individual who is responsible for the design, conduct, or reporting of PHS sponsored research, or proposals for such funding. This definition is not limited to those titled or budgeted as principal investigator or co-investigator on a particular proposal, and may include postdoctoral associates, senior scientists, or graduate students. The definition may also include collaborators or consultants as appropriate.

Public Health Service or *PHS* means the Public Health Service of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority of the PHS may be delegated. The components of the PHS include, but are not limited to, the Administration for Children and Families, Administration on Aging, Agency for Healthcare Research and Quality, Agency for Toxic Substances and Disease Registry, Centers for Disease Control and Prevention, Federal Occupational Health, Food and Drug Administration, Health Resources and Services Administration, Indian Health Service, National Institutes of Health, and Substance Abuse and Mental Health Services Administration.

Research means a systematic investigation, study, or experiment designed to contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (e.g., a published article, book or book chapter) and product development (e.g., a diagnostic test or drug).

CONFLICT OF INTEREST:

This policy is predicated on the expectation that Investigators should conduct their affairs so as to avoid or minimize conflicts of interest, and must respond appropriately when conflicts of interest arise. To that end, this policy informs Investigators about situations that generate conflicts of interest related to research, provides mechanisms for Investigators and the Institution to manage those conflicts of interest that arise, and describes situations that are prohibited. Every Investigator has an obligation to become familiar with, and abide by, the provisions of this policy. If a situation raising questions of conflict of interest arises, an Investigator should discuss the situation with the Institutional official.

1) DISCLOSURE OF FINANCIAL INTERESTS

All Investigators are required to disclose their outside financial interests as defined above to the Institution on an annual and on an ad hoc basis, as described below. The Institutional official is responsible for the distribution, receipt, processing, review and retention of disclosure forms. [option; a committee is specifically not required--The COI Committee will assist with the review of those forms and processes.]

a) Annual Disclosures

All Investigators must disclose their Significant Financial Interests that are related to the investigator's institutional responsibilities to the Institution, through the Institutional Official, on an annual basis. All forms should be submitted to the Institutional official or designee by <March 1 for the previous calendar year or as determined by the subrecipient>.

b) Ad hoc Disclosures

In addition to annual disclosure, certain situations require ad hoc disclosure. All Investigators must disclose their Significant Financial Interests to the Institution, through the Institutional Official, within 30 days of their initial appointment or employment.

Prior to entering into PHS-sponsored projects or applications for PHS-sponsored projects, where the Investigator has a Significant Financial Interest, the Investigator must affirm the currency of the annual disclosure or submit to the Institutional Official an ad hoc updated disclosure of his or her Significant Financial Interests with the outside entity. The Institution will not submit a research proposal unless the Investigator(s) have submitted such ad hoc disclosures.

In addition, all Investigators must submit to the Institutional official an ad hoc disclosure of any Significant Financial Interest they acquire or discover during the course of the year within thirty (30) days of discovering or acquiring the Significant Financial Interest.

c) Travel

Investigators must also disclose reimbursed or sponsored travel related to their institutional responsibilities, as defined above in the definition of Financial Interest and Significant Financial Interest. Such disclosures must include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, the duration, and, if known, the monetary value. The Institutional Official will determine if additional information is needed (e.g., the monetary value if not already disclosed) to determine whether the travel constitutes a Financial Conflict of Interest with the Investigator's research.

2) REVIEW AND DECISION OF THE INSTITUTIONAL OFFICIAL

If the disclosure form reveals a Significant Financial Interest, it will be reviewed promptly by the Institutional Official or designee for a determination of whether it constitutes a Financial Conflict of Interest. If a Financial Conflict of Interest exists, the Institutional Official will take action to manage the financial conflict of interest including the reduction or elimination of the conflict, as appropriate. [option; a committee is specifically not required--The Institutional Official may consult the COI Committee for guidance in specific cases, or in the application of the policy to particular situations.]

A Financial Conflict of Interest will exist when the Institutional Official or designee determines that a Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of PHS-sponsored research. If the Institutional Official determines that there is a Financial Conflict of Interest that can be managed, he or she must develop and implement a written management plan. The affected

Investigator must formally agree to the proposed management strategies and sign the written management plan before any related PHS-sponsored research goes forward.

The Institutional Official will periodically review the ongoing activity, monitor the conduct of the activity (including use of students and postdoctoral appointees), to ensure open and timely dissemination of the research results, and to otherwise oversee compliance with the management plan.

3) CLINICAL TRIALS [option for those organizations conducting clinical trials as a subawardee]

Review of Significant Financial Interests Related to Clinical Trials

Clinical trials involve particularly sensitive issues if the Investigator has a Financial Interest related to the clinical trial.

a) [The subrecipient may want to insert its own statements, principles or standards regarding financial conflicts of interest as they may relate to clinical trials or human subjects research, and under what circumstances this type of research may be conducted when a financial conflict of interest exists.]

b) In the event of non-compliance with reporting and/or management of a financial conflict of interest involving a PHS-sponsored clinical research project whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment as required by this Policy, the investigator must disclose the financial conflicts of interest in each public presentation of the results of the affected PHS-sponsored research and request an addendum to previously published presentations.

4) REPORTING TO PHS

The institutional official will report financial conflicts of interest or non-compliance to PHS in accordance with PHS regulations. If the funding for the Research is made available from a prime PHS-awardee, such reports shall be made to the prime awardee prior to the expenditure of any funds and within 60 days of any subsequently identified financial conflict of interest such that the prime awardee may fulfill their reporting obligations to the PHS.

5) INVESTIGATOR NON-COMPLIANCE

a) Disciplinary Action

In the event of an Investigator's failure to comply with this Policy, the Institutional official may suspend all relevant activities or take other disciplinary action until the matter is resolved or other action deemed appropriate by the Institutional official is implemented.

A Institutional Official's decision to impose sanctions on an Investigator because of failure to comply with this Policy, or failure to comply with the decision of the Institutional official, will be described in a written explanation of the decision to the investigator, COI Committee [option], and, where applicable, the IRB, and will notify the individual of the right to appeal the decision. The institution will promptly notify the PHS Awarding Component of the action taken or to be taken. If the funding for the research is made available from a prime PHS awardee, such notification shall be made promptly to the prime awardee for reporting to PHS.

b) Retrospective Review

In addition, if the Institutional Official determines that a Financial Conflict of Interest was not identified or managed in a timely manner, including but not limited to an Investigator's failure to disclose a Significant Financial Interest that is determined to be a Financial Conflict of Interest, or failure by an Investigator to materially comply with a management plan for a

Financial Conflict of Interest, a [option] committee appointed by the Institutional Official will complete a retrospective review of the Investigator's activities and the PHS-sponsored research project to determine whether the research conducted during the period of non-compliance was biased in the design, conduct or reporting of the research.

Documentation of the retrospective review shall include the project number, project title, PI, name of Investigator with the Financial Conflict of Interest, name of the entity with which the Investigator has the Financial Conflict of Interest, reason(s) for the retrospective review, detailed methodology used for the retrospective review, and findings and conclusions of the review.

The Institutional official will update any previously submitted report to the PHS or the prime PHS-awardee relating to the research, specifying the actions that will be taken to manage the Financial Conflict of Interest going forward. This retrospective review will be completed in the manner and within the time frame established in PHS regulations. If bias is found, the institution will promptly notify the PHS Awarding Component and submit a mitigation report in accordance with the PHS regulations. The mitigation report will identify elements documented in the retrospective review, a description of the impact of the bias on the research project and the plan of action to eliminate or mitigate the effect of the bias.

6) TRAINING

Each Investigator must complete training on this Policy, the investigator's responsibilities regarding disclosure and the PHS regulations prior to engaging in research funded by PHS, and at least every four years thereafter. They must also complete training within a reasonable period of time as determined by the Institutional Official in the event that this Policy is substantively amended in a manner that affects the requirements of Investigators, if the investigator is new to the institution, or if it is determined that the Investigator has not complied with this policy or with a management plan related to their activities.

7) RECORD RETENTION

The Institutional Official will retain all disclosure forms, conflict management plans, and related documents for a period of three years from the date the final expenditure report is submitted to the PHS or to the prime PHS awardee, unless any litigation, claim, financial management review, or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.

8) CONFIDENTIALITY

To the extent permitted by law, all disclosure forms, conflict management plans, and related information will be confidential. However, the Institution may be required to make make such information available to the PHS Awarding Component and/or HHS, to a requestor of information concerning financial conflict of interest related to PHS funding or to the primary entity who made the funding available to the Institution, if requested or required. If the Institution is requested to provide disclosure forms, conflict management plans, and related information to an outside entity, the Investigator will be informed of this disclosure.

9) PUBLIC ACCESSIBILITY

Prior to the expenditure of funds, the Institution will publish on a publicly-accessible website or respond to any requestor within five business days of the request, information concerning any Significant Financial Interest that meets the following criteria:

a) The Significant Financial Interest was disclosed and is still held by the senior and key personnel;
b) A determination has been made that the Significant Financial Interest is related to the PHS-funded research; and
c) A determination has been made that the Significant Financial Interest is a Financial Conflict of Interest.

The information to be made available shall be consistent with the requirements of the PHS regulation.

10) REGULATORY AUTHORITY

This policy implements the requirements of 42 CFR 50 Subpart F and 45 CFR 94; where there are substantive differences between this policy and the requirements, the requirements shall take precedence.

Appendix L – External Reviewer Guidelines (Letter Template)

Thank you for agreeing to provide an external assessment of the professional work of _____. Below I provide the information that allows you access to all of her material electronically. If you prefer hard copies, I can get those to you quickly.

Southwestern is a small private liberal arts university. We only offer undergraduate degrees and our faculty typically teach 5 courses per academic year and are actively involved in university service. We are committed to hiring and promoting faculty who fit the Teacher/Scholar model. Promotion and tenure require, among other things, excellence in teaching and a productive research program.

Let me stress that we are not looking for your opinion regarding whether _____ should be tenured or promoted or your thoughts regarding the quantity of work published and in progress. Instead, if you feel able, please speak to the following (1) the standards and quality, and regional or national standing of the venues which have published work by the candidate, (2) the standards, quality, and regional and national standing of the conferences where the candidate's work has been presented, (3) whether the venues where the work has been presented or published are appropriate to her field and (4) the quality of the work submitted by the candidate that has not been peer reviewed. In addition, we hope you are able to offer guidance on _____ progress as a scholar by commenting on the potential her work has and how it might be expanded and developed further. As I mentioned earlier, once we receive your report and the report from other reviewers, I will remove all identifying information and provide _____ with copies of the reviews.

As mentioned in my initial e-mail, we will start our formal evaluation of _____ in the fall, and therefore, we need your report by July 15, 20XX.
Thank you again for agreeing to assist us in our assessment of the scholarly work of _____.

Sincerely,

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(5/8/16 updated version to include index and minor typographical edits)