

Preface

This Faculty Handbook contains several changes to faculty policy implemented during and since 2008, some minor, others not. In 2008, Part I was revised for clarity and to reflect current practices (e.g., publishing the handbook electronically), but contains no substantive changes. Part II, more significantly, underwent changes in the areas of Faculty committee organization, during 2007-2008,¹ and Faculty reinstated the Educational Resources Committee through consensus in Spring 2010.

In Fall 2010, Faculty also approved a date change to Part III.B regarding due date for letters of evaluation in the first, third and fifth years of probationary service at the college. We also agreed to add a section (“Non-Tenure-Track Appointments”) in Part III.B.3., and, for organizational purposes, “Emeritus Status” and “Distinguished Service Professor” were moved from the end of III.B to III.B.3.

In Fall 2011 Faculty approved a language and definitional change for the “Graduate Fellowship Committee,” which became the “Student Fellowship Committee” with an associated new description (although the approved language did not appear in the handbook until Spring 2013). In Spring 2012, Faculty also cleaned up language in part III.B and Appendix 10, specifying practices with Instructors and making more uniform due dates for letters of support during the fall and spring.

During prior years, Faculty reached consensus on significant changes in Part IV, Faculty Perquisites, for sections J, K, L and Q. These represent major updates and clarifications of medical and family leave policy, streamlined processes for research and development grants, changes to faculty travel funding, and clarification of jury duty policy and procedures.

Two new appendices are included in the post 2008 changes: Appendix 12, “Administration of Standardized Course Evaluations,” and Appendix 13, “Honorary Degrees.” Note that appendix 12 was slightly modified in Spring 2012 to remove professor’s option of turning in evaluations to the registrar. This action was part of other language clarifications about the administration of student evaluations, which are required by the handbook.

Another major change in spring 2012 is the revision of the language related to promotion to full professor.

In addition, a change (to be offered to the faculty as soon as possible) exists to Appendix 8, “Recommended Institutional Regulations on Academic Freedom and Tenure.” The prior version of Appendix 8 was a copy of 1982 AAUP language regarding policy recommendations for issues such as academic freedom, tenure, retention and non-retention of faculty, grievances, etc. The language for Appendix 8 in this most recent iteration of the handbook

¹A major revision was made to the handbook at the end of 2007-2008. It is well documented in the minutes and backing documents of the May 21st, 2008 faculty meeting.

is yet again copied from AAUP, but it reflects their most up-to-date policy recommendations (2010).

This handbook makes every attempt to be as accurate and as complete as possible. One section, “College Services,” is still missing. This section contains narratives from different areas of the college such as duplication services, media services, etc. It is still under construction and should perhaps be considered for removal.

All changes, with the exception of Appendix 8 (which is almost exactly the same as the 1982 version) have been approved by the faculty as of March 2012. Should you wish to consult the prior version of Appendix 8, it is available as an archived file on the FEC moodle page.

FACULTY HANDBOOK

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I Constitution of the Faculty of Whittier College

A NAME AND PURPOSE

The name of this organization is the Faculty of Whittier College. The purpose of the Faculty of Whittier College is to promote the excellence of Whittier College as an institution of higher education. Specific areas of interest related to this objective include the selection, promotion, retention or release of faculty members, and the granting of tenure; and the establishment of criteria for all activities that result in the granting of academic credit by the College. The Faculty is also concerned with the maintenance of its academic freedom, and with professional ethics, salaries, and collateral benefits.

The Faculty recognizes the legal responsibility and authority of the Board of Trustees of the College for the conduct of College functions as expressed in its Articles of Incorporation and Bylaws. The Faculty believes, however, that all sectors of the College community must be represented in a properly governed institution. As a matter of policy, therefore, the Faculty will cooperate with representatives of the Students, the Administration, the Alumni, and the Board of Trustees by participating in joint committees as may be appropriate.

B MEMBERSHIP

Members of the regular faculty (hereafter, "the Faculty") are those who hold the rank of Professor, Associate Professor, Assistant Professor, Visiting Professor at any rank, or Lecturer, and who regularly teach full time at Whittier College. The President and the principal academic officers of the College as designated by the President in consultation with the Faculty Chair are also members of the Faculty and as such may attend Faculty meetings, be heard, and vote.

Adjunct faculty and other part-time members of the instructional staff may attend faculty meetings and be heard, without voting privileges. As appropriate, the Faculty Executive Council may recommend that selected part-time faculty or non-instructional staff members also be granted voting privileges by the faculty. The Faculty Executive Council may also recommend that other non-instructional staff be granted the right to participate in Faculty meetings, but without the right to vote. These are submitted to the faculty annually.

C OFFICERS

The officers for the faculty are the Chair, the Vice Chair, and the Secretary-Treasurer. They are elected in the Spring of each year for a period of one year beginning with the last faculty meeting of the academic year. No faculty officer may serve more than two consecutive terms in the same position.

The Faculty Chair presides at all meetings of the faculty, and of the Faculty Executive Council.

The Vice-chair presides at meetings in the absence of the Chair and assumes the duties of the Chair if the Chair is unable to serve.

The Secretary-Treasurer keeps minutes of all meetings of the Faculty and maintains files of important papers and reports pertinent to faculty business. The Secretary-Treasurer shall provide all members of the faculty with timely notice of meetings and an agenda of each meeting. The Secretary-Treasurer sees to it that the Faculty Handbook is kept up to date.

The Secretary-Treasurer is custodian of all funds received by the faculty and deposits and disburses them at the direction of the faculty. The Secretary-Treasurer should be able to present a current financial report at any meeting and provides such a report at the last faculty meeting of each academic year.

D FACULTY EXECUTIVE COUNCIL

The Faculty Executive Council consists of the three faculty officers; representatives of the divisions of Humanities, Social Sciences, and Natural Sciences, elected by the membership of their respective divisions; and a member-at large, elected by the faculty as a whole. Professional librarians and principal academic officers do not vote in divisional elections. Election procedures are found in Part II of the Faculty Handbook.

Divisional representatives and the member-at-large serve for two years, and having served a full term are ineligible for re-election to that same position for one year. In order to provide continuity, the Division of Humanities and the Division of Social Sciences representatives are elected in even-numbered years, and the Division of Natural Sciences representative and member-at-large are elected in odd-numbered years.

New members take office at the last faculty meeting of the academic year in which they are elected.

The Faculty Executive Council meets at regular intervals during the College year. It designates faculty committee members and chairs for all appointed faculty committees, appoints faculty to appropriate administrative and student committees, and nominates faculty members to committees of the Board of Trustees. It provides faculty leadership and coordinates the business of the faculty through the appropriate committees, designating its individual members to serve as liaisons between it and various committees of the faculty. It acts as a guardian of academic freedom. It serves as the grievance committee for the faculty; however, in the case of matters arising from the work of the Faculty Personnel

Committee, the Executive Council limits its role to assuring that proper procedures and process are observed. It shall fill vacancies in appointive or elective offices in a manner it deems appropriate for the circumstances.

Nothing in the foregoing abridges the right of faculty members to bring business before the faculty at faculty meetings, including the right to propose amendments in accordance with the provisions of Article IX of this Constitution.

E MEETINGS

Regular meetings of the faculty are held at least monthly during the college term. Special meetings may be called by the Faculty Chair, upon the request of the President of the College, or by the petition of ten percent of the members of the faculty. Fifty percent of the faculty plus one constitutes a quorum for the transaction of business. Non-members may be present at any meeting at the invitation of the Chair of the Faculty or as a result of action of the Faculty. All members of the faculty are expected to attend faculty meetings regularly.

F COMMITTEES

There are two broad classes of College committees. The first class consists of committees working in areas for which the faculty bears the primary responsibility. The composition of these committees and their responsibilities are presented in the Faculty Handbook, Section II B and C. The second class consists of those working in areas with which faculty are concerned but for which they do not have primary responsibility. This includes committees of the Board of Trustees, the Administration, the Student Body, and administrative search committees. The assignment of faculty members to any of these committees is subject to the approval of FEC. The Faculty Executive Council may appoint ad hoc committees at its discretion, or at the direction of the faculty.

G DUES

The Faculty Executive Council proposes annual dues early in the academic year. It is accepted or modified by vote of the faculty, and the amount agreed upon is deducted from the October or November pay checks of all voting members of the faculty.

H FACULTY HANDBOOK

The faculty, working through its Faculty Executive Council and Secretary-Treasurer, maintains a Faculty Handbook reflecting the policies set forth in this Constitution. The Faculty Handbook is accessible on the College Web page.

I AMENDMENTS

Amendments to this Constitution must be presented at the meeting preceding the meeting at which they are to be voted upon. Adoption of a proposed amendment requires the approval of at least two-thirds of those voting.

II Faculty Organization

A PHILOSOPHY OF FACULTY ORGANIZATION

Whittier College is a residential four-year liberal arts institution that prepares students from diverse backgrounds to excel in a complex global society. Through challenging, interactive courses, taught by accomplished professors, students learn to make connections across disciplines, understand cultural perspectives, and integrate learning with practical application. Inspired by our Quaker heritage, a Whittier education equips students to be active citizens and effective communicators who embrace diversity and act with integrity.

Whittier College Mission Statement¹

The educational function of the College is, of course, the prime consideration of the faculty. The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life that relate to the educational process. Subject to the approval of the Board of Trustees, and through appropriate administrative channels, the faculty also has the responsibility for the following: formulating and recommending to the President of the College criteria regarding educational policy; student admission and retention; developing standards for faculty recruitment, retention, promotion, and tenure; making recommendations for faculty salary standards and benefits; and all other matters on which the Board or the President may wish recommendations. The faculty sets the requirements for degrees offered, determines when the requirements have been met, and authorizes the President and Board to grant the degree thus achieved.

The faculty of Whittier College recognizes that the academic profession, guided by a deep conviction of the worth and dignity of the advancement of knowledge, requires special freedoms and that its claim to the exercise of those freedoms imposes special responsibilities. The professor's primary responsibility to his or her subject is to seek and express an ever broadening and deepening understanding of the field. To this end faculty members devote their energies to developing and improving their competence as teachers and scholars. They

¹The Whittier College Faculty reached consensus on this mission statement in November of 2010.

II. FACULTY ORGANIZATION

accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge and practice intellectual honesty. Although they may pursue subsidiary interests, these interests must never hamper or compromise their commitment to honest inquiry.

As teachers, faculty members encourage the free pursuit of learning in students. They hold before students the best scholarly standards of their disciplines. They demonstrate respect for the student as an individual and adhere to their proper role as intellectual guides and advisors. Faculty members make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students' work reflects their most conscientious judgment of its merit. The faculty avoids any exploitation of students for private advantage, acknowledge significant assistance from them, and protect their academic freedom.

As colleagues, faculty members have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues.

As members of their institution, the faculty seeks above all to be effective teachers and scholars. They observe the regulations and policies of the institution, as stated in the Faculty Handbook. Faculty members determine the amount and character of the work they do outside the institution with due regard to their responsibilities within it. When considering the interruption or termination of their service, they recognize the effect of the decision upon the programs of the institution and give due notice of their intentions.

As members of the community, faculty members have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subject, students, profession, and the College. As citizens engaged in a profession that depends upon freedom for its health and integrity, the faculty member has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom and responsibilities.

Academic freedom is the freedom to teach, both in and outside the classroom, to conduct research and to publish the results of these investigations, and to address any matter of institutional policy or action whether or not as a member of an agency of institutional governance. Professors should also have the freedom to address the larger community with regard to any matter of social, political, economic, or other interest, without institutional discipline or restraint, save in response to fundamental violations of professional ethics or statements that suggest disciplinary incompetence.

Membership in the academic community also imposes on faculty members, students, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus.

The preceding statement was adopted by the Whittier College Faculty on May 13, 2015. It proceeds from the Association of American University Professors and the Association of

American Colleges' 1940 Statement of Principles on Academic Freedom and Tenure, which was adopted in principle by the Whittier College Board of Trustees on November 1, 2002, as well as the AAUP definition of academic freedom and earlier editions of the Whittier College Faculty Handbook.

The collective functions of the faculty are conducted within the framework of the Faculty Constitution, which is found in Part I of this Handbook.

The functions of a given academic department are guided and facilitated by the chair of that department. Department chairs are appointed by the administration, in consultation with the members of the department. When feasible, chairs are rotated among qualified members of the department. Customarily, a department chair serves for three years, though this term is renewable. Department chairs usually hold the rank of Professor or Associate Professor, but under exceptional circumstances, a faculty member of lower rank may be appointed chair. The chairing of a department is not an honorary position or a promotion. It is an administrative responsibility to put into effect the policies of the College and the decisions and professional aspirations of the faculty of the department, to represent the department in meetings with the administration, and to promote cooperation with other departments in dealing with areas of mutual concern.

Standing committees are agents of the faculty and, as such, are both advisory and policy formulating, subject to the review and approval of the faculty as a whole and of the Board of Trustees. Existing standing committees and their sub-committees are discussed below. These standing committees may be supplemented by ad hoc committees, as deemed necessary by the faculty or by the Faculty Executive Council (FEC).

Members of all faculty committees except the Faculty Personnel Committee are appointed by FEC, which shall give due consideration to (1) the desirability of having all academic divisions represented in the various functions of the College; (2) the goal to have faculty members serve a minimum of a two-year term on a committee with the possibility of a tenured member serving a third or fourth year if beneficial to the work of the committee; and (3) other responsibilities individual faculty members may have during the academic year.

Committees submit recommendations for the initiation of new college policies that are within the purview of the faculty or for changes in existing policy through the Faculty Executive Council to the Faculty for acceptance, rejection, or modification. Written standing committee reports are generally submitted to the faculty at the end of the academic year. Copies of such reports shall be filed by the Secretary-Treasurer for future reference.

Each faculty committee will be chaired by a member of the faculty chosen by FEC at the time appointments for committees are made. It is highly desirable that the committee chair be a continuing member of the committee if possible. Except in the case of the Faculty Personnel Committee and where the size of the committee is specified in this Handbook, the size of committees may be determined by FEC. Minutes for committee meetings are normally taken by faculty members of the committee on a rotating basis, excluding the chair of the committee and FEC liaisons.

II. FACULTY ORGANIZATION

In addition to serving upon standing committees and subcommittees of the faculty, members of the faculty may serve upon various committees of the Administration, Board of Trustees, and the Student Government. These faculty representatives will be appointed by FEC, except in the following cases: Board of Trustee committees, in which case FEC will nominate faculty representatives, subject to the approval of the Chair of the Board of Trustees; the chairs of the Athletics Committee and Institutional Review Board, who will be appointed by the President in consultation with FEC.

All of the standing committees of the faculty include members of the administration as ex officio members where their responsibilities are related to the work of the committee. Some committees will also include student members. Having faculty members serving on Board of Trustee, Administration, and Student committees and having representation from the student body and administration on faculty committees are considered highly desirable means to enhance communication and to develop and encourage the growth of a true community of scholars.

B STANDING COMMITTEES: GOALS AND RESPONSIBILITIES

B.1 Faculty Executive Council (FEC) (See also Part D of Part I)

The Faculty Executive Council acts on behalf of the faculty in carrying out the instructions and directives of the faculty. It plans the agenda for faculty meetings and is responsible for the scheduling of these and other faculty events. An important responsibility of the Faculty Executive Council is to ensure that the academic freedom of any member of the faculty is not abridged. Except in the case of the Faculty Personnel Committee, whose membership is elected, the FEC serves as the committee on committees and makes appointments or, as specified above, recommendations of all faculty members who serve on faculty committees or other committees of the College. This power to appoint carries with it the power to remove. The Faculty Executive Council also serves as the Grievance Committee of the Faculty. FEC also makes recommendations for ex officio members in consultation with the administration.

B.2 Faculty Personnel Committee (FPC)

The Faculty Personnel Committee has two central functions: (1) to consider questions of selection, retention, promotion, and tenure of faculty members, as well as the special senior status and emeritus/emera status of retiring faculty members, and (2) to consider and recommend to the faculty policies covering the above.

The committee consists of five elected members plus the Faculty Chair and Dean of the Faculty who serve as ex officio members. Three shall be elected by the membership of each of the following divisions: Humanities, Natural Sciences and Social Sciences. The divisional representatives shall be tenured. In addition, two members-at-large shall be elected by a vote of the entire faculty, one of whom shall be tenured and the other not.

B. STANDING COMMITTEES: GOALS AND RESPONSIBILITIES

The procedure by which members of the committee are elected may be found in Part II, D of this Handbook. The divisional representatives shall be elected for a term of three years and the members-at-large for two years. The terms shall be arranged so that one divisional representative and one member-at-large are elected each year. New members will take office at the last faculty meeting of the academic year in which they are elected.

Members of the committee must be employed full time during their elected terms. Faculty members who have completed a full term in a given position are ineligible for reelection to that same position on the committee until one year has elapsed. With the exception of the Faculty Chair, no faculty member shall serve simultaneously on the Faculty Executive Council and the Faculty Personnel Committee.

B.3 Assessment Committee (ASC)

The Assessment Committee is responsible for developing policies and mechanisms to assess the effectiveness of the College's performance in areas of the curriculum, college-wide faculty activities, and other areas deemed appropriate by the faculty. It also provides guidance and assistance for academic departments and programs in their assessment efforts. The Committee works in close cooperation with the Office of the Dean of the Faculty and will assist in preparation of documentation for accreditation.

B.4 Athletics Committee (AC)

The Faculty Athletics Committee is advisory to the President and to the Athletics Director on issues affecting the current and future state of athletics on campus and on issues of the College's compliance with the Southern California Intercollegiate Athletic Conference (SCIAC) and the National Collegiate Athletics Association (NCAA) guidelines. In particular, it is expected that the committee will be consulted on a range of policy issues including those surrounding academic standards and compliance, planning for the future of programs, equity issues, and hiring. The committee is also charged with representing the College to the SCIAC. In addition, the committee serves as an important link between the academic programs and intercollegiate athletics, helping the faculty, athletics community, and administration work together.

By SCIAC rule, this committee must consist of a majority of teaching faculty who are neither coaches nor administrators of intercollegiate athletics programs or members of the KLS department. The committee is chaired by the College's Faculty Athletics Representative, who is appointed for an indefinite term by the President in consultation with FEC. The other faculty members are appointed by FEC; the Athletics Director and Senior Women's Administrator serve as ex-officio members. The SCIAC Bylaws suggest that this committee is best served when faculty members are willing to serve extended terms. Two members of the Student Athletic Council may also attend meetings as observers.

II. FACULTY ORGANIZATION

B.5 Educational Policies Committee (EPC)

The Educational Policies Committee has the responsibility of recommending policy regarding the curriculum including any activities for which academic credit is offered at Whittier College (excluding the Law School). It will also work closely with the Dean of the Faculty to make recommendations on the allocation of faculty positions, in particular when additional positions become available. EPC will address specific policy issues in areas such as the Liberal Education Program, Whittier Scholars Program, Registration, Writing Across the Curriculum, Internships, Study Abroad, and Courses of Study in close consultation with the administrators responsible for these areas. Many of these issues may be considered by subcommittees, in which case members will be selected from among EPC members. Additional ad hoc subcommittees may be formed as EPC deems appropriate. EPC should focus on broad policy issues, rather than day to day decisions that are the responsibility of administrators; administrators should update EPC about any procedural changes on a regular basis and work with EPC to simplify bureaucratic process where possible.

B.6 Educational Resources Committee (ERC)

The Educational Resources Committee will develop guidelines and recommendations for the faculty and administration, including the Dean of the Faculty and the Budget Committee, relating to the management, use, development, and support of educational resources (including spaces), in particular instructional technology, at the College. Specifically, the committee is charged with monitoring faculty needs and concerns and with facilitating the optimal use of IT, Library, and Media resources for educational support programs. This may include recommending policy and advocating for changes in the allocation of College resources. The Chair of ERC should meet with the Budget Committee, as does the Chair of FAC and the Chair of the Faculty.

B.7 Enrollment and Student Affairs Committee (ESAC)

The Enrollment and Student Affairs Committee, in collaboration with the Office of Enrollment (including both Admissions and Financial Aid), will discuss college-wide policy and criteria relating to admissions and financial aid. It will work to develop long-term strategies that support the College's academic mission and will determine and promote appropriate faculty involvement in those areas. Among its duties are:

- to make recommendations to the faculty concerning current standards for admission, retention, and financial aid;
- to relate criteria for admission to the College to the subsequent performance of students.

B. STANDING COMMITTEES: GOALS AND RESPONSIBILITIES

The Enrollment and Student Affairs Committee will work with the Dean of Students and members of the Student Life staff on student experience issues, especially as they relate to the “first year experience” and retention at all levels. The Committee will recommend policies regarding academic review and academic honesty. It will also work with the Dean of First Year Students on policies and procedures related to mentoring and advisement of students, the Director of the College’s Writing Program regarding activities related to the Freshman Writing Seminars, and the Director of Learning Resources/the Director of the Center for Academic Success regarding academic support for students. The Enrollment and Student Affairs Committee may establish subcommittees as appropriate, including the following:

Admissions: This subcommittee oversees policy regarding applications for admission from students who do not meet the regular entrance requirements of the college established by the faculty. The subcommittee annually reviews admission and retention data, acts as a conduit for communication between the Office of Admissions and the faculty, and encourages faculty involvement with the Office of Admissions’ recruitment activities when appropriate. The subcommittee does not meet with members of the Office of Admissions to review individual applications as a matter of course, but may choose to do so on its own initiative, by request of ESAC, by request of the Office of Admissions or by faculty request to ESAC.

Academic Review: This subcommittee monitors and reviews the records of those students whose academic performance has resulted in their being placed on some form of probation or possibly suspension from the college. The subcommittee will also evaluate all appeals from students of their probationary status as well as requests for readmission following a semester or more of suspension. The Academic Review subcommittee, in reviewing records and evaluating appeals and requests for readmission, shall follow the criteria established by the faculty in this area on recommendation of the Enrollment and Student Affairs Committee and in close consultation with the Registrar, who implements these policies. If, in evaluating appeals and requests for readmission, the subcommittee finds that the criteria may need revision, it may make policy recommendations to the Enrollment and Student Affairs Committee for its consideration. Members of this subcommittee are drawn from the Enrollment and Student Affairs Committee.

B.8 Faculty Affairs Committee (FAC)

The Faculty Affairs Committee will address issues pertinent to teaching at Whittier College as a professional occupation. These issues include salaries, benefits and perquisites, leaves, travel, research grants and development grants, and honorary degrees. Subcommittees may

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be formed from among committee members to address these issues. The Faculty Affairs Committee should also work very closely with the Dean of the Faculty in these matters:

- Salaries, Benefits and Perquisites: to maintain a continuous review of institutional policies on remuneration of the instructional staff to ensure that the College is able to attract and retain high quality personnel. Policies at comparable institutions will be examined so a competitive position can be maintained.
- Leaves: to review and recommend faculty members for sabbatical leaves and leaves of absence without pay. The chair of the applicant's department will be invited to act in an advisory capacity.
- Research and Development Grants: to review and approve the distribution of College funds to faculty members for research and professional development.
- Travel: to establish annual caps for conference travel. FAC will also review any travel applications about which the Dean of Faculty has concerns or questions. Requests for funds are to be forwarded by the applicant to the Dean of Faculty through the department chair. (Refer to Section IV L of the Faculty Handbook for further information.)
- Honorary Degrees: members of the Faculty Affairs Committee shall establish a subcommittee, chaired by a member of FAC, to solicit nominations of candidates to receive degrees from the College at Commencement or other appropriate occasions. The chair of the Honorary Degrees Committee will present the nominees to the faculty for its consideration at a closed faculty meeting. Those candidates approved by the faculty will constitute a list of available candidates from which the President may select recipients in consultation with the chair of the Honorary Degrees Committee and the chair of the Faculty. Recipients must receive final approval from the Board of Trustees. Nominations and information are welcomed from all segments of the college community. (Refer to Appendix 12 for further information.)

B.9 Student Fellowships Committee

This is a joint faculty/administration committee. The Director of Undergraduate and Postgraduate Fellowships is an *ex-officio* member. An *ex-officio* representative from the President's office is desirable. Additional *ex-officio* members should include faculty, administration, and staff who serve as Whittier advisors or representatives for various undergraduate and graduate fellowships, either administered internally by Whittier or awarded externally by state or federal agencies, private foundations, or other organizations.

The purpose of this committee is to provide any aid it can toward the identification and cultivation of undergraduate and graduate fellowship opportunities and of students who might be successful in such competitions. Toward these goals, this committee's principal activity is to advise and consult with the Director of Undergraduate and Postgraduate

B. STANDING COMMITTEES: GOALS AND RESPONSIBILITIES

Fellowships and with other fellowship advisors at Whittier as needed. The committee should concern itself with matters of policy such as how institutional undergraduate fellowships are configured. It should provide what aid it can to the cultivation of students for such awards. It should do what it can to mitigate workload for students, faculty, and administration in application procedures. Where desirable, it can act as a review and decision committee for both undergraduate and graduate fellowship competitions, especially in cases where the President, Dean, or other Whittier official provides an institutional endorsement letter for student candidates.

B.10 Institutional Review Board/Human Subjects Committee (IRB/HSC)

The Institutional Review Board (IRB) and Human Subjects Protection Committee (HSPC) are two overlapping committees that protect the rights of human subjects in research projects. The IRB was formed specifically to meet the requirements of federal regulations where funding is from a federal source. Research supported by federal funds and involving human subjects must comply with regulations that are found at Title 45 Code of Federal Regulations (CFR) Part 46, Protection of Human Subjects, also referred to as the “Common Rule.” These projects must be reviewed and approved by the College’s IRB to assure that the rights of subjects are properly protected. This committee must be made up of at least five members representing both science and non-science faculty, as well as a member who is not affiliated with Whittier College. The Whittier College members of the IRB will constitute the membership of the HSPC, whose function is to review those research projects that involve human subjects, but that are not funded by the federal government. Guidance for this human subject protection function is found in three written policy documents found on the College website and titled, “Policy for the Protection of Human Subjects: Institutional Review Board (IRB),” “Policy for the Protection of Human Subjects: Application and Exemptions,” and “Policy for the Protection of Human Subjects: Informed Consent.” In addition, ethical principles that guide the committees are consistent with the Belmont Report, which is available through a link on the web page. Clarification of any questions can be made through the committee chair.

B.11 Committee for the Future of the Liberal Arts: CFLA

In an effort to address the need to continually evaluate our current curriculum, the Committee for the Future of the Liberal Arts focuses on studying curricular strategic planning and other innovations in higher education that are grounded on shared principles. In particular, the committee will keep up with assessment data as well as current research and trends pertaining to liberal education. An area of focus will be determined each year by the committee chair in consultation with FEC. CFLA will hold regular community forums to cultivate broad-based contribution to, interest in, and enthusiasm for their ongoing work. The committee will produce a report of findings at the end of the academic year and meet

II. FACULTY ORGANIZATION

with FEC to determine whether and which institutional groups may be charged with developing a related implementation plan the following academic year. One or more members of one year's CFLA may follow the project by serving with the institutional group charged with its implementation the following year.

CFLA will have a liaison with EPC to facilitate communication between these two committees. It should be clear that whereas EPC's charge is to monitor the existing curriculum, CFLA's charge is to formulate innovative proposals that will contribute to the long-term evolution of the curriculum. The committee should have significant cross-divisional representation and, as appropriate, a staff member. The Dean of the Faculty should serve as an ex officio member of the committee for the purpose of ensuring a reliable and accessible channel of communication among the faculty, the senior administration, and the Board of Trustees.

C OTHER COMMITTEES

The following committees are ones upon which faculty members are expected to serve, but which report primarily to either the Board of Trustees, the Administration or the Student Government. The duties of these committees are detailed by the Board of Trustees, the administration, and the student government under their respective operating procedures.

C.1 Committees of the Board of Trustees

Faculty members are nominated to these committees by the Faculty Executive Council, and confirmed by the Board of Trustees. A few positions, however, traditionally are filled by elected faculty representatives.

- Plenary Meeting of the Board – Chair of the Faculty Executive Council
- Academic Affairs Committee of the Board – the three divisional representatives on FEC
- Buildings and Grounds – nominated by FEC
- Development – nominated by FEC
- Enrollment and Student Life – nominated by FEC

C.2 Joint Faculty/Administrative Committees

Faculty members are appointed by the Faculty Executive Council with agreement from the administration. Generally these committees are chaired by a member of the administration or student government unless otherwise indicated.

- Athletics – chair comes from the faculty and is appointed by the President

D. DECISION MAKING IN FACULTY MEETINGS

- Budget and Priorities – Faculty Chair, Chair of Faculty Affairs Committee, Chair of Educational Resources Committee
- College Hearing Board – a pool of faculty members is available for the committee; initial approval of the pool comes from FEC
- Faculty Advisor to the Alumni Board – appointed by FEC
- Faculty Advisor to Broadoaks – appointed by FEC
- Fringe Benefits Task Force – appointed by FEC from members of FAC
- Institutional Review Board – chair comes from the faculty and is appointed by the President
- Society Advisory Board – society advisors are selected by individual societies with agreement of the Office of Student Life

C.3 Committees of the Student Government

Faculty members are appointed to these committees by the Faculty Executive Council with agreement from the student government:

- Student Government: Advisor to the students' governing body
- Student Government: Others as needed

D DECISION MAKING IN FACULTY MEETINGS

D.1 Policy

The Whittier College faculty will work toward consensus on every issue—and ideally to arrive at a consensus decision to adopt any proposal. If, however, a full consensus cannot be reached, the Chair of the Faculty can call for a vote. A two-thirds majority of the votes cast is then required to adopt the proposal. Policies will be implemented and those changes will be reflected in the handbook when appropriate.

D.2 Philosophy and Rationale

Consensus is the commitment of all members of a community to act in the interests of the whole community, and only upon consensus of the whole community, without recourse to coercion. The Quaker tradition of consensus decision-making is premised upon the notion of an “Inner Light” or “that of God in every person.” In more secular terms, this means respect for each person and the belief that each person has something to contribute to the

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larger discussion. A corollary of this belief is the idea that a “better good” will emerge from the wisdom of the whole body than from the wisdom of any one individual. Consensus-building and consensus decision-making promote extensive, collaborative discussion, and thus can result in a better decision than a pure voting system could produce. In a consensus decision-making process, if only one or a few faculty members are opposed to a decision that all others are ready to embrace, these faculty members are obliged—by tradition and by the values of consensus—to think deeply about whether they are willing to “step aside” from the decision. Stepping aside from a decision means that while these individuals cannot lend their support to the policy, they recognize the wisdom in the greater body of faculty who favor that policy, and they are willing to let the policy be adopted. There are cases, however, in which consensus cannot be reached in a timely fashion. In these cases, it is prudent to have a voting option. Yet to maintain the sense of community that consensus builds, it is important that voting decisions not be made by a simple majority, but rather by a two-thirds majority, to encourage as much discussion and consensus-building as possible.

D.3 Procedure

Faculty policies that require a Handbook change should be first developed or vetted, then approved by the appropriate faculty committee. The faculty committee chair will communicate with FEC about its desire to bring the policy to the full faculty for discussion. In addition to the policy statement itself, the proposed policy should include a rationale for why the policy should be adopted and any other relevant information. The policy will be presented and discussed amongst the faculty at a minimum of two faculty meetings. The first discussion of a policy will be designated by one star next to it in the meeting agenda to indicate that it is a first consideration and that no decision will be made at that time with the understanding that with regards to Honorary Degrees, the electronic presentation of nominees and subsequent faculty feedback serves as the first consideration and nominees may be approved at the first full faculty meeting (see Appendix 13, section 5). Subsequent discussions will be designated by two stars to indicate that a decision could be made at that particular meeting. After the first discussion, the faculty committee chair may take faculty comments back to the committee, and the committee may revise the proposal accordingly before bringing it back to the full faculty for a second consideration. It is the role of the Chair of the Faculty to discern whether consensus on the policy has been reached. If only one or very few faculty members oppose the policy change, the Chair of the Faculty may ask these members if they are willing to step aside and allow consensus to move forward. If consensus is not reached, the policy can be considered at additional faculty meetings. But at any time in the consensus building process, in consultation with the committee chair or individual bringing the proposal to the faculty and FEC, the Chair of the Faculty may announce that a vote on the policy will take place. The vote will take place by secret ballot. A two-thirds majority of the votes cast is needed to adopt the proposed change. Policies will be implemented and those changes will be reflected in the handbook when appropriate.

E ELECTIONS

Elections for faculty officers (chair, vice-chair, and secretary-treasurer) and members of the Faculty Executive Council whose positions become vacant at the end of the year shall be held during the last regular faculty meeting in March of each year. Elections to positions that will become vacant on the Faculty Personnel Committee at the end of the year shall be held at a faculty meeting in April, but after the Board of Trustees has acted upon tenure recommendations from the administration. The Faculty Executive Council shall serve as the election committee for all elections. As such, its functions are (1) to solicit nominations and (2) to ascertain the willingness of nominees to serve if elected. FEC shall furnish the voting members of the faculty with a list of those eligible for election to the various positions to be filled. This list and a call for nominations shall be distributed by March 1. After determining that each nominee is willing to serve if elected, FEC shall distribute the list of those nominated in the first call for nominations, together with a second call for nominations, in time for elections by April 1. The results of the second call for nominations shall be distributed with the agenda for the meeting at which FEC elections are held. During the meeting at which the elections are held, there will be a third call for nominations from the floor. Anyone nominated from the floor must be willing to serve.

Elections to the Faculty Executive Council shall be in the following order: chair, vice chair, secretary-treasurer, at-large, and divisional representative(s). Nominations for each position may be made in writing prior to the commencement of each election or verbally from the floor during each election. A five-minute period will be provided just prior to each election to allow discussion and preparation of written nominations.

After election of faculty officers and the at-large member to the Faculty Executive Council, the divisional election(s) will be held. Only members of the division in question may vote in that election. Divisional elections will be conducted by the appropriate outgoing divisional representatives on the Faculty Executive Council, assisted by one other Faculty Executive Council member of that representative's choosing.

A similar process will be followed in the election of members to the Faculty Personnel Committee. The order will be tenured-at-large, non-tenured at large, and then divisional representatives.

All elections are to be held by secret ballot. A majority of the votes cast shall elect. In the event more than two nominations are made for a single office, and if no candidate receives a majority of the votes cast on the first ballot, a second ballot shall be held between the two candidates receiving the highest number of votes on the first ballot.

III Policies and Procedures

A INSTRUCTIONAL POLICIES AND PROCEDURES

A.1 Teaching Load

A full-time teaching load consists of twenty credits per year of normal classroom work or its equivalent.

A full-time faculty member is expected to devote him/herself fully to Whittier College and to his/her own professional growth. It is considered improper to use College time and/or supplies for any purpose other than the performance of official College business, which is defined as an activity which promotes the achievement of the purposes of the College.

Notwithstanding the foregoing, membership in the College faculty presumes a position of leadership and service in the society of which the College is a part. Consequently, the College encourages participation in those activities which offer opportunities for leadership and service. These activities may include serving as a consultant for industry or governmental agencies, performing research supported by outside agencies, serving on various councils of private and public agencies, and the like. If a full-time faculty member does engage in acceptable remunerative activities outside the College, these activities may not entail more than one course or the equivalent beyond the faculty member's regular teaching load in any one semester. The prior approval of the administration is required for any work or teaching outside the College.

The academic year is defined in the calendar of the annual college catalog, and shall begin on Monday of the week preceding the week that class instruction is scheduled to begin in the regular fall session and shall extend through the spring term and college graduation exercises. Vacation periods at Thanksgiving, semester break, spring break, and other holidays approved by the faculty are scheduled each year as noted in the college catalog calendar.

A.2 Academic Year

The academic calendar is determined annually by a special committee that will include representatives of the faculty, the administration, and the registrar.

A.3 Classroom Procedures

At the beginning of each term, instructors (professors, adjuncts, visiting professors, etc.) should make certain that every student in attendance is properly registered. Instructors must also notify students of course policies by distributing a syllabus on paper and/or electronically.

A syllabus lays the foundation for a fair and effective learning environment, serving to protect the rights of both students and instructors. A syllabus should thus include information in the following categories:

- Course title, number, and term (e.g., Spring 2014).
- Meeting times and location.
- Instructor information. Include name, office telephone number, email address, office hours, and office location.
- Information about the course. In addition to material chosen by the instructor, the course description should closely follow the catalog description for the course. Information about prerequisites and similar requirements should also be included where appropriate.
- Learning outcomes or course objectives. These should include departmental objectives in most cases.
- Textbook and / or resource materials.
- Grading policies and scale. This should cover the types of grades (Letter or Credit/No Credit) you use for the course, or whether both options are available to students. The syllabus should also provide a clear explanation of grade weighting, calculation, etc.
- An attendance policy.
- A policy on late work.
- Americans with Disabilities Act (ADA) Policy Statement. “The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe you have a disability requiring an accommodation, please contact Disability Services.” Instructors may want to include latest contact information for Disability Services.
- Academic Honesty Statement and Policy. Course policies should not contradict a college policy but may contain nuances to help students better understand course expectations. For example, instructors may give information relating to academic honesty

A. INSTRUCTIONAL POLICIES AND PROCEDURES

in a specific field and direct students to the College Catalog or the web page for the most recent college policy. (<http://www.whittier.edu/academics/academichonesty>)

- Other policies or information critical for success in the course.

It is generally best to give students a good idea of what to expect and when during the semester. Instructors should therefore include a calendar of activities with major assignment dates when possible, even if some calendar events are destined to change during the term. This is especially true when coursework includes events (such as field trips) that might cause potential conflicts with work, other courses, or other school-related activities.

None of the above absolves students of their responsibility to attend classes and inform themselves about course policies and course content.

A.4 Grading Procedures

The academic standards of an institution are largely determined by the admissions policies of the institution and by the standards of work required of students by the faculty. Once awarded, a grade may not be changed as a result of reevaluation of work submitted by a student. The only justification for a change of a grade is to correct an error on the part of the instructor. The submission of additional work by a student (except to remove an Incomplete resulting from illness or similar circumstances) is not justification for altering a grade, once it has been recorded.

Students who failed to complete all of the requirements for a course because of reasons beyond their control, and satisfactory to the instructor, may be given an Incomplete (IN). The instructor must provide a statement of explanation for the Incomplete on the grade card turned in to the Registrar's Office. An Incomplete incurred during a fifteen-week course must be made up within the first ten weeks of the following term. If not made up during the appropriate period the Incomplete becomes an F or NC (depending upon grade option submitted). An extension of time may be granted in special cases upon recommendation of the instructor with the approval of the Dean of Faculty.

A.5 Late Entry

A student may not enroll in a class after the second week of classes and then only with approval of the instructor. Formal withdrawal from a class must be made through the Office of the Registrar.

A.6 End-of-Year Clearance

End-of-year clearance procedures shall include the submitting of all grades to the Registrar for all courses taught during the previous session and the return of all instructional materials which constitute college property. If for any reason, a faculty member is not returning the

III. POLICIES AND PROCEDURES

following session, all keys should be returned to the to the Office of Campus Safety. Written instructions concerning the nature and amount of work necessary to make up any Incomplete grades for students should be left with the respective department chairperson.

A.7 Summer and Evening Classes

The use of college facilities is provided for the summer and evening programs on a self-sustaining basis. Accordingly, some regulation of class offerings is necessary, as well as rotation of department teaching personnel. Resident faculty are given preference; however, visiting specialists are frequently engaged as added enrollment incentives. Summer and evening faculty are engaged by the directors of those programs through the department chairperson.

A.8 Student Assistants

Faculty members desiring student assistants for paper reading, laboratory, or secretarial work should apply for the same in writing through the department chairperson and the office of the Dean of Financing Students. Requests should indicate the number of assistants needed, and the type and amount of work to be done on a weekly basis. The College Placement Office will provide upon request the names of students who have suitable qualifications for secretarial work.

Only those faculty members qualifying in terms of need will be granted student assistants. Students are required to submit time sheets for work completed every other Friday. Faculty members supervising the work are required to sign the time sheets and to submit them to the Office of Financing Students before payment is made by the Business Office. If the student has an outstanding bill owed to the College, the money earned will be applied against the bill.

B FACULTY PERSONNEL POLICIES

B.1 Academic Freedom and Professional Ethics

The faculty of Whittier College subscribes to the concepts set forth by the American Association of University Professors in its "1940 Statement of Principles on Academic Freedom and Tenure," its "1970 Interpretive Comments," and its "Statement on Professional Ethics" (Appendices 1 and 2).

B.2 Appointment

- a. The search for and nomination of new faculty members is a cooperative effort of departmental faculty in consultation with other faculty as well as with the administration

and students. Recommendations for appointment of new faculty are made to the President of the College, normally by the Dean of Faculty, after consultation with members of the department faculty, the Faculty Personnel Committee, and students. The Board of Trustees is informed of the appointment of all full-time faculty members.

- b. Candidates for the college faculty must possess the willingness and the ability to pursue their education indefinitely. A doctoral degree is not in itself sufficient credential for the fully qualified faculty member, but it is natural that in virtually all academic fields it is considered necessary. All candidates shall have demonstrated a sound and scholarly training in their fields and shall possess the potential for making a contribution to the academic community.
- c. In appointments, the college actively seeks a distribution in regard to geography, institution, race, and sex, so that the faculty may be as pluralistic as possible in its representation. The College is an affirmative action, equal opportunity employer.
- d. Initial appointment of the faculty member at the college is normally at the level of Instructor (terminal degree close to completion), or Assistant Professor (terminal degree completed), except where the nature of the appointment, such as program development, leadership responsibilities, or other assignments requires a higher academic rank.
- e. In order to be eligible for renewal, faculty hired at the rank of Instructor must complete their terminal degree by December 15 of their second year of appointment.
- f. Initial appointments are ordinarily for a period of one year. Subsequent appointments, at any rank, are also for a period of one year until tenure is granted.
- g. A letter of appointment from the President serves as the instrument for all appointments and specifically sets forth title and rank, salary, length of appointment, years of prior full-time teaching experience which will count towards the probationary period for tenure, and any qualifying conditions.
- h. Faculty members are notified in writing by the President of any change in appointment, rank, or salary. Notification of changes is usually made by March fifteenth and such changes normally become effective on September first of the ensuing academic year.

B.3 Non-Tenure-Track Appointments

a. Lecturer

Lecturers are faculty members whose principal responsibilities are instructional and curricular, and which involve substantial departmental or college service. The Lecturer category includes, but is not limited to, writers and artists in residence and laboratory coordinators whose primary responsibility is teaching, as well as those who regularly teach nine or more credits and whose remaining full-time load carries administrative

responsibilities. These appointments do not include scholarship responsibilities, but include curricular-related programmatic support activities for the department or the College. In the case of writers and artists in residence, the teaching load is usually less than full-time, the service requirement is normally fulfilled through writing and artistic activity, and no additional service is expected. Lecturers may also serve as mentors and advisors. Lecturers normally should possess the same minimum qualifications as ranked faculty, but the title “Lecturer” may also be granted to a person of high repute in a field of endeavor related to an academic discipline or to a person with significant professional experience relevant to the academic discipline.

Initial appointment to the rank of Lecturer may be for one, two or three years, and may be renewed thereafter, subject to administrative and faculty personnel review, and administrative approval. There is no limit to the number of times an appointment may be renewed. The term of appointments that are renewed will not exceed three years.

Lecturers are normally employed on a full-time academic-year contract basis, and shall have no expectation of an eventual tenure-track or tenured appointment.

b. Senior Lecturer

To create a career ladder and to encourage Lecturers to consider the benefits of a longer-term relationship with Whittier College, there is the possibility of promotion to “Senior Lecturer.” Departments or academic programs may recommend for such promotions only those who are distinguished teachers and who make important contributions to their departments, academic programs, or the college through service or co-curricular activities. A Senior Lecturer must have served Whittier College six years before being recommended for promotion. The Senior Lecturer rank is associated with demonstrated teaching excellence, commitment to departmental and college service, and student advising. The department chair or the responsible administrator nominates lecturers for promotion and submits supporting materials, including evidence of teaching and service excellence, to the Faculty Personnel Committee, which makes a recommendation regarding promotion to the Dean of the Faculty.

Appointment to the rank of Senior Lecturer may be for one, two or three years, and may be renewed thereafter, subject to administrative and faculty personnel review, and administrative approval. There is no limit to the number of times an appointment may be renewed. The term of appointments that are renewed will not exceed three years. Senior Lecturers are normally employed on a full-time academic-year contract basis, and shall have no expectation of an eventual tenure-track or tenured appointment.

c. Procedures for initial appointment

To take advantage of opportunities, or to meet a demonstrated college need, the Dean of Faculty may make funding commitments for the creation of one or more Lecturer positions. The process to be followed will be the same as that for other faculty posi-

tions: the Dean will inform EPC of the position, and EPC will solicit and act upon proposals to fill the position. EPC will follow its usual policies and procedures for considering such proposals, making its recommendations to the Dean of Faculty.

- d. Limitations on Lecturer/Senior Lecturer appointments
Tenured or non-tenured tenure-track faculty are not eligible for appointment to a lecturer or senior lecturer position, nor will faculty lines filled by tenured or tenure-track faculty be converted to a lecturer or senior lecturer position. The combined number of lecturers and senior lecturers will not exceed five percent of the full-time Whittier College faculty (that is, full-time faculty on the Whittier College campus), nor will any program have more than one.
- e. Perquisites
Lecturers and Senior Lecturers are eligible to apply for faculty travel and for faculty development grants, but not for faculty research grants. They are not eligible for sabbatical leave, although a Senior Lecturer may request a leave of absence without pay. Otherwise, Lecturers and Senior Lecturers are eligible for all other faculty perquisites as listed in Part IV of the Faculty Handbook. Those Lecturers and Senior Lecturers who are evaluated by FPC and who advise students and serve on faculty committees have the right to attend faculty meetings, and to vote.
- f. Review procedures for renewal for Lecturers and Senior Lecturers
The performance of a Lecturer or Senior Lecturer as a member of the faculty is reviewed both by their department, program, or administrative officer, and by the Faculty Personnel Committee. In the first year of appointment as a Lecturer and every other year thereafter, the department, program, or administrative officer performs the evaluation, and submits a letter of evaluation to FPC by March 15. In their second year and every other year thereafter, Lecturers submit a PEGP and supporting documents to FPC by the third Friday of the January session. Senior Lecturers are evaluated by FPC in their third year, and every third year thereafter, submitting a PEGP and supporting materials by the third Friday of the January session.
- g. Part-time (adjunct) Faculty
For those individuals hired on a per course basis the term Adjunct is used. Appointments may be as Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor, depending on qualifications.
- h. Visiting Faculty
Candidates who have the qualifications appropriate to the ranks of assistant, associate, or full professor, but who are recommended for appointment to a temporary position without a tenure-track line, are designated as Visiting faculty. These appointments are normally made as replacements for current full-time faculty on sabbatical or other leave, and thus normally do not continue for more than one year. On occasion, a one-

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or two-year appointment may be made subsequent to the third year, but no individual may remain in a visiting position at the College for more than five years (teaching six courses a year). In some circumstances, combinations or successions of leaves may recommend a two- or three-year appointment.

i. Distinguished Service Professor

- a) Upon retirement from full-time teaching, the position of Distinguished Service Professor may be offered to faculty who have served the College with distinction. Appointment to this position follows the normal college process in which the Faculty Personnel Committee recommends to the President through the Dean of Faculty. Appointments at the level of Distinguished Service Professor will be on an annual basis, without tenure, subject to renewal by mutual consent. In order to ensure that departmental issues of class scheduling, advising, and the use of adjunct faculty can be addressed in a timely manner, applications for initial appointment as Distinguished Service Professor should be sent to FPC before November 15 and must include a letter of support from the department in addition to a letter of request and c.v. from the faculty member being considered for appointment.
- b) The Distinguished Service Professor will carry a substantially reduced teaching load, so that time may be available for other scholarly activities. The teaching load will be arranged by the Dean of Faculty in consultation with the individual and the department chairperson. Health insurance benefits will be the same as for other full-time faculty. If the individual has reached the age of eligibility for Social Security benefits, payments to TIAA/CREF will cease with the appointment, and the earnings limit will be taken into account in discussion of the stipend. The individual will continue to be eligible for Supplementary Retirement Annuity participation through TIAA/CREF.

j. Emeritus Status

- a) To be granted emeritus status, a faculty member should have served with distinction at Whittier College full time for at least fifteen years and should have reached the rank of Professor or Associate Professor. Under exceptional circumstances, an Assistant Professor may be granted Emeritus status.
- b) Nominations for emeritus status are normally made by the Department Chairperson, the Dean of Faculty, or the Faculty Personnel Committee. Supporting data should be submitted by the nominator to the Faculty Personnel Committee by October 15.

- c) The Faculty Personnel Committee will recommend to the President, through the Dean of Faculty, those faculty members it believes should be granted emeritus status. The final decision regarding the granting of emeritus status is made by the President.

B.4 Standards for Evaluating Faculty Performance

Acknowledging that the reputation and standards of the institution are largely dependent upon the quality and growth of its faculty, the faculty has adopted a procedure for evaluation. Faculty members will be evaluated in accordance with the four criteria listed below, and decisions will be made within the context of programmatic, financial, and departmental considerations. (For a more detailed discussion of these four criteria, see the document “The Professional Evaluation and Growth Plan (PEGP) and Supporting Materials” as Appendix item 10.)

- a. Teaching Performance

Effective teaching is recognized as the greatest contribution that a faculty member is expected to make to the college. The weight given to this criterion exceeds the others listed below and is based upon such factors as skill in the classroom; ability to stimulate students to work and think independently; sensitivity to student needs; maintenance of high academic standards; and fairness and consistency in evaluating student work. Student evaluation of the faculty member is considered in the assessment of the effectiveness of a faculty member. The above factors are not meant to be restrictive. New and creative application and research in teaching are encouraged. Specifically, this includes, but is not limited to, participation and teaching in the Liberal Education Program, the Whittier Scholars Program, and established interdisciplinary programs.

- b. Advisement

Advisement is considered to be an extension of the teaching process. Effective and caring advisement by all faculty members encourages close faculty-student interaction, and is crucial to sound academic program planning and accomplishment by students. Every faculty member is obligated to understand and to convey accurately to students college policy on the curriculum, graduation requirements, and related academic matters. Effective advisement includes availability, both during scheduled office hours and beyond them, as well as an attitude of openness and helpfulness to students. Service as a Mentor is encouraged. Self-assessment, as well as assessment by faculty and administrative colleagues, aids in the evaluation of advisement quality.

- c. Scholarship

Scholarship indicates the continuing education and intellectual vitality of a faculty member and may take the form of any or all of the following: scholarship of discovery, of integration, of application, and of teaching. (See the presentation of these four

kinds of scholarship at the end of Appendix 10.) Scholarship may be manifested by a number of ways, including, but not limited to, scholarly publication; the adoption of materials prepared for classroom use by others in the profession learning new areas of scholarly expertise; the preparation of new materials for classroom use (for further clarification of this point, see Appendix 10); presentation of papers at professional meetings; creative and artistic performance; participation in professional societies; and professional consultation. One significant indication of scholarship is the respect that a faculty member enjoys from peers in his or her discipline or professional field; thus cultivation of contacts with colleagues at other institutions is encouraged and deemed valuable both to the individual faculty member and to the College. Each faculty member's scholarship is an important way the college seeks to ensure that it offers education which is vital, current, and attuned to the wider intellectual environment.

d. Service to the College and Community

It is recognized that an intellectually vital and actively involved faculty will serve as a model for not only the student body, but for the college community at large. Therefore, members of the faculty are strongly encouraged to function as leaders and participants in the widest possible range of academic programs and campus activities. These would include, but are not limited to, service as departmental chair and involvement in departmental affairs, the organizing of or participation in lectures and academic programs; service on faculty, administrative, board and student committees; and attendance at events including plays, concerts, athletic events and student programs such as dormitory firesides.

Since it is important for the college to play a leading role in the life of Whittier and the surrounding communities, members of the faculty are also encouraged to participate in aspects of the wide range of available community activities including, but not limited to, membership in community and service organizations; participation in local government; participation on community service boards and in programs such as the United Way, YMCA, and the Red Cross; involvement in educational outreach from the College; and participation in religious and other community organizations programs and activities.

B.5 Faculty Responsibilities in Personnel Matters

The primary responsibility for assembling and presenting data to the Faculty Personnel Committee rests with the individual faculty member, with the aid and counsel of the department chair. The major means of transmitting this information to FPC is through the Professional Evaluation and Growth Plan which should contain a thoughtful analysis of recent accomplishments in each of the above four areas, as well as a discussion of future professional plans.

Faculty members are responsible for employing the standard course evaluation form (See Appendix 12.)

Faculty members are required to submit the results of student course evaluations to FPC with each PEGP submission. It is the faculty member's responsibility to maintain a complete set of all classroom evaluations since the last PEGP submission and to provide a table or other quantitative summary of course evaluations for review by FPC. A full set of evaluations since the last PEGP or an appropriate explanation for their omission should be provided as part of the backing documents..

a. Professional Evaluation and Growth Plan - The Role of the Faculty Member

In that there is no one professional model for advancement at Whittier College, there is no single format for the Professional Evaluation and Growth Plan which will meet the needs of all faculty members. In drafting the document, a faculty member should attempt to address past accomplishments and future plans in a manner which will emphasize those career aspects which are common to most other faculty, as well as those areas which are unique to the faculty member as a teacher and scholar. It is not uncommon for a faculty member to need to educate FPC with respect to teaching, scholarship, and/or service in non-traditional areas.

An effective Professional Evaluation and Growth Plan should discuss past accomplishments and future plans in each of the four areas used to evaluate faculty: teaching performance, advisement, scholarship, and service to the College and community. In the area of teaching performance, a statement of teaching philosophy is extremely helpful to the Faculty Personnel Committee. Usually, an articulate presentation can be made in 10 to 20 pages, along with supporting documents. Examples of supporting documents which faculty have found helpful in illustrating their past accomplishments and in providing useful information about their future plans include, but are not limited to, course evaluations from representative courses over several years; syllabi and class handouts; examinations; letters from alumni who have taken courses from the instructor; letters from colleagues at Whittier and in the larger academic community which discuss individual teaching, advisement, scholarship and/or service; copies of recent manuscripts and articles; and descriptions of work done in lieu of committee service. A current resume should always be submitted as a supporting document.

The Faculty of Whittier College believes that we are all obligated to examine our professional lives on a regular basis. This is an obligation to our students, to the institution, and most importantly to ourselves. We believe that it is important for us to consider how we change and develop as we proceed through our careers. The primary purpose, then, of all PEGPs is professional self-assessment, an exercise in which we consider what is important, what we do well, and what we can do better. In this respect, then, the presentation is not for the institution, but for the individual making the presentation. Getting a response from a set of colleagues may reveal any number of important things that we may not clearly see ourselves. We can get our ideas validated, and we can have our attention drawn to things that could use some

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more attention, or things we simply could not see ourselves.

However, the PEGP also serves another very important purpose, which is evaluation by the institution. The presentation does result in a judgment made by colleagues, both in the faculty member's department and on the Faculty Personnel Committee. The evaluative dimension of the PEGP is especially significant for faculty who are pre-tenure and for those who seek a change in status. We acknowledge the importance of this dimension.

We acknowledge that we will all need to make our presentations in different ways, as we are different. But we recognize that the primary purpose of the document is the same for all of us in its personal dimensions. We agree that the key elements in it are that we make our best presentation concerning our accomplishments to our colleagues, that it is the fundamental document for important institutional decisions about us, and that we use it to seek collegial advice, but that it be directed at real professional self-assessment above all.

Faculty members who are eligible for tenure will submit materials in the fall of their second, fourth, and sixth years. Tenure-track faculty members given prior teaching credit will submit in the fall following their first year at Whittier College and then go on the regular schedule. All teaching Faculty members and Lecturers (tenured or probationary) will submit a PEGP in the fall of their second year. Otherwise, Faculty members will submit materials as follows:

- Lecturers- - - - -2nd year then every other year;
- Senior Lecturers- - - - -at least once every 3 years;
- Assistant Professors - - 2nd, 4th & 6th years, and every 4 years;
- Associate Professors - - at least once every 5 years;
- Professors - - - - - at least once every 6 years.

Faculty members who are to submit a Professional Evaluation and Growth Plan during a sabbatical year may, at their request, receive a one-year extension of their due date.

Full-time non-faculty employees of the College who teach courses on a regular basis should write a self-evaluation of their teaching and submit it along with backing materials to FPC every four years. The teaching self-evaluation and backing materials should first be reviewed by the department so that a letter of evaluation can be written and also submitted to FPC. The Associate Dean for Liberal Education will act as department chair in cases where there is not an explicit department affiliation. The due date for submission is the Friday of the third week of the January term. The process concludes with a regular FPC feedback session. Instructors in this category should present student evaluations and course materials to the department chair for department review in the years they do not write a teaching self-evaluation.

Part-time instructors who are not full-time employees of the College do not write teaching self-evaluations but will present student evaluations and course materials to the department chair for department review every semester.

A copy of the Professional Evaluation and Growth Plan, along with one set of supporting documents, must be delivered to the department chair by October 1, two weeks prior to the October 15 date when materials are due to be officially submitted to the Faculty Personnel Committee. By the due date, faculty will submit their PEGP narratives and CVs electronically to the Dean and to the FPC chair and submit one paper copy of each along with their supporting documents to the Dean's office. The schedule is as follows:

1. October 1 submission to the department chair in preparation for the October 15 submission to the Dean and FPC chair for all tenure-track faculty in their probationary years,
2. October 23 submission to the department chair in preparation for the November 6 submission to the Dean and FPC chair for all tenured promotion candidates,
3. The Friday of the first week of the January term submission to the department chair in preparation for the Friday of the third week of the January term submission to the Dean and FPC chair for all other submissions.

It is the responsibility of the faculty member and department chair to adhere to due dates for submission of materials. The submission of late materials may preclude consideration by the Faculty Personnel Committee during that academic year.

b. Supplementary Material - The Role of the Department and Department Chair

The department bears the major responsibility for ensuring that a tenure candidate receives appropriate counseling during the probationary period. Mentoring tenure track faculty is a major responsibility of the department chair acting on behalf of and in consultation with tenured members of the department, conveying to new colleagues the developmental nature of the probationary period leading up to consideration of tenure. Usually, non-tenured faculty need first to ensure their teaching effectiveness and to acquire mentees and advisees, then to begin working on their scholarship so evidence of productivity becomes apparent by their fourth or fifth year of service, and to take on increasing levels of responsibility in faculty governance; discussing these matters regularly and explicitly with non-tenured departmental faculty is expected of department chairs. Departments should discuss, and convey to tenure-track faculty throughout the probationary period, both college-wide and departmental expectations in terms of the areas of evaluation of faculty effectiveness. Helpful candor in both conveying expectations and evaluating faculty performance is the desired standard. A sample of this kind of letter, and the rationale for candor in the evaluation process,

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can be found in Good Practice in Tenure Evaluation, Chapter 3 (available on-line at www.acenet.edu/bookstore/pdf/tenure-evaluation.pdf).

Departments will evaluate tenure-track faculty during their first-, third-, and fifth-probationary years. A letter of evaluation including a recommendation regarding retention will be drafted by the department chair in consultation with the tenured members of the department and given to the faculty member under consideration, the chair of FPC, and to the Dean of Faculty March 15 in the case of first-year faculty members, and by October 15 for third- and fifth-year faculty members. The materials to be used for this evaluation include student evaluations, reports of classroom visits by colleagues, publications or works in progress, results of meetings with the department chair, and other materials the department chair and the tenure-track faculty member may deem relevant.

At the beginning of each academic year, the chair of FPC and the Dean of Faculty will meet with department chairs to review their role in the personnel process.

For all faculty being reviewed by FPC (i.e., for promotion, for post-tenure review, and for the second-, fourth-, and sixth-year probation period), FPC must receive a departmental letter of evaluation. Materials to be used in formulating this evaluation include the faculty member's Personal Evaluation and Growth Plan, supporting materials, records of classroom observations and other pertinent materials, and the review notes from the most recent feedback from FPC. In the case of a department with one tenured faculty member who is being reviewed by FPC (either regular submission or for promotion), the Dean of Faculty will appoint a senior faculty member (preferably one with department chair experience) from the same academic division to carry out the responsibilities of the department chair in writing the letter of evaluation.

Department letters will be written by the department chair after consultations with all tenured members of the department. All tenured members of the department will have access to the Professional Evaluation and Growth Plan and supporting documents of the faculty member being considered. A copy of the department letter will be given by the department chair to the faculty member under consideration. Usually, all tenured members of the department will sign the departmental letter and each signature denotes consent to the letter's content. If a department member chooses not to participate in the department letter and to write a separate letter to FPC, a copy of this letter of evaluation also will be given by the department chair to the faculty member under consideration.

In the case of an individual who will be considered for a change in status, the chair will arrange for a Department Student Council to forward a letter to the Faculty Personnel Committee in which the Council comments on the overall performance of the individual faculty member.

(If the Professional Evaluation and Growth Plan is being submitted by a department chair, another tenured member of the department or the Dean of Faculty should fulfill

the role herein described for the department chair.)

c. Review Sessions - The Role of the Faculty Personnel Committee

During the spring of the academic year in which a faculty member has submitted materials to the Faculty Personnel Committee. The committee members will indicate to the faculty member whether adequate data in all four areas were provided to the committee. The committee's evaluation of both the submitted materials and the performance of the faculty member will then be transmitted in written form to the department chair and to the faculty member. Two members of FPC will meet with the tenure-track faculty member and the department chair within one week of the receipt of the review notes so that the faculty member will have the opportunity to respond or ask questions. If the faculty member has additional questions that were not addressed at the feedback session, the faculty member should consult with the department chair or, if the candidate does not have a departmental affiliation, to the Associate Dean for Liberal Education, and then may write a letter to the Faculty Personnel Committee requesting further clarification. FPC will respond in writing, and if needed, a second meeting will be scheduled. The feedback session is optional for tenured faculty. Tenured faculty members may request a meeting with FPC if they so desire. In addition, FPC committee members will review the departmental expectations for the probationary candidate in the context of college-wide standards for tenure. The personnel committee will respond to these expectations in the candidate's first feedback session.

This process is intended to aid the overall development of the teaching faculty. Individuals should recognize, however, that a good progress report from FPC, or even a succession of positive reports, will not necessarily lead to tenure or promotion or guarantee retention, since other considerations—including department recommendations, administrative considerations, etc.—also carry weight in personnel matters.

B.6 Probationary Period

- a. From the time of initial appointment until a final tenure decision is made, faculty appointments are probationary. If a contract for a second year is not offered to a faculty member during the first year of teaching, he or she must be notified of this decision no later than March 15. If a decision is made not to offer a new contract to a second year faculty member, the faculty member must be so notified no later than October 15. After the second year of full-time teaching, a non-tenured faculty member whose contract is not to be renewed will be notified by October 15.
- b. Decisions not to offer contracts to faculty members during their probationary period may be based on the recommendations of the department chair, the Dean of Faculty, or the Faculty Personnel Committee. Such decisions, made in consultation with the involved department, may be made on the basis of academic performance in the areas

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- of classroom teaching, advising, professional growth, and service to the college and community. In addition, such decisions may be made for programmatic, financial or for other legitimate reasons as agreed upon by the Dean of Faculty, the Faculty Personnel Committee, and the President of the College.
- c. Non-retention decisions made during the probationary period may be appealed by the faculty members affected to the Faculty Personnel Committee and subsequently, if necessary, to the President of the College.
 - d. During the first few weeks of the fall semester, the FPC Chairman and the non-tenured representative hold separate meetings with all first year faculty and with all second year faculty. At these meetings the current personnel policies are reviewed, the nature of the materials to be submitted to FPC is discussed, samples of these materials are made available, and attending faculty are given the opportunity to ask questions about the overall personnel process.

B.7 Tenure

- a. In matters of tenure—that is, of continuous appointment to the faculty—the College subscribes to the “1940 Statement of Principles on Academic Freedom and Tenure” and the “1970 Interpretive Comments” by the American Association of University Professors (Appendices I and II).
- b. Suggestions for tenure consideration are made to the Faculty Personnel Committee and may be initiated by the department chair, the Dean of Faculty or a member of the Faculty Personnel Committee. Individual faculty members may also request consideration for tenure.
- c. In most cases, faculty members must have completed the requirements for the generally accepted terminal degree in their disciplines before tenure will be granted.
- d. The maximum probationary period before tenure must be granted or denied is seven years. Faculty members with prior teaching experience may receive credit for up to, but no more than, three years experience toward their tenure decision at Whittier College. The tenure decision will be made in the sixth year of full-time teaching.
- e. Tenure recommendations made by the Faculty Personnel Committee (FPC) will be submitted to the President of the College by the FPC Chair through the Dean of Faculty. The President will, in turn, send his/her response to these recommendations to FPC through the Dean of Faculty. If the President concurs with the FPC recommendation, the Dean will then notify the appropriate department chairs and the faculty members concerned.

If the President disagrees with a consensus decision made by FPC to tenure and promote, or to promote to full professor, FPC will request through the Dean of Faculty,

that the President provide a brief written summary of the rationale for her/his decision based on the President's review of the candidate's PEGP, all course evaluations and summaries, all supporting documents, all accompanying letters, and previous FPC feedback notes, as well as department tenure and promotion guidelines.

Next, FPC will meet with the President to resolve the case. If, after reviewing all the items noted in the previous paragraph, the President's decision changes and a positive recommendation to tenure and award promotion, or promotion to full professor is made, the original FPC decision and feedback notes will be conveyed to the candidate. In the event that the President's decision remains unchanged, the President's decision stands.

- f. In the event that FPC recommends against granting tenure, the faculty member may request to meet with FPC, with or without their department chair, to present their case in person. If, after the faculty member's presentation, the Committee subsequently makes a recommendation for tenure, the procedures outlined in B.7.e. above will be followed. If FPC's recommendation remains unchanged, the faculty member may request a final review (in writing) by the President. Once the President has considered this request, the President's decision is final.
- g. If a faculty member feels he/she has not received fair and impartial treatment with respect to the proper process being followed, he/she may appeal to an Appeals Committee, which shall be appointed by the Faculty Executive Council and function in a manner prescribed in B.10.a. If the Appeals Committee finds that the faculty member did not receive fair and impartial treatment with respect to process, it shall direct the Faculty Personnel Committee to reconsider the case to ensure adherence to proper process. The Faculty Personnel Committee will then forward a recommendation to the President for a final decision. No further appeals on process will be allowed once the President makes a final decision.
- h. If a faculty member denied tenure alleges that a decision against reappointment was based significantly on considerations that violate (a) academic freedom or (b) governing policies on making appointments without prejudice with respect to race, sex, religion, national origin, age, disability, marital status, or sexual orientation, the allegation will be given preliminary consideration by the Appeals Committee appointed in a manner described in B.10.a., which will seek to settle the matter by informal methods. The allegation will be accompanied by a statement that the faculty member agrees to the presentation, for the consideration of the faculty committee, of such reasons and evidence as the institution may allege in support of its decision. If the difficulty is unresolved at this stage and if the committee so recommends, the matter may be referred to the Board of Trustees, except that the faculty member making the complaint is responsible for stating the grounds upon which the allegations are based and the burden of proof will rest upon the faculty member. If the faculty member

succeeds in establishing a prima facie case, it is incumbent upon those who made the decision against reappointment to come forward with evidence in support of their decision. Statistical evidence of improper discrimination may be used in establishing a prima facie case.

B.8 Termination of Tenured Faculty

- a. The services of faculty members with tenure may be terminated only for adequate cause, which is understood to include professional incompetence or moral turpitude. Under extraordinary circumstances, such termination may also occur as a result of a demonstrably bona fide financial exigency, i.e., an imminent financial crisis which threatens the institution as a quality liberal arts college and which cannot be alleviated by less drastic means. In addition, such termination may take place, under extraordinary circumstances and after full consultation with the faculty, because of the termination of a program or in the event of medical disability.
- b. Initial recommendations to terminate the appointments of tenured faculty members are made to the Faculty Personnel Committee and may be initiated by the department chair, the Dean of Faculty or a member of the Faculty Personnel Committee. Faculty members will be informed in writing of the reasons being set forth for their dismissal, and will then receive a full hearing by the Faculty Personnel Committee in which they will be given the opportunity to respond to the written reasons which have been set forth as grounds for dismissal. They may have with them an advisor of their own choosing to act as counsel, and a full stenographic record of the hearing will be prepared and made available to the faculty members. After this meeting, during which all parties will have had ample time to explain their viewpoints, the Faculty Personnel Committee will make a recommendation in the matter to the President of the College through the Dean of Faculty. If the President concurs with the recommendation, the decision shall be final, subject to the right of the faculty members concerned to appeal to the President and finally to the Board of Trustees. If the President does not concur with the recommendation of the Faculty Personnel Committee, the Committee will meet with the President to attempt to resolve the issue. If such resolution is not achieved, the President's decision and the Committee's dissenting arguments will be forwarded to the Board of Trustees. Here too, the faculty members have the right to appeal to the President and the Board.
- c. A general principle shall be observed in all deliberations concerning faculty dismissal: criticism shall be directed toward specific practices of the faculty member concerned as they bear upon his or her professional conduct and as these practices relate to the college community. In addition, the rights of faculty members should be safeguarded as spelled out in the relevant sections of AAUP's "1982 Recommended Institutional Regulations on Academic Freedom and Tenure."

B.9 Promotion

- a. Faculty members hired at the rank of Instructor because they have not received the normal terminal degree in their academic field will automatically receive promotion to the rank of Assistant Professor upon the granting of the terminal degree.
- b. Suggestions for promotion consideration of tenured faculty members are made to the Faculty Personnel Committee and may be initiated by the department chair, the Dean of Faculty or a member of the Faculty Personnel Committee. Individual faculty members may also request consideration for promotion with the support of their department or the Dean of Faculty.
- c. If an untenured faculty member has completed the terminal degree and has completed the full probationary period, a connection between tenure and promotion will be usual. This is because the granting of tenure and the granting of promotion are both based upon demonstrated accomplishment in the areas of teaching, advising, service to the College and community, and scholarship. (For the meaning of full probationary period, see III.B.6.). In extraordinary circumstances, promotion to associate professor may occur before the sixth and final probationary year, the standard being demonstrated accomplishment in the areas of teaching, advising, and service to the College and community, and exceptional scholarly achievement. (For the meaning of demonstrated accomplishment see III.B.4.) The process of early promotion must be initiated by the department in consultation with the Dean of Faculty before a case is made to FPC. Promotion is not automatically conferred with the award of tenure, as personal or institutional circumstances might exist that would cause a tenure candidate to fall short of having demonstrated more than promise in a key area. Tenure is not automatically granted upon promotion to Associate Professor or Professor. The granting of tenure does not in itself guarantee advancement in rank.
- d. Promotion to the rank of Associate Professor is awarded for substantial achievement in the areas of classroom teaching, advising, professional growth, and service to the college and community. Tenured Associate Professors are eligible to apply for promotion to Full Professor at any time. Promotion to the rank of Professor is to be granted on the basis of demonstrated achievement subsequent to tenure and promotion in the areas of classroom teaching, advising, professional growth, service to the college and community, and professional development recognition. After substantial time in the rank of Associate Professor—twelve or more years—a case for promotion can be made based on continued achievement in teaching, advising and service, and a more modest record of scholarly engagement.
- e. Promotion recommendations made by the Faculty Personnel Committee (FPC) will be submitted to the President of the College by the FPC Chair through the Dean of Faculty. The President will, in turn, send his/her response to these recommendations

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- to FPC through the Dean of Faculty. If the President concurs with FPC's recommendations, the Dean will then notify the appropriate department chair and the faculty members concerned. If the President disagrees with any of FPC's recommendations, FPC will meet with the President to attempt to resolve the differences. Prior to this meeting the Committee will contact the faculty members in question and their department chair for additional supporting data, particularly in the event that the President's initial denial is based on criteria other than those previously considered by FPC. In the event that FPC and the President are unable to reconcile their differences, the President's decision will be final.
- f. In the event that the Faculty Personnel Committee (FPC) recommends against granting promotion, faculty members may request to meet with FPC, with or without their department chair, to present their case in person. If FPC's recommendation is subsequently favorable, the procedures in B.9.e. will be followed. If FPC's recommendation remains unchanged, the faculty member may request (in writing) a final review by the President. Once the President has heard this review the President's decision will be final.
 - g. If a faculty member feels he/she has not received fair and impartial consideration with respect to the promotion decision, he/she may appeal to an Appeals Committee as provided for in B.10.a-b.
 - h. If a faculty member denied promotion alleges that a decision against reappointment was based significantly on considerations that violate (a) academic freedom or (b) governing policies on making appointments without prejudice with respect to race, sex, religion, national origin, age, disability, marital status, or sexual orientation, the allegation will be given preliminary consideration by the Appeals Committee appointed in a manner described in B.10.a., which will seek to settle the matter by informal methods. The allegation will be accompanied by a statement that the faculty member agrees to the presentation, for the consideration of the faculty committee, of such reasons and evidence as the institution may allege in support of its decision. If the difficulty is unresolved at this stage and if the committee so recommends, the matter will be referred to the Board of Trustees, except that the faculty member making the complaint is responsible for stating the grounds upon which the allegations are based and the burden of proof will rest upon the faculty member. If the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision against reappointment to come forward with evidence in support of their decision. Statistical evidence of improper discrimination may be used in establishing a prima facie case.

B.10 Concerns

- a. Any faculty member who has a concern that proper process has not been followed with respect to a tenure or promotion decision may submit a written appeal to a duly constituted ad hoc Appeals Committee. The Appeals Committee will be selected by the Faculty Executive Council and shall consist of at least three tenured faculty members who have served on the Faculty Personnel Committee (FPC) during the prior five years and who are not currently serving on FPC. The Appeals Committee will contact the faculty member in question and the department chair for supporting data prior to meeting with the faculty members. The faculty member, with or without her/his department chair, will then meet with the Appeals Committee to discuss her/his process concerns. The Appeals Committee will also meet with the FPC Chair to discuss the process that FPC had used in its deliberations. If the Appeals Committee finds that the faculty member did not receive fair and impartial treatment with respect to process, it shall direct FPC to reconsider the case to ensure that proper process is adhered to. The FPC will then forward a recommendation to the President for a final decision. No further appeals on process will be allowed once the President makes a final decision. If the Appeals Committee decides proper process was followed by FPC, the FPC recommendation stands and no further appeals regarding process will be allowed.
- b. If a faculty member wishes to appeal on the basis of a concern that proper process was not followed or to request a review of a tenure or promotion decision based on the substance of the case, an intent to file an appeal or to request a review shall be provided by the faculty member to the Chair of FPC and the Dean of Faculty (in writing) within five business days of receiving notice of the tenure or promotion decision. The parties concerned (FPC, the faculty member, the President, and/or the Appeals Committee) shall complete the appeal or review process, in keeping with the steps outlined above in B7.e-g, B.9.f-g, and 10.a, within twenty business days once the written notice of intent has been provided by the faculty member to FPC and the Dean.
- c. A faculty member is always free to raise such concerns at any Faculty Meeting

C COMMUNICATIONS

C.1 Faculty to Administration

The normal line of communication from individual members of the faculty to the administration is through the Dean of Faculty or the individuals designated by the President to handle the various areas of concern of the faculty.

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C.2 Faculty to Board of Trustees

Communication from the faculty as a unit, or from a faculty committee, to the Board of Trustees should be transmitted either through the Academic Affairs Committee or by the Faculty Executive Council via the President.

D GRIEVANCES

Any faculty member who has a grievance may request consideration by the Faculty Executive Council. In addition, s/he is free to raise any matters of concern to the College at any faculty meeting. (See also Constitution, Section D (section IV in older versions), ¶ 5.)

IV Faculty Perquisites

A SALARY PAYMENTS

Letters of appointment listing the terms of employment are for one academic year (see Part III:A:2), but payment of salaries is made in twelve monthly checks by the Business Office on the twenty-fifth of each month. If this date falls on a holiday or weekend, payment will be made on the last working day before the holiday or weekend. Checks may be picked up in the Business Office after 11:00 am.

By law, certain deductions are required to be made from paychecks. These include amounts for state and federal income tax, Social Security, and State Disability Insurance. State Unemployment Insurance and Workmen's Compensation Insurance are paid entirely by the College.

B WORKER'S COMPENSATION INSURANCE

All faculty members are covered by Worker's Compensation Insurance for any injury that may occur on College premises or in the performance of College business.

C STATE DISABILITY INSURANCE

All faculty members contribute to, and are insured, for non-industrial accidents and sickness under the California State Disability Insurance program. This program is administered by the state through the Human Resources Development offices throughout the state. Coverage includes weekly payments for time lost and a daily hospital allowance. You may obtain information on benefits and forms necessary to file claims through the State Human Resources Development offices.

D HEALTH AND LIFE INSURANCE

The College offers a Group Health and Life Insurance Policy for employees, who work 20 hours a week or more, and their dependents, underwritten by a large and reputable insurance

IV. FACULTY PERQUISITES

company. The plan is described in the Summery Plan description available in the Human Resources Office. In addition the College also offers a group health policy providing dental and medical coverage with a Health Maintenance Organization (H.M.O.).

The plans include medical care benefits, supplemental accident expense benefits, major medical expense insurance, death benefits, dental expenses, and a special plan for medicare participants. A spouse and unmarried children from 14 days of age to age 19, or unmarried full-time student to age 25 for medical and age 23 for dental, are included.

The College contributes a substantial amount (the specific ratio depends upon the group health experience of the previous year) to the plan in addition to the individual premium payments by faculty members.

A booklet describing the plans are available in the Human Resources Office. Faculty members who desire to enroll in any plan should complete the Acceptance and Payroll Deduction Authority Card within 30 days of their employment date. After this open enrollment period the employee or dependent may be required to prove, at their own expense, insurability to the insurance company.

Group term life insurance is included in the plan. The amount of coverage is based upon an individual's income bracket as described in the insurance booklet.

A Supplemental Life Insurance plan is available which doubles the coverage available in the basic group insurance plan. The cost of the Supplemental Insurance is paid by the employee. Information on the Supplemental Plan is available in the Human Resources Office.

E GENERAL LIABILITY INSURANCE

Faculty acting for or in behalf of Whittier College are covered with respect to Legal Liability to the extent of \$500,000 combined single limit of liability. Coverage is also provided by an Excess Liability policy for bodily injury and property damage. Other groups associated with the College are included in these coverages.

F SICK LEAVE

Sick leave (for full-time faculty only) is handled on a case-by-case basis between the individual and the Dean of Faculty. Sick leave is considered as a reserve fund to handle emergency situations and is not subject to a payoff basis for time not taken. Faculty must contact the Dean of Faculty's office each day of their absence, unless prior arrangements for less frequent reporting have been made. Faculty who are absent five or more consecutive days may, at the Dean's discretion, be put on a medical leave of absence and be required to produce a doctor's release to return to work.

While on approved sick leave, the faculty member's pay will continue at his or her regular salary, less any benefits received from State Disability Insurance or Worker's Compensation Insurance, as required by law. In addition, the College will continue to make its regular

contributions toward the faculty member's group insurance and TIAA/CREF premiums, from the date of disability through the end of the current month plus one additional month.

Any rearrangement of course offerings to cover absences due to illness is the joint responsibility of the administration and the department involved.

Sick leave should be requested if it is anticipated an illness or injury will result in loss of an extended period of time. Requests must be made to the Dean of Faculty. Details regarding salary and benefits must be cleared through the Human Resources Office.

G MEDICAL LEAVE

A full-time faculty member may be granted a medical leave of absence for a period of up to one calendar year if there is good and sufficient reason. Medical leaves are normally granted upon termination of sick leave benefits. No salary payments are made nor accumulated during the leave period. During a medical leave of absence without pay the employee will be responsible for full payment (100%) of his/her medical and dental insurance premiums (colleges and employees portion). The College portion of TIAA/ CREF benefits premiums will not be paid during the medical leave of absence.

Any rearrangement of course offerings to cover absences due to illness is the joint responsibility of the administration and the department involved.

Requests for medical leaves of absence must be made to the Dean of Faculty. Details regarding benefits must be cleared through the Human Resources Office.

H RETIREMENT

- a. Policies and practices relating to retirement are designed to attract individuals of the highest caliber to educational work, to sustain the morale of the faculty, to permit faculty members to devote their energies with singleness of purpose to the concerns of the institution and the profession, and to provide for the orderly retirement of faculty members.
- b. The normal retirement date for members of the faculty is August 31 following the sixty-fifth birthday. Chair positions of a department shall terminated at the close of the academic year during which a faculty member attains age sixty-five. A faculty member may be employed part-time, or full-time, on an annual basis following retirement.

I RETIREMENT PLANS

The Whittier College Retirement Plan is described in the Summary Plan Description available in the Human Resources Office. The college is a member of Teacher's Insurance and Annuity Association of America (TIAA) which operates a retirement plan open to all faculty members with one year service or previous participation. Contributions (4% of salary

IV. FACULTY PERQUISITES

minimum) are collected through a monthly payroll deduction plan handled by the Business Office of the College. (For tax reasons under 1RC, Section 403(b), this contribution is not indicated as current income. Thus, it will be taxable upon receiving the annuity it provides.) Any faculty member desiring to join this retirement plan may inquire at the Human Resources Office.

All employees of Whittier College are also covered by the social insurance program of the Social Security Act. Monthly deductions are made according to the statutory requirements of the Act.

J LEAVES OF ABSENCE

J.1 General policy

- a. There are six kinds of leave discussed here: sabbatical leave, leave for professional growth, short-term leave of absence without pay, long-term leave of absence without pay, parental and maternity leave. Section 1 is applicable to all types of leave. Section 2 covers sabbatical leave. Section 3 covers leave for professional growth. Section 4 covers short-term leave of absence without pay. Section 5 covers long-term leave of absence without pay. Section 6 covers parental leaves.
- b. When a faculty member is on leave, the essential curricular needs of the department will be met. Generally two people from the same discipline should not be on leave simultaneously. The granting of a sabbatical leave is contingent upon acceptance of the proposed leave plan by the Faculty Affairs Committee and the administration and the continued normal operation of the college with reference to departmental staff and financial resources. Other leaves will be granted at the discretion of the Dean of faculty.
- c. A faculty member who receives any leave of absence will normally be expected to return to Whittier College for a minimum of one full year of teaching.
- d. The faculty member, the Faculty Affairs Committee, and the Dean of Faculty must agree in advance on how leaves other than sabbatical leaves will affect the timing of future sabbatical leaves.
- e. In the case of non-tenured faculty, the faculty member, the Faculty Personnel Committee, and the Dean of Faculty, in consultation with the department, must agree in advance on how leaves will affect the timing of tenure decision.
- f. A faculty member who wishes to apply for a leave of absence should be certain to consult with the Human Resources Office regarding the financial implications of such a leave.

- g. Faculty members should be aware that multiple years of leave could affect tenure and promotion decisions.
- h. Reference is made to the “Statement on Leaves of Absence” of the American Association of University Professors (AAUP) published in 1965, the “Statement of Principles of Leaves of Absence” published in 1972 by AAUP, and “Statement of Principles on Family Responsibilities and Academic Work” published by AAUP in 2001, for guidance in designing policies and considering exceptions to the above principles. Exceptions must be approved by the Dean of Faculty and the Faculty Affairs Council.

J.2 Sabbatical Leaves

- a. Full-time tenured faculty members of Whittier College are eligible for a sabbatical leave upon completion of six years full-time service at the College. Eligibility includes all the years of full-time service at Whittier, including the years prior to the granting of tenure. After this period of time, faculty members are eligible for sabbatical leaves every seven years and librarians are eligible for sabbatical leaves in summer months every four years. Exceptions will be considered by the Faculty Affairs Committee and approved by the Dean of Faculty.
- b. A sabbatical leave is to be used for generally acceptable purposes of professional advancement such as research, writing, and educational travel. Faculty members requesting a sabbatical leave should submit a sabbatical application to the Faculty Affairs Committee by the announced date (normally November of the year prior to the sabbatical), indicating the purpose of the sabbatical. The application should be accompanied by a statement by the Department and/or program Chair assessing the likely impact on the Department and/or program.
- c. Normally a sabbatical leave shall not be used to accept another paying position exceeding one course or the equivalent, academic or otherwise, beyond the faculty member’s normal salary. Faculty members taking sabbaticals at half-pay will be permitted to work up to half time. This is not to be construed as prohibiting the acceptance of a grant for the support of academic endeavors. The Dean of Faculty, in consultation with the Faculty Affairs Committee, may grant exceptions if the faculty member can demonstrate that the position would contribute meaningfully to his/her professional development.
- d. If it deems necessary, the administration may request that a faculty member postpone a sabbatical for up to one year. If the faculty member agrees, the postponement will not delay the scheduled dates of any subsequent sabbaticals.

A faculty member may choose to postpone a sabbatical for up to two years without delaying the scheduled dates of any subsequent sabbaticals with the approval of

IV. FACULTY PERQUISITES

the Faculty Affairs Committee. The request for postponement must be made during the academic year preceding the year for which the sabbatical leave was originally scheduled.

- e. Sabbatical leaves are granted in terms of one of the following two options: (1) half salary for one full academic year with no teaching load; or (2) full salary and a normal one semester teaching load over one year, distributed as desired by the faculty member (for example, a one semester leave or one full year of half-time teaching).
- f. Within six months of completion of a sabbatical leave, the faculty member is to submit to the Dean of Faculty a statement summarizing all sabbatical activities.
- g. Previous part-time teaching at Whittier College may in certain cases be counted towards initial eligibility for sabbatical leave. Credit may be granted for no more than one year of full-time equivalent instruction for every two years of part-time teaching, up to a maximum of three years of full-time equivalent teaching. The part-time instruction must have occurred at Whittier College immediately prior to full-time appointment by the College, and total no less than 10 units in each year. A decision will be made by the Dean of Faculty at the time of full-time appointment regarding the number of years to be granted towards initial leave, although in no circumstances may a sabbatical leave be granted prior to the granting of tenure.

J.3 Leaves for Professional Growth

- a. Faculty members who receive a grant are eligible for a leave of absence in order to be free to pursue the activities of the grant. In all cases, the college will make its regular contributions toward the faculty member's group insurance and TIAA/CREF premiums. Normally, the grant is expected to cover all salary, but the faculty member may make up the difference between the salary provided for in the grant and that faculty member's normal salary by working at the college part-time. Payment for any such part-time work will be at the faculty member's normal salary pro-rated according to the number of units worked.
- b. Faculty members may apply for a one-year to two-year leave of absence in order to seek temporary employment elsewhere if the department, the Faculty Affairs Committee, and the Dean of Faculty judge that the faculty member's professional growth would be enhanced by doing so. The employee will be responsible for full payment (100%) of his or her medical and dental insurance premiums (college's and employee's portion). The College portion of TIAA/CREF benefits premiums will not be paid during the leave. A one-year leave may be extended for at most one more year, with the approval of the department, the Faculty Affairs Committee, and the Dean of Faculty.
- c. The faculty member may also apply for a leave of absence in order to be free to pursue professional growth activities not covered above.

J.4 Short-Term Leaves of Absence Without Pay

- a. Members of the faculty may apply for a leave of absence without pay for a period of up to one year. The employee will be responsible for full payment (100%) of his or her medical and dental insurance premiums (college's and employee's portion). The College portion of TIAA/CREF benefits premiums will not be paid during the leave.
- b. Faculty members requesting a leave of absence should submit their request through the department chair to the Faculty Affairs committee at the earliest possible date. The application should include a statement of the purpose of the leave and a statement of departmental needs by the department chair following consultation with all the members of the department. The Committee will then forward its recommendations to the Dean of Faculty.

J.5 Long-Term Leaves of Absence Without Pay

- a. Full-time faculty members may apply for non-paid leaves of absence for longer than a year. Except as stated in paragraph below, the employee will be responsible for full payment (100%) of his or her medical and dental insurance premiums (college's and employee's portion). The College portion of TIAA/CREF benefits premiums will not be paid during the leave.
- b. Faculty members requesting a long-term leave of absence should follow the same procedures as under "short-term leaves."
- c. Application may be made for part-time employment during the period of a long-term leave of absence without pay. Tenured faculty members will normally receive part-time employment if they so request. If part-time employment is granted, the college will make its regular contributions toward the faculty member's group insurance and TIAA/CREF premiums.
- d. At the end of a long-term leave of absence without pay a tenured faculty member must return to full-time employment or else accept the loss of tenure but not necessarily loss of employment, unless another such leave is approved.

J.6 Family and Medical Leave

Overview

Tenured and tenure-track faculty who have been employed at Whittier College for a period of at least 12 months are eligible for parental leave in the event of childbirth or adoption of a child less than 6 years of age. Faculty members meeting these conditions are also eligible for leave for their own serious medical conditions; or to care an immediate family member (defined as parent, spouse or domestic partner, child—by birth or adoption— or foster child)

IV. FACULTY PERQUISITES

with a serious medical condition. Faculty members who become parents by birth or adoption (including spouses or domestic partners of birth or adoptive parents) during the academic year will be eligible for course relief for at least one full academic semester, and potentially longer if either pregnancy and maternity disability or the family leave period permitted by law lasts beyond a single semester. Of this period, only six weeks or the period covered by pregnancy disability policies (whichever is longer) will be treated as full, paid leave; for the remainder of the affected term or terms, faculty will be offered alternative assignments, replacing or postponing their teaching duties, or unpaid leave, as appropriate. Faculty with other serious medical disabilities may be eligible for similar accommodations, or may be able to take partial leave, depending on the situation. Faculty members needing leave time to care for an immediate family member with a serious medical condition are also eligible for accommodations, including partial leave or alternative assignments, as detailed below.

Statutory Leave, as established by Law

Faculty members are entitled to up to 12 work weeks of unpaid leave per year under the Family Medical Leave Act (FMLA) for the birth, adoption or placement for foster-care of a child; for the care of a parent, child, spouse or domestic partner with a serious medical condition; or for his/her own serious medical condition. Employees who have first taken leave under the California Pregnancy Disability Leave law may take an additional 12 weeks leave under the California Family Rights Act (CFRA). During this period of time, the College will continue to provide group health benefits. To be eligible for the provisions of the FMLA, employees must have worked at the College for at least 12 months, including at least 1250 hours over the past 12 months. FMLA entitles eligible employees to up to 12 weeks of unpaid leave for any of the following reasons:

- i. For the birth and care of the newborn child of the employee;
 - ii. For placement with the employee of a child for adoption or foster care;
 - iii. To care for an immediate family member (as defined above) with a serious health condition;
- or
- iv. To take medical leave when the employee is unable to work because of a serious health condition.

FMLA also permits eligible employees to take unpaid leave, either to care for family members with injuries or illnesses incurred due to military service, or to tend to particular immediate needs (“exigencies”) related to a federal call to active duty of a qualified family member. Full information with respect to this policy is available from the Human Resources Department. Faculty members who are disabled by pregnancy may also be entitled to up to 12 weeks leave

under the California Pregnancy Disability Leave law (PDL) as required by law. According to this legislation, short-term disabilities stemming from pregnancy or childbirth cannot be treated differently from any other short-term disabilities, and therefore should be covered by the College disability insurance policies. A faculty member's time off under CFRA will not run concurrently with time off under PDL, however, a faculty member's time off under FMLA will run concurrently with time off under CFRA or PDL, whichever has been used first. All paid time taken off due to family or medical leave will run concurrently with any applicable statutory leaves.

College Policies for Faculty Leaves

- a. Maternity leave. In coordination with disability insurance benefits, the salary of a faculty member giving birth will continue throughout the 6-8 weeks during which she is determined by a physician to be disabled. Beyond that period of time, the faculty member may elect either unpaid leave or alternative assignment, as discussed below. If a pregnancy-related disability is longer than 8 weeks, the faculty member will be expected to apply for State Disability Insurance (SDI). Long-term disability is available after 6 months.
- b. Leave options after the disability period or for non-birth parents. All faculty members who have worked at Whittier College for at least 12 months are entitled to unpaid leave for up to 12 weeks in conjunction with the Family Medical Leave Act and the California Family Rights Act for the birth or adoption of a child, or the care of a family member. Faculty members requiring course release for the birth of a child or the adoption of a child under the age of six will be granted six weeks of paid leave (up to eight if medically necessary), and they may choose between unpaid leave for the remainder of the semester or they may negotiate an alternative assignment with the Dean of Faculty. Parents who are both full-time faculty at the College are each eligible for six weeks of paid leave, which may be taken concurrently or sequentially. In the case of faculty members for whom the necessary and/or legal leave period extends beyond one semester, alternative assignments will be granted at the discretion of the Dean of Faculty, and may include making up teaching duties during the summer session. Faculty members who do not require course release (e.g., birth or adoption in mid-December or during the summer months) will have the option of one course release during the term following the birth or adoption or foster care placement of a child.
- c. Serious Health Conditions. Leave options to faculty with serious health conditions or to care for family members with serious health conditions, as defined by a physician. All faculty members who have worked at Whittier College for at least 12 months are entitled to unpaid leave for up to 12 weeks over the course of a year, with that year beginning on the first day that the leave is taken. According to the California

Family Rights Act, these weeks need not be taken sequentially. Given the constraints of the teaching semester, faculty intending to continue teaching should attempt to avoid taking more than two weeks leave in any given semester, whether scheduled intermittently or as a block. Faculty do, however, have the option to take unpaid leave for one semester and January for demonstrated need (using disability insurance to help compensate for the loss of income), or to take the paid or pro-rated options described. When possible, faculty should attempt to consult in advance with the Department Chair and or Program Chair, as well as with the Dean of Faculty, regarding any anticipated leave of absence. The College is committed to helping faculty find alternatives to taking unpaid leave, when requested.

As faculty do not have the option to utilize accumulated sick leave or vacation leave, faculty members maintaining a full teaching load may receive up to two weeks paid leave in any academic term, as described above, for serious health conditions or the necessary care of a family member. Faculty should seek to provide reasonable alternative instructional activities for their classes during any planned absences.

During any actual “leave,” it is presumed that the faculty member will not be actively providing instruction to students. In the event that faculty members are unable to maintain a full teaching load due to either their own medical needs or the need to care for family members with serious medical conditions, they have the following options:

- a) One course release, without pay reduction, during one semester as an alternative to unpaid leave, usually implying that the faculty member will continue to teach 2/3 of his/her load during this period of time.
- b) Faculty needing course release for a subsequent term may arrange with the Dean of Faculty for alternative assignments, or may negotiate a reduction of salary for the affected semester. Faculty needing additional leave time beyond one semester may receive 75% of salary if teaching 2/3 of load during the second semester with the understanding that other duties—service, advising and scholarship—constitute a significant part of faculty responsibilities, and that faculty members would likely continue to carry out some of these functions. Faculty needing additional course release during an affected semester may negotiate with the Dean of Faculty to either (a) find appropriate alternative assignments during that period of time, or (b) arrange to postpone some teaching commitments, i.e. to the summer term.

In the case of faculty members needing to take full leave due to their own serious medical conditions, the faculty member will be eligible for paid leave for up to six weeks, based on a physician’s assessment of the length and nature of the disability. Beyond that period of time, the faculty member may elect either unpaid leave, or may negotiate with the Dean of Faculty to arrange either alternative assignments for the remainder of the affected semester or postponed teaching responsibilities. Any faculty members able to plan the timing of his/her absence

without serious health consequences (i.e. for planned, non-emergency surgeries) would be expected to postpone the procedures until after the academic term.

Any faculty members taking leave due to their own medical conditions will be expected to apply for applicable disability insurance benefits, whether State Disability Insurance or, when available, College-sponsored disability insurance. Insurance payments plus College contributions may not exceed the full or partial salary to which the faculty member is entitled.

- d. Tenure and sabbatical considerations. Tenure-track faculty have the option to voluntarily delay tenure review for one year for the birth or adoption of a child, or for family medical leave, with a maximum of two one-year extensions prior to the tenure review. Any request to delay the tenure clock must be made in writing to the Dean of Faculty prior to the end of the leave period. Such leaves will not impact the evaluation for tenure or promotion.
- e. Benefits. Faculty members will continue to be responsible for their employee portion of their benefit expenses during unpaid leaves and should coordinate the payment of such expenses with the human resources department.

K JURY DUTY

Whittier College will pay a faculty member's regular salary up to ten (10) days of jury duty service. The College does not pay for substitutes in the classroom and, therefore, requests that the employee ask to be on duty during the summer months.

L TRAVEL FUNDS

L.1 Policy

Full-time faculty members and teaching fellows are encouraged to participate in professional conferences and meetings, not only to promote their own professional growth but also to enhance the stature of Whittier College. Full-time faculty may apply for reimbursement for a minimum of one professional conference per academic year if they are officers of their professional associations or are participating in the programs of their professional meetings (e.g. present scholarly papers, serve as panel discussants, editorial board members, etc.), up to an annually established spending cap. If expenses from the first trip are less than the established cap, remaining funds may be used to help support participation in a second conference.

The following expenses will be reimbursable for approved conference travel, within the limits of the travel allowance: round-trip transportation costs (lowest available air fare for the most direct flight to the location of the conference); lodging and meals during the time of

IV. FACULTY PERQUISITES

the professional conference (with limits as described below); organization membership dues and registration fees associated with the meeting; as well as other legitimate costs, such as airport parking or transportation to and from the home airport; and ground transportation. Meals will be reimbursed up to current U.S. Government per diem rates. The Faculty Affairs Committee will review the per-faculty travel allowance and submit updated guidelines to the Dean of the Faculty on an annual basis. Non-participatory conference attendance can be supported by Research and Development Grants.

L.2 Procedures

- a. Conferences with Participation: Application for reimbursement should be submitted on the appropriate form by a faculty member through the department chairperson to the Dean of Faculty at least 14 days prior to the conference starting date. Given the finite pool of money budgeted for faculty travel each year, FAC encourages faculty to apply as early as possible. If the Dean of Faculty has concerns about the appropriateness of a particular proposal, the Faculty Affairs Committee will review the proposal and make a recommendation to the Dean
- b. Upon return, the faculty member should present an itemized list of relevant expenses (on a form provided by the Business Office), with receipts to the Dean of Faculty before actual reimbursement is made.
- c. Funding by outside sources should be sought whenever possible; the College will reimburse any approved travel expenses not covered by external funds, up to the limits discussed above.

M TUITION PLANS FOR FACULTY

The Whittier College Tuition Plan provides tuition benefits for full-time faculty members wishing to take graduate classes. This benefit is available immediately upon hire date. Classes for the faculty member must not interfere with the normal work schedule and participation must be approved by the Dean of Faculty. Beginning July 1, 1985, this benefit will be subject to personal income tax, according to a ruling by the IRS. This benefit must be applied for each semester in the Dean of Faculty's office.

N TUITION PLANS FOR FACULTY CHILDREN

The Whittier College Tuition Plan provides tuition benefits for dependent children of full-time faculty who have completed three years of continuous full-time service. Dependent children must be admitted as a regular undergraduate, graduate, or law student at Whittier College to be eligible for this benefit. For graduate work and legal education, the tuition

O. TUITION REMISSION FOR SPOUSES

remission is limited to a total of four and six semesters respectively, and must be completed by the age of 26. (Beginning July 1, 1985, the graduate benefit is a taxable item according to a ruling by the IRS.)

The College will also pay the tuition fees for children of such faculty who taught full-time at Whittier College prior to the 1973-74 academic year, who wish to attend any other similarly accredited college or university of their choice, up to an amount equivalent to the current tuition fees charged by Whittier College for that academic year. The College will pay the Incidental Fee for the University of California and the Materials and Service Fee for the California State Universities and Colleges. However, this does not include the Associated Student Fees, College Union Fees, Health Fees, or Parking Fees. (Beginning July 1, 1985, this benefit is a taxable item according to a ruling by the IRS.)

In all cases scholarship awards to the student will be deducted from the tuition allowance.

The payment of tuition and fees is limited to a total of eight semesters, or its equivalent, of undergraduate work per student. Summer and evening sessions are excluded.

A faculty member desiring tuition remission for the dependent child must file a request each semester on a form provided by the Office of the Dean of Faculty. After approval, the Business Office will take appropriate action.

O TUITION REMISSION FOR SPOUSES

Spouses of full-time Whittier College faculty members and administration are permitted to enroll in Whittier College courses on either a credit or audit basis without tuition charge. Spouses may take either undergraduate or graduate courses. Tuition remission for spouses is subject to the following conditions:

1. Faculty members must have completed one year of full-time employment at Whittier College.
2. Faculty spouses enrolled in certain courses or programs for which special fees are assessed will be responsible for the payment of such charges.
3. If a course has an enrollment limitation, other students will have priority over spouses in filling that limit.
4. In Summer School and Extended Day courses, spouses will not be counted toward the total enrollment upon which faculty compensation is based.

A faculty member desiring tuition remission for the spouse must file a request each semester on a form provided by the Office of the Dean of Faculty. Tuition remission for graduate courses taken by spouses is subject to federal taxation and must be reported by the faculty member starting July 1, 1985, according to a ruling by the IRS. Undergraduate courses are exempt from this ruling.

P PROFESSIONAL ORGANIZATION DUES

Faculty members are encouraged to be members of and to participate in the activities of professional organizations. Toward this end, the College will pay a maximum of \$100.00 per year toward the annual dues of a professional organization(s) to which each full-time faculty member belongs. After paying the dues the faculty member should request reimbursement through the office of the Dean of Faculty.

Q RESEARCH AND DEVELOPMENT GRANTS

Q.1 POLICY

Each year the Faculty Affairs Committee reviews applications for grants, and makes recommendations to the Dean about distributing the grants to continuing full-time faculty members.

Research Grants

The purpose of these funds is to provide financial support to encourage and advance research activities at Whittier College. The supported research should represent a scholarly contribution within the College and enhance the academic growth of the researcher. It is expected that the research will lead to an appropriate publication or presentation of a paper to a professional organization or other parallel dissemination of the scholarly work.

Development Grants

The purpose of these funds is to provide financial support to full-time faculty members in the development of educational strengths and the enhancement of effective teaching at Whittier College. A supported project should focus upon the recipient as a teacher and should have a demonstrable positive impact upon the education program of the College. Other important criteria for selection include activities that would increase teaching flexibility, extend teaching competence into new areas, and assist in the development of new educational programs.

Priority

The research and development grants will be evaluated based on the quality of the project and proposal as well as the necessity of the funds to complete the project.

a. Worthiness of project

The committee will consider the following criteria in assessing the merit of the proposal. For research grants, the committee will consider:

1. Whether the applicant has conducted sufficient preliminary research or preparatory

work to be able to carry out the project.

2. Whether the methodology appears appropriate to the goals.

3. The form in which the applicant intends to disseminate the work. For development grants, the committee will consider such factors as the relative merit of proposed workshops and seminars, and the likely impact of the proposed development opportunity on the faculty member's overall teaching excellence and/or his or her ability to teach courses fulfilling College needs.

b. Appropriate funding request

1. Under most circumstances, faculty will not be granted stipends for time spent on research or for course development.

2. Ordinarily, stipends will not be funded for persons not associated with Whittier College. If this type of stipend is required for the success of a project, the applicant must provide a rationale that clearly shows the necessity to the success of the project.

3. Purchases of equipment (laptop computers, etc.) for personal use generally would not be funded. Any materials would be the property of the college.

c. Necessity of funding

1. Highest priority: the funding (travel, equipment, workshop, etc.) is necessary to complete the final project (i.e. a publication, presentation, or course preparation).

2. Second highest priority: the funding (travel, equipment, workshop, etc.) would be very important for the completion of the project.

3. Third priority: the funding (travel, equipment, workshop) would be helpful, but the project could be completed without it, or in a more economical manner, i.e. a local class versus one far away.

4. Lowest priority: the grant does not seem to be essential for a scholarly project and/or would have only a minimum impact on the faculty member's teaching.

d. Prior funding

If the applicant has received a prior research or development grant, a report must be filed with the Dean of Faculty before any further grant funds are dispersed. If the applicant has received a recent research or development grant (within the previous three years) the applicant should submit a copy of their report with the application. If the grant is active, please submit an interim report describing the progress and dissemination to date.

e. Alternative funding

Applicants with independent research funds from an endowed chair will be expected to use those funds before requesting supplementary funds from the budget for faculty research and development grants. Priority will be given to faculty without access to other Whittier College funds to support their projects.

Those who travel to conferences and workshops are eligible for reimbursement up to the line item caps described in the current Faculty Conference Travel Policy.

Q.2 PROCEDURES

- a. Application forms will be available from FAC. Guidelines will be provided on the application as to the likely maximum funding per grant. This information will be updated annually based on the research and development grant budget.
- b. Applications will be accepted by the FAC in two rounds. The first round of applications should be received no later than the second Friday of the Spring semester. There will be a second call for applications for late breaking projects with immediate need. The second round of applications, which will draw on a small residual pool of the research and development grants budget, should be received no later than the first Friday in October. At least 10% of the budget should be reserved for the second round of applications.
- c. Applicants should provide a detailed itemized list, of anticipated expenses. Applicants may choose to request a brief statement from a member of their department or another qualified colleague commenting on the merit of the proposal. This statement will help the committee assess the quality of the proposal.
- d. The FAC will recommend allocation of the available funds among qualified applicants to the Dean of Faculty.
- e. Notification to qualified applicants will be made by the Dean of Faculty in a timely fashion.
- f. The period of the grant will begin on June 1 and end 20 months later.
- g. During the period of the grant the researcher may obtain the funds allocated for research from the Dean of Faculty by submitting appropriate receipts, or the equivalent.
- h. All funds left unspent by the end of the period of the grant will return to the College.
- i. At the end of the period of the grant, a report shall be submitted to the Dean of Faculty including information concerning funds spent and the results of the supported project. The grant recipient will not be eligible for future grants until a report has been submitted for prior grants. The report should be approximately two pages and describe the accomplishments and dissemination of the project. These reports will be archived electronically and accessible to the Whittier College community.
- j. Neither Whittier College nor the Whittier College Faculty claim any rights to royalties and fees which might result from projects supported by Faculty Research Grants. Any useable equipment and books purchased with research funds will become the property of Whittier for use by the department concerned or, in the case of books, will go into the general library collection.

R FACULTY DEVELOPMENT GRANTS

As of 2010, Development and Research Grants are subsumed under section Q above.

S DISTINGUISHED SERVICE PROFESSOR

The position of Distinguished Service Professor may be offered, at the discretion of the College, to faculty who have served the College with distinction for many years. If the professor accepts, the appointment as Distinguished Service Professor will be on an annual basis, without tenure, subject to renewal by mutual consent. As in all other faculty personnel matters, the normal college process in which the Faculty Personnel Committee and Dean recommend to the President, will be followed.

The Distinguished Service Professor will carry a reduced teaching load, so that time may be freed for other scholarly activities. The teaching load and the stipend for the position will be arranged by the Dean of Faculty in consultation with the instructor and the Department Chairperson. Health insurance benefits will be the same as for other full-time faculty. If the Distinguished Service Professor has reached the age of eligibility for Social Security benefits, payments to TIAA/CREF will cease with the appointment, and the earnings limit will be taken into account in discussion of the stipend. The instructor will continue to be eligible for Supplementary Retirement Annuity participation.

T PERQUISITES FOR EMERITI

Persons selected as Emeriti of Whittier College shall have all the rights and privileges enjoyed by full-time faculty, including the right to audit classes with the permission of the instructor, but excluding those benefits which require the direct expenditure of College funds for their sole benefit (e.g., health insurance, retirement premiums, etc.). They shall be ineligible for College Development, Research, or Travel grants; however, they may submit proposals to external agencies in the name of the College for these and other scholarly purposes. Copies of announcements and notices of pertinent meetings shall be addressed to them in care of the department with which they were associated while full-time faculty. Invitations shall be extended to them to participate in all academic ceremonies.

U CREDIT UNION

The College belongs to the Credit Union of Southern California. A booklet describing the loans and saving arrangements available can be obtained from the Human Resources Office.

1 Appendix 1: 1940 STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM AND TENURE (With 1970 Interpretive Comments)

A 1940 Statement of Principles on Academic Freedom and Tenure

In 1940, following a series of joint conferences begun in 1934, representatives of the American Association of University Professors and of the Association of American Colleges (now the Association of American Colleges and Universities) agreed upon a restatement of principles set forth in the 1925 Conference Statement on Academic Freedom and Tenure. This restatement is known to the profession as the 1940 Statement of Principles on Academic Freedom and Tenure.

The 1940 Statement is printed below, followed by Interpretive Comments as developed by representatives of the American Association of University Professors and the Association of American Colleges in 1969. The governing bodies of the two associations, meeting respectively in November 1989 and January 1990, adopted several changes in language in order to remove gender-specific references from the original text.

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole.¹ The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.**[1]**²

¹The word “teacher” as used in this document is understood to include the investigator who is attached to an academic institution without teaching duties.

²Boldface numbers in brackets refer to Interpretive Comments that follow.

1. APPENDIX 1: 1940 STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM
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Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

B Academic Freedom

1. 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.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.[2] 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.[3]
3. 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 opinions of others, and should make every effort to indicate that they are not speaking for the institution.[4]

C Academic

After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies. In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
2. Beginning with appointment to the rank of full-time instructor or a higher rank,[5] the probationary period should not exceed seven years, including within this period

full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution, it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years.[6] Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.[7]

3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.[8]
4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, either from the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.[9]
5. Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.

D 1940 Interpretations

At the conference of representatives of the American Association of University Professors and of the Association of American Colleges on November 7–8, 1940, the following interpretations of the 1940 Statement of Principles on Academic Freedom and Tenure were agreed upon:

1. That its operation should not be retroactive.
2. That all tenure claims of teachers appointed prior to the endorsement should be determined in accordance with the principles set forth in the 1925 Conference Statement on Academic Freedom and Tenure.

1. APPENDIX 1: 1940 STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM AND TENURE (WITH 1970 INTERPRETIVE COMMENTS)

3. If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph 3 of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher's fitness for his or her position, it may proceed to file charges under paragraph 4 of the section on Academic Tenure. In pressing such charges, the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

E 1970 Interpretive Comments

Following extensive discussions on the 1940 Statement of Principles on Academic Freedom and Tenure with leading educational associations and with individual faculty members and administrators, a joint committee of the AAUP and the Association of American Colleges met during 1969 to reevaluate this key policy statement. On the basis of the comments received, and the discussions that ensued, the joint committee felt the preferable approach was to formulate interpretations of the Statement in terms of the experience gained in implementing and applying the Statement for over thirty years and of adapting it to current needs.

The committee submitted to the two associations for their consideration the following "Interpretive Comments" These interpretations were adopted by the Council of the American Association of University Professors in April 1970 and endorsed by the Fifty-sixth Annual Meeting as Association policy.

In the thirty years since their promulgation, the principles of the 1940 Statement of Principle on Academic Freedom and Tenure have undergone a substantial amount of refinement. This has evolved through a variety of processes, including customary acceptance, understandings mutually arrived at between institutions and professors or their representatives, investigations and reports by the American Association of University Professors, and formulations of statements by that association either alone or in conjunction with the Association of American Colleges. These comments represent the attempt of the two associations, as the original sponsors of the 1940 Statement, to formulate the most important of these refinements. Their incorporation here as Interpretive Comments is based upon the premise that the 1940 Statement is not a static code but a fundamental document designed to set a framework of norms to guide adaptations to changing times and circumstances.

Also, there have been relevant developments in the law itself reflecting a growing insistence by the courts on due process within the academic community which parallels the essential concepts of the 1940 Statement; particularly relevant is the identification by the Supreme Court of academic freedom as a right protected by the First Amendment. As the Supreme Court said in *Keyishian v. Board of Regents*, 385 U.S. 589 (1967), "Our Nation is deeply committed to safeguarding academic freedom, which is of transcendent value to all

of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom.”

The numbers refer to the designated portion of the 1940 Statement on which interpretive comment is made.

1. The Association of American Colleges and the American Association of University Professors have long recognized that membership in the academic profession carries with it special responsibilities. Both associations either separately or jointly have consistently affirmed these responsibilities in major policy statements, providing guidance to professors in their utterances as citizens, in the exercise of their responsibilities to the institution and to students, and in their conduct when resigning from their institution or when undertaking government-sponsored research. Of particular relevance is the Statement on Professional Ethics adopted in 1966 as Association policy. (A revision, adopted in 1987, may be found in AAUP, Policy Documents and Reports, 10th ed. [Washington, D.C. , 2006], 171–72.)
2. The intent of this statement is not to discourage what is “controversial.” Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to their subject.
3. Most church-related institutions no longer need or desire the departure from the principle of academic freedom implied in the 1940 Statement, and we do not now endorse such a departure.
4. This paragraph is the subject of an interpretation adopted by the sponsors of the 1940 Statement immediately following its endorsement which reads as follows:

If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph 3 of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher’s fitness for his or her position, it may proceed to file charges under paragraph 4 of the section on Academic Tenure. In pressing such charges, the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

Paragraph 3 of the section on Academic Freedom in the 1940 Statement should also be interpreted in keeping with the 1964 Committee A Statement on Extramural Utterances , which states inter alia: “The controlling principle is that a faculty member’s

1. APPENDIX 1: 1940 STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM AND TENURE (WITH 1970 INTERPRETIVE COMMENTS)

expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member's unfitness for his or her position. Extramural utterances rarely bear upon the faculty member's fitness for the position. Moreover, a final decision should take into account the faculty member's entire record as a teacher and scholar."

Paragraph 5 of the Statement on Professional Ethics also deals with the nature of the "special obligations" of the teacher. The paragraph reads as follows:

As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Both the protection of academic freedom and the requirements of academic responsibility apply not only to the full-time probationary and the tenured teacher, but also to all others, such as part-time faculty and teaching assistants, who exercise teaching responsibilities.

5. The concept of "rank of full-time instructor or a higher rank" is intended to include any person who teaches a full-time load regardless of the teacher's specific title.³
6. In calling for an agreement "in writing" on the amount of credit given for a faculty member's prior service at other institutions, the Statement furthers the general policy of full understanding by the professor of the terms and conditions of the appointment. It does not necessarily follow that a professor's tenure rights have been violated because of the absence of a written agreement on this matter. Nonetheless, especially because of the variation in permissible institutional practices, a written understanding concerning these matters at the time of appointment is particularly appropriate and advantageous to both the individual and the institution.⁴
7. The effect of this subparagraph is that a decision on tenure, favorable or unfavorable, must be made at least twelve months prior to the completion of the probationary period. If the decision is negative, the appointment for the following year becomes a terminal one. If the decision is affirmative, the provisions in the 1940 Statement with

³For a discussion of this question, see the "Report of the Special Committee on Academic Personnel Ineligible for Tenure," Policy Documents and Reports, 9th ed. (Washington, D.C., 2001), 88–91.

⁴For a more detailed statement on this question, see "On Crediting Prior Service Elsewhere as Part of the Probationary Period," Policy Documents and Reports, 10th ed. (Washington, D.C., 2006), 55–56.

respect to the termination of service of teachers or investigators after the expiration of a probationary period should apply from the date when the favorable decision is made.

The general principle of notice contained in this paragraph is developed with greater specificity in the Standards for Notice of Nonreappointment, endorsed by the Fiftieth Annual Meeting of the American Association of University Professors (1964). These standards are:

Notice of nonreappointment, or of intention not to recommend reappointment to the governing board, should be given in writing in accordance with the following standards:

- a) Not later than March 1 of the first academic year 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 an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
- c) At least twelve months before the expiration of an appointment after two or more years in the institution.

Other obligations, both of institutions and of individuals, are described in the Statement on Recruitment and Resignation of Faculty Members, as endorsed by the Association of American Colleges and the American Association of University Professors in 1961.

8. The freedom of probationary teachers is enhanced by the establishment of a regular procedure for the periodic evaluation and assessment of the teacher's academic performance during probationary status. Provision should be made for regularized procedures for the consideration of complaints by probationary teachers that their academic freedom has been violated. One suggested procedure to serve these purposes is contained in the Recommended Institutional Regulations on Academic Freedom and Tenure, prepared by the American Association of University Professors.
9. A further specification of the academic due process to which the teacher is entitled under this paragraph is contained in the Statement on Procedural Standards in Faculty Dismissal Proceedings, jointly approved by the American Association of University Professors and the Association of American Colleges in 1958. This interpretive document deals with the issue of suspension, about which the 1940 Statement is silent.

The 1958 Statement provides: "Suspension of the faculty member during the proceedings is justified only if immediate harm to the faculty member or others is threatened

1. APPENDIX 1: 1940 STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM
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by the faculty member's continuance. Unless legal considerations forbid, any such suspension should be with pay." A suspension which is not followed by either reinstatement or the opportunity for a hearing is in effect a summary dismissal in violation of academic due process.

The concept of "moral turpitude" identifies the exceptional case in which the professor may be denied a year's teaching or pay in whole or in part. The statement applies to that kind of behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the offering of a year's teaching or pay. The standard is not that the moral sensibilities of persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.

2 APPENDIX 2: STATEMENT ON PROFESSIONAL ETHICS

The statement which follows, a revision of a statement originally adopted in 1966, was approved by Committee B on Professional Ethics, adopted by the Council, and endorsed by the Seventy-third Annual Meeting in June 1987.

A Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statement, providing guidance to the professor in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and in their conduct when resigning from their institution or when undertaking sponsored research.¹ The Statement on Professional Ethics that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to assure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the General Secretary and Committee B, to counsel with any members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action,

¹1961 Statement on Recruitment and Resignation of Faculty Members; 1964 Committee A Statement on Extra-Mural Utterances (Clarification of sec. 1c of the 1940 Statement of Principles on Academic Freedom and Tenure); 1965 On Preventing Conflicts of Interest in Government-Sponsored Research at Universities; 1966 Statement on Government of Colleges and Universities; 1967 Joint Statement on Rights and Freedoms of Students; 1970 Council Statement on Freedom and Responsibility; 1976 On Discrimination; 1984 Sexual Harassment: Suggested Policy and Procedures for Handling Complaints.

2. APPENDIX 2: STATEMENT ON PROFESSIONAL ETHICS

the procedures should be in accordance with the 1940 Statement of Principles on Academic Freedom and Tenure, the 1958 Statement on Procedural Standards in Faculty Dismissal Proceedings, or the applicable provisions of the Association's Recommended Institutional Regulations on Academic Freedom and Tenure.

B The Statement

- I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly standards of their discipline. Professors demonstrate respect for the students as individuals and adhere to their proper role as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
- III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
- IV. As members of their institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

- V. As members of their community, professors have the rights and obligations of other citizens. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom. AAUP Policy Documents and Reports, 1990 Edition

3 APPENDIX 3: BOARD OF TRUSTEES STATEMENT OF POLICY ON TENURE

Adopted 6 May 1974

Tenure is understood as continuous appointment on the full-time teaching faculty of the College at the ranks of Instructor, Assistant Professor, Associate Professor or Professor. Prior to its award and during the probationary period, a faculty member shall have the same academic freedom enjoyed by those on continuous appointment. Promotion in rank of persons serving on the Whittier College faculty does not automatically confer tenure. The granting of tenure does not automatically presuppose subsequent advancement in rank. Administrative positions do not carry tenure status, although a previously tenured faculty member at Whittier College who assumes an administrative position retains tenure as a member of the faculty.

Subject to the guidelines stated below, procedures for the granting or denial of tenure are matters for faculty-administration decision. Tenure is granted by the Board of Trustees upon nomination by the faculty and recommendation of the administration. A final decision on tenure must be reached prior to the end of a faculty member's sixth probationary year. Those denied continuous appointment at the end of the sixth probationary year have a seventh terminal year of service. Faculty members with previous full-time experience shall receive credit for up to, but no more than, three years of such prior experience leading to a final tenure decision.

The services of a faculty member on tenure may be terminated only for adequate cause or attainment of age 65. Adequate cause is understood to include professional incompetence, moral turpitude, or other cause determined by due process. Under extraordinary circumstances, financial exigency of the institution may be a cause for termination and shall be demonstrably bona fide.

In all cases where a faculty member on tenure is rendered subject to termination, he or she has the right of appeal to the appropriate faculty committee, the administration, and ultimately to the Board of Trustees.

In all instances of termination of a faculty member with tenure, notice of at least 12 months shall be given.

3. APPENDIX 3: BOARD OF TRUSTEES STATEMENT OF POLICY ON TENURE

This statement of policy supersedes all previous policies adopted by the Board of Trustees.

4 APPENDIX 4: WHITTIER COLLEGE STATEMENT ON SEXUAL HARASSMENT

Sexual harassment is unacceptable at Whittier College and is in conflict with the mission, goals and policies of the institution. It has been determined to be a violation of civil rights laws by the United States Equal Employment Opportunity Commission and by the courts.

Sexual harassment is an abuse of power, for it is defined as sexual attention imposed on someone not in a position to refuse it. It includes unwelcomed sexual advances or requests explicitly or implicitly affecting educational or employment decisions concerning an individual. Offensive sexual flirtations, verbal abuse of a sexual nature and sexually degrading words used to describe an individual are also included in the definition because they may have the intent or affect of creating a hostile or intimidating educational or work environment and/or may interfere with an individual's performance.

Any member of the Whittier College community who thinks he or she has been the victim of sexual harassment is encouraged to raise the issue initially through the College sanctioned informal avenues described below. If this informal mechanism is not adequate, formal complaint procedures should be followed.

Any informal or formal grievance proceedings will be conducted with as much confidentiality as possible. The College will act to protect the rights of the offended person as well as those of the accused.

A Informal Complaint Procedures

A.1 Students

Any student who has a complaint about sexual harassment ordinarily should see the Dean of Students. (If there is reason to see another individual, the Dean of Faculty is an appropriate alternative.) The Dean will counsel with the student, maintaining strict confidentiality and providing advice on handling the situation. The Dean also will inform the student of the formal complaint procedures and work with the student if there is a desire to lodge a formal

4. APPENDIX 4: WHITTIER COLLEGE STATEMENT ON SEXUAL HARASSMENT

complaint. He or she will inform the student of the institution's responsibility to the alleged offender also.

A.2 Faculty

Any faculty member who has a complaint about sexual harassment should talk with the Dean of Faculty or with the Dean of Students. The Dean will handle the situation informally unless the faculty member wishes to make a formal complaint. If this is the case, the Dean will then describe the formal complaint procedure, including information about the institution's responsibilities to the alleged offender. The Dean will work with the faculty member to assist that person in following proper procedures.

A.3 Support Staff

Any staff member who has a sexual harassment complaint should talk with the Vice President for Finance and Administration or the Dean of Students. The complaint will be handled informally unless there is a desire to lodge a formal charge. In this situation the Vice President or Dean will explain the complaint procedure, including information about the institution's responsibility to the alleged offender. The Vice President or Dean will assist the staff person in following proper procedures.

B Formal Complaint Procedures for Students, Faculty, Administrators and Support Staff

The formal complaint process begins when the offended puts his or her complaint in writing to the Dean or Vice President who has responsibility for the area of employment of the accused. That Dean or Vice President must insure that the complaint is investigated through the described hearing process. No anonymous complaints will be considered legitimate.

The Board that hears complaints of sexual harassment when the accused is a faculty member, administrator or staff member is appointed by the President of the College and will include three individuals at least one of whom will be a woman. This group will hear the case, following due process and maintaining strict confidentiality. If the offended party is a student, he or she may request the Dean of College Life or another administrator or faculty member to accompany her or him to the hearing. Following testimony, the hearing board will make a recommendation to the Vice President or Dean, depending on the area of employment of the accused. Appeals to any decision of a Vice President or Dean would go to the President of the College.

5 Appendix 5: RULES OF CONDUCT FOR USING COMPUTING RESOURCES AT WHITTIER COLLEGE

1. Allowed and Disallowed Activities

Whittier College provides a variety of computing resources for instructional, administrative and research activities. Individuals are granted access to college computing resources as part of their course of study or employment. Computer accounts and access codes, microcomputers and software are to be used only for the purpose for which they were intended. Except by prior arrangement, computing resources may not be used for commercial purpose or monetary gain.

2. Assumption of Responsibility

When an individual is granted access to a college computing resource, that individual assumes the responsibility of safeguarding the confidentiality and integrity of that resource. An individual can be held liable if, through negligence or deliberate action, any computing resource is compromised in any way. Included in this is the responsibility to not reveal account number or access codes to anyone else unless fully prepared to take responsibility for their actions. Passwords should be changed on a regular basis and those that can be easily guessed should be avoided.

3. Restrictions on Removing or Copying Computer Resources

You must have the express permission of the owner or custodian to physically remove or copy any computing resources under the control of or on the premises of Whittier College. This includes the removal of equipment, documentation and/or software from its designated place without permission.

Also, the copying of software or documents is absolutely prohibited unless you are licensed to do so, have written permission of the owner of the copyright or author of the material to do so, or the software or document is in the public domain. Individuals copying shareware programs assume the responsibility of abiding by the author's registration requirements.

5. APPENDIX 5: RULES OF CONDUCT FOR USING COMPUTING RESOURCES AT WHITTIER COLLEGE

4. Integrity of Resources

The tampering with computing resources, physical facilities, equipment, software, files, documentation, or information associated with those resources is prohibited. This includes the unauthorized searching for account numbers, access codes, programs, files, data or documents.

5. Penalties for Abuse

Abuse of computing resources will result in disciplinary action and violators will be subject to the judicial procedures of the college. Penalties range from reprimand to dismissal and may include fines and restitution. This policy in no way precludes prosecution under the laws of the State of California and/or the United States of America.

6. Additional Information

Address any questions regarding the ethical and legal use of Whittier College computing resources to your instructor or supervisor, or contact the Director of Computing Services (310/907-4200, ext. 4287).

6 Appendix 6: DRUG-FREE WORKPLACE ACT

It is the policy of Whittier College to maintain a drug free workplace. As part of the omnibus drug legislation enacted November 18, 1988, Congress passed the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D). The new law requires that we notify our employees that it is unlawful to manufacture, distribute, dispense, possess, or use any controlled substance (drugs) in the workplace.

Controlled substances are those defined in schedules I through V of section 202 of the Controlled Substances Act (21 U.S.C. 812), and as further defined in regulation 21 CFR 1308.11 - 13085.15. Controlled substances include, but are not limited to, such substances as marijuana, heroin, cocaine, LSD, and amphetamines.

As a condition of employment, all employees of Whittier College (including those working on covered grants and contracts) will be required to:

1. Abide by the terms of the statement; and
2. Notify Whittier College of any criminal drug statute conviction for a violation occurring in the workplace, no later than five days after such conviction.

Any violation of this law by an employee may be cause for disciplinary action up to and including discharge from employment or the employee may be required to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

7 Appendix 7: ACADEMIC HONESTY

When we engage in scholarship, we seek answers to questions we care about; we learn from others' work, and we add our contributions to a growing body of knowledge. However, we cannot honestly value that knowledge unless we also value truth. Acts of academic dishonesty are lies. They degrade our shared search for understanding as a community of scholars, and they undermine the integrity of that community by injecting falsehood into our dialogue. As a historically Quaker college, Whittier honors the Friends' testimonies of truth, community, and equality, where equality reflects our conviction that we are all worthy of equal respect. Thus, when members of our community commit acts of academic dishonesty, they are not committing victimless crimes. By violating - even in secret - the respect which they owe their colleagues, they tear the fabric of our community. Further, by shrinking from the self-defining work of scholarship, they hurt themselves.

A General Policy on Academic Honesty

Because the preservation of academic honesty is as fundamental to our shared enterprise as the transmission of knowledge, the faculty and administration of the College regard educating students in academic integrity to be as important as inspiring them to rise to the challenge of learning. Students are expected to produce independent work and to cite sources of information and concepts. When these principles are breached and a student misrepresents his or her level of knowledge, the basic framework of scholarship is broken. In these instances, students will be held accountable and will face sanctions that range from a warning to expulsion from the College. Ignorance of what constitutes plagiarism or cheating is not a valid defense. If students are uncertain of policies, they should consult the instructor for clarification. Adherence to the policies delineated below reflects the commitment of our community to a single standard of truth, a standard binding on students, faculty, and administrators alike.

B Definitions

These definitions do not represent a complete list of possible infractions; rather, they are intended to generally reveal the range of conduct which violates academic honesty.

1. plagiarism - Submitted work should be one's own work and it should properly acknowledge ideas and words from others: ideas from another source should be cited in both the body and the works cited section of the paper, and exact words from another source should be placed within quotes. Plagiarism is submitting work done by others as your own work, and it is the failure to properly and appropriately reference and acknowledge the ideas and words of others. This can include submitting an entire paper downloaded from a website or another source, copying and pasting parts of different papers to form your own paper, failure to put quotes around exact wording used from another source, and failure to appropriately reference ideas from another person. Citation guidelines can be found in any writing handbook. While incorrect citation format may not necessarily be defined as plagiarism, individual instructors may penalize students for using an incorrect citation format. Please be aware that different disciplines use different forms for citing work. While each department should make these citation styles available, one is ultimately responsible for finding out this information. Students will be instructed on when and how to appropriately cite other people's work in their own papers in the College Writing Seminar and in the Writing Intensive Courses. Departments are also strongly encouraged to instruct students on appropriate citation in their introductory courses;
2. cheating - Honesty involves presenting one's own level of knowledge as accurately as possible. Misrepresentation of one's knowledge is considered cheating; examples include copying or sharing exam answers, presenting work done by others as one's own, changing in any way work which may be reviewed in response to a grade consideration request, having a falsely identified person take an exam, or using notes, books and the like in closed-book examinations;
3. misrepresentation of experience, ability, or effort - One is expected to accurately and fairly present one's experience, ability, or effort for any purpose. Providing false information concerning academic achievement or background in an area of study is academically dishonest. Examples include falsely reporting the substance of an internship, falsely representing the content of prior coursework, or falsely representing effort on a group project;
4. unauthorized collaboration - In many course activities, other than examinations, collaboration is permitted and encouraged. Course syllabi and in-class instructions will usually identify situations where collaboration is permitted, but the student shares responsibility for ascertaining whether collaboration is permitted. Collaboration on

homework, take-home exams, or other assignments which the instructor has designated as “independent work” will be considered academically dishonest;

5. submission of same work in two courses without explicit permission to do so- Presenting all or part of work done for one course in another course requires permission of the instructors of the involved courses. Connected or paired courses may require submission of the same work in the two associated courses; this will be explicitly stated for this type of assignment. Failure to gain permission from the instructors in submitting the same work will be considered academically dishonest;
6. falsification of records - Records document a person’s past accomplishments and give one measure of assessing those accomplishments. Any attempt to change grades or written records pertaining to assessment of a student’s academic achievement will be considered academically dishonest;
7. sabotage - Valuing community means that one should respect another person’s work and efforts. Destruction of or deliberate inhibition of progress of another person’s work related to a course is considered academically dishonest. This includes the destruction or hiding of shared resources such as library materials and computer software and hardware to tampering with another person’s laboratory experiments;
8. complicity concerning any of the above - Valuing community also means that one is honest with respect to another person’s work as well as with one’s own work. Any act which facilitates or encourages academic dishonesty by another person is itself an act of academic dishonesty.

C Sanctions

Various sanctions exist which may be applied in response to an act of academic dishonesty. The severity of sanctions will correlate to the severity of the offense. Judgment of the severity of an academic dishonesty offense is the responsibility of the faculty member. The faculty member is encouraged to seek counsel of faculty colleagues, the Associate Dean for Academic Affairs and/or the Dean of Students in gaining perspective concerning the severity of the offense.

All grade related sanctions shall be levied by the faculty member teaching the course within which the offense occurred. The Associate Dean of the Faculty and the Dean of Students are available to provide guidance concerning appropriate sanctions. In addition, the following are some recommended sanctions for various degrees of academically dishonest acts.

Violations: Examples may include plagiarizing anywhere from one sentence to one paragraph in a paper, submission of the same work in two classes without the instructor’s permission, and unauthorized collaboration on a minor assignment.

Recommended range of sanctions: Reduction in letter grade for the assignment up to a failing grade on the assignment. Repeated violations in the same course may result in a failing grade for the course.

Flagrant Violations: Examples may include plagiarizing an entire paper or most of a paper, cheating on a quiz or exam, and unauthorized collaboration on a major assignment.

Recommended range of sanctions: Failing grade on the assignment up to a failing grade in the course.

Faculty members who wish to apply sanctions other than the recommended range of sanctions listed above, must explicitly state this in their syllabus for a course.

D The Process

Faculty members must provide the student with a written account of the offense and the sanction. Faculty members must also report cases of academic dishonesty to the Office of the Dean of Students, including a brief written account of the offense and the sanction levied through an on-line form, and a copy of the plagiarized paper. The Dean of Students must take a student to the Hearing Board if the student has a minimum of two flagrant violations or three total violations. The Dean of Students has the discretion to take students to the Hearing Board for fewer violations if there are other outstanding circumstances. Also, the Dean of Students must communicate with involved faculty members if a student is scheduled to appear before the Hearing Board. The Hearing Board considers whether any further action should be taken which may include suspension or expulsion from the college. The Hearing Board does not reconsider the grade sanction given by the faculty member earlier in the process, but rather considers whether additional sanctions are merited. The Board will consider the entire student record of misconduct when making its decision and it will not limit itself just to acts of academic dishonesty.

8 Appendix 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

The Recommended Institutional Regulations on Academic Freedom and Tenure set forth, in language suitable for use by an institution of higher education, rules that derive from the chief provisions and interpretations of the 1940 Statement of Principles on Academic Freedom and Tenure and of the 1958 Statement on Procedural Standards in Faculty Dismissal Proceedings. The Recommended Institutional Regulations were first formulated by Committee A on Academic Freedom and Tenure in 1957. A revised and expanded text, approved by Committee A in 1968, reflected the development of Association standards and procedures. Texts with further revisions were approved by Committee A in 1972, in 1976, in 1982, in 1990, in 1999, in 2005, in 2006, in 2009, and in 2013.

The current text, adopted by the Council as AAUP policy, is based upon the Association's continuing experience in evaluating regulations actually in force at particular institutions. It is also based upon further definition of the standards and procedures of the Association over the years. The Association will be glad to assist in interpretation of the regulations or to consult about their incorporation in, or adaptation to, the rules of a particular college or university.

Foreword

These regulations are designed to enable Whittier College to protect academic freedom and tenure and to ensure academic due process. The principles implicit in these regulations are for the benefit of all who are involved with or are affected by the policies and programs of the institution. A college or university is a marketplace of ideas, and it cannot fulfill its purposes of transmitting, evaluating, and extending knowledge if it requires conformity with any orthodoxy of content and method. In the words of the United States Supreme Court, "Teachers and students must always remain free to inquire, to study and to evaluate, to gain new maturity and understanding; otherwise our civilization will stagnate and die."

The contents of Appendix 8 were accessed from AAUP website August, 2010. Former versions of the handbook referred to the 1982 RIR. See the preface for more information.

8. APPENDIX 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

1 Statement of Terms of Appointment

- a. The terms and conditions of every appointment to the faculty will be stated or confirmed in writing, and a copy of the appointment document will be supplied to the faculty member. Any subsequent extensions or modifications of an appointment, and any special understandings, or any notices incumbent upon either party to provide, will be stated or confirmed in writing and a copy will be given to the faculty member
- b. With the exception of special appointments clearly limited to a brief association with the institution, and reappointments of retired faculty members on special conditions, all full-time faculty appointments are of two kinds: (1) probationary appointments; (2) appointments with continuous tenure.
- c. Except for faculty members who have tenure status, every person with a teaching or research appointment of any kind will be informed each year in writing of the renewal of the appointment and of all matters relative to eligibility for the acquisition of tenure.

2 Probationary Appointments

- a. Probationary appointments may be for one year, or for other stated periods, subject to renewal. The total period of full-time service prior to the acquisition of continuous tenure will not exceed seven years,¹ including all previous full-time service with the rank of instructor or higher in other institutions of higher learning, except that the probationary period may extend to as much as four years, even if the total full-time service in the profession thereby exceeds seven years; the terms of such extension will be stated in writing at the time of initial appointment.² Scholarly leave of absence for one year or less will count as part of the probationary period as if it were prior service at another institution, unless the individual and the institution agree in writing to an exception to this provision at the time the leave is granted.
- b. The faculty member will be advised, at the time of initial appointment, of the substantive standards and procedures generally employed in decisions affecting renewal and tenure. Any special standards adopted by the faculty member's department or

¹Under the 1940 "Statement of Principles on Academic Freedom and Tenure," this period may not exceed seven years. However, the Association's 2001 "Statement of Principles on Family Responsibilities and Academic Work" (AAUP, Policy Documents and Reports, 10th ed. [Washington, D.C., 2006], 219–26) provides that "a faculty member be entitled to stop the clock or extend the probationary period, with or without taking a full or partial leave of absence, if the faculty member (whether male or female) is a primary coequal caregiver of newborn or newly adopted children," that "institutions allow the tenure clock to be stopped for up to one year for each child, and . . . that faculty be allowed to stop the clock only twice, resulting in no more than two one-year extensions of the probationary period."

²The exception here noted applies only to an institution where the maximum probationary period exceeds four years.

school will also be transmitted. The faculty member will be advised of the time when decisions affecting renewal or tenure are ordinarily made, and will be given the opportunity to submit material believed to be helpful to an adequate consideration of the faculty member's circumstances.

- c. Regardless of the stated term or other provisions of any appointments, written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment, as follows: (1) not later than March 1 of the first academic year 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; (2) not later than December 15 of the second academic year of service if the appointment expires at the end of that year; or, if an initial two year appointment terminates during an academic year, at least six months in advance of its termination; (3) at least twelve months before the expiration of an appointment after two or more years of service at the institution.
- d. The institution will normally notify faculty members whose appointments are being renewed of the terms and conditions of their renewals by March 15, but in no case will such information be given later than April 15.³
- e. When a decision not to renew an appointment has been reached, the faculty member involved will be informed of that decision in writing by the body or individual making the decision; the faculty member will be advised upon request of the reasons which contributed to that decision. The faculty member may request a reconsideration by the body or individual making the decision.
- f. If the faculty member so requests, the reasons given in explanation of the nonrenewal will be confirmed in writing.
- g. Insofar as the faculty member alleges that the decision against renewal was based on inadequate consideration, the Faculty Executive Council⁴ that reviews the faculty member's allegation will determine whether the decision was the result of adequate consideration in terms of the relevant standards of the institution. The review committee will not substitute its judgment on the merits for that of the body or individual that made the decision. If the review committee believes that adequate consideration was not given to the faculty member's qualifications, it will recommend reconsideration by the body or individual that made the decision, indicating the respects in which it believes the consideration may have been inadequate. It will provide copies of its

³April 15 is the recommended date.

⁴This committee, which can be the grievance committee noted in Regulation 16, is to be an elected faculty body. Similarly, the members of the committees noted in Regulations 4c(2), 4d(3), 10,13, and 14 are to be elected. A committee of faculty members appointed by an appropriate elected faculty body can substitute for a committee that is elected directly.

8. APPENDIX 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

findings to the faculty member, the body or individual that made the decision, and the president or other appropriate administrative officer.

3 Termination of Appointment by Faculty Members

Faculty members may terminate their appointments effective at the end of an academic year, provided that they give notice in writing at the earliest possible opportunity, but not later than May 15, or thirty days after receiving notification of the terms of appointment for the coming year, whichever date occurs later. Faculty members may properly request a waiver of this requirement of notice in case of hardship or in a situation where they would otherwise be denied substantial professional advancement or other opportunity.

4 Termination of Appointments by the Institution

- a. Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may be effected by the institution only for adequate cause.
- b. If termination takes the form of a dismissal for cause, it will be pursuant to the procedures specified in Regulation 5.

4.1 Financial Exigency

- c. (1) Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency, i.e., a severe financial crisis that fundamentally compromises the academic integrity of the institution as a whole and that cannot be alleviated by less drastic means.

[Note: Each institution in adopting regulations on financial exigency will need to decide how to share and allocate the hard judgments and decisions that are necessary in such a crisis.

As a first step, there should be an elected faculty governance body, or a body designated by a collective bargaining agreement, that participates in the decision that a condition of financial exigency exists or is imminent, and that all feasible alternatives to termination of appointments have been pursued, including expenditure of one-time money or reserves as bridge funding, furloughs, pay cuts, deferred-compensation plans,

early-retirement packages, deferral of nonessential capital expenditures, and cuts to noneducational programs and services, including expenses for administration.⁵

Judgments determining where within the overall academic program termination of appointments may occur involve considerations of educational policy, including affirmative action, as well as of faculty status, and should therefore be the primary responsibility of the faculty or of an appropriate faculty body.⁶ The faculty or an appropriate faculty body should also exercise primary responsibility in determining the criteria for identifying the individuals whose appointments are to be terminated. These criteria may appropriately include considerations of length of service.

The responsibility for identifying individuals whose appointments are to be terminated should be committed to a person or group designated or approved by the faculty. The allocation of this responsibility may vary according to the size and character of the institution, the extent of the terminations to be made, or other considerations of fairness in judgment. The case of a faculty member given notice of proposed termination of appointment will be governed by the following provisions.

(2) Before any proposals for program discontinuance on grounds of financial exigency are made, the faculty or an appropriate faculty body will have opportunity to render an assessment in writing of the institution's financial condition.

⁵See "The Role of the Faculty in Budgetary and Salary Matters," Policy Documents and Reports, 149–52, especially the following passages:

The faculty should participate both in the preparation of the total institutional budget and (within the framework of the total budget) in decisions relevant to the further apportioning of its specific fiscal divisions (salaries, academic programs, tuition, physical plant and grounds, and so on). The soundness of resulting decisions should be enhanced if an elected representative committee of the faculty participates in deciding on the overall allocation of institutional resources and the proportion to be devoted directly to the academic program. This committee should be given access to all information that it requires to perform its task effectively, and it should have the opportunity to confer periodically with representatives of the administration and governing board. . . .

Circumstances of financial exigency obviously pose special problems. At institutions experiencing major threats to their continued financial support, the faculty should be informed as early and specifically as possible of significant impending financial difficulties. The faculty—with substantial representation from its nontenured as well as its tenured members, since it is the former who are likely to bear the brunt of the reduction—should participate at the department, college or professional school, and institution-wide levels in key decisions as to the future of the institution and of specific academic programs within the institution. The faculty, employing accepted standards of due process, should assume primary responsibility for determining the status of individual faculty members..

⁶See "Statement on Government of Colleges and Universities," Policy Documents and Reports, 135–40, especially the following passage:

Faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general educational policy.

8. APPENDIX 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

[Note: Academic programs cannot be defined ad hoc, at any size; programs should be recognized academic units that existed prior to the declaration of financial exigency. The term “program” should designate a related cluster of credit-bearing courses that constitute a coherent body of study within a discipline or set of related disciplines. When feasible, the term should designate a department or similar administrative unit that offers majors and minors.]

- i) The faculty or an appropriate faculty body will have access to at least five years of audited financial statements, current and follow-year budgets, and detailed cash-flow estimates for future years.
- ii) In order to make informed recommendations about the financial impact of program closures, the faculty or an appropriate faculty body will have access to detailed program, department, and administrative-unit budgets.
- iii) Faculty members in a program being considered for discontinuance because of financial exigency will promptly be informed of this activity in writing and provided at least thirty days in which to respond to it. Tenured, tenure-track, and contingency faculty members will be informed and invited to respond.

(3) If the institution, because of financial exigency, terminates appointments, it will not at the same time make new appointments except in extraordinary circumstances where a serious distortion in the academic program would otherwise result. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

(4) Before terminating an appointment because of financial exigency, the institution, with faculty participation, will make every effort to place the faculty member concerned in another suitable position within the institution.

(5) In all cases of termination of appointment because of financial exigency, the faculty member concerned will be given notice or severance salary not less than as prescribed in Regulation 8.

(6) In all cases of termination of appointment because of financial exigency, the place of the faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

4.2 Discontinuance of Program or Department Not Mandated by Financial Exigency⁷

- d. Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur as a result of bona

⁷When discontinuance of a program or department is mandated by financial exigency of the institution, the standards of Regulation 4c above will apply.

vide formal discontinuance of a program or department of instruction. The following standards and procedures will apply.

(1) The decision to discontinue formally a program or department of instruction will be based essentially upon educational considerations, as determined primarily by the faculty as a whole or an appropriate committee thereof. [Note: “Educational considerations” do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the institution as a whole will be enhanced by the discontinuance.]

(2) Faculty members in a program being considered for discontinuance for educational considerations will promptly be informed of this activity in writing and provided at least thirty days in which to respond to it. Tenured, tenure-track, and contingent faculty members will be invited to participate in those deliberations.

[Note: Academic programs cannot be defined ad hoc, at any size; programs must be recognized academic unites that existed prior to the decision to discontinue them. The term “program” should designate a related cluster of credit-bearing courses that constitute a coherent body of study within a discipline or set of related disciplines. When feasible, the term should designate a department or similar administrative unit that offers majors and minors.

(3) Before the administration issues notice to a faculty member of its intention to terminate an appointment because of formal discontinuance of a program or department of instruction, the institution will make every effort to place the faculty member concerned in another suitable position. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered. If no position is available within the institution, with or without retraining, the faculty member’s appointment then may be terminated, but only with provision for severance salary equitably adjusted to the faculty member’s length of past and potential service. [Note: When an institution proposes to discontinue a program or department of instruction, it should plan to bear the costs of relocating, training, or otherwise compensating faculty members adversely affected.]

(4) A faculty member who contests a proposed relocation or termination resulting from a discontinuance and has a right to a full hearing before a faculty committee. The hearing need not conform in all respects with a proceeding conducted pursuant to Regulation 5, but the essentials of an on-the-record adjudicative hearing will be observed. The issues in such a hearing may include the institution’s failure to satisfy any of the conditions specified in Regulation 4d. In the hearing a faculty determination that a program or department is to be discontinued will be considered presumptively valid, but the burden of proof on other issues will rest on the administration.

8. APPENDIX 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

4.3 Review

- e. In cases of termination of appointment, the governing board will be available for ultimate review.

5 Dismissal Procedures

- a. Adequate cause for a dismissal will be related, directly and substantially, to the fitness of faculty members in their professional capacities as teachers or researchers. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.
- b. 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) discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement; (2) informal inquiry by a duly elected faculty committee (FPC) which may, if it fails to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding upon the president; (3) a statement of charges, framed with reasonable particularity by the president or the president's delegate.
- c. A dismissal, as defined in Regulation 5a, will be preceded by a statement of charges, and the individual concerned will have the right to be heard initially by the Faculty Personnel Committee.⁸ Members deeming themselves disqualified for bias or interest will remove themselves from the case, either at the request of a party or on their own initiative. Each party will have a maximum of two challenges without stated cause.⁹
 - (1) Pending a final decision by the hearing committee, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to the faculty member or others is threatened by continuance. Before suspending a faculty member, pending an ultimate determination of the faculty member's status through the institution's hearing procedures, the administration will consult with the Faculty Personnel Committee concerning the propriety, the length, and the other conditions of the suspension. A suspension that is intended to be final is a dismissal, and will be treated as such. Salary will continue during the period of the suspension.
 - (2) The hearing committee may, with the consent of the parties concerned, hold joint prehearing meetings with the parties in order to (i) simplify the issues, (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate prehearing objectives as will make the hearing

⁸This committee should not be the same as the committee referred to in Regulation 5b(2)

⁹Regulations of the institution should provide for alternates, or for some other method of filling vacancies on the hearing committee resulting from disqualification, challenge without stated cause, illness, resignation, or other reason.

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 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 academic advisor and counsel of the faculty member's choice.

(6) At the request of either party or the hearing committee, a representative of a responsible educational association will 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 will be satisfied only by clear and convincing evidence in the record considered as a whole.

(9) The 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 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 witnesses, disclose their statements, and, if possible, provide for interrogatories. (12) In the hearing of charges of incompetence, the testimony will include that of qualified faculty members from this or other institutions of higher education.

(13) The 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 governing board of the institution. The president and the faculty member will be notified of the

8. APPENDIX 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

decision in writing and will be given a copy of the record of the hearing.

(16) If the 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, the president will state the reasons for doing so, in writing, to the hearing committee and to the faculty member, and provide an opportunity for response before transmitting the case to the governing board. If the hearing 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.

6 Action by the Governing Board

If dismissal or other severe sanction is recommended, the president will, on request of the faculty member, transmit to the governing board the record of the case. The governing 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 hearings or by their representatives. The decision of the hearing committee will either be sustained or the proceeding returned to the committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The governing board will make a final decision only after study of the committee's reconsideration.

7 Procedures for Imposition of Sanctions Other Than Dismissal

- a. If the administration believes that the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe sanction, such as suspension from service for a stated period, the administration may institute a proceeding to impose such a severe sanction; the procedures outlined in Regulation 5 will govern such a proceeding.
- b. If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it will notify the faculty member of the basis of the proposed sanction and provide the faculty member with an opportunity to persuade the administration that the proposed sanction should not be imposed. A faculty member who believes that a major sanction has been incorrectly imposed under this paragraph, or that a minor sanction has been unjustly imposed, may, pursuant to Regulation 16, petition the faculty grievance committee for such action as may be appropriate.

8 Terminal Salary or Notice

If the appointment is terminated, the faculty member will receive salary or notice in accordance with the following schedule: at least three months, if the final decision is reached by March 1 (or three months prior to the expiration) of the first year of probationary service; at least six months, if the decision is reached by December 15 of the second year (or after nine months but prior to eighteen months) of probationary service; at least one year, if the decision is reached after eighteen months of probationary service or if the faculty member has tenure. This provision for terminal notice or salary need not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. On the recommendation of the faculty hearing committee or the president, the governing board, in determining what, if any, payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

9 Academic Freedom and Protection Against Discrimination

- a. All members of the faculty, whether tenured or not, are entitled to academic freedom as set forth in the 1940 Statement of Principles on Academic Freedom and Tenure, formulated by the Association of American Colleges and Universities and the American Association of University Professors.
- b. All members of the faculty, whether tenured or not, are entitled to protection against illegal or unconstitutional discrimination by the institution, or discrimination on a basis not demonstrably related to the faculty member's professional performance, including but not limited to race, sex, religion, national origin, age, disability, marital status, or sexual orientation.

10 Complaints of Violation of Academic Freedom or of Discrimination In Nonreappointment

If a faculty member on probationary or other nontenured appointment alleges that a decision against reappointment was based significantly on considerations that violate (a) academic freedom or (b) governing policies on making appointments without prejudice with respect to race, sex, religion, national origin, age, disability, marital status, or sexual orientation, the allegation will be given preliminary consideration by the Faculty Personnel Committee, which will seek to settle the matter by informal methods. The allegation will be accompanied by a statement that the faculty member agrees to the presentation, for the consideration of the faculty committee, of such reasons and evidence as the institution may allege in support of its decision. If the difficulty is unresolved at this stage, and if the committee so recommends, the matter will be heard in the manner set forth in Regulations 5 and 6, except that the faculty member making the complaint is responsible for stating the grounds

8. APPENDIX 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

upon which the allegations are based, and the burden of proof will rest upon the faculty member. If the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision against reappointment to come forward with evidence in support of their decision. Statistical evidence of improper discrimination may be used in establishing a prima facie case.

11 Administrative Personnel

The foregoing regulations apply to administrative personnel who hold academic rank, but only in their capacity as faculty members. Administrators who allege that a consideration that violates academic freedom, or governing policies against improper discrimination as stated in Regulation 10, significantly contributed to a decision to terminate their appointment to an administrative post, or not to reappoint them, are entitled to the procedures set forth in Regulation 10.

12 Political Activities of Faculty Members

Faculty members, as citizens, are free to engage in political activities. Where necessary, leaves of absence may be given for the duration of an election campaign or a term of office, on timely application, and for a reasonable period of time. The terms of such leave of absence will be set forth in writing, and the leave will not affect unfavorably the tenure status of a faculty member, except that time spent on such leave will not count as probationary service unless otherwise agreed to.¹⁰

13 Part-Time Faculty Appointments¹¹

- a. The terms and conditions of every appointment to a part-time nontenured faculty position will be stated in writing, including the length of service. A copy of the appointment document will be provided to the part-time faculty member.
- b. In a case of dismissal before the end of the period of appointment, the administration will set forth cause for the action and the faculty member will have the right to a hearing before a faculty committee.¹²

¹⁰See "Statement on Professors and Political Activity," Policy Documents and Reports, 33–34.

¹¹This regulation does not apply to faculty members with reduced loads who are tenured or probationary for tenure and who have the protections of due process that are provided in Regulations 2, 4, 5, 6, 7, and 8. It does apply to all other faculty members whose appointments are less than fulltime, whatever their rank or title and whether they are paid on a pro-rata, a per-course, or any other basis.

¹²As stated in Regulation 5a, "Adequate cause for a dismissal will be related, directly and substantially, to the fitness of faculty members in their professional capacities as teachers or researchers. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens."

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- c. In a case of nonreappointment, if a part-time faculty member establishes a prima facie case, to the satisfaction of a duly constituted faculty committee, that considerations that violate academic freedom or governing policies against improper discrimination significantly contributed to his or her nonretention, it is incumbent on those who made the decision to come forward with evidence in support of that decision.
 - d. After having been reappointed beyond an initial term, a part-time faculty member who is subsequently notified of nonreappointment will be advised upon request of the reasons that contributed to the decision. Upon the faculty member's further request, the reasons will be confirmed in writing. The faculty member will be afforded opportunity for review of the decision by a faculty committee.
 - e. For part-time faculty members who have served for three or more terms within a span of three years, the following additional protections of due process apply:
 - (1) Written notice of reappointment or nonreappointment will be issued no later than one month before the end of the existing appointment. If the notice of reappointment is to be conditioned, for example, on sufficiency of student enrollment or on financial considerations, the specific conditions will be stated with the issuance of the notice.
 - (2) If the faculty member notified of nonreappointment alleges that the decision was based significantly on considerations that violate academic freedom or governing policies against improper discrimination, the allegation will be subject to review in the manner set forth in Regulation 10.
 - (3) When the part-time faculty member is denied reappointment to an available assignment (one with substantially identical responsibilities assigned to another part-time faculty member with less service), if the nonreappointed faculty member alleges that the decision was based on inadequate consideration, the allegation will be subject to review by a faculty body. If this body, while not providing judgment on the merits of the decision, finds that the consideration has been inadequate in any substantial respects, it will remand the matter for further consideration accordingly.¹³

¹³See "Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments" (Policy Documents and Reports, 16–21), especially the following passages:

It is easier to state what the standard "adequate consideration" does not mean than to specify in detail what it does. It does not mean that the review committee should substitute its own judgment for that of members of the department on the merits of whether the candidate should be reappointed or given tenure. The conscientious judgment of the candidate's departmental colleagues must prevail if the invaluable tradition of departmental autonomy in professional judgments is to prevail. The term "adequate consideration" refers essentially to procedural rather than to substantive issues: Was the decision conscientiously arrived at? Was all available evidence bearing on the relevant performance of the candidate sought out and considered? Was there adequate deliberation by the department over the import of the evidence in the light of the relevant standards? Were irrelevant and improper standards excluded from consideration? Was the decision a bona fide exercise of professional academic judgment? These are the kinds of questions suggested by the standard "adequate consideration."

If, in applying this standard, the review committee concludes that adequate consideration was not given, its appropriate response should be to recommend to the department that it assess the

8. APPENDIX 8: RECOMMENDED INSTITUTIONAL REGULATIONS ON ACADEMIC FREEDOM AND TENURE

- f. Prior to consideration of reappointment beyond a seventh year, part-time faculty members who have taught at least twelve courses or six terms within those seven years shall be provided a comprehensive review with a view toward (1) appointment with part-time tenure where such exists, (2) appointment with part-time continuing service, or (3) nonreappointment. Those appointed with tenure shall be afforded the same procedural safeguards as full-time tenured faculty. Those offered additional appointment without tenure shall have continuing appointments and shall not be replaced by part-time appointees with less service who are assigned substantially identical responsibilities without having been afforded the procedural safeguards associated with dismissal as set forth above in section b.

14 Graduate Student Employees

- a. The length, terms, and conditions of every university appointment of a graduate student employee will be stated in writing at the time of the initial appointment. A copy of the appointment document will be supplied to the appointee.¹⁴
- b. The graduate student employee on recurring appointments will be advised at the time of initial appointment of the substantive standards, expectations, and procedures generally employed at the institution in decisions affecting renewal, and of any special standards adopted by the graduate student employee's department or school. The graduate student employee will be advised of the time when decisions affecting renewals are made and will be given the opportunity to submit material believed to be helpful to an adequate consideration of his or her circumstances.
- c. In a case of dismissal before the end of the period of an academic or professional appointment the graduate student employee will be provided with a statement of reasons for the action, and will have the right to a pretermination hearing before a duly constituted committee. The hearing need not conform in all respects with a proceeding conducted pursuant to Regulation 5, but the essentials of an on-the-record adjudicative hearing will be observed. In such a hearing, the administration will have the burden of showing adequate cause for dismissal.¹⁵ Adequate cause for a dismissal will be related, directly and substantially, to the fitness of graduate student employee in his or her professional

merits once again, this time remedying the inadequacies of its prior consideration.

¹⁴Universities assume responsibilities when they accept graduate students with a promise of financial support. Graduate student employees have a legitimate expectation of fulfillment of the promise unless legitimate cause to terminate support is shown. If the cause relates to the graduate student employee's work and/or academic performance or progress, the employee should be given sufficient time and opportunity to redress the concern.

¹⁵According to the Association's Statement on Collective Bargaining, "Participation in a strike or other work action does not by itself constitute grounds for nonrenewal or dismissal."

capacity regarding teaching or research. Dismissal will not be used to restrain graduate student employees in their exercise of academic freedom or constitutional rights.

- d. Written notice of reappointment or nonreappointment will be issued to graduate student academic or professional employees no later than one month before the end of the existing appointment.
- e. Graduate student academic or professional employees who are notified of nonreappointment will be advised upon request of the reasons that contributed to the decision. Upon the employee's further request, the reasons will be confirmed in writing. The employee will be afforded the opportunity for review of the decision by a duly constituted committee.
- f. If a graduate student employee who is denied reappointment to an available academic or professional position alleges that the decision was based on inadequate consideration, the allegation will be subject to review by a duly constituted body.¹⁶ If this body, while not providing judgment on the merits of the decision, finds that the consideration has been inadequate in any substantial respects, it will remand the matter, recommending to the department that it assess the merits once again, this time remedying the inadequacies of its prior consideration.¹⁷
- g. Graduate student academic or professional employees will have access to the faculty grievance committee, as specified in Regulation 16.

15 Other Academic Staff

a. In no case will a member of the academic staff who is not otherwise protected by the preceding regulations that relate to dismissal proceedings be dismissed without having been provided with a statement of reasons and an opportunity to be heard before a duly constituted committee.¹⁸ (A dismissal is a termination before the end of the period of appointment.) b. With respect to the nonreappointment of a member of such academic staff who establishes a prima facie case to the satisfaction of a duly constituted committee that considerations that violate academic freedom, or of governing policies against improper discrimination as stated in Regulation 10, significantly contributed to the nonreappointment, the academic staff member will be given a statement of reasons by those responsible for the nonreappointment and an opportunity to be heard by the committee.

¹⁶For comment on the term "adequate consideration" see Footnote 13, supra

¹⁷Nonreappointment conditioned on inadequate academic performance as a graduate student may be reviewed in the manner provided in Committee A's statement on The Assignment of Course Grades and Student Appeals. Policy Documents and Reports, 127,8.

¹⁸Each institution should define with particularity who are members of the academic staff.

16 Grievance Procedure

If any faculty member alleges cause for grievance in any matter not covered by the procedures described in the foregoing regulations, the faculty member may petition the Faculty Executive Council for redress. The petition will set forth in detail the nature of the grievance and will state against whom the grievance is directed. It will contain any factual or other data that the petitioner deems pertinent to the case. Statistical evidence of improper discrimination, including discrimination in salary, may be used in establishing a prima facie case. The committee will decide whether or not the facts merit a detailed investigation; if the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision to come forward with evidence in support of their decision. Submission of a petition will not automatically entail investigation or detailed consideration thereof. The committee may seek to bring about a settlement of the issue(s) satisfactory to the parties. If in the opinion of the committee such a settlement is not possible or is not appropriate, the committee will report its findings and recommendations to the petitioner, to the people who made the original decision, and to the appropriate administrative officer, and the petitioner will, upon request, be provided an opportunity to present the grievance to them. The grievance committee will consist of the Faculty Executive Council. No officer of administration will serve on the committee.

17 Note on Implementation

The Recommended Institutional Regulations here presented will require for their implementation a number of structural arrangements and agencies. For example, the Regulations will need support by:

1. channels of communication among all the involved components of the institution, and between them and a concerned faculty member;
2. definitions of corporate and individual faculty status within the college or university government, and of the role of the faculty in decisions relating to academic freedom and tenure; and
3. appropriate procedures for the creation and operation of faculty committees, with particular regard to the principles of faculty authority and responsibility.

The forms which these supporting elements assume will of course vary from one institution to another. Consequently, no detailed description of the elements is attempted in these Recommended Institutional Regulations. With respect to the principles involved, guidance will be found in the Association's 1966 Statement on Government of Colleges and Universities.

9 Appendix 9: WHITTIER COLLEGE: ITS MISSION STATEMENT

In November 2010, the Whittier College Faculty reached consensus on the following mission statement:

Whittier College is a residential four-year liberal arts institution that prepares students from diverse backgrounds to excel in a complex global society. Through challenging, interactive courses, taught by accomplished professors, students learn to make connections across disciplines, understand cultural perspectives, and integrate learning with practical application. Inspired by our Quaker heritage, a Whittier education equips students to be active citizens and effective communicators who embrace diversity and act with integrity.

10 Appendix 10: THE PROFESSIONAL EVALUATION AND GROWTH PLAN AND SUPPORTING MATERIALS

The Faculty of Whittier College believes that we are all obligated to examine our professional lives on a regular basis. This is an obligation to our students, to the institution, and most importantly to ourselves. We believe that it is important for us to consider how we change and develop as we proceed through our careers. The primary purpose, then, of all PEGP's is professional self-assessment, an exercise in which we consider what is important, what we do well, and what we can do better. In this respect, then, the presentation is not for the institution, but for the individual making the presentation. Getting a response from a set of colleagues may reveal any number of important things that we may not clearly see ourselves. We can get our ideas validated, and we can have our attention drawn to things that could use some more attention, or things we simply could not see ourselves.

However, the PEGP also serves another very important purpose which is evaluation by the institution. The presentation does result in a judgement made by colleagues, both in the faculty member's department and on the Faculty Personnel Committee. The evaluative dimension of the PEGP is especially significant for faculty who are pre-tenure and for those who seek a change in status. We acknowledge the importance of this dimension.

We acknowledge that we will all need to make our presentations in different ways, as we are different. But we recognize that the primary purpose of the document is the same for all of us in its personal dimensions. We agree that the key elements in it are that we make our best presentation concerning our accomplishments to our colleagues, that it is the fundamental document for important institutional decisions about us, and that we use it to seek collegial advice, but that it be directed at real professional self-assessment above all.

(Faculty Handbook, III, B.4.a)

1 The PEGP

The advice in this appendix is designed as only that, advice. There is no one way to best make this presentation. However, the experience of a number of different Faculty Personnel Committees over time has found the things described to be valuable to have heard about in creating feedback and making decisions. There are other ways it can and has been done which achieve the purposes described above. One other result of that collective experience is that it is possible to address the issues of a PEGP in full enough dimensions in a 10 to 20 page document, with appropriate additional supporting materials.

The PEGP should begin with an introduction describing your background and current faculty status, followed by sections on teaching, advising, service, and scholarship. A copy of your vita and your last feedback notes should be attached at the end of the PEGP. Regularly scheduled PEGP presentations do not need to be as thorough as those supporting a request for tenure or promotion. Note that the Faculty Handbook says that “[s]ubmissions in [the] third year for both those eligible and not eligible for tenure will take the form of a brief progress report, including a response to the feedback given by FPC in the previous year.”

(FH III.B.5.a) FPC suggests that a length of six to ten pages would constitute an appropriate length for this progress report.

1.1 Teaching:

It is very useful to begin the teaching section with a fairly lengthy discussion of teaching philosophy. Among the questions you might consider addressing are: What you should discuss here is what you are trying to accomplish as a teacher of your discipline. What are your goals for students to achieve? Why are these goals important? Is there a general methodology or strategy you use to achieve these goals? Where does this strategy come from? The idea here is to inform FPC about your purpose as a teacher in a liberal arts college. Next, it is useful to have a section which describes the courses you teach. This can be seen as expanded catalogue copy; provide some discussion of the content and main distinguishing characteristics of each course (special assignments made, special purposes of the course, etc.). Most significant, though, is a discussion of the outcome of your past year’s courses; or, for regular submissions from tenured faculty, a representative number of courses taught since your last submission. It is useful to include in this discussion an analysis of the course evaluations. (FPC finds that a combination of quantitative and qualitative material is helpful.) What you are trying to do here is provide a thoughtful discussion of what went right and what went wrong, and why, in your courses. Such a thoughtful discussion helps FPC understand what you are doing in the classroom. You may want to add a discussion about previously offered courses, if there is something special you want to say about them (for example, Intd 100 or WSP courses, or courses you have significantly revised over time). Finally, as this is a forward-looking presentation, consider speaking about your future plans in the teaching area. Discuss new courses or area competencies you wish to develop, ideas for

changes in courses, teaching conferences you plan to attend, and thoughts you have about what you might do to improve your future teaching.

1.2 Advising:

A simple statement of the facts about your advising and mentoring (numbers, how often you mentor, etc.) is most useful to begin with. Discuss what you are trying to accomplish as an advisor/mentor (particularly if you are in a discipline which has few majors) and how you go about trying to achieve these goals. Include any plans you have for improving or developing your advising abilities.

1.3 Service:

As with advising, begin with a simple statement of the facts about your service (faculty committees, department service, community activities, etc.). But then discuss what you are doing in the service area. Are there some particular goals you are trying to achieve? Do you have some plans in this area? Do not just make a list of what you have done, but reflect upon and evaluate what you have achieved and hope to achieve.

1.4 Scholarship:

It is probably necessary for FPC to hear some background about the history of your professional interests. Then describe your current projects in detail. Then conclude with your future plans. Your purpose here is to explain to FPC what it means to be a successful and productive professor in your discipline. The four kinds of scholarship described below outline the forms of professional growth FPC considers appropriate. FPC does not expect all faculty to demonstrate performance of all four forms of scholarship in PEGP submissions. FPC's purpose in presenting these four forms is to give faculty the opportunity to pursue and describe a wide and valid range of scholarship. The types of activities that matter here vary widely across the disciplines (from juried shows, to public performances, to published papers). Because teaching is the most important responsibility of Whittier College faculty, the scholarly investigation of pedagogy is considered a valuable form of scholarship at Whittier College. Thus the dissemination of pedagogical research is viewed as appropriate scholarship by FPC. You need to inform FPC as to what types of activities matter in your discipline and then discuss what you have accomplished and what you are doing in these terms. Explain in what ways these activities involve contact between you and your peers in your discipline. Emphasize completed projects and work well under-way. Statements about projects that may be undertaken two or three years away are not convincing evidence of scholarly success, but a thoughtful plan for future scholarly work is an important part of your presentation. For tenure, it is expected that more than the dissertation has been accomplished; there needs to be some evidence of progress beyond the Ph.D. and some clear indication of direction and purpose. For promotion to the rank of Associate Professor, it

10. APPENDIX 10: THE PROFESSIONAL EVALUATION AND GROWTH PLAN AND SUPPORTING MATERIALS

is expected that this clear direction and purpose will have been manifested in concrete and demonstrated achievement appropriate to your field.

2 Supporting Materials

Supporting documents should be organized carefully and should be provided for each of the four areas of evaluation. The purpose and meaning of all supporting documents should be explained in the PEGP. The following are suggested inclusions; you may have others which you think are important to add.

2.1 Teaching:

Untenured faculty should include all course syllabi from the past year. Include a selection of course materials which illustrates the major assignments of the courses. A selection of student work may also be relevant, if it is organized in such a way to show what you are trying to accomplish with the assignment and its success. Untenured faculty should provide Whittier College's standard course evaluations from all students for all classes taught during the previous year. Include complete sets of evaluations from earlier years, if there is something you wish to say specifically about them in the the PEGP (such as a WSP course, or a freshman writing course, or any other course which you particularly wish to discuss). It is very helpful to FPC if the portion of the form evaluating the instructor is very consistent from course to course. Include a summary of each set of evaluations if it is possible to construct one. If you are requesting tenure or promotion, provide the Dean with a list of names of faculty members who have observed your teaching or with whom you have team-taught or paired and a list of names and addresses of former students. The Dean will contact these faculty and students and ask that letters of evaluation be sent directly to the Dean's office.

2.2 Advising:

Provide copies of any supporting materials which show what you are trying to accomplish in this area.

2.3 Service:

Again, provide materials which show what you have been doing. Examples could include documents related to departmental programs, community service, and so on. If you are requesting tenure or promotion, provide the Dean with a list of names of faculty who have been in charge of programs to which you have contributed in a significant way. The Dean will contact these faculty and ask that letters of evaluation be sent directly to the Dean's office.

2.4 Scholarship:

Provide copies of presented and published papers and other materials which support the discussion in your PEGP, such as copies of conference programs which list your sessions, programs which describe performances, reviews of shows, etc. In light of past discussions, materials prepared for courses that manifest scholarship may be relevant here. (See the the four kinds of scholarship described below as a guide.) Submit copies of drafts of work that is underway. If you are requesting tenure or promotion, provide the Dean with a list of names and addresses of colleagues who are familiar with your work, both on- and off- campus. The Dean will contact these colleagues and ask that letters of evaluation be sent directly to the Dean's office.

The four kinds of scholarship presented by the 1998 ad hoc FPC Review committee (this list of examples is neither exhaustive nor exclusive):

1. Scholarship of discovery (the traditional university model of scholarship):
 - Published journal article or monograph reporting the results of original research that contributes to the store of human knowledge.
 - Original artistic or creative compositions that are presented to an audience.
2. Scholarship of integration:
 - Multidisciplinary research and publication at the boundaries where fields converge.
 - An article or book that asks "What does the scholarship in this field mean?"
 - An undergraduate college textbook
3. Scholarship of application (the integration of theory and practice):
 - Medical diagnosis, architectural and artistic design, serving clients in psychotherapy, shaping public policy, working with public schools, improving water quality, restoring or protecting ecosystems, directing a community chorale group.
4. Scholarship of teaching:
 - Incorporating, extending, and/or transforming the latest results of the other forms of scholarship, either one's own or others, into courses.
 - Incorporating the scholarship on how students learn into courses and assessing the outcomes of student learning.
 - Creating curricula that reflect the best of what is known about how students learn in general, and about one's discipline (or college) in particular
 - Engaging students in research projects or directing them in off-campus dramatic productions.

 - Developing workbooks, essays, or texts for use in the classroom or lab and assessing their effectiveness in stimulating student learning.
 - Devising new pedagogical means to enhance student learning, and assessing the effectiveness of those new means.

10. APPENDIX 10: THE PROFESSIONAL EVALUATION AND GROWTH PLAN AND SUPPORTING MATERIALS

Faculty are advised that the scholarship of teaching category does not mean that what faculty routinely do for course preparation counts as satisfying this category. Faculty members regularly choose new texts, prepare new lectures and plan presentations, assemble readers or anthologies, create new examinations, projects, and paper topics, for example. Such activities are expected and are not to be construed as evidence of the scholarship of teaching but as appropriate teaching activities. The argument for considering a given activity as the scholarship of teaching is made stronger by demonstrating that this activity is currently being done by fellow scholars in your discipline. In addition, each faculty member must make the case that any activity viewed by a given faculty member as fitting in the scholarship of teaching category must be accepted as such by the department and FPC.

11 Appendix 11: THE ROLE OF THE DEPARTMENT AND DEPARTMENT CHAIRPERSON IN MENTORING TENURE-TRACK FACULTY MEMBERS

Action: In April, 2003, FPC recommended a change in Faculty Handbook Language to clarify and enhance the role of departments and department chairpersons in faculty personnel matters.

1 Rationale:

As part of the review this year by FPC of our processes and standards, the role of the department and department chairperson arose several times as a key to improving our process. FPC thinks that departments, led by the department chair, should play a greater role in the faculty personnel process, especially regarding the mentoring and evaluation of non-tenured faculty. Our current practice is very uneven, with some departments providing strong leadership for their non-tenured colleagues, some adopting the role of advocate, and some taking a more laissez faire attitude, believing that it is the non-tenured faculty member's obligation to chart his or her way toward the tenure decision. Such a set of approaches leads to questions about the consistency of tenure decisions, and places an immense burden on FPC. As noted in "Good practice in Tenure Evaluation: Advice for Tenured Faculty, Department Chairs, and Academic Administrators" (the joint publication by AAUP, ACE and UE): "The department bears the major responsibility for ensuring that a tenure candidate receives appropriate ongoing counseling during the probationary period." (p. 10).

In our review of faculty personnel issues, FPC also recognized that the probationary period for a tenure candidate is developmental, that is, that over time our non-tenured colleagues add competence in the four areas we evaluate, and that it makes good sense to focus attention at various stages in that developmental process on different activities. Although the following sequence will not hold in all cases, the experience of FPC suggests

11. APPENDIX 11: THE ROLE OF THE DEPARTMENT AND DEPARTMENT CHAIRPERSON

that new non-tenured colleagues should focus their attention first and foremost on developing and teaching the courses for which they will be responsible. In most cases, Whittier College faculty teach several courses each year, but often rotate other classes on a two-year schedule. That being the case, the energies of non-tenured colleagues during their first two or three years ought to be spent getting their courses in order, so that in the remaining years of the probationary period they can use student course evaluations and other feedback to improve their teaching effectiveness. As tenure candidates become more comfortable with their teaching, they should also begin formulating a scholarly plan that will both meet the needs and expectations of the candidate, department, and college, but also result in demonstrable results by the time of tenure decision. In terms of advising and college service, it also is advisable for non-tenured faculty to start modestly, taking on greater responsibilities as they become more accomplished and effective teachers and scholars, so that by the time of the tenure decision, colleagues in the department and the College will be able to see them as fully contributing members of the College community. Based on our long experience, FPC thinks it is the highly unusual faculty member who can excel each and every year in all four areas. On the other hand, we think it quite reasonable to expect that Whittier College faculty members will, over a period of years, be able to demonstrate effectiveness and results in each of the areas we evaluate faculty performance. Recognizing that becoming an effective faculty member is a developmental process, and using that insight to guide tenure candidates, is an important role of the department and the department chairperson.

FPC also recognizes that departments are not of the same size or demographic composition, that some departments have members with more or less administrative experience, ability, or predisposition to serve as department chair, that our current policy of expecting department chairs to take on ever-increasing amounts of administrative work without released time is burdensome, and that all of these taken together might cause complications in consistently implementing the new policies. Nonetheless, we think that it is important to set high expectations for ourselves, and to do everything we can to realize them.

Finally, FPC recognizes that departments must work with the faculty personnel committee in defining expectations for tenure-track candidates. Thus, a two-way communication must occur between FPC and each tenure-track candidate's department via the departmental letter submitted for each candidate's PEGP submission and the review notes that FPC provides for untenured candidates after reviewing the PEGP.

With the proposed change in review of tenure-track faculty to a two-, four-, and six-year schedule, the role of departments and department chairs would be the following:

2 First-year Tenure Track Faculty

Usually, first-year faculty are counseled to work on their teaching, to develop adequate evaluation tools, and to begin mastering their course material. Department members should sit in on non-tenured faculty members' classes and give them feedback, both orally and written, about their teaching effectiveness and areas they should work on improving.

For first-year tenure-track faculty, department chairs are responsible for recommending to the Dean of Faculty, no later than February 15 of the first year, whether or not the College should reappoint the faculty member to a second year contract. A letter communicating that recommendation should indicate the process and materials the department chair used in formulating that recommendation.

Assuming a recommendation to re-appoint for a second year, department chairs should meet with the first year non-tenured faculty member during their second semester to convey that recommendation, to discuss candidly their teaching experience in the first semester, and to begin formulating a plan for ensuring teaching effectiveness. The second semester of the first year also is a good time for the faculty member and the department to begin developing a plan for their new colleague's scholarship, college and community service, and advising. Departmental expectations in all of these areas should be clearly stated.

3 Second-year Tenure Track Faculty

Well before the October 15 due date, the department chair should discuss with the non-tenured faculty member the development of the PEGP, reviewing with the non-tenured member their own self-assessment of their first year, and reviewing the plan for their development that is being formulated. Non-tenured faculty should be informed that departmental expectations will be communicated to FPC in the letter accompanying their first PEGP. Department chairs should ensure that the tenure candidate deliver a draft PEGP by October 1, two weeks prior to the October 15 date when materials are due to be officially submitted, to the tenured members of the department to review the draft and the supporting materials so that revisions can be made if necessary, and so the department chair can draft a letter that all tenured members of the department will sign.

The first departmental letter to FPC is an important document because it both evaluates and communicates expectations to the candidate. Departments should clearly articulate their expectations of the tenure candidate, thereby communicating those expectations both to the candidate and to FPC. In this letter, the department should provide a rationale for those expectations. This letter also should contain an evaluation of the candidate's developmental plan for the probationary period, as well as an evaluation of the candidate's first-year performance and the process used to formulate that evaluation. Since this letter to FPC should be shared with the candidate, the tone should be one of helpful candor. This letter also will contain the department's recommendation regarding whether or not the department recommends the retention of the tenure track faculty member.

4 Third-year Tenure Track Faculty

Although a submission to FPC does not occur during the third probationary year, the department and department chair still have responsibilities to mentor and evaluate the tenure track faculty member. Classroom visits (and reports of those observations) are still

11. APPENDIX 11: THE ROLE OF THE DEPARTMENT AND DEPARTMENT CHAIRPERSON

in order, as are scheduled meetings with faculty member to review progress in teaching effectiveness, scholarly projects, service commitments, and advising. The department chair should pay special attention to areas that remain in need of improvement and be sure to inform the faculty member in writing of the departmental evaluation.

5 Fourth-year Tenure Track Faculty [assumes submission to FPC to be around Feb 1]

The fourth-year evaluation is especially important, and the department chair should ensure that it is conducted thoroughly; it should be considered a test-run for tenure consideration. The tenure-track faculty member has the responsibility for preparing a PEGP and full documentation for submission to FPC by October 15, and both should be made available to the department chair (and other tenured members of the department) for review by October 1. The department should evaluate the tenure track faculty member, note areas in need of improvement, and inform FPC in writing of its evaluation of the faculty member's performance. The fourth-year review is the time to determine the likelihood that a tenure track faculty member will be positioned to make a strong case for tenure, and if that does not look likely, to recommend non-retention of the faculty member. The department chair should share the FPC letter with the faculty member, or and convey orally the substance of the letter and the recommendation.

6 Fifth-year Tenure Track Faculty

The main responsibility of the department chair at this time is to ensure that the tenure candidate is addressing whatever areas were in need of improvement, paying special attention to the candidate's need to provide evidence of scholarship. The tenured members of the department should meet with the candidate in the spring semester to discuss the development of the sixth-year PEGP and the kinds and extent of materials needed to support the case for tenure. The chair should advise the candidate to begin developing a list of students and colleagues to ask for letters (the request for the letters comes from the Dean of Faculty), and to plan to allocate time during the summer to prepare the PEGP.

7 Sixth-year Tenure-Track Faculty

Since the sixth year is the tenure-decision year, departments and department chairs need to ensure that all College policies and processes are conscientiously followed. While it remains the tenure-track faculty member's responsibility to present the strongest possible case for tenure, the department chair should take the opportunity of the fifth-year review and letter to discuss candidly any issues raised previously by the department or FPC that have yet to be satisfactorily addressed. The department chair should suggest to the tenure-track

faculty member that time during the summer might usefully be spent drafting a PEGP and sharing it with department chair before the start of classes in the fall of the sixth year. The department chair should ensure that the tenure-track faculty member submits lists of students and colleagues to the Dean's office early in September to ensure that letters arrive by October 15, and that the student advisory council is convened and that that letter is sent to the Dean's office by October 15.

The tenure-track faculty member has the responsibility for preparing a PEGP and full documentation for submission to FPC by October 15. The PEGP and all supplementary materials should be made available to the department chair, and other tenured members of the department, for review by October 1. The department should evaluate the tenure track faculty member and inform FPC in writing of its assessment of the faculty member's performance in the four areas of evaluation. This letter must be shared with the tenure candidate prior to the department chair submitting it to FPC on October 15.

With the proposed change in review of tenure-track faculty to a two, four, and six-year schedule, the role of FPC in interfacing with the departments will be as follows:

FPC will review the departmental expectations articulated in the first departmental letter in the context of the college-wide standards for tenure. FPC will respond to the department and the candidate at the candidate's first feedback session. The feedback will include helpful candor in assessing both the departmental expectations and the departmental expectations and the candidate's performance in meeting those expectations up to that time. It is the role of the department chair (or another tenured representative present at the feedback session) to help interpret FPC's feedback to the candidate. If there is some discrepancy between FPC and the department on the appropriate expectations for the tenure-track candidate, then FPC will need to meet with the tenured members of the department to reach a common understanding. If it becomes obvious to FPC that a department is failing to adequately mentor a tenure-track candidate through the personnel process, then FPC will notify the department chair and the candidate that a tenured member outside the department will be assigned as a mentor for the candidate. In cases where there are no tenured faculty members in a department, FPC will work with the Dean of Faculty to associate a tenure-track candidate with another department for personnel purposes

12 Appendix 12: ADMINISTRATION OF STANDARDIZED COURSE EVALUATIONS

In Spring 2010 the faculty agreed by consensus to use a standardized course evaluation form (available on the FEC Moodle page) and, beginning Fall 2010, to implement the form according to the following procedures.

- The faculty member will distribute course evaluation forms to students at any time between the beginning of the last week of classes and the date of the final exam. The faculty member will administer evaluations in a manner which ensures the students' sense of their confidentiality, e.g. by leaving the room while evaluations are being completed, or by having students place evaluations in an envelope at some location in the room that is appropriately distant from the faculty member. The faculty member will designate a student to take the completed forms in a sealed envelope to the departmental secretary or to the Chair of the department. The faculty member will not have access to the course evaluations until after all final grades have been submitted.
- The departmental secretary will take the forms to a centrally-located Scantron machine [machine to be purchased, and location of this machine to be determined] and scan evaluations.
- The departmental secretary will receive from the Scantron machine two hard-copies of a "summary sheet" (e.g. information such as the name and number of the course; the name of the faculty member; the semester and year of the course; enrollment in course; number of students completing forms; means, ranges, and number of students endorsing each scale point for all items).
- The departmental secretary will return the scanned evaluations and one hard-copy of the summary sheet to the faculty member.
- Faculty members will be provided with a copy of faculty-wide summary scores.

13 Appendix 13: HONORARY DEGREES: POLICIES AND PROCEDURES

1 Purpose:

Whittier College awards honorary degrees to persons of distinction in any field of endeavor for the dual purpose of (1) recognizing scholarly, artistic, public, or civic achievement and (2) furthering the mission and goals of the college by enhancing the institution's reputation and resources. Only the faculty has the authority to approve candidates for Honorary Degrees.

2 Conferring of Honorary Degrees:

Honorary Degrees may be awarded at commencement and, with adequate advanced notice to the Whittier College community, at other appropriate times during the year.

3 Eligibility:

Persons of distinction in any field of endeavor with notable scholarly, artistic, public, or civic achievements may receive an honorary degree after nomination by any member of the college community, recommendation to the faculty by the Faculty Affairs Committee, approval by the faculty, selection by the President, and affirmation by the Board of Trustees. Typically, current students, employees and Trustees of the college are not eligible. Former employees or Trustees may be considered after passage of a reasonable period of time after their employment or service to the college.

4 Who May Nominate:

All members of the Whittier College community may nominate worthy individuals who have achieved distinction in any field of endeavor. Trustees, administrators, and members of the faculty and staff submit nominations directly to the chair(s) of the Honorary Degree subcommittee of FAC. Students must nominate through a faculty member who agrees to

sponsor the nomination. Alumni may submit through the Honorary Degree subcommittee chair(s) or any other member of the faculty or administration.

5 Nomination and Selection Process:

The chair(s) of the Honorary Degree subcommittee will maintain a current list of already-approved candidates on an electronic site available to faculty. Once each semester, the Honorary Degree subcommittee of FAC will formally solicit and accept nominations over a two-week period. Members of the community who make a nomination must provide adequate supporting documentation for the committee to make an informed decision.

At the close of the nomination period, FAC will carefully review all nominations and post the list of selected nominees on an electronic site available to faculty at least 10 days prior to the faculty meeting at which the nominations will be considered. All persons approved by the faculty during the faculty meeting will become “candidates” and will be forwarded to the president, who will then confer with the chair(s) of the Honorary Degree subcommittee to prioritize the list. Selecting from the prioritized list of approved candidates, the president will issue invitations to receive honorary degrees. The president’s prioritized list will be treated as confidential, as will the names of persons who accept the honor until such time that a public announcement is desirable.

6 Faculty Review of the List of Candidates:

Each spring FAC will review the list of persons who have been on the approved list for five years and take one of the following actions for each candidate: (1) remove from the list, (2) resubmit to the faculty for reconsideration.

Any member of the community may request that a previously approved candidate be removed from the list by sending a written, detailed rationale for the request to FAC. FAC will forward the request to the president of the college and the president of the faculty, with one of the following recommendations for action: (1) maintain the candidate in question on the list, (2) remove the candidate in question from the list, (3) resubmit the candidate in question to the faculty for additional scrutiny. The president will confer with the Honorary Degree subcommittee chair(s) prior to issuing an invitation to any candidate about whom there are any written objections. Prior to the end of the five-year candidacy, FAC will only remove names without reconsideration by the faculty under extreme circumstances, such as the death or imprisonment of the candidate.

7 Nominations Outside the Normal Nomination and Approval Cycle:

On rare occasions, extraordinary and unanticipated opportunities may arise to pay tribute to notable and distinguished persons who have not yet been approved by the faculty for

an honorary degree. In such circumstances, the president may submit a special request to the Honorary Degree committee chair(s) and FEC that such persons be considered by the faculty for an honorary degree outside the normal nomination and approval cycle.

8 Faculty Responsibilities:

1. The nominator must provide the Honorary Degrees subcommittee of FAC with sufficient supporting documentation to enable FAC to make an informed decision.
2. Should the candidate agree to accept an honorary degree, the nominator will provide additional information and documentation as requested by the Office of the President.
3. The nominator will typically participate in events surrounding the conferring of the honorary degree, such as dinners or campus events in which the honoree participates.
4. The nominator typically reads the citation and presents the candidate for the degree at the ceremony or event at which the degree is conferred.

14 Appendix 14: POLICY AND PROCEDURES FOR ALLEGATIONS OF RESEARCH MISCONDUCT

Whittier College is committed to ensuring integrity of the research conducted by all faculty, students, and staff. This policy was created consulting the following documents: (1) the American Association of University Professors “Statement on Professional Ethics,” and (2) the Public Health Service (PHS) Policies on Research Misconduct¹.

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. The policy applies to all persons employed by, affiliated with, or under the control of the College such as faculty members, staff, students, post-doctoral fellows, researchers, collaborators, consultants, technicians, and those utilizing the College’s Institutional Review Board procedures for research projects regardless of whether they are employed by, under the control of, or officially affiliated with Whittier College.

The Dean of Faculty is the Deciding Official (DO) who makes final determinations on allegations of research misconduct and any institutional administrative actions. The Director of Faculty Grants is the Research Integrity Officer (RIO) responsible for overseeing inquiries and investigations in keeping with this policy. If any individual believes in good faith that an individual subject to this policy is involved in misconduct, he or she should meet with or write the Director of Faculty Grants in his or her capacity as RIO to state the case of alleged misconduct. The RIO will bring the allegation to the Faculty Personnel Committee (FPC) even if the person reporting does not wish to become the complainant of record. If an individual does not feel comfortable reporting to the RIO, he or she should report the misconduct to the Associate Dean of Faculty. The RIO or Associate Dean of Faculty will communicate with the respondent and claimant about the status of the allegation throughout the steps of the process.

1 Inquiry

The RIO or Associate Dean of Faculty will bring any allegation that falls within the definition of research misconduct to the FPC who will assess each allegation of research misconduct to determine whether it warrants an investigation. The Committee is not to determine that misconduct has occurred, but to determine whether there is sufficient evidence to indicate that an investigation is warranted. The Committee will normally interview the complainant, the respondent, and witnesses as well as examine any data or materials pertinent to the allegation. Individuals should be afforded confidential treatment to the extent possible. Respondents may consult with legal counsel and others to seek advice and may have them present for meetings or interviews as observers but not as participants. The Committee may employ whatever outside assistance, legal or otherwise it deems appropriate to the Inquiry. The inquiry should be completed within 60 days unless circumstances warrant a longer period.

Upon completing its inquiry, the Committee will prepare a written report identifying the evidence reviewed, summarizing the various interviews conducted, and stating the conclusion of the Inquiry as to further action and give it to the RIO who is responsible for communicating with the respondent. The respondent shall be given a copy of the report by the RIO and shall have ten days to comment upon it in writing. Any comments by the respondent shall become part of the record. Within thirty days of the completion of the inquiry, the RIO shall transmit the inquiry report to the deciding official. The DO will determine whether there is sufficient evidence of possible misconduct to justify an investigation. If applicable, the RIO will notify the Director of the Office of Research Integrity (ORI) of the Department of Health and Human Services in writing of the pending Investigation.

2 Investigation

The DO, in consultation with the Faculty Executive Committee, will appoint a Research Standards Investigation Committee of five full-time tenured faculty members who should be free of any real or apparent conflicts of interest and must make every effort to be objective and fair. The Committee will receive the inquiry report; interview the complainant, respondent, and witnesses; and employ whatever outside expert assistance as appropriate including legal and expert opinions. The RIO will define the issues in a written charge to the Committee and will convene the first meeting of the Committee which will then select its own chair. The Committee is to evaluate the evidence and testimony it receives and determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, to determine who was responsible, and its seriousness. To find that research misconduct occurred from the preponderance of evidence, the Committee must find that there was a significant departure from accepted research practices of the relevant research community or discipline resulting in fabrication, falsification, or plagiarism, and that the misconduct was

committed intentionally, knowingly, or recklessly. To the extent possible all proceedings will be confidential and the meetings of the Committee will be closed.

The report will be filed with the RIO and include: the procedures under which the Committee conducted its investigation, who provided information, a detailed description of the testimony and evidence obtained, and how the testimony and evidence support the Committee's findings. It will also include the actual text or an accurate summary of any statements by any individual/s found to have committed misconduct. The report will include an advisory recommendation for actions to redress the misconduct. The RIO will provide a copy of the draft report to the respondent who will have ten working days to make any written comments which will be attached to the final Investigation report. The final report will be transmitted to the DO. The RIO will also notify all appropriate College officials, sponsoring agencies, and ORI as applicable. Investigations should normally be completed within 120 days of the first meeting of the Research Standards Investigation Committee. If the Investigation is to take more than 120 days, the Committee should write an interim report and request an extension from the DO.

3 Determination

The DO will review the report and ordinarily make a determination within 30 days. The DO determines whether misconduct occurred and what actions are to be taken as a result, including any sanctions. Such sanctions may include but are not limited to withdrawal of all pending or published abstracts and papers emanating from the research where misconduct was found, removal of the responsible person from the project involved, restitution of funds, a letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, and steps leading to possible reduction in rank, or termination for cause, provided such steps are consistent with the procedures established in the Faculty Handbook. In cooperation with other institutional officials, the RIO will take all reasonable and practical steps to protect or restore the positions and reputations of good faith complainants, witnesses, and committee members and counter potential or actual retaliation against them by respondents or other institutional members.

Where no misconduct was found to have occurred, the RIO will notify all appropriate parties after consultation with the respondent to restore the reputation of the respondent. If it is determined by the DO that the Complainant brought forward unsubstantiated allegations of misconduct under malicious or dishonest circumstances, appropriate disciplinary actions may be initiated against the complainant.

4 Appeal

The respondent may appeal any determination by the deciding official to the President of the College within 30 days. Such appeals can be based on the severity of the sanction or failure to follow process but not the decision of the Research Standards Investigation Committee.

14. APPENDIX 14: POLICY AND PROCEDURES FOR ALLEGATIONS OF RESEARCH MISCONDUCT

In cases where new evidence is brought to the attention of the President, the President may decide whether the matter should be referred back to the original Research Standards Investigation Committee. Consistent with Other Faculty Handbook Language (B.10), any faculty member who has a concern that correct process has not been followed in matters related to personnel decisions may appeal to the Faculty Executive Council, the Dean of Faculty, or the President of the College.

(The above policy is required by Federal law)