



# FACULTY HANDBOOK

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## **1 Section I**

### **1.0 Preamble to Heritage University Faculty Handbook**

Heritage University, an institution of higher education, has unique characteristics as well as dimensions it shares with the wider academic community. Drawing on the distinctive spirit and mission of the University, the Faculty Handbook defines the rights and responsibilities of the faculty in participating in this mission. The Handbook also addresses academic standards, which are commonly applied to academic professionals.

The Faculty Handbook is a document of trust between the faculty and the administration. Having received the approval of the Faculty Senate, the Administration, and the Board of Directors, the Handbook is a morally and legally binding document. Its provisions are referenced in the faculty contracts, and may only be amended or revised in accord with the process described in Section 2.13 of this document.

### **1.1 Governance Structure**

At Heritage University the faculty members have an integral role in participatory governance of the institution. They serve on the President's Cabinet, in the Faculty Senate, and on various committees to advise and make recommendations. Faculty are highly influential in the overall governance of the University.

#### **1.1.1 President's Cabinet**

##### *A. Purpose and Function*

The Cabinet makes recommendations and advises the President on policies, major actions, and planning matters. Its efforts focus on achieving the mission, goals, and objectives of the University. The Cabinet provides campus leadership by facilitating constructive shared communication between the administration and the rest of the campus.

##### *B. Membership*

It is the responsibility of the President to appoint members to the Cabinet such that it can achieve its purpose and function. Its membership includes the President, President-Elect, and Secretary of the Faculty Senate. Other members are appointed by the President and announced at the beginning of the academic year and when any change is made.

##### *C. Scheduled Meetings*

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Cabinet meets a minimum of once per month, except during the month of July. It is convened by the President's Office.

### **1.1.2 Faculty and Faculty Senate**

#### *A. Purpose and Function*

The faculty of the University consists of all instructional personnel engaged in teaching and/or research, including faculty librarians.

Faculty Senate is the official faculty organization, which is part of the University's governance structure. Faculty Senate conveys formal statements of decisions, recommendations and opinions of the organization to the Academic Affairs Assembly, administrators, the President of the University, and other appropriate bodies.

#### *B. Membership*

The Faculty Senate has its own Bylaws which establish its membership and mode of operation.

### **1.1.3 University-wide Advisory Committees - Overview**

#### *A. Purpose and Function*

It is the responsibility of every operational unit and every committee of the University to keep the University's Mission and the overall good of the University's current and future students in mind in all deliberations. In some cases a University-wide Advisory Committee is necessary to bring to its deliberations a perspective transcending any single area of the University.

#### *B. Membership*

Membership on any University-wide Advisory Committee includes significant representation from faculty. For the University-wide Advisory Committees listed in this Handbook, faculty and alternate representatives are chosen according to a method determined by the Faculty Senate. For other University-wide Advisory Committees, the President shall consult with the Executive Committee of the Faculty Senate concerning the appropriate method for designating faculty members to serve on the committee.

#### *C. Scheduled Meetings*

All University-wide Advisory Committees will meet a minimum of once each semester, with the exception of the Issues Resolution Committee, which meets only upon referral of an issue. Meetings are scheduled and posted for the entire University community at least two weeks in advance of the time set.

#### *D. Attendance Requirement*

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Faculty members of all University-wide Standing Committees and other faculty committees are subject to removal from committee membership after two unexcused absences. If membership was the result of election, either the elected alternate will serve, or a new election will be held. If the membership was the result of appointment, a new appointment will be made. In either case, the replacement will serve out the unexpired portion of the term, and may be reelected or reappointed.

### ***1.1.3.1 University-wide Planning and Budget Review Committee***

#### *A. Purpose and Function*

The Planning and Budget Review (PBR) Committee is the primary advisory body to the President for investments and major expenditures and University planning. It advises on new positions, major increases in expenditures, and financial issues related to new programs. It is a shared faculty-administration committee.

#### *B. Membership*

##### STANDING

President of HU

Provost/Vice President of Academic Affairs

Dean of each college

CFO

##### APPOINTED

Two non-academic administrators appointed by the President

One faculty member appointed by the Provost

##### ELECTED

Three faculty members

### ***1.1.3.2 University-wide Advisory Committee on Compensation***

#### *A. Purpose and Function*

This Committee is a forum for discussion of, and recommendations concerning, compensation issues. The Committee reviews recommendations brought to it by members of the University or reviews matters initiated within the Committee. Recommendations are submitted to the President of the University for final action.

#### *B. Membership*

##### STANDING

CFO



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Provost/Vice President for Academic Affairs  
Director of Human Resources

### APPOINTED

Two administrators appointed by the CFO

### ELECTED

Two regular-ranked faculty members  
One adjunct faculty member  
One alternate faculty member  
Two staff members  
One alternate staff member

The CFO chairs the committee. Elected members serve for a term of two years. There is no restriction on the number of consecutive terms a member may serve.

### ***1.1.3.3 Issues Resolution Review Committee***

#### *A. Purpose and Function*

The Issues Resolution Review Committee is a university-wide advisory committee that reviews issues identified from any area of the University that do not clearly fall within the purview of other committees or areas.

This committee reviews issues brought to any of its members by members of the University or initiated within the committee.

After an initial hearing and review of any issue brought to it, the committee may refer the issue to the appropriate University area for resolution or maintain the issue for its own study. If necessary, the committee may confer with the President to determine the appropriate University area for resolution. If the Issues Resolution Committee determines that the committee is the appropriate body to assess the issue, it will gather additional information prior to providing a report and recommendation to the President. The President will then meet with the Issues Resolution Committee to discuss the recommendation before making a final determination. The determination will be communicated to all stakeholders, including the Faculty Senate, with appropriate consideration made to ensure confidentiality.

#### *B. Membership*

Two members and two alternates are elected by the Faculty Senate; two members and two alternates elected by Staff Educator Senate. The Issues Resolution Review Committee elects its own chair.

**1.1.3.4 Assessment Committee**

*A. Purpose and Function*

The purpose of the Assessment Committee is to support the University Community in the following ways:

1. Establish a campus culture of “continuous improvement.”
2. Ensure that the University monitors progress towards the student learning outcomes.
3. Assist in monitoring the alignment of learning outcomes with the Heritage Mission and adopted themes.
4. Assist in meeting any other assessment need as necessitated by accreditation.

The Assessment Committee respects the autonomy of programs. It acts as an advisory committee to the campus community and follows appropriate governance structures. It will not infringe on the rights of departments to determine their own programs. It respects academic freedom of faculty and will not evaluate individual faculty or staff members based on the data that is collected.

*B. Membership*

Membership of the Assessment Committee consists of standing, appointed, and elected members, as follows:

**STANDING**

Provost (Chair)  
Vice President of Student Affairs  
Institutional research representative  
Chief Information Officer

**APPOINTED**

Two student services staff (appointed by the Vice President of Student Affairs).  
Four appointments by Provost, including two administrators (i.e. deans, associate deans, department chairs, or program directors) as well as two teaching faculty.  
Additional members may be appointed by the Provost, as necessary, as long as the majority of the committee are faculty and representation between the College of Arts and Sciences and the College of Education/Psychology remains balanced.

**ELECTED BY FACULTY SENATE**

Two department chairs to serve staggered two-year terms, one from the College of Education/Psychology and one from the College of Arts and Sciences.  
Two faculty to serve staggered two-year terms, one from the College of Education/Psychology and one from the College of Arts and Sciences.

### ***1.1.3.5 Institutional Review Board (IRB)***

#### ***A. Purpose and Function***

The IRB is charged with protecting the rights and safety of participants in biomedical, social, and behavioral research. It requires compliance with basic ethical principles of research articulated by the U.S. Department of Health and Human Services. Heritage University maintains an IRB that reviews, approves, and certifies that staff, faculty, and student researchers are indeed protecting their human subjects. All research projects must be accomplished in accord with the Heritage University IRB policies and procedures.

#### ***B. Membership***

The IRB consists of at least five members appointed by the University President, as follows:

- At least three of the members must be faculty.
- At least one member must not be affiliated with the University.
- At least one member must not be a researcher.
- The board must not be comprised of members of a single gender.

One person may fill more than one of the above roles. Members are appointed for three-year, overlapping terms.

### ***1.1.3.6 University Technology Advisory Committee (UTAC)***

#### ***A. Purpose and Function***

This committee advises the Provost, President, and Chief Information Officer, evaluating the present and future needs for administrative and academic technology, including faculty support systems and student information systems. University IT is a balanced mix of administrative systems, which provide the underpinnings of day-to-day operations; faculty- and students-centric systems such as MyHeritage framework, advising, program administration, and the Learning Management System; and instructional technologies, all of which directly affect the teaching and learning experience and performance of faculty and students. The committee helps select classroom and lab technology, research technology, university supported software, and online technology. It also reviews and recommends policies related to acceptable use of all campus information technology. It brings faculty, students, and staff closer to decisive conversations related to instructional technologies, systems, and training.

A permanent subcommittee of the UTAC is the University Academic Technology Committee. It convenes to coordinate faculty proposals and positions on academic technology issues and to articulate those positions effectively before the larger committee and the administration. It may take its proposals to the larger committee, when the larger University issues are involved, or directly to administrators when that is appropriate.

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### *B. Membership*

#### STANDING

- The Director of the Library\*
- The Chief Information Officer\*

#### APPOINTED

- One faculty member at large (appointed by the Provost)\*
- Provost/Vice President for Academic Affairs or designee
- One member from Admissions\* (appointed by area VP)
- One member from Registrar (appointed by area VP)
- One member from Financial Aid (appointed by area VP)
- One member from Support Services (appointed by area VP)
- One member from Advancement or Marketing (appointed by area VP)

#### ELECTED

- A chair from Arts and Sciences\*
- A faculty member from Arts and Sciences\*
- A chair from Education and Psychology\*
- A faculty member from Education and Psychology\*
- One student (elected by SGA)\*

Those members marked by an asterisk also serve on the University Academic Technology Committee. The Chair of the larger Committee is elected each year by the whole committee from among the elected members of the Academic Technology Committee. He or she co-convenes the Committee with the CIO. Faculty members serve two-year renewable terms. Others serve one-year renewable terms. The Chair of the Academic Technology Committee is elected by the committee from the four elected committee members at the first meeting of each year and can but need not be the same person who chairs the larger committee.

### ***1.1.3.7 Admissions & Financial Aid Committee***

#### *A. Purpose and Function*

The purpose of the Admissions and Financial Aid Committee is to support the University Community in the following ways:

- 1 Partner with the Division of Student Affairs and Enrollment to create processes that ensure an incoming class every year be reflective of all parts of the Valley, represent a range of academic interests, and meet enrollment targets.
- 2 Help review Admissions policies and Financial Aid packaging formulas.
- 3 Review potential scholarship recipients (faculty and standing members subcommittee).
- 4 Review admissions applications as needed (faculty and standing members subcommittee).
- 5 Assist in monitoring the incoming enrollment targets of Heritage and their budget ramifications.

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### *B. Membership*

Membership of the Admissions and Financial Aid Committee consists of standing, appointed, and elected members, as follows:

#### STANDING

Vice President for Student Affairs & Enrollment (Chair)  
Admissions representative  
Director of Financial Aid  
Director of Academic Advising  
CFO  
Provost

#### APPOINTED

Two students (appointed by the Student Government Association)

Note: If none of the Standing or Faculty Senate representatives are members of the Heritage University Native American Faculty Academy (HUNAFAs), then a member of that group will be appointed by the Vice President for Student Affairs & Enrollment.

#### ELECTED BY FACULTY SENATE

Four faculty to serve staggered two-year terms, three from the College of Arts & Sciences and one from the College of Education & Psychology. The nominating committee will ensure that a full range of curriculum areas are represented, and will also ensure a proportionate ratio of faculty members between the colleges is reviewed and adjusted prior to regular elections (spring of even-numbered years).

### *1.1.3.8 Other University-wide Advisory Committees*

#### *A. Purpose and Function*

The University-wide Advisory Committees listed in this Handbook represent the major such committees. The Faculty Senate may request the President to establish other committees as needed or the President may initiate such committees.

Such committees may be standing committees established for a minimum period of two years, or they may be Ad Hoc Committees established to accomplish specific assignments and scheduled to dissolve at the conclusion of these duties.

#### *B. Membership*

Any University-wide Committee established under this section shall follow Section 1.1.3.b above regarding membership.

#### **1.1.4 Academic Advisory Committees**

The faculty of Heritage University is responsible for developing, implementing, and assuring the quality of all academic programs of the University. These processes are accomplished through a committee structure, which brings both Colleges into decision-making about the University's academic programs. Proposals for new academic programs are developed in accordance with University-wide policy # 6.1.1. The purposes and functions of the standing academic committees are outlined below. In addition, the Provost/Vice President for Academic Affairs, in consultation with the Faculty Senate, may appoint ad hoc committees as needed to address emergent academic issues or concerns.

##### ***1.1.4.1 Provost's Council***

###### ***A. Purpose and Function***

The Provost's Council is advisory to the Provost and Vice President for Academic Affairs. It makes recommendations on policies, procedures, major issues related to the entire academic program of the University. The Provost's Council also supports Department Chairs in carrying out their everyday responsibilities.

###### ***B. Membership***

The Provost and Vice President for Academic Affairs chairs the Provost's Council. Membership includes Deans, Department Chairs, Director of Library, and the Registrar.

##### ***1.1.4.2 Academic Affairs Assembly***

###### ***A. Purpose and Function***

The Academic Affairs Assembly is responsible for academic policy formulation, including admissions and graduation requirements, academic advising, program quality assurance, and approval of new majors, programs, sites, and/or degrees. It receives recommendations from the Undergraduate and Graduate Curriculum Committee and also acts on academic policy matters referred by other units of the University. The President of the University and the Provost/Vice President for the Academic Affairs give monthly reports. This Committee is advisory to the President and the Provost/Vice President for the Academic Affairs. The President forwards the committee's recommendations to the Board of Directors when appropriate.

###### ***B. Membership***

The President of the University and the President of the Faculty Senate co-chair this committee. Participants include the President of the University, the Provost/Vice President for Academic Affairs, all members of the Faculty Senate, all University Vice Presidents, Deans, Department Chairs, Registrar, and Directors of academic support units and centers. Voting members of this committee are the full-time faculty members.

### ***1.1.4.3 Undergraduate Curriculum Committee***

#### ***A. Purpose and Function***

The Undergraduate Curriculum Committee recommends academic policy related to the undergraduate curriculum of the University, including the General University Requirements (GUR's), undergraduate advising and assessment, criteria for academic honors and academic discipline, and curricular revisions of sufficient significance as to affect more than one program of the University. Proposals for new undergraduate sites, majors, programs, and degrees must be approved by the Undergraduate Curriculum Committee. Recommendations from this Committee are sent to the Academic Affairs Assembly for approval.

#### ***B. Membership***

##### **STANDING**

Registrar

##### **APPOINTED**

One academic administrator appointed by the Provost/Vice President for Academic Affairs

One representative appointed by the Director of the Library

One student representative selected by SGA

##### **ELECTED**

Three undergraduate faculty members, one of whom is a Department/Program Chair, from each college.

The nominating committee will ensure that a full range of curriculum areas are represented. The convener of the Undergraduate Curriculum Committee will be selected from among this group according to the guidelines in Article X of the Bylaws of Heritage University Faculty Senate and the Chair of the Undergraduate Curriculum Committee will be elected by the members at the first meeting of the academic year. Elected members serve for a term of two years. There is no restriction on the number of consecutive terms a member may serve.

### ***1.1.4.4 Graduate Curriculum Committee***

#### ***A. Purpose and Function***

The Graduate Curriculum Committee recommends academic policy related to the University's graduate curriculum, including graduate advising and assessment, criteria for academic honors and academic discipline, and curricular revisions in the graduate program of sufficient significance as to affect more than one program of the University.

The Graduate Curriculum Committee formulates policies for graduate degree programs and post-baccalaureate programs leading to certification or endorsements. This body must approve new locations for field-based graduate degree programs. A sub-committee of the Graduate Curriculum Committee, the Program Quality Review Committee, reviews and recommends

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modifications and standards in order to maintain a high level of quality at every location. Recommendations from the Graduate Curriculum Committee are sent to the Academic Affairs Assembly.

### *B. Membership*

#### STANDING

Registrar

#### APPOINTED

One academic administrator appointed by the Provost/Vice President for Academic Affairs

One representative appointed by the Director of the Library

#### ELECTED

Three faculty members, one of whom is a Graduate Department/Program Chair, from each college.

The nominating committee will ensure a broad representation of graduate programs offered at Heritage University. The convener of the Graduate Curriculum Committee will be selected from among the elected faculty according to the guidelines in Article X.E. of the Bylaws of Heritage University Faculty Senate. The convener will call the first meeting of the academic year, during which the committee members will elect the Chair of the Graduate Curriculum Committee from the elected members of the committee. Elected members serve for a term of two years. There is no restriction on the number of consecutive terms a member may serve.

### ***1.1.4.5 Committee on Library, Information Resources, & Instructional Technology***

#### *A. Purpose and Function*

This Advisory Committee evaluates academic needs and recommends policy and programs related to library, information resources and instructional technology. Depending upon the topics under consideration, its recommendations may be forwarded to the Director of the Library, the Director of Information Technology, the Undergraduate Curriculum Committee, the Graduate Curriculum Committee, the Academic Affairs Assembly, and/or the Provost/Vice President for Academic Affairs.

#### *B. Membership*

#### STANDING

Director of Library (Chair)

Director of Information Technology

#### APPOINTED

One academic administrator appointed by the Provost/VPAA

One librarian/staff appointed by the Director of Library (recorder and non-voting member)

Two faculty members from each College, appointed by the Deans of the College



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Director of a regional site, appointed by the Provost/VPAA.  
Two student members recommended by the SGA

The Committee is convened by the Director of the Library. Members serve for a term of two years, on a rotating basis. There is no restriction on the number of consecutive terms a member may serve.

### ***1.1.4.6 Faculty Professional Development Committee***

#### *A. Purpose and Function*

This Committee recommends policy and programs to advance the professional development of the Heritage University faculty. This Committee also advises the Provost/Vice President for Academic Affairs regarding needs for funding and procedures for faculty application for professional development opportunities sponsored by the University.

#### *B. Membership*

Four regular-ranked faculty members, two department chairs, and one adjunct faculty member, all elected by the Faculty Senate. Two of the seven elected members must have online teaching experience. The members of the committee will elect a chair at the first meeting following the election. The Committee members are elected according to the guidelines in Article X of the Bylaws of the Faculty Senate. Elected members serve terms of two years. There is no restriction on the number of consecutive terms a member may serve.

### ***1.1.4.7 Committee on Faculty Promotion***

#### *A. Purpose and Function*

The Committee on Faculty Promotion is charged with the evaluation and affirmation of faculty achievement in teaching, scholarship, and service as related to consideration for promotion, by applying policies stated elsewhere in this Handbook (Sections 2.3-2.6). The Committee maintains standards for faculty excellence with consistency and objectivity that enable the University to fulfill and enhance its educational mission.

Procedures for promotion are established by the Provost/Vice President for Academic Affairs in consultation with the Committee and are available through the Academic Affairs Office. The Committee reviews annually all applications for promotion and makes its recommendations to the President through the Provost/Vice President for Academic Affairs.

The Committee also reviews policy and recommends procedures regarding faculty evaluation.

Requests for promotion to Assistant Professor, Associate Professor, or Full Professor are reviewed by Chair, Dean, Committee on Faculty Promotion, Provost, and President, except that

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the committee constituted to review promotions to Full Professor consists of all current full Professors at Heritage.

### *B. Membership*

Membership consists of five regular-ranked faculty with the rank of Associate or Full Professor (no more than two of whom shall represent any one Academic Program of the University), including at least two faculty with the rank of Professor and one with the rank of Associate Professor. Faculty may not serve on both the Committee on Faculty Promotion and the Committee on Evaluation and Multi-year Appointments during the same time period. Two alternates who are regular-ranked faculty are also elected by the Faculty Senate. The convener of the Committee is selected according to the guidelines in Article X of the Bylaws of Heritage University Faculty Senate. The Chair is elected by the members at the first meeting of the academic year. There is no restriction on the number of consecutive terms a member may serve.

### *C. Attendance*

All members of this Committee, including alternates, should attend every meeting, except when the Committee is voting on applications of faculty for promotion and/or multi-year appointments, in which case all full members and only those alternates acting as official substitutes should be present.

After two consecutive unexcused absences, an elected member will be replaced by an alternate who will complete the term.

### ***1.1.4.8 Committee on Evaluation and Multi-year Appointments***

#### *A. Purpose and Function*

The Committee on Evaluation and Multi-year Appointments is charged with the evaluation and affirmation of faculty achievement in teaching, scholarship, and service as related to evaluation and multi-year appointments by applying policies stated elsewhere in this Handbook (Sections 2.3-2.6). The Committee maintains standards for faculty excellence with a consistency and objectivity that enable the University to fulfill and enhance its educational mission.

Procedures for evaluation and multi-year appointments are established by the Provost/Vice President for Academic Affairs in consultation with the Committee and are available through the Academic Affairs Office. The Committee reviews annually evaluations for all probationary faculty, as well as all applications for multi-year appointments. The Committee makes its recommendations to the President through the Provost/Vice President for Academic Affairs. The Committee also reviews policy and recommends procedures regarding faculty evaluation.

#### *B. Membership*

Membership consists of seven regular-ranked faculty, four from the College of Arts and Sciences and three from the College of Education and Psychology (no more than two of whom shall

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represent any one Academic Program of the University), including only faculty with the rank of Assistant, Associate, or Full Professor. Faculty may not serve on both the Committee on Faculty Promotion and the Committee on Evaluation and Multi-year Appointments during the same time period. Two alternates, one from each College who are regular-ranked faculty are also elected by the Faculty Senate. The convener of the Committee is selected according to the guidelines in Article X of the Bylaws of Heritage University Faculty Senate. The Chair is elected by the members at the first meeting of the academic year. There is no restriction on the number of consecutive terms a member may serve.

### *C. Attendance*

All members of this Committee, including alternates, should attend every meeting, except when the Committee is voting on applications of faculty for promotion and/or multi-year appointments, in which case all full members and only those alternates acting as official substitutes should be present.

After two consecutive unexcused absences, an elected member will be replaced by an alternate who will complete the term.

### **1.1.4.9 Committee on Program Review**

#### *A. Purpose and Function*

The purpose of the Committee on Program Review is to facilitate a faculty-led process of continuous improvement of the academic programs offered at Heritage University. All University programs are reviewed on a 5-year cycle. The Committee on Program Review becomes the first body to review the self-study report. The Committee provides its perspective of the program's report to the Provost.

#### *B. Membership*

##### STANDING

Provost or designee

University data researcher/analyst

##### APPOINTED

One academic administrator appointed by the Provost/VPAA

##### ELECTED BY FACULTY

Four elected members: Two faculty members from each College. The nominating committee will ensure that a full range of curriculum areas are represented, and will also ensure a proportionate ratio of faculty members between the colleges is reviewed and adjusted prior to regular elections (spring of even-numbered years).

*C. Scheduled Meetings*

The Committee on Program Review will meet as needed to effectively monitor the process with a minimum of one meeting each semester. Meetings shall be scheduled and posted for the entire University community at least two weeks in advance of the time set.

**2 Section II**

**Rights and Responsibilities of Faculty Members**

Faculty at Heritage University engage in a variety of academic activities, including, teaching, advising students, administering academic programs, performing research and scholarly work, providing service to the University and the community, and sharing in the governance of the institution. This section includes those matters central to the faculty's role and responsibilities. The faculty views itself as the central core of the University's structure. Academic policies are a collegial responsibility of the faculty. Thus, any changes proposed by either the faculty or the administration will be made after due consultation through the Faculty Senate and the University's Administration and with the approval of the President, and where necessary, the Heritage University Board of Directors (see Section 2.13).

**2.0 Faculty Roles**

Within the context of the goals and objectives of Heritage University, the fundamental responsibility of the faculty is to enable students to develop fully as persons and also to develop special competencies for responsible leadership and service. The individual faculty member is a life-long learner who facilitates student learning, engages in continued study and research, progresses toward advanced degrees, and maintains interest and involvement in the activities of professional organizations.

Heritage University faculty members are guided in their professional work and professional development by Heritage University Key Characteristics of Highly Effective Faculty adopted by the Faculty Senate in the areas of knowledge, learner-centered teaching, cultural pluralism, communication, reflective teaching, and professional standards and ethics. (See Appendix A)

Each faculty member, through the University committee structure and other means, is expected to contribute to the general development and improvement of the University and its mission in liberal and professional education. As an extension of that mission, the University recognizes the value of service rendered to schools, to business and industry, to governmental or non-profit agencies, or to the public at large in the local, state, national, or international community.

## **2.1 Definition of Faculty Status**

### **2.1.1 Regular and Ranked Faculty**

Regular-ranked faculty are those full-time or pro rata faculty who by contract have a primary professional responsibility to the University; they are available to the University for academic assignment both on and off campus during day, evening and weekend hours. A regular-ranked faculty member holds the rank of Instructor, Assistant Professor, Associate Professor, or Professor. Administrative titles for faculty include: Dean, Department Chair, and Director. Other regular-ranked faculty may include Librarian and Research Associate. These faculty members hold a regular-ranked faculty contract for one year (including probationary: 2.4.1.A and 2.4.1.B), three years, or six years.

### **2.1.2 Term Ranked Faculty**

Term ranked faculty are full-time or pro rata ranked faculty who have a time-limited appointment without expectation of reappointment. Positions for term ranked faculty may include grant-funded, or replacement faculty, or faculty hired without a regular search process. They have a term ranked faculty contract.

#### ***2.1.2.1 Procedure to Move from Term Ranked Faculty to Regular-ranked Faculty***

1. For Heritage University to issue a regular-ranked faculty contract to a term-ranked faculty, the following criterion will be considered:
  - a. financial stability as determined by the Board of Directors
  - b. program viability by satisfactory enrollment
  - c. faculty credentials
  - d. satisfactory performance by faculty member.
  
2. Faculty may move from term-ranked contracts to regular-ranked contracts in two ways. Faculty may apply for available regular-ranked positions, either within their department or another department at Heritage University. Term-ranked faculty contracts may also be converted to regular-ranked contracts at the discretion of Heritage University. When converting a contract, the procedure to award contract will be as follows:
  - a. Department Chair will make initial recommendation to the Dean based on the above criteria.
  - b. Dean will review Chair's recommendation and make recommendation to the Provost/Vice President of Academic Affairs (VPAA)
  - c. Provost/VPAA will review Dean's recommendation and then make appropriate recommendation to the President.
  - d. President will review recommendation of the Provost and will make the decision.
  - e. President's decision will be reflected in the faculty contract and the faculty will be informed in writing.

### **2.1.3 Collaborative Appointments**

These may be regular-ranked or term-ranked faculty whose appointment is made possible financially by a collaborative arrangement with one or more agencies and Heritage University. Individual contracts detail the specific terms of such appointments.

### **2.1.4 Visiting Faculty**

These term ranked faculty appointments, both full and part-time, are time limited with no expectation of reappointment. This faculty designation is reserved for those faculty who hold, or have recently held the rank of assistant professor, associate professor, or professor at another institution. Individual contracts detail the specific terms of such appointments.

### **2.1.5 Adjunct Faculty**

Adjunct faculty members are part-time faculty members usually employed one semester at a time to teach specific courses. They have an adjunct faculty contract. Program faculty are those adjunct faculty who teach on a regular part-time basis and are considered core faculty within their program area(s).

### **2.1.6 Honorary Titles**

Professor Emeritus (Emerita), and other honorary titles reflective of the mission of Heritage University, may be so designated and appointed by the President upon the recommendation of the Provost/Vice President for Academic Affairs.

A Professor Emeritus (Emerita) maintains this rank indefinitely and is listed in the appropriate faculty section of the University catalog.

### **2.1.7 Faculty Assuming Executive/Administrative Duties at Cabinet Level**

For purposes of this policy, the term "Administrator" includes only executive and administrative officers of the University. In the event that a faculty member assumes an Executive/Administrative position at Cabinet level, a prior negotiation will take place to assure that the faculty member's rank and multi-year appointment are not adversely affected, and that a plan is in place to protect the right of the faculty member to return to the faculty.

1. Faculty rank and multiple-year appointments are not affected by movement to an administrative position.
2. Within a six-year period, an administrator who holds faculty rank may return to his/her previous program if an opening exists; if no opening exists, the University must, within reason, assist the applicant to retrain for another program. This six-year period commences with the effective date of the administrative appointment. Notification of

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intent to return to the faculty must be given by February 1 of the Academic Year prior to return.

3. Upon return to faculty status an administrator resumes the rank previously held, and is credited for advance in rank with the time spent in administration.
4. An administrator not previously holding a faculty rank must apply for a faculty position as does any new applicant.
5. An administrator, previously holding faculty rank at Heritage University and returning to faculty status, will be evaluated for the type of multiple-year appointment he/she will receive (1 or 3 years). An administrator previously holding faculty rank at another institution, and desiring to return to faculty status at Heritage University must apply for a faculty position as does any new applicant.

### **2.1.8 Affiliate Appointment**

An affiliate appointment is an honorary, unpaid appointment reserved for individuals, either from Heritage University or other academic, professional, or technical institutions, who collaborate in teaching and/or research at Heritage University. Affiliate appointments, ranging from one to three years, are recommended by the department/program chair and approved by the dean/provost. Affiliate appointments are ranked as Affiliate Research Associate, Assistant Professor, Affiliate Associate Professor, or Affiliate Professor depending on the appointee's qualifications.

## **2.2 Faculty Workload**

The term "faculty workload" refers to the combination of duties and accountabilities for which the faculty member is responsible and may include such assignments as:

teaching  
field supervision  
supervision of special projects  
academic program administration  
student advising  
committee assignments  
grant work  
tutoring  
research  
accreditation work  
assessment  
attendance at University events  
mentoring  
librarianship  
professional activities  
travel related to teaching  
recruitment.

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Normally, all faculty assignments are made by the Dean and Department Chairs in consultation with the Provost/Vice President for Academic Affairs, whose responsibility it is to assure, insofar as reasonably practical, equitable treatment across the Colleges of the University. Teaching courses outside of one's assigned program requires the approval of the chairs of both Programs. Faculty assignments are not altered without the authorization of the Dean.

In order to assure quality advising for all students, as a guideline, the number of advisees assigned to regular-ranked faculty should not exceed 20-30 students, depending on program needs.

The standard teaching load per semester for a regular-ranked faculty member is twelve credits of undergraduate classes or the University established equivalent, as approved by the Provost/ Vice President for Academic Affairs.

Regular-ranked faculty on 10.5 contracts have a workload of 6 semester credits in the summer session.

A regular-ranked faculty member teaching only graduate courses shall have eight (8) semester credits considered a maximum full workload in any academic term.

One semester credit hour is constituted of 15 clock hours of instruction.

Deans and Department Chairs shall have their teaching load reduced according to the needs of the College.

All faculty members are expected to engage in academic advisement, either by formal assignments or as a supplement to classroom contacts. Faculty is therefore expected to be knowledgeable about requirements contained in the University Catalog and the services of the University that are available to assist students in reaching their educational goals.

The Provost/Vice President for Academic Affairs establishes procedures for the development, implementation, and monitoring of faculty workloads and faculty contracts in conjunction with the Deans and the administration of the University.

### **2.2.1 Extra Teaching**

#### *A. Overload Teaching*

In general, regular-ranked faculty do not teach more than two (2) courses per semester over their assigned workload (excluding courses in continuing education or in the Life Long Learning Institute) in their own or the other College. In such cases, extra remuneration will be given according to the prevailing salary schedule for adjunct faculty.

#### *B. Teaching Summer School Courses*



Faculty on less than 10.5 month contracts who teach in the summer term will be remunerated in accordance with the prevailing schedule for adjunct faculty.

## **2.3 Appointment to Rank**

### **2.3.1 Qualifications for Appointment to Rank**

#### **INSTRUCTOR**

An instructor is a full-time faculty member who possesses:

1. a Master's degree as a minimum educational requirement. Appointment of someone without a master's degree is done only in extraordinary circumstances for persons with outstanding credentials in their field and requires the chair and dean to provide justification for such an appointment;
2. teaching ability as described in the key characteristics outlined in Section 2.5.1 and Appendix A;
3. those qualities of character, personality and professionalism which are expected of a teacher and advisor of students as exemplified by the statements in Section 2.5.1.

An instructor shall be appointed annually.

#### **ASSISTANT PROFESSOR**

For initial appointment to the rank of Assistant Professor, an incoming faculty member must have attained the rank of Assistant Professor at a regionally accredited, four-year institution of higher learning where s/he previously taught, or present evidence of significant achievement and valuable experience relevant to the position to which s/he is to be appointed. It is presumed that the criteria as stated in Section 2.6.1 for elevation to the rank of Assistant Professor at Heritage University have been met.

#### **ASSOCIATE PROFESSOR**

For initial appointment to the rank of Associate Professor, an incoming faculty member must have attained the rank of Associate Professor at a regionally accredited four-year institution of higher education where s/he previously taught, or present evidence of significant achievement and valuable experience relevant to the position to which s/he is to be appointed as stated in Section 2.6.2.

In either case, the incoming faculty member must demonstrate qualifications comparable to those held by faculty elevated to the rank of Associate Professor at Heritage University.

#### **PROFESSOR**

For appointment to the rank of Professor, an incoming faculty member must have attained the rank of Professor at a regionally accredited, four-year institution of higher education where s/he previously taught, or present evidence of significant achievement and valuable experience relevant to the position to which s/he is to be appointed.

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In either case, the incoming faculty member must demonstrate qualifications comparable to those held by faculty elevated to the rank of Professor at Heritage University as stated in Section 2.6.3.

### **2.3.2 Appointment Procedures**

The President of the University, on the recommendation of the Provost/Vice President for Academic Affairs, appoints all regular and term-ranked Faculty. Prospective faculty members are interviewed and recommended by a Selection Committee appointed by the Provost/Vice President for Academic Affairs which includes members of the faculty as appropriate. The Selection Committee makes a recommendation for hiring to the President through the Provost/Vice President for Academic Affairs. If there is a departure from the description of faculty ranks in this Handbook in offering an appointment to an incoming faculty member, the Provost/Vice President for Academic Affairs will confer with the Committee on Promotion. The formal offer of employment made by the President to a prospective faculty member contains the conditions of continued employment and promotion as described during the interview process and as outlined in the Faculty Handbook.

Offers to Adjuncts are made by Deans and concluded by contracts approved by the Provost/Vice President for Academic Affairs. Appointment of Collaborative Faculty and Visiting Faculty, and the conferring of honorary titles have special conditions determined by the Provost/Vice President for Academic Affairs and the President. Appointment to an 11 month contract occurs only under special circumstances, by agreement of the Provost, Dean, and program chair, and will be reviewed every year.

### **2.4 Multi-Year Appointments**

Heritage University does not have a tenure system; however, the mutual commitment between the regular-ranked faculty member and the University is expressed through a series of long-term affiliations called multi-year appointments. This process is described in the following paragraphs.

#### **2.4.1 Procedures for Regular-ranked Faculty Contracts**

##### *A. Initial Appointment*

When a new faculty member is appointed following a normal search process, he or she receives an initial two-year appointment as a “regular-ranked probationary faculty member.”

##### *B. Probationary Period*

Faculty members will be provided time to develop their teaching and research portfolios, to become involved in University roles, and learn about the evaluation process.

- Year One - a formative first-year review is conducted with the faculty member by Chair, Dean, Committee on Faculty Evaluation and Multi-year Appointments, and Provost.

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These parties will provide written feedback to the faculty member on his/her performance. The product of the first-year review will be a written, formative faculty development plan prepared by the faculty member and Chair to be followed in year two of the appointment.

- Year Two - a more extensive review is conducted by Chair, Dean, Committee on Faculty Evaluation and Multi-year Appointments, Provost, and President. The outcome of that review will be one of the following:
  1. a two-year regular-ranked appointment,
  2. a one-year probationary regular-ranked appointment,
  3. notice as early as possible, but no later than March 1 that the appointment will be terminated at the end of year two.

The Chair or Dean will use best efforts to advise the faculty member by January 31 of a recommendation not to offer an additional appointment. Said advisory communication will not control the final outcome of the review process.

- Year Three - The review in year three is conducted with the faculty member by Chair, Dean, Committee on Faculty Evaluation and Multi-year Appointments, Provost, and President.
  1. For faculty on regular-ranked appointments, the outcome of that review will be one of the following:
    - a. a one-year regular-ranked appointment (see section 2.1.2.1),
    - b. a two-year regular-ranked appointment (see section 2.1.2.1),
    - c. a replacement of the fourth year appointment by a three-year appointment for years four, five, and six,
    - d. notice by May 31 that the appointment will terminate at the end of year four.

The year-three-review documents can be used as the foundation of a multi-year appointment application.

2. For faculty members on probationary appointments, the outcome of that review will be one of the following:
  - a. movement from probationary regular-ranked to regular-ranked status and a one-year appointment,
  - b. movement from probationary regular-ranked to regular-ranked status and a two-year appointment,
  - c. notice by March 1 that the appointment will terminate at the end of year three.

### *C. Contract Offer Date*

All offers of continuing contracts, of whatever duration, will be made annually by the President on or before June 1st, and signed within 30 days by the faculty member, unless the President receives written notification of the faculty member's intent to resign at the end of a given contract.

### **2.4.2 Eligibility for Multi-year Appointments**

Full time, regular-ranked Assistant, Associate, and Full Professors who have completed two years of probationary contracts and have regular-ranked status may apply for multi-year appointments. Requests for continuing multi-year appointments (3-year or six-year) are reviewed by Chair, Dean, Committee on Faculty Evaluation and Multi-year Appointments, Provost, and President. Requests for promotion to Assistant Professor, Associate Professor or Full Professor are reviewed by Chair, Dean, Committee on Faculty Promotion, Provost, and President, except that the committee constituted to review promotions to Full Professor consists of all current Full Professors at Heritage.

### **2.4.3 Faculty on Grants and Contracts**

Faculty appointed on funding from grants and contracts are eligible for the same terms of appointment as described above; however, the length of the appointments may not extend beyond the funding in the grant or contract. Faculty appointment on funding from grants does not preclude the individual from being considered for other positions.

### **2.4.4 Terminal Degree Options**

For programs for which HU may not need or expect a terminal degree or when a terminal degree in a field is not a typical Ph.D., Ed.D., etc., the faculty member may be considered for Associate rank and/or a multi-year appointment. This option will be handled by special consideration and will require review by Chair, Dean, Committee on Faculty Evaluation and Multi-year Appointments and/or Committee on Faculty Promotion, Provost, and President.

### **2.4.5 Eligibility for Associate Professor and Full Professor Rank**

Regular-ranked Assistant Professors who have earned Ph.D., Ed.D, M.F.A., or other terminal degrees are eligible to apply for Associate Professor regular-ranked appointments. Regular-ranked Associate Professors who have earned Ph.D., Ed.D, M.F.A., or other terminal degrees are eligible to apply for Full Professor regular-ranked appointments. Decisions regarding terminal degrees are made within discipline areas and supported through documentation of Professional Association practice within those disciplines.

## **2.5 Evaluation**

Since the University is responsible for maintaining high standards of performance in a wide variety of fields, it is essential that this faculty be composed of men and women of high personal and professional qualifications.

The rationale of evaluation procedures is to encourage and commend the faculty, to bring about improvement in the quality of performance, to recognize the contributions of the individual

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member, and thus, to promote the excellence of the University. In addition, these assessments serve as a basis for decisions on promotion and retention.

Faculty members will be evaluated annually using a Faculty Annual Report of Activities & Goals form which is signed by the immediate supervisor, the Department Chair, the Dean, and the Provost as well as feedback forms completed by the faculty member's students. The procedures will be promulgated by the Provost/Vice President for Academic Affairs and will take under consideration the Heritage University Key Characteristics of Highly Effective Faculty adopted by the Faculty Senate. Evaluation must be completed by the end of the Spring semester of the academic year. Deans and Program Chairs will be similarly evaluated by their Supervisors.

Every third year the annual evaluation will be expanded to include a self-assessment and discussion with the immediate supervisor on the Heritage University Key Characteristics of Highly Effective Faculty, student evaluations, and, should the faculty member apply for a multi-year appointment, a peer review conducted by the University Committee for Evaluation and Multi-year Appointments, using procedures promulgated by the Provost/Vice President for Academic Affairs. The primary focus of this evaluation will be the cumulative contributions of the faculty member since the last triennial evaluation. The evaluation process involves the Department Chair, College Dean, and Provost/Vice President for Academic Affairs. When an extended term appointment is to be issued, the evaluation will include a review by the University Committee for Evaluations and Multi-year Appointments and a Presidential review.

The following Evaluation Criteria, based on the Heritage University Key Characteristics of Highly Effective Faculty (Appendix A), will be considered during any review by the Committee on Evaluation and Multi-year Appointments

1. demonstrated effective service and commitment to the University mission (attested by the evaluation procedures of the University, specifically the academic supervisors' evaluation. Some further examples of evidence are self-evaluation and student evaluations, as appropriate).
2. shown continued professional growth, as seen in such accomplishments as attaining additional professional credentials, applying current scholarship to one's professional responsibilities at the University, publications, performances, presentations, or other similar achievements (attested by the Faculty Annual Report of Activities and Goals, or other supporting material offered by the faculty member).
3. maintained collegial relationships with the other employees of the University, students, members of the community, and others relevant to the faculty member's work at the University (may be attested by student evaluations, as appropriate, supervisor's evaluations, peer feedback, attendance at professional development opportunities provided by the Center for Intercultural Learning and Teaching, or other supporting material offered by the faculty member).

### **2.5.1 Teaching**

Qualifications for appointment or promotion include the Heritage University Key Characteristics of Highly Effective Faculty as approved by the Faculty Senate. The Key Characteristics to be evaluated include areas of knowledge, learner-centered teaching, cultural pluralism, communication, reflective teaching, and professional standards and ethics, as described in Appendix A.

### **2.5.2 Scholarship and Creativity**

All members of the faculty must be persons of scholarly ability and accomplishments. Their qualifications are to be evaluated on the quality of their published and other creative work, the range and variety of their intellectual interests, their success in training students in scholarly methods, and their participation and leadership in professional associations and in the editing of professional journals. Accomplishments may be in the realm of scientific investigation, in the realm of constructive contributions, or in the realm of the creative arts.

### **2.5.3 Service**

The scope of the University's activities makes it appropriate for members of the staff to engage in many activities outside of the fields of teaching and research. These may include participation in committee work and other administrative tasks, counseling, clinical duties, and special training programs. The University also expects many of its faculty members to render extramural services to schools, to industry, to local, state, and national agencies, and to the public at large.

### **2.5.4 Faculty Assessment**

Faculty contributions in each of these areas (above) must be assessed as objectively as reasonably practical. In order to facilitate the process, and to assess the whole record of the faculty member, the University utilizes a variety of means:

- A. Self-Evaluation. The best motivation to continued improvement lies in accurate self-appraisal. Faculty are encouraged to utilize self-evaluation as a tool for professional growth. In completing the Faculty Annual Report of Activities & Goals form, they may wish to confer with a fellow teacher about this evaluation and will meet with the immediate supervisor or Department Chair to receive his/her signature.

For the triennial evaluation, faculty complete a self-assessment based on the Heritage University Key Characteristics of Highly Effective Faculty (see Appendix A).

- B. Peer Evaluation. Objective judgments of peers regarding the quality of teaching, research, or service are an important source of evaluative data. Faculty may solicit peer input, such as working with peer mentors, faculty colleagues, and participation in

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activities of the Center for Intercultural Learning and Teaching. Review by the Committee on Evaluation and Multi-year Appointments during the triennial evaluation constitutes peer evaluation.

- C. Student Feedback. The University recognizes the value and limitations of student evaluation of faculty role as instructor, advisor, and/or mentor. Faculty may make use of questionnaires to elicit student judgments on a number of facets of instruction on the campus as a whole with regard to individual teachers. Faculty are encouraged to solicit formal and informal student feedback through other means to demonstrate the depth and breadth of their impact on student learning.

### 2.6 Promotion

Since elevation in rank is a matter given the most careful consideration by the University Committee on Promotion, it is of the utmost importance that all faculty members familiarize themselves with the standards in effect for such promotions before submitting their applications for consideration.

Promotion depends on the blending of multiple factors including cumulative time, cumulative accomplishments, and demonstration of commitment to work jointly with faculty, students, administrators, and members of the staff for the growth and well-being of the University.

The Committee on Promotion assesses relevant data and documentation, while the applicant establishes the validity of application material. The following criteria have been formulated to help guide faculty members as they consider applying for promotion.

#### 2.6.1 Qualifications for Assistant Professor

1. For promotion to the rank of Assistant Professor, a faculty member possessing a doctoral degree or other discipline-appropriate terminal degree (when a terminal degree in the field is not typically a Ph.D., Ed.D., etc.) must provide evidence of having:
  - a. completed a minimum of two years (including the current year) of relevant educational experience (such as laboratory or clinical practice, counseling, teaching, work, or service in a specialty area, which would enhance the University performance);
  - b. completed at least one year of effective full-time teaching at Heritage as described in "The Teaching Responsibility" (Cf.2.5.1. and Appendix A), and attested to by the evaluation procedures of the University. The requirement of one year's full-time teaching at Heritage does not apply in the case of initial appointments.
2. For elevation to the rank of Assistant Professor, a faculty member not holding a doctoral or terminal degree must, in addition to 1a and 1b above, hold an appropriate Master's degree and provide evidence of having:
  - a. demonstrated doctoral equivalency as detailed in Section 2.6.4 of this Handbook. These credits for professional credentials must be attained before the date of

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application for advancement. In each case the additional qualification must enhance the individual's contribution to teaching at Heritage.

- b. served for three academic years as an Instructor at an accredited institution with effective teaching ability as described in "The Teaching Responsibility"(Cf. 2.5.1 and Appendix A), and attested to by the evaluation procedures of the University (this requirement must include at least one academic year at Heritage).

### 2.6.2 Qualifications for Associate Professor

For promotion to the rank of Associate Professor, a faculty member must:

1. hold the rank of Assistant Professor;
2. have completed a minimum of four additional years (including the current year) of effective full-time teaching beyond the time of promotion to Assistant Professor. The faculty member must have completed at least one academic year at Heritage University before applying;
3. have earned a doctoral degree from an institution with regional accreditation, presented evidence of its equivalency (cf. Statement on Doctoral Equivalency, 2.6.4), or hold a non-terminal Master's degree but have completed 6 years of service at Heritage, demonstrated outstanding teaching, and made other contributions to the institution deemed to me of significant value;
4. have given evidence of performing in a collegial manner and of continued professional growth and value to the University by demonstrating fulfillment of all the criteria in Group A and at least one criterion in Group B as specified below.

#### GROUP A

1. Outstanding teaching ability as characterized by qualities described in the Heritage University Key Characteristic of Highly Effective Faculty (see Section 2.5.1 and Appendix A) and as attested to by the evaluation procedures of the University.
2. Ongoing service to the University/College: this includes contribution to the effective functioning of the department or College within the University in such ways as developing curricula; developing materials for accreditation and evaluation; advising students; taking responsibility for developing and administering curriculum areas within the department or College; screening of prospective faculty; producing relevant instructional materials; and, in general, contributing to the growth of the department or College.
3. Ongoing service to the total University: this refers to participation in University functions which transcend the department or College, including activities such as serving on University-wide committees; designing and/or teaching courses outside one's own area; participating in the planning and development of new programs; sharing professional expertise.



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4. Ongoing service to the larger community: this includes activities such as organizing or presenting workshops or institutes sponsored by Heritage University; conducting in-service institutes and training sessions; providing consultation to community groups; making presentations to community groups and organizations; serving on boards or community advisory groups.

### GROUP B

1. Publication: this refers to scholarly production, which has been subjected to an external, peer-reviewed screening process prior to being made public. This can take the form of original printed materials, productions, compositions, art works, etc.

In cases of multiple authorship or shared creation of scholarly productions, documentation must include a detailed description of the involvement by the faculty member.

Documentation of scholarly productions must also specify the nature of the screening process.

2. Involvement and leadership in discipline/field:
  - a. holding membership in organizations related to one's discipline/field;
  - b. holding a key position in an international, national, regional, or state academic or professional organization;
  - c. serving on evaluating accrediting bodies;
  - d. reviewing articles, books, artistic presentations, online educational resources, and/or other similar products;
  - e. presenting papers at international, national, regional, or state meetings;
  - f. serving on panels or making presentations at workshops on an international, national, regional, or state basis;
  - g. being invited by international, national, regional, or state organizations to present.

### 2.6.3 Qualifications for Professor

For promotion to the rank of Professor, a faculty member must:

1. hold the rank of Associate Professor;
2. have completed a minimum of six additional years (including the current year) of effective full-time teaching beyond the time of promotion to Associate Professor. The faculty member must have completed at least one academic year at Heritage University before applying;
3. have attained a doctoral degree from an institution with regional accreditation or demonstrated equivalence;

4. have presented evidence of accomplishment in each of the areas stated in A and B of the Associate Professor rank; this evidence must reveal cumulative progress beyond the achievements submitted for promotion to Associate Professor.

#### **2.6.4 Statement on Doctoral Equivalency**

In claiming doctoral equivalency, the applicant must demonstrate a depth and range of planned and evaluated professional activity that would be comparable to that accepted for the award of an earned doctoral degree in a given discipline by a fully accredited and recognized university.

Included in the professional activities are

1. professional, academic experiences of such quality, quantity, and sequence as to be comparable to doctoral-level courses required in accredited programs;
2. professional academic expertise having the same thoroughness, breadth, and depth as is verified by doctoral comprehensive examinations;
3. research or creative achievement acceptable on the doctoral level, presented professionally and evaluated by distinguished members of the discipline field;
4. demonstrated proficiency in foreign languages or similar competencies required for doctoral level research or creative achievement.

Certain activities are considered supplemental and performed by those already holding earned doctorates (e.g., teaching at the university level). These activities are not acceptable in establishing equivalency. They may, however, be relevant to the fulfillment of other criteria required for advancement in rank or for a multi-year appointment.

It is recommended that a faculty member obtain a mentor in the given discipline to serve as a facilitator in planning a program of activities that could lead to the establishment of doctoral equivalency. Such a projected program, however, would not imply endorsement by the Committee on Promotion. Approval of doctoral equivalency will be handled by special consideration and will require review by Chair, Dean, Committee on Faculty Evaluation and Multi-year Appointments and/or Committee on Faculty Promotion, Provost, and President.

#### **2.7 Faculty Personnel Records**

Faculty personnel records are maintained in the Office of Human Resources. The Director of Human Resources establishes procedures to ensure the confidentiality and proper use of faculty records according to all applicable state and federal laws. A faculty member may view his/her personnel file during regular office hours and may, for the cost of duplication, obtain copies of materials in the file.

## **2.8 Grievance Procedures**

### **2.8.1 Appeals and Complaints**

Grievances are resolved through appeals and/or complaints. If a particular grievance is grounded in a violation of Section II of the Faculty Handbook, the faculty member's solution by the appeal procedures herein provided. For any other grievance, the faculty member's remedy is by the complaint procedures herein provided.

### **2.8.2 Conditions Preceding All Complaints and Appeals**

No appeal or complaint shall be filed unless the faculty member complaining has, within fifteen calendar days following the occurrence giving rise to the grievance, requested an informal meeting with the supervisor having the authority to resolve the grievance. The faculty member requiring the meeting shall make himself/herself available at the convenience of the supervisor.

No appeal or complaint process will be initiated by the faculty member unless the requested meeting does not take place within ten working days after the request, or the informal meeting fails to resolve the grievance to the satisfaction of the faculty member. If the issue is unresolved, the faculty member will request a hearing before an Appeals Committee.

### **2.8.3 Ad Hoc Appeals Committee**

The Executive Board of the Faculty Senate, when informed by the Provost/Vice President for Academic Affairs that a complaint or grievance has been filed, will appoint two full-time members of the faculty to serve as an Ad Hoc Appeals Committee. The Provost/Vice President for Academic Affairs will likewise appoint one administrator to serve on the Ad Hoc Appeals Committee. These three representatives will meet within three working days of their appointment and elect a chairperson.

### **2.8.4 Complaint Process**

The complaint process is less formal than the appeals process (2.8.5) and a more direct approach to initial problem solving.

The faculty member initiates the complaint process by submitting a paper (not electronic) statement with the Provost/Vice President for Academic Affairs, setting forth the nature of the faculty member's complaint, the informal steps taken to date with respect to the named supervisor(s), and the remedy requested.

The Ad Hoc Appeals Committee shall conduct such inquiry into the complaint as they deem appropriate and shall have fifteen working days in which to make a final decision in the matter. The decision of the Ad Hoc Appeals Committee will be communicated in writing directly to the

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parties involved. The parties involved each have five working days after receipt of the decision by the Ad Hoc Appeals Committee in which to accept or reject the decision or work out an alternative solution.

Should either of the parties reject the decision of the Ad Hoc Appeals Committee, they may, within five working days thereafter, appeal that decision to the President who will render a final decision within five additional working days.

The time limits as specified in the complaint procedures above may be extended by mutual agreement of the parties involved, but when so extended, the extension shall be in writing to all parties.

All proceedings with reference to complaints will be closed and confidential to protect the parties and the University.

### **2.8.5 Grievance/Appeals Procedure**

A grievance procedure shall only be invoked when 1) the application of a specific section of the Faculty Handbook is in dispute, and 2) informal steps have already been undertaken (see 2.8.2).

The faculty member filing a complaint/grievance shall initiate the appeals procedure by filing with the Provost/Vice President for Academic Affairs a written statement (complaint/grievance) setting forth: (i) the nature of the grievance, (ii) the specific section of the Faculty Handbook complainant believes has not been adhered to, (iii) the informal steps taken to date with the specific named supervisor and (iv) the remedy requested.

The Ad Hoc Appeals Committee shall conduct such hearing or inquiry on the appeal as it deems appropriate and shall have fifteen working days in which to make its findings and recommendations to the parties involved.

It shall be the responsibility of the Provost/Vice President for Academic Affairs to assure that the complainant's written statement satisfies the above requirements. If it is found deficient to explain the deficiency to the complainant and assist complainant in satisfying said requirements before implementing the formation of the appeals procedure as provided in section 2.8.3 above.

The parties directly involved shall have ten calendar days after receipt of the Ad Hoc Appeals Committee recommendation in which to accept or reject the findings of the Committee and/or its recommendations.

Should the procedures above-described fail to resolve the appeal, then either party, or the Appeals Committee, shall initiate the formation of an ad hoc hearing panel. The Ad Hoc Hearing Panel is to be formed by the Appeals Committee. The committee will select a chairperson who is not a party of interest, from the administration or faculty of the University. The complainant shall then designate a panel member who likewise must not be party of interest and must be from the administration or faculty of the University. The respondent will then select

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a panel member who likewise shall not be a party of interest, from the faculty or administration of the University. This three-person panel will then proceed to hold a hearing on the appeal.

The Hearing Panel will be formed within ten working days of the request for such a panel and will begin the hearing within ten additional working days thereafter.

The hearing will be conducted in private and the parties will make no public statements about the case.

During the proceeding, each interested party will be permitted to be represented by an advisor of his or her own choice from within the University community or by legal counsel. If either party intends to be represented by legal counsel, they shall so advise the Hearing Panel and the other parties at least five days before the scheduled hearing, and the Hearing Panel may allow such additional time for preparation as it deems appropriate under the circumstances.

During the proceedings, the University may be represented by legal counsel and notice to that effect shall be sent to all interested parties.

All parties will have the right to offer the testimony of witnesses and to present other evidence. The University will cooperate with the Panel in securing witnesses and making available documentary and other evidence requested by the parties to the extent not limited by contract or applicable law. All parties will have the right to cross-examine witnesses. Where a witness has given a statement and cannot or will not appear, but the Hearing Panel determines that in the interest of fairness the statement should be admitted as evidence, it will, if practical, require the witness to answer written interrogatories propounded by the other party as a condition to the admission of said statement. The Hearing Panel may grant appropriate continuances to enable either party to investigate evidence or for any other appropriate reason. Every reasonable effort will be made to obtain the most reliable evidence.

If the Hearing Panel or the University determines that an independent medical and/or psychological examination is needed, the University will select an appropriate professional and the Hearing Panel will require the complaining party to undergo an examination at his/her own expense. If the complaining party fails to comply with such a requirement by the University, the Hearing Panel may dismiss the appeal.

In all cases, except for dismissal or suspension without pay, the burden of proof shall be on the party who initiated the grievance procedure by the initial filing of a grievance or complaint.

The decision of the Hearing Panel will be in the form of Findings of Fact, Conclusions, and Recommended Disposition of the Appeal. The Findings of Fact, Conclusions and Recommended Disposition should be based solely on the hearing records, pertinent University procedures as set forth herein and the laws of the state of Washington and of the United States.

The University shall record the hearing proceedings by electronic means, or such other means as the parties (including the Hearing Panel) may agree is appropriate and made available to members of the panel. Transcripts will be provided at the expense of the parties requesting them.

Time limits as specified in the appeals procedures may be extended by the Hearing Panel for good cause shown, or by mutual agreement of the parties with the consent of the Hearing Panel, but when so extended, the extension shall be in writing to all parties.

All proceedings with reference to appeals will be closed and confidential to protect the parties and the University.

### **2.8.6 Presidential Review**

The Hearing Panel will present its decision in the form of Findings, Conclusions, and Recommended Disposition of the Appeal within seven (7) working days of the conclusion of the hearing to the President of the University.

The President will review the findings and make a decision on the appeal within ten working days of the receipt of the Hearing Panel's report. The decision of the President is final.

### **2.8.7 Review of Record by Executive Committee of the Board of Directors**

Should the President be a direct party to the appeal, the appellant may file a petition to the Executive Committee of the Board of Directors for a review of the record. Such an appeal will be filed within five (5) working days of the President's decision. The Executive Committee of the Board of Directors will review the case at its next meeting and give a final decision on the appeal. Only when the President is directly involved will such a review take place. The Executive Committee shall be the sole judge of Presidential involvement in case of a dispute on the President's involvement.

### **2.8.8 Special Provisions**

All appeals except those relative to sexual harassment will follow this process. For those appeals relative to sexual harassment, the process defined in Heritage University Employee Handbook (Section 1.1) should be followed.

## **2.9 Separation**

Separation may occur in several ways including resignation, non-reappointment, and dismissal for cause. It may also come about as a result of retrenchment (see Section 2.10).

### **2.9.1 Resignation**

When feasible, a faculty member who has negotiations for employment with another institution should notify the Provost/Vice President for Academic Affairs in writing. Upon conclusion of a

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binding agreement to accept appointment elsewhere, prompt notification should be given to the Provost/Vice President for Academic Affairs of Heritage University.

Both the faculty member and the University have the responsibility to fulfill the conditions of the contract between them. Therefore, the faculty member would not leave, nor be solicited to leave, a position during an academic year for which an appointment is held, except by agreement with the University.

### **2.9.2 Non-Reappointment**

Non-reappointment of a faculty member is the right of the President of Heritage University, after consultation with the Provost/Vice President for Academic Affairs and the Dean, so long as there is no violation of contractual agreements or policies stated in this manual. Notification of non-reappointment for faculty is made based on the length of service as follows:

- Not later than March 1 of the first and second academic year of service;
- At least twelve months before the expiration of an appointment after two or more years at Heritage.

Since a notice of non-reappointment is not a dismissal for cause, it is not necessary for the University to set forth its reasons in the initial notice of non-reappointment. However, at the written request of the faculty member to the Provost/Vice President for Academic Affairs, the reasons will be provided in writing.

### **2.9.3 Dismissal For Cause**

Dismissal for cause is a severance action by which Heritage University terminates its contract with the faculty member for just cause. Any teaching contract is subject to action under this Section.

Just cause for dismissal must be directly and substantially related to the fitness of a faculty member to continue in a professional capacity as a teacher. Dismissal shall be determined in each instance by the President in accordance with procedures outlined below. Dismissal proceedings may be instituted on the basis of the following grounds, but are not limited to them:

- a. professional incompetence
- b. continued neglect of academic duties in spite of written warnings
- c. serious personal misconduct
- d. serious violation of the rights and/or freedom of fellow faculty members, administrators, or students
- e. conviction of a felony or serious misdemeanor
- f. serious failure to follow the canons and professional ethics of one's discipline or the teaching profession in general
- g. breaching of the faculty contract

- h. conflict of interest.

In every instance, dismissal procedures will include the following steps:

- a. Faculty member receives written notice from the University's Provost/Vice President for Academic Affairs that a recommendation for dismissal for cause shall be made to the President. This notice shall contain a written statement of the grounds upon which the recommendation is to be made, and a brief summary of information supporting such grounds.
- b. Faculty member will be provided a reasonable opportunity (not less than 10 working days) to appeal the recommendation to the Ad Hoc Appeals Committee by presenting his/her written response to the dismissal recommendation before their recommendation is made. The Appeals Committee shall make their recommendation to the President.
- c. Faculty member will be provided a reasonable opportunity (not less than 10 working days) for the faculty member to meet with the President to present his/her response to the dismissal recommendation when such recommendation is acted upon by the President.

In any case involving dismissal for cause, the burden of proof that just cause exists shall be on the University, which proof shall be by clear and convincing evidence in the record considered as a whole.

## **2.9.4 Action Short of Dismissal**

### ***2.9.4.1 Suspension Without Pay***

Depending on the circumstances, the President may elect to impose a lesser disciplinary action than dismissal. Such as suspension for a period of time without pay, when evidence exists similar to that required to bring a dismissal action and when the process defined in Section 2.9.3. for dismissal for cause has been followed.

### ***2.9.4.2 Suspension With Pay***

Suspension with pay is the temporary separation of a faculty member from the University. This occurs when, in the judgment of the President, the best interests of the University requires such suspension. In unusual circumstances, the President may take disciplinary action without previous citation or warning. Suspension with pay shall last only so long as the best interest of the University requires it in the judgment of the President, or until a dismissal for cause procedure is undertaken.

## **2.10 Retrenchment**

The President of the University has the responsibility to see that Heritage University continues to fulfill the purposes for which the University was founded with the spirit in which the University



was founded. Since cutbacks in governmental aid and other external factors may create a state of financial exigency at Heritage University, the question of retrenchment and its related consequences must be addressed.. Any action of retrenchment must be undertaken only after an evaluation of the situation in light of the educational objectives of the University.

Retrenchment is an action of the University that may result in the termination of a regular-ranked faculty member before the expiration of his/her current contract, for reasons having nothing to do with his/her performance.

This statement of policy addresses itself to University-initiated termination of faculty appointments under two circumstances:

1. As a result of a demonstrated state of financial exigency; and
2. As a result of the reduction or discontinuance of a program or of instruction because of educational considerations.

### **2.10.1 Retrenchment Due to Financial Exigency**

Evaluation of potential financial exigency, (i.e. financial difficulties affecting the viability of the institution) shall be made by the administration in conjunction with the Executive Board of the Faculty Senate.

The final determination that financial exigency exists or is imminent shall be made by the Board of Directors, after participation of the faculty through the Executive Board of the Faculty Senate.

If the institution, because of a declared financial exigency, terminates appointments, it shall not at the same time make new appointments in the affected area, except in extraordinary circumstances where a serious distortion in the academic program would otherwise result. The Executive Board of the Faculty Senate shall participate in determining the definitions of “extraordinary” and “serious distortion” as well as the decision that all feasible alternatives to termination of an appointment have been pursued.

### **2.10.2 Retrenchment Due to Educational Considerations**

Retrenchment may occur because of educational considerations, including but not limited to the following:

- Change in the educational objectives of the College or the University.
- An insufficient number of students to justify continuation of the program.
- Inadequate supporting materials, equipment, and/or space appropriate to the quantitative and qualitative needs of the program.

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The determination to formally discontinue a program of instruction because of educational considerations will be made and reviewed in the same manner as that described above for a case of financial exigency, if termination of faculty will be a necessary consequence.

In determining potential financial exigency or educational considerations which may lead to retrenchment, the Executive Board of the Faculty Senate will assume responsibility for studying the issues, including:

- Accumulation and review of all appropriate documents.
- Consultation with resource persons.
- Consideration of AAUP guidelines.
- Input from full-time faculty.
- Deliberation on all relevant matters.
- Determination of recommendations regarding programs.
- Transmittal of recommendations to the President of the University.
- Communication of final report to the faculty.

A member of the Executive Board of the Faculty Senate shall be named by the Executive Board to serve as chair for the study of financial exigency and retrenchment. Resource persons must include the chairperson of an undergraduate or graduate program identified for possible retrenchment. Additional resource persons shall be consulted by the committee as required.

Before any determination of retrenchment becomes final, those whose life's work stands to be adversely affected shall have the right to be heard by the Committee.

### **2.10.3 Documents Relevant to Retrenchment**

The administration shall make available all existing documents relevant to retrenchment, as needed by the Executive Board of the Faculty Senate.

These documents include, but are not limited to, University – wide budgets (excluding individual faculty, administrative and staff salaries), organization charts, staffing records, class size by individual faculty, enrollment data, seniority lists, and academic program information.

### **2.10.4 Reduction in Force of Faculty**

If it is necessary to implement a reduction in force of regular-ranked faculty, there will be consideration of the essential needs of each college and the academic integrity of the institution including affirmative action goals; then degrees, rank, and years of service of faculty members will be taken into account.

### **2.10.5 Relevance of Affirmative Action and Equal Employment Opportunity Requirements**

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Deliberations of the Executive Board of the Faculty Senate shall observe the Heritage University Employee Handbook (Section 1.1) regarding Affirmative Action and Equal Employment Opportunity requirements.

### **2.10.6 Notification**

Ordinarily, faculty members to be retrenched shall be notified 12 months prior to expiration of their contracts.

### **2.10.7 Rehiring**

A faculty member who has been separated from the University through retrenchment shall be placed on a preferred rehiring list and shall retain all prior accrued rights up to the date he/she was placed on the list. No new faculty member shall be hired to fill a vacancy at the University for which a retrenched faculty member on the preferred rehiring list is qualified, unless the vacancy is first offered in writing to all such faculty members on that list, for recall in reverse order of placement thereon, for a period of thirty (30) days. In the event a faculty member rejects in writing an offered position in accordance with the foregoing, or in the event the faculty member does not respond in writing within the thirty-day period, his/her name shall be passed over, but shall remain on the preferred rehiring list for a second, final opportunity for reappointment during a period not to exceed three years. Whether a position is offered or not, no retrenched faculty member's name shall remain on the preferred list for more than three years.

In the event a faculty member is recalled in accordance with the provisions above, he/she shall receive the same rank held when retrenched and the prevailing salary at the time of reappointment. Years of service applicable to promotion and multi-year appointments earned prior to retrenchment shall be retained by faculty members. Furthermore, he/she shall not be considered a new employee for purposes of fringe benefits provided for faculty members. All notices to faculty members or to former faculty members called for in this policy statement shall be considered valid if mailed to the last known address of such faculty member as it appears on the University mailing list.

## **2.11 Faculty Rights and Responsibilities**

### **2.11.1 Academic Freedom/Political Activity**

#### ***2.11.1.1 Academic Freedom***

Faculty are entitled to full freedom in research and in the publication of results. However, research involving human subjects will require prior approval by the Provost/Vice President for Academic Affairs. Faculty have the responsibility to monitor research by students involving

human subjects. Research for monetary return should be cleared with the President. Faculty are entitled to freedom in the classroom in discussing their subjects, but they should avoid introducing controversial matter unrelated to these subjects. As citizens, as members of learned professions, and as representatives of the University, faculty members occupy a unique position in the community and are expected to adhere to behavior commensurate with this status. When addressing public audiences, they should clearly state whether they are or are not speaking for the University.

### ***2.11.1.2 Political Activity***

Faculty members should be free to engage in political activities so far as they are able to do so consistent with their obligation as teachers and scholars.

A leave of absence incident to political activity comes under the institutional normal rules and regulations for leaves of absences. Such a leave does not affect unfavorably the status of a faculty member except that time spent on such a leave from academic duties does not count as time for promotion in rank.

### **2.11.2 Professional Ethics**

The Faculty at Heritage University recognize that membership in the academic profession carries with it special responsibilities. The Statement on Professional Ethics, below sets forth general standards assumed by members of the profession. (See also the University Honesty Policy, Heritage University Catalog; Conflict of Interest Policy in Heritage University Employee Handbook).

1. The faculty, 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 faculty members 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 the faculty may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. Faculty members encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. They demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Faculty members 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 faculty members and students. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

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3. As colleagues, faculty members have obligations that derive from common membership in the community of scholars. They do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas the faculty members show due respect for the opinions of others. They acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Faculty members accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, the faculty seeks above all to be effective teachers and scholars. Although they observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to critique them and seek revision. Faculty members give due regard to their paramount responsibilities within the University in determining the amount and character of work done outside it. When considering the interruption or termination of their service, they recognize the effect of their decision upon the programs of the University and give due notice of their intentions.
5. As members of their civic community faculty members also have civic rights and obligations. They measure the urgency of these obligations in the light of their responsibilities to their academic field, to their profession, and to Heritage University. When they speak or act as private persons, they avoid creating the impression of speaking or acting for the University. Engaged in a profession that depends upon freedom for its health and integrity, the faculty have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom and ethical conduct.

### **2.11.3 Civil Rights: Equal Opportunity/Affirmative Action**

See Heritage University Employee Handbook (Section 1.1).

#### ***2.11.3.1 Sexual Harassment, Complaint Procedures, and Penalties***

See Heritage University Employee Handbook Section 1.1)

#### ***2.11.3.2 Grievance Procedures for Sexual Harassment***

See Heritage University Employee Handbook.(Section 1.1)

#### ***2.11.3.3 Penalties for Sexual Harassment/Discrimination***

See Heritage University Employee Handbook (Section 1.1)

### **2.11.4 Faculty Leave**

Regular-ranked faculty and term-ranked faculty, as defined in sections 2.1.1 and 2.1.2, are eligible for leaves, as elaborated in this policy. The term faculty used henceforth refers only to regular-ranked and term-ranked faculty.

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Within these categories, the degree of eligibility is distinguished based on whether the faculty member holds a 9-month or 12-month appointment.

### ***2.11.4.1 Twelve Month Appointments***

#### 2.11.4.1.a General Provision for Faculty on Twelve-Month Appointments

1. Terms of Employment

Faculty with 12-month appointments may have contracts that offer 11-months of pay or 10.5-months of pay, spread over 12 months. The University covers the costs of twelve months of benefits for these faculty members.

2. Vacation

Faculty on 12-month appointments are not eligible for paid vacation. See below under “Unpaid Time Off” for explanation.

3. Holidays

All faculty on 12-month appointments receive all University-designated paid holidays. Paid holidays function on a “use or lose” basis. They are not accrued, cannot be exchanged for other time off, and have no cash value.

#### 2.11.4.1.b Definition of 12-Month Faculty Work Days Between Semesters

1. The Heritage University contract year for 12-month faculty is July 1 through June 30. The academic calendar is divided into fall, spring, and summer semesters. The weeks immediately before and after each semester are used for advising, on-campus meetings, workshops, and planning sessions, and are designated as *Faculty Days*, with one all-faculty, full-day meeting the week before fall and spring semesters, planned by the Professional Development Committee. Twelve-month faculty members are expected to be on campus for these scheduled events; however, they may use unpaid leave during these times, as approved by the faculty member’s supervisor and Dean.
2. In the periods between semesters, faculty with administrative or other non-teaching roles are expected to continue performing those duties. Unpaid leave used during those interim periods shall be taken in proportion to those assigned roles. That is, if the non-teaching role is 100%, all of the time taken off counts as unpaid leave, but if the non-teaching role is 25%, only 25% of the time taken off counts as unpaid leave.

#### 2.11.4.1.c Unpaid Time Off for 12-Month Faculty

1. Faculty on 12-month appointments with 11-month contracts are entitled to 4 weeks (20 working days/160 hours) of unpaid time off, which may be scheduled throughout the year, as approved by faculty member’s supervisor and Dean.
2. Faculty on 12-month appointments with 10.5-month contracts are entitled to 6 weeks (30 working days/240 hours) of unpaid time off, which may be scheduled throughout the year, as approved by the faculty member’s supervisor and Dean.

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3. Unpaid leave may be used for any reason. It can be used to cover time away from campus during breaks between semesters. It can be used, for example, to cover administrative time obligations during periods of illness, bereavement, or family events.
4. Unpaid Leave is not convertible into paid leave. It has no cash value at separation of employee from the institution. It may be used in full, starting on the first day of a contract.

### ***2.11.4.2 Nine Month Appointments***

#### **2.11.4.2.a General Provision for Faculty on Nine-Month Appointments**

1. **Terms of Employment**  
Faculty with 9-month contracts work from mid-August to mid-May. The University covers the costs of twelve months of benefits for these faculty members. These faculty may also hold a supplementary contract for up to 6 weeks' work during the summer or may earn 6 weeks' pay for a 2 1/2 month mini-sabbatical.
2. **Vacation**  
Faculty on 9-month appointments are not eligible for paid vacation.
3. **Holidays**  
All faculty on 9-month appointments receive the all University-designated paid holidays. Paid holidays function on a "use or lose" basis. They are not accrued, cannot be exchanged for other time off, and have no cash value.

#### **2.11.4.2.b Definition of 9-Month Faculty Work Days Between Semesters**

1. The Heritage University contract year for 9-month employees is mid-August through mid-May. The academic calendar is divided into fall, spring, and summer semesters. Faculty on 9-month contracts are expected to be on campus for the week before and the week after each semester until the date grades are due. These weeks before and after fall and spring semesters are used for advising, on-campus meetings, workshops, and planning sessions, and are designated as *Faculty Days*, with one all-faculty, full-day meeting, planned by the Professional Development Committee the week before fall and spring semesters.
2. In the periods between the semesters, faculty with administrative or other non-teaching roles are expected to continue performing those duties.

#### **2.11.4.2.c Unpaid Time Off for 9-Month Faculty**

Faculty on 9 month appointments are not entitled to unpaid time off.

### ***2.11.4.3 Sick Time***

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Faculty do not accrue sick days, with or without cash value. Time off due to illness is dealt with in the following manner:

1. Under the practice of collegial coverage, if a qualified faculty member voluntarily covers the classes and other commitments of a faculty member who is ill, the ill faculty member will continue to receive full pay during the period of illness, subject to the requirements for disability pay discussed below.
2. If a full-time faculty member is incapacitated for less than 60 calendar days, Heritage University will make a good faith effort to provide collegial coverage during that time. However, if a faculty member is ill for longer than 60 days, the University will no longer be able to provide collegial coverage. The ill faculty member will continue to be paid but the costs of adjunct faculty instruction to replace the ill faculty member will then be deducted from the pay, subject to the requirements for disability pay discussed below.
3. Should the period of illness reach 90 days, as defined in the University's current disability policy, the faculty member becomes eligible for disability leave. Pay for the faculty member on disability leave will be determined by the terms of the disability insurance policy then in force.
4. Because faculty members do not accrue sick time, faculty may not carry over sick time from year to year and may not "donate" sick time to other faculty or staff members.

### ***2.11.4.4 Family Medical Leave Act (FMLA)***

The Family Medical Leave Act applies to all employees including faculty. See Heritage University Employee Handbook (Section 4.10).

### ***2.11.4.5 Time off campus***

Definition: For the purpose of this section, "on campus" includes presence on their home campus, and/or driving time to regional or student supervision sites and performing faculty responsibilities at those sites or on the virtual campus, as assigned and/or approved by the appropriate supervisor.

1. Because of the mission of the University and the needs of students for regular in-person contact with faculty, faculty will generally be available to students on campus five days a week. Faculty members' five-day work week may include Saturday and Sunday instead of a traditional Monday through Friday schedule. Faculty should regularly be accessible during other portions of the faculty members' normal work days via phone, email, or online classroom technology.
2. It is understood that faculty require time for preparation and research. Nonetheless, faculty are strongly encouraged to engage in these activities on campus as much as possible.



#### **2.11.4.6 Time Accountability**

1. Faculty members do not submit time accountability forms but will establish and post a regular schedule during the semesters. They will notify their supervisors, in advance, of plans to be absent from their regularly established schedules for a full day or more--for example, taking unpaid leave or attending conferences. If the absence is during the semester, the plan for class coverage will be included.
2. Faculty members involved in grant activities must submit a monthly time and effort report form that accurately accounts for time spent during the prior month to Assistant Controller/Grant Accountant, unless their salary is coded 100% to the grant. Time and effort reports must be submitted by the 8th day of the next month. Failure to submit properly completed forms in a timely manner may be grounds for disciplinary action.

### **2.12 Faculty Professional Development**

#### **2.12.1 Statement of Principles and Responsibilities**

On-going professional growth and development is essential to the effectiveness of the individual faculty member and also enriches and improves the quality of education that the University offers to its students. Faculty professional development needs are as diverse as the Heritage University faculty and may include participation in professional organizations and their meetings, consultations with outside experts, site visits or professional exchanges with other institutions, acquisition of instructional materials or equipment, or release time for curriculum development or research. The responsibility for faculty professional development is three-fold:

1. Individual faculty members are ultimately responsible for their own continuing professional development. To the extent that the faculty member's professional development plans are to be supported by Heritage University, individual goals should be set in the context of the goals of the Department, College, and the University.
2. The Department Chair and the Dean are responsible for assisting the faculty in establishing a Faculty Development Plan consistent with the Heritage University Key Characteristics of Highly Effective Faculty and annually reviewing proposed professional goals (Appendix A).
3. The Administration has a responsibility to support faculty in their on-going professional development. This implies a commitment to make resources available and to use faculty development funds to the greatest benefit of the faculty.

University policy and procedures for Faculty Professional Development are established by the Provost/Vice President for Academic Affairs upon recommendation of the Faculty Professional Development Committee (see 1.1.4.6).

## **2.12.2 Sabbatical Leave**

### ***2.12.2.1 Purpose***

Sabbatical leaves are intended to be a means of faculty professional development, mutually beneficial to the individual faculty member, to the College of which the applicant is a member, and to the advancement of the University's mission and goals and objectives. The sabbatical leave allows released time from regular duties for faculty to engage in research, study, writing, or other forms of professional development that will contribute to their growth as teachers and scholars. The sabbatical may lead to outcomes such as publication, curricular change, a new specialization, or artistic creations. Heritage provides a maximum of one half of the faculty member's annual salary for a sabbatical. The period of the sabbatical may be a single fall or spring semester, two summers, or a full year. All benefits are continued in proportion to salary during the sabbatical, except medical and disability benefits, which are continued in full.

### ***2.12.2.2 Eligibility and Criteria***

Sabbatical leave is available to faculty members who have served a minimum of seven consecutive years as full-time faculty members at Heritage University. Consideration in selecting candidates will be given to the quality of the proposal presented and its expected benefits in terms of its contribution to the mission and goals of the University and the [College](#) as well as to the growth and effectiveness of the candidate as a teacher and scholar. Other considerations include the timeliness of the proposal, the length of service of the applicant, the priority due to first sabbaticals, and the denial of a previous request due to lack of funding.

### ***2.12.2.3 Application Procedures***

The Provost/Vice President for Academic Affairs establishes application procedures for sabbatical leaves. Whether any sabbatical leaves are granted in a given year, and the number granted, will depend upon the needs of the Colleges and the University's finances available as judged by its Board of Directors. In advance of submitting a request for a sabbatical leave, a faculty member will first consult with his/her Department Chair and Dean. If the Chair and Dean both agree, the faculty member may request the application form and procedures from the Provost/Vice President for Academic Affairs.

## **2.12.3 Leave of Absence**

### ***2.12.3.1 Purpose***

Faculty members may request a leave of absence for such purposes as study, research, political activity, to participate in an exchange, to take a temporary position at another institution, or for personal reasons. A leave of absence is an unpaid leave; however, it may be supported by a grant or other form of external funding, and appropriate benefits coverage is negotiated depending upon the needs of the applicant. A leave of absence taken for activities related to the faculty

member's field may be counted as a year in service for calculation of advancement in rank and benefits. A leave taken for activities outside the faculty member's field will generally not be counted as a year of service for calculation of advancement in rank and benefits.

### ***2.12.3.2 Eligibility and Criteria***

A leave of absence may be requested by any faculty member with two years of service. Approval of the request for a leave of absence will be subject to the needs of the College and of the University.

### ***2.12.3.3 Application Procedures***

The Provost/Vice President for Academic Affairs establishes application procedures for leaves of absence. Faculty members considering requesting a leave of absence will consult with their Chair and Dean and complete the application process at least six months in advance of the anticipated leave, when feasible. A leave of absence will be granted for a maximum of up to one year, and if a second year is to be requested, the application must be completed at least six months in advance of the renewal date.

## **2.13 Provisions for Amendment or Revision of Faculty Handbook**

This Faculty Handbook is the product of deliberations and discussions held by the faculty in the Faculty Senate. The written document, in whole and in part, has been circulated to the faculty during the revision process for input. It was then submitted to the Provost/Vice President of Academic Affairs, President, and to the Board of Directors for approval.

### ***A. MINOR REVISIONS***

Suggestions for minor revisions to this Handbook are sent to the Provost/Vice President for Academic Affairs by the Executive Committee of the Senate on the recommendation of the Governance Committee of the Faculty Senate, and after approval of the entire Faculty Senate. These minor changes can be approved for the University by the Provost/Vice President for Academic Affairs.

### ***B. OTHER AMENDMENTS***

Other amendments to the Faculty Handbook shall be made only by the mutual agreement of the President of Heritage University and the Faculty Senate, and with the approval of the Board of Directors. Proposals may originate from faculty or administration and will be referred to the Governance Committee. Amendments to this Faculty Handbook will be drafted by the Governance Committee of the Faculty Senate according to the Bylaws of Heritage University Faculty Senate. The Faculty Senate will take a vote on any revisions proposed by the Governance Committee. In order for the changes to take effect with the beginning of the next standard contract year (July 1), such action should be taken prior to the winter Heritage University Board Meeting. These deliberations will follow procedure described below.

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1. Proposed major revisions will be drafted by the Governance Committee of the Faculty Senate in consultation with representatives of the Administration as designated by the President of the University, and will be circulated by the Faculty Senate President to the entire faculty. They will be placed on the agenda of the Faculty Senate to be discussed. No vote will be taken at the time of this first discussion. Minutes will be circulated to the total faculty.
2. At a subsequent regular or special meeting of the Faculty Senate at which a quorum is present a vote will be taken on the proposed amendment(s). A two-thirds majority vote is required to amend this Handbook.
3. Changes are then submitted to the Provost/Vice President of Academic Affairs and the President of the University with a request that she/he recommend the changes to the Board of Directors in a timely manner for approval.

# HERITAGE UNIVERSITY FACULTY HANDBOOK

## APPENDIX A: Key Characteristics of Highly Effective Faculty

Originally adopted into Faculty Handbook by Faculty Senate on May 5 and Board of Directors on June 12, 1997

### **Heritage University Key Characteristics of Highly Effective Faculty And Measures of Faculty Success** (Changes Adopted by Faculty Senate 3/29/2005 and Academic Affairs April 2005)

#### **Core Convictions/Preamble**

Highly effective educators at Heritage University are persons whose commitment and dedication embody the three “key values” underlying the Heritage University Vision Statement: “1) honoring each person’s human dignity and potential; 2) seeking intellectual growth and challenges; and 3) celebrating the shared spiritual roots of all humankind.” Highly effective Heritage educators value the intellectual life in all its dimensions: cognitive, affective, and cultural; listen to and incorporate student knowledge and experience by respecting their diverse cultures and learning styles; challenge students to explore and aspire to their full academic potential; and foster collaboration among students and faculty to form a community of engaged, reflective, mutually-supportive learners.

Together the faculty members of Heritage University have identified the following categories of key characteristics of faculty who are highly successful at Heritage.

#### **1. Knowledge**

- 1A. Is professionally well-prepared; is well-informed on a broad range of topics
- 1B. Provides strong, academic disciplinary content; continues to advance in the discipline; knows current sources and resources for the discipline
- 1C. Integrates related academic disciplines
- 1D. Is aware of key aspects of human, intellectual, and moral development
- 1E. Understands and respects individual learners, intellectually, emotionally, and culturally

#### **2. Learner-Centered Teaching**

- 2A. Uses a variety of active teaching and learning strategies to interest, engage, and motivate students
- 2B. Connects discipline content to authentic, real life applications and current issues
- 2C. Identifies learning outcomes and multiple means of achieving them
- 2D. Uses frequent and multiple techniques of assessment
- 2E. Adapts teaching strategies to diverse learning styles,
- 2F. Identifies the point at which students can grow, and supports students in meeting rigorous academic challenges
- 2G. Designs a hospitable classroom culture and builds a collaborative community from the diversity in the classroom
- 2H. Integrates technology and multi-media into classroom learning.
- 2I. Encourages hands-on learning with projects, practica, or research that is relevant to students’ professional development and to the needs of the community.

#### **3. Cultural Pluralism**

- 3A. Celebrates human diversity and practices inclusiveness as core institutional values
- 3B. Enlarges students’ world view, respecting the many traditions underlying ethical thought and conduct by bringing cross-cultural/global perspectives into the curriculum
- 3C. Functions comfortably and effectively in the cultural communities served by Heritage University
- 3D. Recognizes and respects each student’s multiple socio-cultural identities and teaches holistically (mind, heart, spirit, and body)

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### **4. Communication**

- 4A. Demonstrates reading, writing, quantitative, and research skills appropriate to the discipline, and provides students with opportunities to develop and practice these skills
- 4B. Models active listening, effective speaking, and oral questioning skills
- 4C. Understands and uses cross-cultural communication skills

### **5. Reflective Teaching**

- 5A. Is an analytical, life-long learner in the profession
- 5B. Learns from students
- 5C. Welcomes new ideas; seeks to learn and improve
- 5D. Does self-evaluation; has a professional self-improvement plan
- 5E. Has a humble, patient attitude with self and others
- 5F. Models appropriate risk taking, innovation

### **6. Professional Standards and Ethics**

- 6A. Demonstrates responsibility to the learning community and profession
- 6B. Embraces cross-disciplinary collaboration
- 6C. Disseminates results of research or creative endeavors
- 6D. Observes the code of ethics of the profession/discipline and understands conflict of interest
- 6E. Embraces contractual responsibility
- 6F. Participates in college governance
- 6G. Is accessible to students
- 6H. Demonstrates ethically appropriate relationships inside and outside of the classroom