

# Ursinus College Faculty Handbook



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Last updated 08/20/2026

## **FOREWORD**

This edition of the Ursinus College Faculty Handbook makes available the policies, procedures, and regulations which have been developed as an aid to the Faculty and to administrative officers who are called upon to implement College policy, functions, privileges, and requirements.

In addition to this handbook, faculty members should be aware of the Ursinus College Catalog and the Ursinus College Student Handbook. These publications, along with the Ursinus College Constitution and the Ursinus College Board of Trustees Bylaws, contain information about College policies and regulations.

The Ursinus Faculty Handbook is maintained by the Faculty Handbook Sub-Committee of the Governance Committee.

October, 2015

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# **HISTORY AND MISSION**

## **HISTORY**

In 1867 members of the German Reformed Church laid plans to establish a college named after the distinguished sixteenth-century scholar and reformer, Zacharias Ursinus of the University of Heidelberg, Germany. In 1869 the legislature of Pennsylvania granted a charter to Ursinus College. The buildings of the former Freeland Seminary were acquired, and instruction was begun on September 6, 1870.

The college is historically related to the German Reformed Church and its successor, the United Church of Christ. Today Ursinus is independent and non-sectarian. Throughout its diverse history, it has never strayed from the egalitarian vision on which it was founded.

## **EDUCATIONAL MISSION**

The mission of Ursinus College is to enable students to become independent, responsible and thoughtful individuals through a program of liberal education. That education prepares them to live creatively and usefully and to provide leadership for their society in an interdependent world.

Liberal education is provided through an academic program that empowers the intellect, awakens moral sensitivity, and challenges students to improve society. Students gain intellectual curiosity, the capacity to think analytically, critically, and creatively, and the skill to express thoughts with logic, clarity, and grace. Further, they develop a deepened sense of human history and an understanding of who they are as persons, what they ought to do as citizens, and how they best can appreciate the diversity and ambiguity of contemporary experience.

The faculty is the cornerstone of our academic program. Faculty members are dedicated to teaching and learning and set high standards for themselves and for students. They choose to be active scholars because they are involved teachers, seeking to transmit their enthusiasm for learning to their students.

The faculty joins with the professional staff in an educational program that extends outside of the classroom. As a predominantly residential community, the College fosters a shared life and provides an opportunity for the comprehensive personal development of all students. By taking an active part in the varied programs of the campus, students have the opportunity to develop their intellectual, creative, and physical talents and to strengthen their personal values in the context of the principles and traditions of Ursinus.

The College seeks students of varied backgrounds who actively search for meaning and purpose in their lives. It nurtures a sense of community by engaging students and faculty together in an unfinished conversation about liberal learning--how it is grounded in the fundamentals of human experience, broadens the mind, enhances compassion, and prepares us for a life of service.

Liberal education is more than a set of courses; it requires students to integrate insights of various academic disciplines, and to participate actively in the learning process. It takes place best among students of diverse backgrounds actively searching for meaning and purpose in their lives. In order to help students appreciate the diversity and ambiguity of their world, the college seeks to include issues of race, class, and gender across the curriculum.

## **STATEMENT ON HUMAN DIVERSITY AT URSINUS COLLEGE**

We believe that human beings derive meaning and purpose through their common bonds as well as their uniqueness as individuals. While engaging with difference can be difficult and uncomfortable, intellectual and personal growth is enhanced by acknowledging, understanding, and embracing the similarities and differences among groups and individuals.

The celebration of, and respect for, human diversity at Ursinus is based on the following:

- The unique ideas, perspectives and life experiences of individuals from diverse backgrounds enrich the intellectual and social openness of the College.
- Diversity is essential in fulfilling the foundation of Ursinus College's mission to prepare students "to live creatively and usefully, and to provide leadership for their society in an interdependent world."
- Individuals whose education has been grounded on mutual understanding and the affirmation of the value of human diversity are best prepared to contribute to the making of a just and equitable society.

This statement on human diversity informs and guides the Ursinus College community as it establishes and implements educational and administrative policies and practices.

## **STATEMENT ON FEDERAL DISCRIMINATION ACT**

Ursinus College does not discriminate on grounds of race, color, national origin, gender, sexual orientation, gender identity or expression, religion, age, creed, ancestry, veteran status, marital status, disability, or other classification protected by applicable law in the administration of any of its educational programs or activities or with respect to employment.

The President of Ursinus College is responsible for the overall implementation of this policy. Inquiries should be directed to the Title IX Coordinator.

Ursinus College complies fully with the Family Educational Rights and Privacy Act of 1974. The guidelines adopted by the College and a copy of the Act are available for inspection in the Office of Academic Affairs during regular business hours.

## **ACADEMIC FREEDOM AND PROFESSIONAL CONCERNS**

Ursinus College endorses the following statement on academic freedom provided by the American Association of University Professors and the Association of American Colleges, as amended most recently in 1989 and 1990:

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
3. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

## **PROMOTION AND TENURE**

Ursinus College endorses the following statement on academic tenure provided by the American Association of University Professors and the Association of American Colleges, as amended most recently in 1989 and 1990, except that specific College policy always takes precedence:

After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
2. Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution, it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.
3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.

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

As a result of its commitment to academic freedom the Board of Trustees of the College has provided for the granting of tenure. Tenure ensures the freedom of faculty to teach and engage in scholarship without fear that their work must conform to prevailing political or intellectual fashions. Both faculty and students benefit from the atmosphere of free inquiry that the institution of academic tenure protects.

Tenure is a long-term commitment of employment to faculty who meet the College's standards of excellence, who continue to work at an appropriately high level, and who meet the ethical standards of the academic community. The awarding of tenure is not automatic, nor can tenure be earned simply by meeting certain minimum requirements. The tenure review process is an integral part of the College's pursuit of excellence, and the decision to confer tenure must have as its goal the long-term strengthening of the educational mission of the College.

#### Criteria for Consideration for Tenure

Tenure recommendations are based on the record of past evaluations and on the long-term needs of the institution. Specifically, individuals are eligible for consideration for tenure if the following qualifications are met:

1. they hold the rank of assistant professor, associate professor, or professor;
2. they have fulfilled the agreed upon probationary period;
3. they have achieved a record of success as a teacher and adviser, brought to conclusion some scholarly activity that is evaluable by appropriate professional peers, and performed adequate service to the college and demonstrated a pattern of success that can reasonably be expected to continue in the future;
4. they have a specialization and have demonstrated competence in academic areas that are likely to be needed in the future of the College.

# **PART ONE: FACULTY BENCHMARKS**

## **RECRUITMENT AND APPOINTMENT OF FACULTY**

### **FACULTY APPOINTMENT CATEGORIES**

**Tenure-track:** In alignment with AAUP guidance, tenure-track faculty members are appointed for a probationary period, and upon successful promotion review have continuous tenure at the college. The three ranks of tenure-track faculty are Assistant Professor, Associate Professor, and Professor. In general, initial appointments are made at the Assistant Professor rank, and are promoted to the rank of Associate Professor concurrent with receipt of tenure. The promotion from Associate Professor to the rank of Professor is not automatic. Initial appointments of faculty without terminal degrees will normally be made as Instructors and converted automatically to Assistant Professor upon completion of terminal degree requirements. The process for approval of tenure-track positions normally takes proposals from departments that are considered by Faculty Council late in the Spring Semester; Faculty Council makes recommendations to the President, who makes final decisions in consultation with the Provost, for searches that occur in the following academic year.

**Full-time term positions:** Full-time, fixed-term faculty positions are normally made for a single year, and under no circumstances may a single appointment exceed two years. These positions are in general titled Visiting Assistant Professor, although the latter may be adjusted as appropriate to the experience of the faculty member, such as Visiting Instructor for a faculty member without terminal degree, or Visiting Associate Professor for a faculty member who had previously held Associate status at another institution. These positions do not carry any expectations of renewal or the possibility of tenure.

**Continuing non-tenure track positions:** Continuing positions that are non-tenure track are intended for cases where longer term needs are not well served by a tenure track position. Such positions are titled Collegiate Professors, and like tenure-track positions, carry rank designations of Assistant Professor, Associate Professor, and Professor. Those without terminal degree or equivalent experience will be titled Collegiate Instructor. Initial appointments typically do not exceed two years. At no earlier than the third year in such a position, the faculty member may undergo a review by the Promotion and Tenure committee that follows the pattern of a pre-tenure review, suitably adjusted for responsibilities of the position. Upon satisfactory recommendation of the Promotion and Tenure committee and approval of the president, the reappointment cycle may move to longer term: typically four years, but no more than six years. Every reappointment must be preceded by a satisfactory departmental annual review. Collegiate Faculty Members are eligible for promotion in rank, with process adapted from the corresponding processes for tenure track faculty. Work expectations for Collegiate Faculty Members are intended to be equivalent to those of tenure track faculty, although teaching responsibilities may be more (e.g. in lieu of service or scholarship expectations) or less (e.g. in instances where the individual also carries substantial administrative responsibilities). Work expectations must be specified in the appointment letters, which may be modified by the Provost in consultation with the faculty member and relevant department(s). Collegiate Faculty Members are only reviewed on specified work expectations, so, for example, Collegiate Faculty Members

without scholarly expectations will not be reviewed on scholarly productivity and need not have external reviewers for promotion. In unusual cases, a Collegiate Faculty Member may be part-time, or may have both faculty and administrative responsibilities; in such cases, the appointment letter must clearly specify workload expectations. Collegiate faculty are not eligible for sabbatical leaves on a regular basis, although the Provost may allow a course reduction or leave for any faculty member as specified by the Faculty Handbook.

**Part-time and Adjunct Faculty:** Adjunct faculty are those faculty members appointed on a course-by-course basis. With rare exceptions, they will carry the title of Lecturer. These positions have no expectations of renewal or access to continuing or tenure-track positions. In rare instances, faculty may be appointed to part-time positions, and normally will carry the title of Lecturer. Faculty in this category do not have voting rights in faculty governance, and only carry service responsibilities if explicitly noted and compensated in their appointment letters. The title Lecturer may also be accorded other college staff if they are approved to teach courses for academic credit by the Provost.

**Phased Retirement:** Ursinus's faculty phased retirement program provides up to four years of half-time service at half pay but full benefits for tenured faculty members. Faculty in this program are titled Senior Professors (or the appropriate variant for their rank). Faculty in this program commit to retirement and relinquishment of tenure at the expiration of their Senior Professor appointment.

**Professional Support or Development Positions:** Occasionally faculty or research appointments are made that support an individual's professional development or are dedicated support to a faculty research project, and the preceding title choices are inappropriate. When possible, titles of those positions should be either Postdoctoral Fellow, Research Fellow, Visiting Scholar, or Visiting Artist. These positions may or may not carry any teaching responsibilities and are always term appointments. Those positions supported by Ursinus funds are limited to appointments of no longer than two years; those supported by external funds are always contingent upon continuation of that funding.

**Faculty Rank:** The term "rank" refers to the promotion path of Assistant Professor, Associate Professor, and Professor and applies only to tenure-track and Collegiate faculty positions.

**Eligibility to Teach for Academic Credit:** Only those individuals accorded a faculty title, or those individuals with teaching responsibilities enumerated in their appointments, are eligible to offer courses for Ursinus credit. The Provost bears responsibility for conferring faculty titles and ensuring the preparation of the faculty.

### **TENURE-TRACK FACULTY**

Ursinus College is an EEO/AA employer. In keeping with the College's historic commitment to equality, women and members of all racial and ethnic groups are encouraged to apply.

For all tenure-track appointments, the search committee and the Provost will look for a pool of finalists that includes underrepresented minorities and candidates with an understanding of and commitment to undergraduate, liberal arts education in a residential setting.

### **Search Procedures:**

- Search committees and the chair must be approved by the Provost's Office.
- Search committees must have one "outside" person and one current or former CPPC member to broaden the perspective on institutional goals. The CPPC member can be a department member or the outside member.
- Candidates must have completed or be near completion of an appropriate terminal degree by the beginning of the appointment.
- The search committee makes recommendations for appointment in writing to the Provost and ranks the candidates in order of preference. Pros and cons of each candidate should be listed.
- The Provost contacts the preferred candidate, makes an offer and stays in touch with the search chair about the progress and about the need to contact second and third choice candidates.
- If the top three candidates do not accept, the Provost reviews the next step with the search chair. It may be that the decision is to return to the pool or to cancel the search.
- Appointments will be made by the Provost.

Files should be retained for three years following completion of search. Complete files for candidates who are offered a contract are to be submitted to the Provost's Office to become part of the permanent Personnel file.

Guidelines for search procedure and recruitment of faculty are maintained by the Provost's Office.

### **NON-TENURE TRACK FACULTY**

All non-tenure-track faculty are appointed for a fixed term and may or may not be renewable. When an appointment is made for a specific length of time or specific purpose, such as a replacement for a person on leave or other non-tenure-track appointment, the letter of appointment will state clearly the termination date and will indicate that the position is not expected to lead to tenure.

### **CONTRACTS & SALARY NOTIFICATION**

Reappointment letters will be prepared annually for full-time faculty members who have not yet achieved tenure or who have fixed-term, annually-renewable appointments. Notice of non-renewal will be given following these AAUP guidelines:

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

- Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
- At least twelve months before the expiration of an appointment after two or more years at the institution.

Salary letters for the coming year will be mailed to all continuing full-time faculty members within one month of the approval of the college annual operating budget by the Board of Trustees.

### **OUTSIDE EMPLOYMENT**

A full-time faculty member who wishes to hold employment outside of the College that might interfere with his or her performance as a faculty member should discuss the matter with the department chair before submitting a written request to the Provost.

# **FACULTY EVALUATION**

## **PURPOSE OF EVALUATION**

The primary purpose of our system of evaluation is to help individual faculty members grow and develop through methodical self-appraisal, applying agreed-upon criteria. The evaluation system also assists the Provost in making recommendations to the College President with regard to retention, salary, promotion, tenure, and dismissal of an individual faculty member.

As members of an academic institution, we are accountable to past, present, and future students, our faculty colleagues, the Board of Trustees, and the community as a whole. Our task is to achieve academic excellence, and our performance as faculty members is to be measured against the standards of excellence for which we strive. The size and character of Ursinus College prescribe specific ways of achieving excellence. As a private liberal arts undergraduate institution, we place primary emphasis on excellence in teaching. We also affirm that a commitment to the areas of scholarship and professional activity, and advising and service is important in establishing an environment that fosters student learning and achievement. Evaluation criteria therefore pertain to teaching, scholarship and professional activities, and advising and service.

## **EVALUATION CRITERIA**

Ursinus College faculty are expected to be strong teachers and scholars and dedicated partners in fulfilling the mission of the college. Full-time faculty are evaluated in each of the three areas of performance (teaching, scholarship and professional activity, and advising and service) and are rated as one of the following: Exceeds Ursinus Standards, Meets Ursinus Standards, or Needs Improvement. All Ursinus faculty members are expected to identify one or more of their activities related to inclusion, whether at Ursinus or in higher education more broadly. These activities may fall into any of the three areas of performance. While identification of at least one inclusion activity is required, faculty evaluation will not include assessment of the quality of inclusion contributions.

Teaching is the most important work of the faculty, while the balance between scholarship, advising, and service will vary in individual cases over the course of a career. However, every full-time member of the faculty must meet minimum requirements in each area or be subject to non-renewal.

### **Teaching**

The goal of classroom teaching is to create an environment for learning, where students are challenged and motivated to perform up to their abilities.

An effective teacher:

- offers courses that are substantive, rigorous, and challenging, taking into consideration the content level and methodology of the particular course. The material presented must be accurate, up-to-date, and regularly revised.
- communicates well and uses appropriate teaching methods, sets high standards for student performance, and uses suitable means of evaluation.
- motivates students to learn, displays genuine interest, stimulates classroom discussion, respects students, and is available for help outside of the classroom.

Faculty members are expected to post and hold a sufficient number of scheduled office hours each week and to be available at other times for scheduled appointments with students. Faculty are also expected to mentor the intellectual engagement of students outside the classroom.

Positive consideration will be given to faculty members who develop new courses and the expertise to teach them, participate in interdisciplinary courses, or engage in other innovative teaching activities.

### Evaluation of Teaching

Teaching ranks as the first and most important category in which a faculty member is evaluated. Excellence in teaching is of paramount importance. In the evaluation of non-tenured faculty, it is the responsibility of the chair and the tenured faculty of the department to encourage recently appointed faculty in the pursuit of excellence in teaching and to initiate evaluation of candidates based on these criteria.

The evaluation of a teacher is a very complex task, and the evaluator must use all relevant information to conduct a comprehensive evaluation of a faculty member's teaching. The college acknowledges that a diversity of approaches can meet the standard. The College therefore recognizes that differences in teaching practice across disciplines and course format inform the evaluation process.

In generating evaluations, evaluators will use, at a minimum, student questionnaires (Student Perception of Teaching Questionnaires [SPTQ]), the faculty member's self-evaluation, course syllabi, and colleague evaluations based on classroom visitations. In the event that the teaching performance is judged as "Needs improvement," it is the evaluator's responsibility to initiate a dialogue with the individual faculty member to seek ways to improve the situation.

### Scholarship and Professional Activity

Scholarly and creative expectations of faculty members ensure their continuing intellectual engagement with their disciplines, with a larger professional community, and with the habits of mind that exemplify the liberal arts. A productive teacher-scholar is able to bring substantial projects to completion. To energize and validate this ongoing intellectual and creative work, we expect endeavors that are subject to and benefit from peer review, which, in turn, requires robust connections with individuals off-campus who share similar substantive intellectual pursuits. We expect the majority

of these activities to relate directly to the faculty member's area of professional expertise; we also value and reward efforts that may stretch individuals well outside of their areas of specialty and training, including those disseminated for a broader audience or across multiple media. These experiences keep a faculty member up-to-date with disciplinary changes, bring opportunities to classroom and research settings with students, and model the sort of life-long engagement with liberal education that we ask of our students.

### Evaluation of Scholarship and Professional Activity

Scholarly work can take a number of forms, and the college will seek to evaluate quality in ways appropriate to the faculty member's discipline. Evidence of this quality can include available reviews of the candidate's published work, performed work, exhibited work, or grant proposals. In addition, such information will be supplemented in all tenure and promotion reviews by external evaluations of the candidate's scholarly work in terms of the quality of achievement, significance within the discipline, awareness of issues and trends in the field, and evidence of the candidate's future promise.

### Advising and Service

All full-time faculty have a responsibility to be actively involved in the affairs of the institution. This responsibility includes advising students, participating in the governance and life of the college, and representing the college in both the academic community and the community at large.

#### Advising

Faculty are expected to take a genuine interest in students regarding their academic, career, and long-term goals. All tenured, tenure track, and collegiate-faculty members are expected to serve as competent advisers to students who are majors, minors, and/or first-year students. Effective advising goes beyond consideration of students' academic programs and schedules to include guidance concerning academic challenges and post-graduate plans. All advisors should be aware of the existence of the variety of support services available to Ursinus students and make students aware of them as well. Faculty are expected to be available to students during regularly scheduled office hours and at other times as needed.

It is the department chair's responsibility, in consultation with the Provost's Office, to assure that full-time faculty members share the workload of advising students, be they majors, minors, or first-year students. Faculty in their first semester of service are not expected to have formal advising duties.

#### Service

Faculty are expected to contribute to the governance of the College by attending faculty meetings and academic convocations. As members of an academic department, they are called upon to participate in a collegial manner in the day-to-day activities of the

department, to attend departmental meetings, and to support the academic and professional activities related to the department.

It is the responsibility of both the department chair and the Provost's Office to make new full-time faculty aware of the importance of service to the campus community and to afford opportunities for them to participate in activities relating to service to the college. Beginning in their second year of service, all full-time faculty should endeavor to serve on college committees, whether elected or appointed.

As members of the college community, faculty are encouraged to participate in interdepartmental college activities (*e.g.*, recruitment, college events, and honor societies) and to join in campus activities that help build a sense of community.

### Evaluation of Advising and Service

The evaluation of advising and service is a complex task, and the evaluator must use all relevant information to make an evaluation. This will include but is not limited to advising questionnaires and other advising feedback, committee service and contributions, participation in the life of the college, and professional service.

### EVALUATION MATERIALS

The evaluation of full-time faculty will be based on a professional dossier; on information derived from other members of the department, the faculty, and students; and on the professional judgment of the evaluators. All full-time faculty will create a professional dossier in their first year of service at Ursinus and make sure that it is kept up to date. The professional dossier should contain the following components, recognizing that the exact components may vary by rank and position:

- A complete curriculum vitae specific to a faculty member's discipline;
- A professional plan that contains statements of goals and specific annual objectives in teaching, scholarship and professional achievement, and advising and service;
- A self-evaluation that discusses how the faculty member has met the evaluation criteria, their strengths and weaknesses, where they need to concentrate their efforts, what progress they have made on their professional plan, and how they have addressed weaknesses identified in the previous evaluation;
- Information derived from student evaluations of teaching and advising;
- Publications, scholarly papers, or other evidence of scholarly activity such as manuscripts, patents, grant proposals, works of art, recordings of performances or installations, or reviews of professional performances when applicable and available.

### EVALUATION OF PRE-TENURE FACULTY

#### Schedule and Sequence of Pre-Tenure Faculty Evaluations

Initial ranked faculty appointments are made without tenure, and tenure is not granted prior to the completion of a probationary period. Ordinarily, this probationary period is

six years of continuous, full time service in a ranked faculty appointment. During this probationary period, pre-tenure faculty are evaluated in three areas: (1) teaching, (2) scholarship and professional achievement, and (3) advising and service to the college.

Faculty following a standard six-year tenure trajectory will undergo an annual departmental evaluation in the first, second, fourth, and fifth years. Annual departmental evaluations are prepared by the appropriate department chair, or by the Provost where there is no department chair.

Faculty following a standard six-year tenure trajectory will have two in-depth institutional reviews involving a Faculty Review Committee (FRC) and the Promotion and Tenure Committee: a Pre-Tenure Review and a Tenure Review. The Pre-Tenure Review will be held in the third year and the Tenure Review in the sixth year.

A pre-tenure leave does not interrupt continuous, full-time service. Other leaves (*e.g.*, a medical or parental leave) may extend the tenure timeline with agreement from the Provost. The Provost may also extend the tenure timeline in unusual circumstances beyond the faculty member's control, such as a documented debilitating illness, that did not require a leave but hindered professional productivity.

Faculty members appointed to a tenure track position who have prior full-time service in a ranked faculty appointment at accredited colleges or universities, including Ursinus College, and who held a terminal degree during the period of that appointment, may have some of that service credited toward the tenure probationary period at Ursinus. Requests must be submitted to the Provost in writing. These requests should be made after the first-year review, but before the end of the second year at the College (for one-year reductions) or before the end of the first year at the College (for all other requests). The Provost may grant these requests after discussions with the faculty member and department chair. The Provost will confirm or decline a reduction of the probationary period in writing. Reductions of the probationary period of more than three years will ordinarily not be granted and must be negotiated at the time of hire. In no case will a faculty member be evaluated for tenure without a minimum of two semesters of full-time appointment at Ursinus College.

Faculty members who are granted a reduction in the ordinary probationary period of three or more years are not eligible for a pre-tenure leave. Faculty members who are granted a reduction in the ordinary probationary period of two years or less retain eligibility for a pre-tenure leave. Timing of the Pre-Tenure Review and the Pre-Tenure Leave will be adjusted according to the length of the reduction in the probationary period. These adjustments will be determined by the Provost after discussion with the faculty member and department chair at the time the request is granted.

#### Faculty Review Committee (FRC)

For the Pre-Tenure and Tenure Reviews, the department chair, or an appropriate tenured faculty person appointed by the Provost in the absence of a chair, will form a Faculty Review Committee (FRC). The FRC will consist of the FRC chair (often the

department chair of the faculty member under review) and no fewer than two additional faculty (typically from the department and/or affiliated programs of the faculty member under review), selected by the FRC chair in consultation with the faculty member under review, and approved by the Provost. All members of the FRC must be tenured members of the faculty. Questions or concerns about the composition of an FRC should be conveyed to the Provost prior to approval by the Provost.

Based on the Evaluation Criteria, the FRC chair will prepare a written evaluation of the faculty member under review for submission to the Provost and the Promotion and Tenure Committee. FRC members will either endorse the written evaluation by co-signing the report or write and submit a dissenting opinion.

It is the faculty member's responsibility to keep the FRC informed about professional activities and to maintain an updated dossier on file. It is the FRC's responsibility to guide and support faculty members in the area of professional activities.

### Annual Departmental Evaluations

The purpose of the annual evaluation is to assess faculty performance in relation to institutional expectations and to provide an opportunity for meaningful reflection, building on strengths, and targeting areas for improvement.

Annual reviews are conducted each January by the department chair, or by the Provost (or designee) where there is no department chair. Faculty undergoing an annual review must submit an updated professional dossier, as described under Evaluation Materials, to the evaluator in the format requested by the Provost's Office. Faculty in their first and second year of full-time teaching at Ursinus will submit one-year professional plans. In the third year (and every third year thereafter), faculty will submit a three-year professional plan.

When the evaluation and accompanying recommendations have been prepared, the evaluator will review them with the individual faculty member, offering an opportunity for discussion and modification if appropriate. The evaluation of a faculty member is a continuous process and the submitted evaluation should be the result of an on-going dialogue between the evaluator and the faculty member. The faculty member will receive a copy of the evaluation and any recommendations. In the event of a disagreement with the evaluator, the faculty member has an opportunity to supply additional documentation, including a rebuttal, which is added to the existing evaluation materials.

The evaluation and recommendations, and additional information as necessary, will be submitted to the Provost. The Provost will discuss the evaluation with the department chair and, as appropriate, with the evaluated faculty member.

The second-year annual departmental evaluation constitutes important preparation for the Pre-Tenure Review. Faculty members are encouraged to solicit feedback from

colleagues. Any pre-tenure faculty member who receives a rating of “Needs Improvement” in any category on the second-year annual departmental evaluation is encouraged to consult with the Provost’s office to develop a plan for improvement for the period leading up to submission of the Pre-Tenure Review dossier. Such support might come from an individual faculty mentor or from other College offices and programs. During this period, the Provost’s office will be available to consult with the evaluated faculty member, the department chair, and/or a mentor chosen by the evaluated faculty member in consultation with the Provost and department chair to aid in developing and implementing a plan for improvement.

### Pre-Tenure Review

Typically in the third year, tenure-track faculty will undergo a Pre-Tenure Review. This in-depth institutional review evaluates the faculty member’s progress toward tenure, including an assessment of teaching, scholarship and professional development, and advising and service by the FRC, the Promotion and Tenure Committee and the Provost. The timeline and process for the Pre-Tenure Review is described below.

|             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| May 1       | <ul style="list-style-type: none"> <li>The FRC for the faculty member under review is constituted and approved by the Provost’s Office.</li> </ul>                                                                                                                                                                                                                                                                                                                               |
| October 1   | <ul style="list-style-type: none"> <li>The faculty member under review submits their professional dossier, as described previously under Evaluation Materials, to the FRC.</li> </ul>                                                                                                                                                                                                                                                                                            |
| October 15  | <ul style="list-style-type: none"> <li>Based on a review of the professional dossier, the FRC submits a written evaluation to the faculty member under review.</li> <li>Members of the FRC will either endorse the written evaluation by co-signing the evaluation or write and submit a dissenting opinion.</li> <li>The evaluated faculty member may then supply additional documentation and/or a rebuttal in the event of a disagreement with the FRC evaluation.</li> </ul> |
| November 1  | <ul style="list-style-type: none"> <li>The FRC evaluation(s) and the evaluated faculty member’s dossier, together with any additional documentation and/or rebuttal, will be made available to the Promotion and Tenure Committee and the Provost.</li> </ul>                                                                                                                                                                                                                    |
| December 15 | <ul style="list-style-type: none"> <li>The Provost provides written notification of the results of the Pre-Tenure Review to the evaluated faculty member and their department chair.</li> </ul>                                                                                                                                                                                                                                                                                  |

### Tenure Review

Typically in the sixth year, tenure-track faculty will undergo a Tenure Review. This in-depth institutional review evaluates the faculty member’s suitability for tenure and promotion to associate professor, including an assessment of teaching, scholarship and professional development, and advising and service by the FRC, the Promotion and Tenure Committee and the Provost. As part of the Tenure Review, the scholarly work of the faculty member under review will be evaluated by external reviewers to assess the quality of achievement, significance within the discipline, awareness of issues and trends in the field, and evidence of the candidate's future promise. Additionally, the

Provost will solicit student feedback on a faculty member's teaching effectiveness and student-faculty interactions from current and former students. The Provost will reach out to current students who the faculty up for Tenure Review have taught or advised and alumni from the department from the past five years to solicit feedback. Feedback submitted by current or former students must be self-identified to be included. Anonymized feedback will be shared with the Promotion and Tenure Committee, the Faculty Review Committee, and the faculty member under review.

### Selection of External Reviewers

By May 1 of the academic year preceding the tenure review, and without contacting any of the individuals, the faculty member under review submits to the Provost's Office the names of four outside reviewers who are qualified to judge the quality of their scholarship and professional work. The faculty member should identify each name by position title; institutional address; email address; telephone number; professional or other relationship, if any, with the faculty member under review; and a brief description of the qualifications for reviewing the faculty member's work.

By June 1, the Faculty Review Committee (FRC) chair should submit a list of four additional persons with a strong record of accomplishment in the field of expertise of the faculty member under review, without contacting any of the individuals. The FRC chair should identify each name by position title; institutional address; email address; telephone number; professional or other relationship, if any, with the faculty member under review; and a brief description of the qualifications for reviewing the faculty member's scholarship and professional work. The Provost's Office will share this list with the candidate, who may veto up to two names from this list.

From the combined list of at least six names, the Provost in consultation with the Promotion and Tenure Committee, will choose three names, typically two of whom are selected from the candidate's list. It is the responsibility of the Provost to establish contact with the selected individuals, send them the materials to be reviewed, and solicit confidential reviews from them.

### Professional Products for External Review

By May 1 of the academic year preceding the tenure review, the faculty member under review should submit to the Provost a prospective list of materials to be evaluated by the external reviewers. Materials may include, but are not limited to, publications and manuscripts, conference presentations, patents, grant proposals, works of art, recordings of performances or installations, or equivalent works, and reviews of the above, when applicable and available.

By September 1 of the tenure review year, the faculty member under review must submit to the Provost the materials to be evaluated along with a CV and an explanatory cover letter that provides context to the professional product(s).

### Timeline and Process for the Tenure Review

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|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| May 1       | <ul style="list-style-type: none"> <li>• The FRC for the faculty member under review is constituted and approved by the Provost's Office.</li> <li>• The faculty member under review submits an annotated list of names of possible external reviewers to the Provost's Office without contacting the reviewers.</li> <li>• The faculty member under review submits a list of their professional products for external review to the Provost.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| June 1      | <ul style="list-style-type: none"> <li>• The FRC chair submits names of possible external reviewers to the Provost without contacting the reviewers.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| September 1 | <ul style="list-style-type: none"> <li>• The faculty member under review submits to the Provost an updated CV and professional product(s) for external review with a brief cover letter for the reviewers.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| October 1   | <ul style="list-style-type: none"> <li>• The faculty member under review submits their professional dossier, as described previously under Evaluation Materials, to the FRC.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| November 1  | <ul style="list-style-type: none"> <li>• Based on a review of the professional dossier, the FRC submits a written evaluation to the faculty member under review, either recommending for or against promotion and tenure.</li> <li>• Members of the FRC will either endorse the written evaluation by co-signing the evaluation or write and submit a dissenting opinion.</li> <li>• The evaluated faculty member may then supply additional documentation and/or a rebuttal in the event of a disagreement with the FRC evaluation.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| November 15 | <ul style="list-style-type: none"> <li>• The FRC evaluation(s) and the evaluated faculty member's dossier, together with any additional documentation and/or rebuttal, are made available to the Promotion and Tenure Committee and the Provost.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| December 15 | <ul style="list-style-type: none"> <li>• Based on a review of the professional dossier, the FRC evaluation(s), and the evaluations of scholarship and professional activity from the external reviewers, the Promotion and Tenure Committee submits a written recommendation for or against promotion and tenure to the Provost.</li> <li>• Members of the Promotion and Tenure Committee will either endorse the recommendation by co-signing the recommendation or write and submit a dissenting opinion.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| December 20 | <ul style="list-style-type: none"> <li>• If after reviewing the materials submitted by the faculty member under review, the FRC evaluation, the external reviews, and the Promotion and Tenure Committee recommendation, the Provost is in agreement with the Promotion and Tenure Committee that the faculty member be awarded promotion and tenure, the Provost will notify the faculty member in writing of this decision and convey this recommendation to the President and the Board of Trustees.</li> <li>• If after reviewing the materials submitted by the faculty member under review, the FRC evaluation, the external reviews, and the Promotion and Tenure Committee recommendation, the Provost is in agreement with the Promotion and Tenure Committee that the faculty member not be awarded promotion and tenure, the Provost will notify the faculty member in writing of this decision, leaving adequate time for the faculty member to appeal the decision before final recommendations are given to the Board of Trustees.</li> </ul> |

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|-------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|             | <ul style="list-style-type: none"> <li>• If after reviewing the materials submitted by the faculty member under review, the FRC evaluation, the external reviews, and the Promotion and Tenure Committee recommendation, the Provost disagrees with the consensus or majority opinion of the Promotion and Tenure Committee, the Provost will inform the President of both the Promotion and Tenure Committee's recommendation as well as the Provost's recommendation and rationale for making a recommendation other than the one advanced by the Promotion and Tenure Committee. <ul style="list-style-type: none"> <li>○ After consulting with the President, if the Provost recommends that the faculty member be awarded promotion and tenure, the Provost will notify the faculty member in writing of this decision and convey this recommendation to the President and the Board of Trustees.</li> <li>○ After consulting with the President, if the Provost recommends against the awarding of promotion and tenure, the Provost will notify the faculty member in writing of this decision, leaving adequate time for the faculty member to appeal the decision before final recommendations are given to the Board of Trustees.</li> </ul> </li> </ul> |
| February 28 | <ul style="list-style-type: none"> <li>• The Provost provides written notification of the Board's decision to the faculty member. Final approval of promotion and tenure rests with the Board of Trustees.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

### Right of Appeal

A faculty member who has been adversely affected by a decision on the awarding of promotion and tenure may request a review of the decision on either substantive or procedural grounds, as described in the Dismissal of Faculty and Right to Appeal section, following the timeline specific to tenure cases in the Dismissal of Faculty and Right to Appeal section.

## **EVALUATION OF TENURED FACULTY**

### Triennial Evaluations

All tenured faculty undergo a comprehensive triennial review every three years, coinciding with the completion of their three-year professional plan. Triennial reviews are conducted each January by the department chair. If the faculty member to be evaluated is a department chair, the triennial review should be conducted by another faculty member in the department, preferably one who has most recently served as chair. If no colleague is in this position, the triennial review should be conducted by a member of the faculty member's most recent FRC. Faculty undergoing a triennial review must submit an updated professional dossier, as described under Evaluation Materials, to the evaluator in the format requested by the Provost's Office. Tenured faculty members who receive a rating of "Needs Improvement" in any area of performance must submit annual self-evaluations until they demonstrate the necessary improvement.

Tenured faculty not undergoing a triennial review in a particular year must submit an updated CV each January according to the guidelines provided by the Provost's Office.

## Promotion to Professor

Promotion to Professor is granted to those members of the faculty who have distinguished themselves as outstanding teachers, scholars, and community members. Faculty with the rank of Associate Professor initiate their own applications for promotion to Professor. Consideration for promotion to Professor occurs no sooner than four years after promotion to Associate Professor at Ursinus College. Promotion to full professor is not automatic; unsuccessful candidates are eligible to reapply.

## Criteria for Promotion to Professor

Promotion is not simply a cumulative award for past service, but rather an acknowledgment of confidence in a faculty member's abilities and commitment to the long-term well-being of the college. The criteria for promotion to Professor are:

- Teaching: Sustained excellence in teaching, as demonstrated by consistently strong evaluations; continued development in teaching as indicated by the creation of new courses, major revisions of existing courses, exploration of pedagogical practices, or similar activities.
- Scholarship: Sustained demonstration of scholarship as an Associate Professor; evidence of a positive scholarly trajectory as indicated by extending previous work into additional areas, establishing new lines of work, completing a major synthesis of an area of work or similar activities.
- Service and Advising: A sustained record of strong service to the college as an Associate Professor, as well as effective work in leadership positions, such as chairing a department or a major committee, making major contributions to college-wide initiatives, or engaging in similar activities.

## Evaluation Materials for Promotion to Professor

The faculty member under review will submit a professional dossier, as described under Evaluation Materials. The dossier should include teaching and advising evaluations since promotion to associate professor or from the last five years (whichever period of time is shorter). The self-evaluation should contain explicit references to evaluations since promotion to associate professor.

As part of the review for Promotion to Professor, the scholarly work of the faculty member under review will be evaluated by external reviewers to assess the quality of achievement, significance within the discipline, awareness of issues and trends in the field, and evidence of the candidate's continued and future professional contributions. Materials may include, but are not limited to, publications and manuscripts, conference presentations, patents, grant proposals, works of art, recordings of performances or installations, or equivalent works, and reviews of the above, when applicable and available.

External reviewers will be selected following the same procedure as for the Tenure Review, but following the timeline below. The external reviewers will send their evaluations directly to the Provost's Office for consideration by the Provost and the Promotion and Tenure Committee.

### Faculty Review Committee (FRC)

For the Promotion to Professor Review, the department chair, or an appropriate tenured faculty person appointed by the Provost in the absence of a chair, will form a Faculty Review Committee (FRC) to prepare a written evaluation for submission to the Provost and the Promotion and Tenure Committee. The FRC will consist of the FRC chair (often the department chair of the faculty member under review) and no fewer than two additional faculty (typically from the department and/or affiliated programs of the faculty member under review), selected by the FRC chair in consultation with the faculty member under review, and approved by the Provost. Candidates have the right to veto one committee member who is not from the candidate's department or affiliated program. All members of the FRC must be tenured members of the faculty, but do not need to have the rank of Professor. Questions or concerns about the composition of an FRC should be conveyed to the Provost prior to approval by the Provost.

Based on their assessment of the candidate's strengths, the chair of the FRC will make a written report to the Provost, either recommending promotion or recommending against promotion at this time. Committee members will either endorse the recommendation by signing the recommendation or write a dissenting opinion.

### Timeline and Process for the Promotion to Professor Review

|              |                                                                                                                                                                                                                                                                                                                                          |
|--------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| June 15      | <ul style="list-style-type: none"> <li>The faculty member under review submits an annotated list of names of possible external reviewers to the Provost's Office without contacting the reviewers.</li> <li>The faculty member under review submits a list of their professional products for external review to the Provost.</li> </ul> |
| July 1       | <ul style="list-style-type: none"> <li>The FRC for the faculty member under review is constituted and approved by the Provost's Office.</li> </ul>                                                                                                                                                                                       |
| July 15      | <ul style="list-style-type: none"> <li>The FRC chair submits names of possible external reviewers to the Provost without contacting the reviewers.</li> </ul>                                                                                                                                                                            |
| September 15 | <ul style="list-style-type: none"> <li>The faculty member under review submits to the Provost an updated CV and professional product(s) for external review with a brief cover letter for the reviewers.</li> </ul>                                                                                                                      |
| December 1   | <ul style="list-style-type: none"> <li>The faculty member under review submits their professional dossier, as described under Evaluation Materials for Promotion to Professor, to the FRC.</li> </ul>                                                                                                                                    |
| February 5   | <ul style="list-style-type: none"> <li>Based on a review of the professional dossier, the FRC submits a written evaluation to the faculty member under review, either recommending for or against promotion.</li> </ul>                                                                                                                  |

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|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|             | <ul style="list-style-type: none"> <li>• Members of the FRC will either endorse the written evaluation by co-signing the evaluation or write and submit a dissenting opinion.</li> <li>• The evaluated faculty member may then supply additional documentation and/or a rebuttal in the event of a disagreement with the FRC evaluation.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| February 15 | <ul style="list-style-type: none"> <li>• The FRC evaluation(s) and the evaluated faculty member's dossier, together with any additional documentation and/or rebuttal, are made available to the Promotion and Tenure Committee and the Provost.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| March 15    | <ul style="list-style-type: none"> <li>• Based on a review of the professional dossier, the FRC evaluation(s), and the evaluations of scholarship and professional activity from the external reviewers, the Promotion and Tenure Committee submits a written recommendation for or against promotion to the Provost.</li> <li>• Members of the Promotion and Tenure Committee will either endorse the recommendation by co-signing the recommendation or write and submit a dissenting opinion.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| April 15    | <ul style="list-style-type: none"> <li>• If after reviewing the materials submitted by the faculty member under review, the FRC evaluation, the external reviews, and the Promotion and Tenure Committee recommendation, the Provost is in agreement with the Promotion and Tenure Committee that the faculty member be awarded promotion, the Provost will notify the faculty member in writing of this decision and convey this recommendation to the President and the Board of Trustees.</li> <li>• If after reviewing the materials submitted by the faculty member under review, the FRC evaluation, the external reviews, and the Promotion and Tenure Committee recommendation, the Provost is in agreement with the Promotion and Tenure Committee that the faculty member not be awarded promotion, the Provost will notify the faculty member in writing of this decision.</li> <li>• If after reviewing the materials submitted by the faculty member under review, the FRC evaluation, the external reviews, and the Promotion and Tenure Committee recommendation, the Provost disagrees with the consensus or majority opinion of the Promotion and Tenure Committee, the Provost will inform the President of both the Promotion and Tenure Committee's recommendation as well as the Provost's recommendation and rationale for making a recommendation other than the one advanced by the Promotion and Tenure Committee. <ul style="list-style-type: none"> <li>○ After consulting with the President, if the Provost recommends that the faculty member be awarded promotion, the Provost will notify the faculty member in writing of this decision and convey this recommendation to the President and the Board of Trustees.</li> <li>○ After consulting with the President, if the Provost recommends against the awarding of promotion and tenure, the Provost will notify the faculty member in writing of this decision.</li> </ul> </li> </ul> |
| June 15     | <ul style="list-style-type: none"> <li>• The Provost provides written notification of the Board of Trustees' decision to the faculty member. Final approval of promotion to professor rests with the Board of Trustees.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

### **EVALUATION OF ADJUNCT AND VISITING FACULTY**

Adjunct and visiting faculty are evaluated by the department chair or by an academic dean where there is no department chair. Visiting faculty are evaluated at the end of each contract period (but sufficiently early for consideration of renewal if the department wants to renew the contract). New adjunct faculty are evaluated at the end of their first contract. Returning adjunct faculty should be evaluated once each academic year.

## **DISMISSAL OF FACULTY AND RIGHT OF APPEAL**

### **FACULTY DISCIPLINE AND DISMISSAL OF FACULTY FOR CAUSE WITH RIGHT OF APPEAL**

Cause involves serious misconduct or violation of college policy. In the event of grounds for discipline for cause or grounds for potential dismissal for cause, the Provost will inform the faculty member of the grounds. The faculty member will have the opportunity to discuss the issue with the Provost, and at that meeting the faculty member is permitted to be accompanied by a member of the campus community.

A written notification of the discipline will be provided by the Provost's Office within 21 days of the final meeting between the Provost and faculty member.

The faculty member may request a review of the decision by the Appeals Committee on substantive or procedural grounds, as outlined below.

In the case of non-tenured faculty, pending the recommendation of the Appeals Committee, the decision of the Provost is final. Revocation of tenure must be determined by the Board.

### **DISMISSAL FOR FINANCIAL EXIGENCY OF TENURED PROFESSORS**

Termination of a tenured position because of financial exigency shall be demonstrably bona fide. Dismissal of a tenured professor for financial exigency will be based on the recommendation of the President to the Board of Trustees; only the Board can revoke tenure.

### **NON-RENEWAL OF PRE-TENURE FACULTY FOR OTHER THAN CAUSE**

Decisions on non-renewal of contract for a pre-tenure faculty member may be based on such factors as performance, professional specialization, receptivity to the general educational objectives of Ursinus, and financial considerations.

The contracts of pre-tenured faculty members with a rating in any area of "Needs Improvement" may be subject to non-renewal. A rating of "Needs improvement" in classroom teaching for two consecutive years may result in nonrenewal of contract. An evaluation of "Needs improvement" in any single area for three consecutive years will normally result in nonrenewal of contract.

The Provost will provide written notice of non-renewal of contract for full-time pre-tenure faculty not later than March 1 of the first academic year of service, not later than December 15 of the second year of full-time service, and not less than twelve months before the expiration of an appointment after two or more years of full-time service.

### **DISMISSAL OF FACULTY WITH TENURE FOR OTHER THAN CAUSE OR FINANCIAL EXIGENCY**

Tenured faculty rated as "Needs Improvement" in any area must develop a plan in conjunction with the department chair (or, in the case of department chairs, the Provost) to address the shortcoming(s). Within two months of receipt of the evaluation, this plan is to be submitted to the Committee on Promotion and Tenure. If performance does not result in a rating of "Meets

Ursinus Standards” or higher within the next two annual evaluation periods, faculty tenure will be reviewed by the Provost together with the Committee on Promotion and Tenure. This group will report to the President, recommending either more time for improvement or revocation of tenure and termination of employment. The President will forward the recommendation to the Board.

### **RIGHT OF APPEAL**

A faculty member who believes he/she has been wrongfully disciplined or has been adversely affected by a decision on his/her promotion in faculty rank, termination of appointment, or the awarding of tenure, may request a review of the decision on either substantive or procedural grounds. The recommendation of disciplinary action will be reported to the Provost and the decision of promotion in rank, termination of appointment, or the awarding of tenure will be reported to the President.

The Appeals Committee will determine:

1. whether a substantive or procedural error has in fact occurred; and
2. whether the error was serious enough to warrant a reconsideration of the disciplinary action or to have significantly altered the outcome of the reappointment/tenure process.

### **Timeline and Procedure**

- The faculty member is notified in writing of the decision.
- The faculty member will have 30 days after receiving the written notification to initiate an appeal.
- The appeal must be made in writing and delivered to the Provost, who will have five working days to contact the senior member of the Appeals Committee (defined by service on the Committee) and ask that a meeting be convened.
- The faculty member’s written appeal must establish a prima facie case based on the following information:
  1. A descriptive statement of the grounds for the appeal and the supporting facts
  2. All documents or other written materials which the faculty member believes support the appeal
  3. A list of all documents submitted in support of the appeal
  4. The signature of the faculty member and the date on which the appeal was submitted
- The Provost has ten working days from the receipt of the faculty member’s written appeal to submit a response addressed to the Appeals Committee and copied to the faculty member.
- If the Appeals Committee determines by majority vote that the evidence does not warrant a formal review, the procedure will be terminated and the appeal will not proceed. The faculty member will be notified within 21 days from the receipt of all the required documents whether or not the case has been accepted for review.

- Once an appeal has been accepted for consideration, the Appeals Committee may seek out or consider information not contained in written documents. It will have 60 days after its initial meeting to complete its review and to communicate its recommendation in written form to the Provost or the President, and the faculty member. The time limit may be extended by mutual agreement of the faculty member, the President, and the committee. A majority decision of the committee will be its final recommendation and forwarded to the Provost or President. The committee's recommendation will either:
  1. confirm the original disciplinary action or dismissal
  2. recommend reconsideration of the disciplinary action or dismissal in the light of new information brought forth through the appeals process.

Each appeal should be considered on its own merits and in conjunction with the policies of the College and the standards of the academic community. In the case of tenured faculty, the President will make his or her recommendation to the Board.

## **LEAVE OF ABSENCE, PRE-TENURE LEAVE, AND SABBATICAL LEAVE**

Faculty are eligible for all leaves outlined by Human Resources (see the Ursinus web page at <https://www.ursinus.edu/offices/human-resources/>). In the cases outlined under Family Medical Leave, a pre-tenure faculty member has the option to extend his/her tenure timeline accordingly (NOTE: faculty-specific policies pertaining to Family Medical Leave, including maternity leave, are reviewed in cooperation with Human Resources and are published separately).

All full-time employees of the College who hold faculty positions are also eligible for the leaves, specific to faculty, outlined below. For faculty with asymmetrical annual teaching loads who are granted Pre-Tenure and Sabbatical leaves, the teaching semester carries the higher teaching load.

### **LEAVE OF ABSENCE**

A faculty member may request a leave of absence. A leave of absence may be granted with or without compensation, at the discretion of the Provost and with consideration of the circumstances.

Faculty members may apply for a leave of absence for no more than one year at a time. Requests should be addressed to the Provost, who makes a recommendation to the President. Faculty may request that leave be extended for a second year; only under exceptional circumstances will the request be granted.

### **PRE-TENURE LEAVE**

The one-semester faculty pre-tenure leave program is designed to assist tenure-track faculty in their professional development. These leaves are not granted for the purpose of pursuing or completing a terminal degree.

Faculty who have been notified of reappointment at the completion of their pre-tenure review are eligible to apply for a pre-tenure leave. Typically, the leave will be taken during the fourth year.

The format of the application is prescribed by the Provost's Office in an annual communication. Basic components include:

- A brief description of the project to be undertaken during the leave, including the specific plan and methodology to be followed;
- The scholarly significance of the project, including where applicable, an explanation of how the project relates to the existing literature;
- A brief description of where the project will be undertaken, including rationale (append indication of support from your host or collaborator if applicable);
- How the project enhances the applicant's professional development;
- How the project addresses the three-year professional plan;
- What outcomes are expected at the completion of the leave, with a brief description of the final product(s).

The Provost will consult with the Professional Development Committee before reaching final decisions on leave requests and will notify the applicants of acceptance or need for modification.

The pre-tenure leave is granted for one semester at full salary and benefits. The applicant may indicate a preferred semester, but the decision will be made by the Provost based on College and Departmental needs.

Recipients of pre-tenure leaves are required to submit to the Provost a report, along with any visible products, within four weeks of the beginning of the first semester following leave. If the visible product is not available, faculty will submit a descriptive report of the work done to date and the results obtained, along with an indication of when the completed product will be submitted. Specifics of the report are prescribed by the Provost's Office in an annual communication.

Upon return from a pre-tenure leave, faculty members will make a public presentation to the campus community on the work conducted during their pre-tenure leave.

### **SABBATICAL LEAVE**

Sabbatical leaves are granted to allow faculty members to engage in scholarly activity that will contribute to their long-term effectiveness as a teacher and a scholar at Ursinus and in the academic profession.

Typically, tenured faculty members are initially eligible in their seventh year of full-time service at Ursinus to submit an application for sabbatical leave. Unsuccessful applicants may re-submit applications in subsequent years.

#### **Initial Sabbatical Sequence**

| First year of employment |   |   |   |   |   |   | Earliest Apply | Initial Sabbatical |
|--------------------------|---|---|---|---|---|---|----------------|--------------------|
| Year                     | 1 | 2 | 3 | 4 | 5 | 6 | 7              | S                  |

Faculty must provide a minimum of six years of full-time service between sabbatical years. Thus, counting from the academic year that begins after a sabbatical is taken, a faculty member is next eligible to apply during his or her sixth year of full-time service for a sabbatical to be taken in the seventh year of full-time service.

#### **Subsequent Sabbatical Cycles**

| Sabbatical                     |   |   |   |   |   | Earliest Apply | Sabbatical |
|--------------------------------|---|---|---|---|---|----------------|------------|
| S                              | 1 | 2 | 3 | 4 | 5 | 6              | S          |
| ← Years of full-time service → |   |   |   |   |   |                |            |

A sabbatical leave may be granted for either one-half year at full salary or a full year at one-half regular salary; in either case the recipient retains full benefits.

Applicants will provide sufficient information to the Provost's Office describing the project for the Professional Development committee to assess:

- Scholarly relevance of the project
- Feasibility of the project
- Intended products of the project
- Qualifications of the faculty member to pursue the project.

The format of the sabbatical leave application and subsequent report is prescribed by the Provost's Office in an annual communication, and is also available on the Faculty Development web page. To facilitate planning the Provost will set a deadline for applications that is no later than September 15 of the year prior to the proposed sabbatical year.

Sabbatical leaves are approved by the Provost in consultation with the President, based on recommendations of the Professional Development Committee.

Recipients of sabbatical leaves are required to submit to the Provost a report, identifying any visible products, within four weeks of the beginning of the first semester following leave. If the visible product is not available, faculty will submit a descriptive report of the work done to date and the results obtained, in terms that a person outside your discipline can understand, along with an indication of when the completed product will be available.

The number of sabbatical leaves granted in any academic year will ordinarily be limited to 10% of the tenured faculty.

The faculty member must agree to return to Ursinus College for at least one full year following a sabbatical leave. A faculty member on sabbatical leave may not be employed outside of the college during the period of the leave except with the written approval of the Provost. Upon return from a sabbatical leave, faculty members will make a public presentation to the campus community on the work conducted during their sabbatical leave.

## **RETIREMENT**

Faculty who intend to retire are encouraged to notify the Provost and their department chair with as much advance notice as possible. In order to help department planning, written notice should be submitted by the end of the academic year prior to anticipated retirement.

### **EMERITA/EMERITUS STATUS**

Upon retirement from the College, full-time tenured associate professors and professors with ten or more years of continuous academic service will be advanced by the Provost for appointment to the honorary rank of emerita/emeritus. Such status will be conveyed in recognition of outstanding dedication to the College.

In special circumstances and at the discretion of the Provost, non-tenured faculty members with ten or more years of continuous academic service may be considered for this status.

## **PART TWO: FACULTY GOVERNANCE AND RESPONSIBILITIES**

### **FACULTY MEETINGS**

The faculty of the college holds monthly meetings throughout the academic year. Special meetings may be called from time to time by the President or the Provost or the Faculty Meetings Chair, who is an elected member of Faculty Council. The Faculty Meetings Chair presides. If the Faculty Meetings Chair is absent, another member of Faculty Council presides. All faculty meetings will be held in-person unless gathering together is unadvisable as determined by the Faculty Meetings Chair. In this case faculty meetings will be conducted electronically via a synchronous meeting platform and votes will be allowed electronically during the meeting. Rules for electronic meetings will be adopted by the assembly prior to their use.

The Governance Committee appoints a parliamentarian for a three-year term. The parliamentarian advises on matters of parliamentary procedure and is allowed both a voice and a vote during faculty meetings. An administrative assistant from the Office of Academic Affairs will serve as the secretary. The secretary works with the Faculty Meetings Chair and is responsible for keeping the minutes and maintaining an accessible and secure archive of documents pertaining to meetings, including minutes and committee reports. If the administrative staff in the Academic Affairs office is unavailable for a given meeting, the Faculty Meetings Chair will secure a replacement for that meeting.

Robert's Rules of Order govern faculty meetings to assure a regular and ordered procedure. The Faculty Meetings Chair prepares an agenda and distributes it to the faculty in advance of the meeting. Anyone wishing to report should notify the Faculty Meetings Chair two weeks in advance of the meeting. Written reports from committees or individuals should be submitted in writing to the Faculty Meetings Chair two weeks before the meetings so that materials can be circulated along with the notice of Faculty Meeting. Motions from the floor will be accepted from governing faculty.

All members of the governing faculty are expected to attend faculty meetings, where they have voice and vote. They may vote in faculty elections and are eligible for service on faculty standing committees for which they meet eligibility requirements. A quorum for faculty meetings consists of a majority of all governing faculty.

If there is not a quorum at a faculty meeting where graduates are to be approved, the faculty delegates those decisions to those members of the body present at that meeting. The faculty meeting may convene provided that the vote to approve the list of graduates and/or conferral of degrees was announced on that scheduled meeting's agenda, but only for the purpose of discussing, moving, and voting to approve lists of graduates and/or conferral of degrees at that scheduled meeting date and time.

The following are governing faculty of the College:

- All full-time employees of the college appointed with faculty rank;
- All individuals with faculty rank in renewable or continuing positions who are at least half-time employees of the college;
- Other professional staff designated by the Provost as members of the governing faculty.

The Ursinus College Student Government (UCSG) representative and the Student Affairs Advisory Committee representative may attend without voice or vote any faculty meeting that does not explicitly review confidential student information. Additional students may request a place on the agenda of a faculty meeting through the Faculty Meetings Chair, who will evaluate the request based on the need for substantive faculty-student dialogue and/or faculty discussion. The Faculty Meetings Chair will make every effort to accommodate student requests, because the faculty values open dialogue whenever possible. Students may be present only for discussion of the issue they are invited to address, during which they may have voice in accordance with Roberts Rules but no vote.

## **ACADEMIC CONVOCATIONS**

All members of the faculty are expected to attend Commencement wearing appropriate regalia. Any member of the faculty who cannot attend must notify the Provost in writing and be formally excused. All faculty are urged to attend the Ursinus Day Academic Convocation, which opens the fall semester. Faculty are encouraged to wear academic regalia to Convocation but are not required to do so. Academic regalia may be rented through the College book store.

## ACADEMIC ADMINISTRATIVE UNITS

### ACADEMIC DEPARTMENTS AND PROGRAMS

Academic departments and programs offer a minor or major and have faculty with full-time appointments assigned to them or faculty cross-listed from other departments.

### DEPARTMENT CHAIRS

Selection: The Provost will solicit nominations from members of the department. Department chairs are then appointed by the Provost in consultation with the President.

Term: The term of appointment is normally for three years. Rotation in office is desirable, but because at a small college rotation is not always in the best interest of the department, a chair may be re-appointed.

Compensation: In order to facilitate their performance of the duties and responsibilities of department chairs, all chairs receive one course release. The Provost may grant a second course release to department chairs who have additional responsibilities, which could include a large number of faculty and staff to oversee and evaluate; an unusually large budget to oversee; or equipment and infrastructure requiring significant oversight and maintenance.

Duties and responsibilities of department chairs: The chair has a dual responsibility as representative of the department externally and as representative and administrator for the College within the department. In order to exercise their responsibilities, chairs must enjoy the confidence both of colleagues in their department and of the college administration. They should also enjoy a reputation for professional competence in teaching and scholarship, as well as character and integrity.

No chair is expected to perform all departmental duties unassisted. The principle of collegiality should encourage all department members to assist chairs in the execution of their duties and to promote the welfare of the college and the department.

The duties and responsibilities of chairs include governance, faculty affairs, curriculum and instruction, and administrative and general concerns.

The chair is responsible for departmental governance, including:

- chairing department meetings
- developing the structure of departmental organization;
- assuring fullest possible faculty participation.

The chair is directly responsible for the effective use of faculty. To accomplish this, chairs are responsible for faculty affairs, including:

- maintaining high faculty morale;
- assuming a major role in recruiting new faculty, including making recommendations to the Provost on new faculty appointments;

- mentoring of new faculty;
- keeping faculty informed of department and college plans, activities, and expectations;
- conducting evaluations as outlined in Part I, “Faculty Evaluations,”
- making recommendations to the Provost on appointments, tenure, promotions, and leaves;
- encouraging and fostering individual career planning and professional development;
- encouraging senior faculty to take special responsibility to assist junior faculty in teaching and professional development;
- ensuring an appropriate level of advising and mentoring responsibilities for all faculty in the department.

The chair is responsible for the quality of the instructional program of the department. Curricular and instructional responsibilities include:

- working to ensure the maintenance of high academic standards, a high level of teaching effectiveness, and a curricular program appropriate to the mission of the College;
- leading the department in periodic review of departmental goals, curriculum, and assessment;
- recommending on behalf of the department proposed curricular changes;
- arranging adequate advising of majors and minors;
- dealing with students' academic concerns that relate to the department or its faculty.

The chair has general administrative responsibility for the department, including:

- developing and submitting annually proposed budgets for the department;
- assigning teaching duties and developing a schedule of classes for the department, subject to approval of the Provost;
- overseeing various administrative matters such as those relating to student assistants, clerical personnel, library and textbook orders, space allocation, physical facilities, material and equipment.

Evaluation: Faculty serving as department chairs will be evaluated by the Provost as chairs for two purposes: first, to provide chairs with information aimed at improving their performance as chairs; and second, to provide the President and Provost of the College with information to be used in determining whether to renew the chair's term of office. These evaluations are separate from the evaluation of the chairs as general members of the faculty because their purposes are different.

Chairs will be formally evaluated by the Provost by April 15 of their second year of service. Department faculty and non-student department support staff will be given the opportunity to provide written input, which will go to the Provost's Office. The Chair may request summaries of this input.

### **PROGRAM COORDINATORS**

Selection: The Provost appoints coordinators. Some interdisciplinary programs may have more than one coordinator.

Term: The term of appointment is normally for three years. Rotation in office is desirable, but because at a small college rotation is not always in the best interest of the program, a coordinator may be re-appointed.

Compensation: Program coordinators are not compensated.

Duties and responsibilities of program coordinators: The coordinator has a dual responsibility as representative of the program externally, and as representative and administrator for the College within the program. In order to exercise their responsibilities, coordinators must enjoy the confidence both of colleagues in their program and of the college administration. They should also enjoy a reputation for professional competence in teaching and scholarship, as well as character and integrity.

No coordinator is expected to perform all program duties unassisted. The principle of collegiality should encourage all program members to assist coordinators in the execution of their duties and to promote the welfare of the college and the program.

Duties and responsibilities vary from program to program but may include communicating with the department chairs from the contributing departments, governance, curriculum and instruction, and administrative and general concerns.

### **COMMON INTELLECTUAL EXPERIENCE COORDINATORS**

The Common Intellectual Experience Seminars (CIE-100 and CIE-200) introduce students to the intellectual life of the college through a shared interdisciplinary inquiry during two integrated seminars.

CIE is staffed by faculty from across the college. There are four CIE coordinator positions: Chair, CIE 100 Pedagogy Coordinator, CIE 200 Pedagogy Coordinator, and Common Events/First-Year Integration Coordinator.

Selection: Anyone who has taught CIE at least twice is eligible. In addition, the CIE Chair and other Coordinators should teach CIE at least once each year and are encouraged to teach every semester, during their term. It is desirable for coordinators to work together to ensure that at least one of the four is teaching CIE each semester.

Divisional representation: To achieve divisional representation among the coordinators, the Governance Committee will assist in soliciting candidates from underrepresented divisions. No more than two of the four positions shall be from the same division, and ideally, all three divisions should be represented among the four coordinators.

Terms and limits: For each position, there is a three year term. Faculty are limited to two consecutive full terms as a CIE coordinator. Once a term limit has been reached, faculty must wait at least one year before serving again.

Selection of the Coordinators: The coordinator roles are determined by a vote of the faculty and are elected by position. If two candidates of with appropriate divisional representation cannot be

obtained, then the rule about divisional representation will be broken and the candidacy will open up to professors from other divisions. Nominations and elections will be held by the Governance Committee. The Provost has the final right of approval of the chair position.

Voting eligibility: All governing faculty are eligible to vote in CIE coordinator elections.

### **FACULTY REPRESENTATIVES ON BOARD COMMITTEES**

Faculty representatives on Board Committees play a role in bridging the gap between the faculty and college leadership. The presence of faculty on Board Committees ensures that the perspectives and concerns of faculty are considered in the decision-making process of the leadership of the college and helps align the Board's actions with the educational mission, values, and strategic plan of the college. There are four Board Committees on which faculty have a representative: the Advancement Committee, the Finance and Facilities Committee, the People and Priorities Committee, and the Student Experience Committee. These representatives serve in voice/no vote roles and present a brief overview of the committee's activities to the full faculty at faculty meetings.

Selection: Faculty members on Board Committees are faculty appointed to these roles by the Board (in particular, by the Board Chair, per the Board's Constitution and Bylaws) from a list of candidates approved by the faculty. Only full-time faculty are eligible to serve as a faculty representative on a Board Committee. Each year, two faculty members will have their term end as Board Committee faculty representatives. Faculty will be able to indicate interest in serving as a faculty representative on a Board Committee on the faculty survey each Spring, with an additional call for nominations sent to faculty should more names be needed. Governance will conduct an election, with the names of at least two, but no more than three nominees who receive the highest number of votes for each position being announced and sent in rank order to the Provost. A list of these 2-3 names must be provided for each faculty representative position. From the lists of names, the Board will appoint three faculty representatives, two of which will serve two-year terms as faculty representatives on Board Committees and one of which will serve a two-year term as an alternate representative in the case that one of the appointed faculty representatives cannot attend a Board Committee meeting or must recuse themselves due to a potential conflict of interest.

## **ADMINISTRATION AND GOVERNANCE**

Committees of various types exist at many different levels and in many different areas of the College. Service on each type of committee is considered college service.

### **STANDING COMMITTEES**

These faculty-established committees deal variously with college affairs, academic affairs, faculty affairs, and student affairs in the context of collegial governance and of the College's planning process. They are on-going committees to which faculty nominate and/or elect faculty for appointment. Such committees are involved in advising on policy formulation or in direct policy implementation. These committees are mandated to report annually to the faculty. Items requiring faculty action will be presented on the floor of the faculty meeting. Other items may be reported on the floor or attached in written form to a faculty meeting agenda. Standing committees cannot be created, modified, or dissolved without faculty approval.

#### **List of Standing Committees**

- Academic Council
- Academic Standards and Discipline Committee
- Appeals Committee
- Arts & Lectures Committee
- Faculty Council
- Governance Committee
- International Education Committee
- Information Technology Committee
- Professional Development Committee
- Promotion and Tenure Committee
- Student Achievement in Research and Creativity Committee
- Student Affairs Advisory Committee
- Student Conduct Committee
- Student Learning Outcomes Assessment Committee

### **ADVISORY COMMITTEES**

These ongoing committees, which are authorized by the administration, provide important oversight and serve the College in a variety of ways which require specific expertise or training. The size and composition of faculty participants on advisory committees will be determined by the Provost/Vice President of Academic Affairs in collaboration with the committees themselves. Vacancies are filled by appointment of the Provost. Individuals who are interested in serving on advisory committees should consult with their department chair, or the Chair of the committee, or the Provost. Examples of advisory committees follow. A full list of advisory committees and their memberships is available from the Provost's office.

### List of Advisory Committees

- Health Professional Advising Committee
- Institutional Animal Care and Use Committee (IACUC)
- Institutional Review Board (IRB)
- Teacher Education Advisory Committee

### SUBCOMMITTEES

Committees may create subcommittees as appropriate. Members of a subcommittee need not be on the parent committee. To determine members of a subcommittee, the parent committee can solicit self-nominations from interested persons, or can request that the Governance committee solicit nominations.

### AD HOC COMMITTEES

The faculty and/or the administration may create whatever ad hoc committees either deems appropriate. At the time of creation, ad hoc committees will have both a clear and specific charge and an end date for the committee.

### DEPARTMENT COMMITTEES

Academic departments may create whatever committees the department deems appropriate for the conduct of the department's operation.

### COMMITTEE MEMBERSHIP

Governance Committee has the authority to fill elected and appointed positions on standing committees following the process outlined below.

Nomination and Selection Procedure: All Governing Faculty will receive a unique link to a survey that will be used to determine interests and availability to serve on specific committees in the upcoming three-year period beginning the following academic year. There will be three distinct parts to this survey. The first segment will be used to gather information on faculty interests in serving in 3-year Elected Positions. Although faculty members will be able show interest in more than one of these committees, each faculty member will be limited to service in one elected position at a time. The second part of this survey will solicit information on Governing Faculty members' preferences for serving in Appointed Positions. Faculty will be able to provide rationale supporting their interest and/or special qualifications for the position. In the third part of the survey, each member will be asked to list current and/or anticipated departmental and extra-departmental service and responsibilities (other than committee service) that would impact the ability to serve on a committee as well as anticipated leaves of absence (e.g., sabbatical, pre-tenure leave, etc.) during the upcoming 3-year period. Each Governing Faculty member will have 14 days from the distribution of the survey to complete it. Governing Faculty who do not complete the survey before the deadline will be assumed to be interested in

serving on any committee that has an opening. All information gathered in the survey will be kept confidential.

Using the faculty survey information gathered, a list of nominations for 3-year Elected Positions will be constructed in ballot format. The ballot will be circulated to the faculty prior to the close of nominations at a faculty meeting. Additional nominations or self-nominations will be accepted between the distribution of the ballot and the close of nominations. At least two nominees will be required for each 3-year elected position. The election will be held electronically the week following the close of nominations, and the names of the elected faculty will be communicated electronically shortly thereafter. Winners will be determined by a plurality of the vote provided the winner carries at least one-third of the total votes. If no candidate receives at least one-third of the total votes, a runoff election for the top three candidates will be held. In the event that a faculty member is selected for more than one 3-year elected position, they must choose which position to accept. A second election will then be held to fill the position they decline.

After the 3-year elected positions are filled, the Governance committee will convene and make selections for 3-year appointed positions and term (both appointed and elected) replacement positions. Appointments will be made with consideration of faculty preferences as indicated in the second part of the survey as well as balanced representation in the committee composition. Every effort will be made to limit faculty to full-term service on no more than one committee at a time. While the committee will not be bound by the preferences indicated on the faculty survey, reasonable efforts will be made to honor them whenever possible, particularly in the case of pre-tenure faculty.

Appeals: Once committee appointments have been made, faculty members may appeal their placements within 30 days of the list being made public. To appeal an appointment, faculty must submit in writing the rationale for the appeal to both the Provost and Chair of the Governance Committee. The appeal will be considered and a joint decision will be communicated to the faculty member.

Term limits: Under standard circumstances, service on the same committee is limited to two consecutive full terms. In an effort to maintain diversity of leadership, once a term limit has been reached, faculty should wait at least one year before requesting to serve on that same committee again. The Governance Committee will review and consider term limits when accepting nominations for elected positions and when making appointments.

Resignations: Should a committee member (whether appointed or elected) need to resign from a position, the individual must notify the Provost and Chair of the Governance Committee. In such cases, the Governance Committee will then appoint a replacement to the committee for the remainder of the term.

Leaves: The Provost's Office will notify the chair of the Governance Committee of any governing faculty who will be on leave the following academic year by the end of the fall semester. The Governance Committee will then appoint a replacement to the committee for the duration of the leave as part of the appointment process described above. When notice of a leave

of absence is communicated after the annual appointment process is complete, the Governance Committee will make a term appointment on an ad-hoc basis.

**Committee Chairs:** For committees whose chairs are selected annually by the committee members the outgoing chair will appoint a convener to call the first meeting the following fall. Each committee shall inform both the chair of the Governance committee and the Provost's office when a new chair is appointed by the committee.

**Student Representatives:** Student representatives on committees are to be selected by the Ursinus Student Government Association (USGA) on a yearly basis. Committee chairs should communicate with USGA regarding attendance and participation of student members. Students who are unable to fulfill their responsibilities on the committee will be subject to replacement.

**Attendance at and participation in committee meetings:** Chairs of committees will consult with department chairs or relevant administrative supervisors regarding any committee member who is performing service above expectations, or is not fulfilling the basic responsibilities of that committee.

**Committee Agendas:** Any committee member can place an item on a committee's agenda. Faculty who are not on a committee, but who wish to see a particular item on its agenda, may approach a committee member to ask that the item be included.

**Voting Rights:** Unless otherwise specified, all members of a committee have the right to vote on matters that come before it. Where the designation 'voice, no vote' appears for individuals in the section establishing the committee, they have all rights of committee membership except the right to vote.

**Guests at meetings:** Any committee may invite others in the campus community to attend meetings in order to inform the committee's discussions. Such guests have voice but no vote.

**Meeting Minutes:** It is recommended that committees take meeting minutes or craft end-of-semester reports detailing their work. These minutes or reports should be stored in a manner accessible to the committee members.

## **COMMITTEE DESCRIPTIONS**

### **Academic Council**

The council discusses the academic program of the college and related issues, receives for its evaluation proposed curriculum changes, and reviews the college curriculum. It may make suggestions to academic departments and programs, and makes recommendations to the faculty as a whole through monthly reports.

#### **Membership:**

- The President (ex officio)
- The Provost or designee (ex officio)

- 8 appointed faculty members, 2 from each division and 2 at large members from different divisions
- 2 student members selected by USGA

Chair: The Provost or designee

### **Academic Standards and Discipline Committee**

The committee reviews students' academic records, and decides or recommends retention, probation, dismissal, and reinstatement of students. The committee interprets academic policy and makes decisions regarding students attending other institutions, including studying abroad, and other related matters referred to it by the Provost.

#### Membership:

- 6 ex officio members:
  - The Provost
  - A representative from the Office of the Dean of Students
  - An Associate Dean
  - The Registrar
  - Director of Institute for Student Success or designee
  - Student Success and Retention Specialist
- 6 appointed faculty members, two from each division

Chair: the Provost.

### **Subcommittee on Academic Discipline**

The subcommittee gathers evidence and considers testimony in charges of academic dishonesty. The subcommittee deliberates and judges guilt or innocence in such cases, in accordance with the provisions in the Ursinus College Student Handbook and in the Ursinus College Faculty Handbook (see Academic honesty/dishonesty).

#### Membership:

- 3 faculty members from the parent committee, one from each division, chosen from within
- Alternate members may be chosen from the faculty at large by agreement of the parties
- 2 student members to be selected by the USGA

Chair: to be selected by the subcommittee from within the subcommittee.

### **Appeals Committee**

The Committee acts under procedures established in Appeals Procedure of the *Ursinus College Faculty Handbook*.

#### Membership:

- 2 administrators appointed by the President
- 3 elected tenured faculty, one from each division

A member of the committee who is in the department of or has served on the Faculty Review Committee of a faculty member under review may not participate in the review in question. In such cases, a replacement will be chosen from former committee members from that division. A list of former members of the committee will be kept, and the most recent members will be asked to serve first. Reverse chronological order will be used to identify an available and willing replacement. In all cases, replacements of divisional members must be from the same division.

Faculty who currently serve on the Promotion and Tenure Committee are excluded from nomination to the Appeals Committee and will not be eligible for nomination until at least one year after they leave the Promotion and Tenure Committee. In no case may faculty review an appeal of a case they reviewed while a member of the Promotion and Tenure Committee.

Chair: to be selected by the committee from within.

### **Arts & Lectures Committee**

The Arts & Lectures Committee supports the curricular and co-curricular programs of the College and supports the artistic and intellectual life at Ursinus. It promotes an interdisciplinary approach that enhances, enriches and supports academic offerings and encourages a diversity of perspectives, opinions, and aesthetic pursuits. Lectures and performances are available to the broader public and add a cultural and educational opportunity for the greater community.

Requests for Proposals will be announced each spring for planning the following year's Arts and Lectures Programs. The Committee reviews proposals, makes recommendations to the Provost regarding proposal funding and administers the programs funded through the Office of Academic Affairs. Based on availability of funds the committee may review proposals for smaller requests throughout the academic year. The Committee supports proposals submitted by departments and individuals. The Committee may collaborate with departments and programs to support funding for events.

The committee will review candidates for the Distinguished College Lecture Series including the holder of the Davis Chair for Judeo-Christian Studies, the Wright Lecture on Middle Eastern Studies and others. Recommendations will be made to the Provost working with the Office of Institutional Advancement.

Proposals for speakers and performers are evaluated for intellectual or artistic impact and how they will support other programs on campus. The Committee meets regularly to review proposals, plan the offerings and identify potential themes for succeeding semesters. The Committee is encouraged to develop and support linkages among events in order to build audience interest and appeal. The Committee responds to immediate requests for departmental speakers or opportunities that could be funded during semesters. The Committee selects programs that will appeal to a variety of members of the community, seeking a balance between larger and more expensive programs and smaller ones that will serve a more limited audience.

The arts and lectures budget is under the supervision of the Office of Academic Affairs and the VPAA.

Membership:

- 6 ex-officio members:
  - Provost's Office representative
  - Student Affairs representative
  - Events representative
  - Marketing and Communications representative
  - Berman Museum Director or designee
  - College Chaplain and the Director of Religious and Spiritual Life
- 5 appointed faculty members, one from each division and two at large. At least one of the appointed members must be from the Arts (art and art history, music, theater, dance, or creative writing)
- 3 students appointed by student government

Chair: The faculty members on the committee will elect a chair from among the appointed faculty members.

**Faculty Council**

Faculty Council is the principal forum for constructive dialogue between faculty and administration on matters related to faculty within the context of the needs of the institution. Faculty Council meets weekly and convenes regular faculty meetings; collaborates with the administration to develop long-term goals; and participates in the creation, review, and implementation of strategic plans for achieving these goals. The administration seeks the advice of Faculty Council on policy changes affecting faculty and Faculty Council brings concerns of the faculty to the administration. While considering budgetary implications of its advice, Faculty Council advises the President on long-term priorities in the areas of faculty hiring, including recommendations for tenure-track positions. Faculty Council reviews and advises on budgetary plans related to faculty salaries, departments, programs, benefits, and any initiatives affecting faculty. Faculty Council will provide two representatives to the Budget and Long-Range Planning Committee and one representative to the Benefits Committee. Faculty Council will make regular reports to the faculty (at least once per semester) and to other College assemblies (as needed) regarding campus initiatives, policies, and strategic planning.

Membership:

- The Provost (ex officio)
- Elected Faculty Meetings Chair (at large from any division)
- 7 elected faculty members, two from each division and one at large from any division
  - Faculty Council Co-Chairs: The faculty members on the committee will elect two Co-Chairs from among the elected faculty members. The Co-Chairs will provide representation on the Budget and Long-Range Planning Committee and the President's Cabinet.

- Faculty Meetings Chair: The Faculty Meetings Chair will organize and moderate faculty meetings and is responsible for planning and distributing the agenda for faculty meetings; collecting and disseminating reports from standing committees; and scheduling reports by these committees, the President, Deans, and other administrative officers. The Faculty Meetings chair will also solicit suggestions from the faculty, staff, and administration on issues for special consideration at faculty meetings. If the Faculty Meetings Chair is unable to moderate a faculty meeting, another member of Faculty Council will serve in their place.

### **Governance Committee**

The Governance Committee solicits nominations for committees and conducts elections; engages in a periodic review of the College's committee structure, offering recommendations for improvement as needed; and works with the Provost's office to update the Faculty Handbook annually.

Members of the committee work to solicit nominations for standing committees and for faculty representatives to Board committees. The committee works to cultivate committee service across the College by developing and maintaining a database of faculty members on standing committees, by communicating with department chairs to solicit nominations, and by meeting with new faculty during their first year.

The Governance Committee annually appoints a subcommittee of its members to work collaboratively with the Provost (or a representative from the Provost's office) on annual reviews of the Faculty Handbook and make recommendations to the Faculty as appropriate. Every five years, the Governance Committee will appoint a subcommittee of its members to review the existing committee structure and offer recommendations for improvement if needed.

#### Membership:

- 6 elected faculty, 2 from each division, from different departments

Chair: to be selected by the committee from within

### **International Education Committee**

The International Education Committee recommends policy and priorities for international programs and initiatives. It considers ways to propose new international education initiatives and enhance existing ones, and seeks innovative ways to integrate the international experience in the academic and cultural life of the campus community. It also assists in the administration of international programs, including the review of study abroad and special funding applications.

#### Membership:

- 4 ex officio members:
  - A representative of the Provost of the College
  - The international student and study abroad adviser
  - The director (or an assistant director) of Residence Life (voice, no vote)
  - A representative of the Admissions Office (voice, no vote)

- 4 appointed faculty members, one from each division and 1 at large
- 3 student members selected by USGA
  - 2 who have participated in an Ursinus-approved semester or academic year study abroad program
  - 1 who holds an F-1 visa

Chair: the representative of the Provost

### **Information Technology Committee**

The committee advises and guides the leadership of the IT division on matters related to the college's academic mission. In particular, ITC focuses on information technology resources and services, digital literacy, instructional technology, technology in pedagogical spaces, internal communications, and student/faculty/staff use of technology, including software decisions that impact faculty, staff and student needs. The committee facilitates communication between the community, particularly faculty as a whole and the IT division.

While the committee may be consulted on the college's application of significant administrative systems (especially as they support and interact with faculty and students), those decisions will be guided largely by administrative leaders in key departments and the institution as a whole.

The committee will also provide advice on the annual IT budget requests and annual project plans and will support the IT division in gathering and responding to feedback from the broader campus community.

#### Membership:

- 4 ex officio members:
  - The Head of IT Management
  - 2 members of the IT department selected by the Head of IT Management (voice, no vote)
  - Provost or designee
- 3 appointed faculty members, one from each division
- 2 elected staff members to be filled by the staff assembly
- 2 student members selected by the USGA

Chair: to be selected by the committee from among the appointed faculty on the committee.

Other members of the IT organization will attend meetings as regular or occasional resources for discussions of particular issues. Agendas will be developed jointly by the Committee Chair, the Head of IT Management, and the members of the committee.

### **Professional Development Committee**

The committee supports the professional development of faculty at all points along the faculty lifecycle. The committee will work closely with the Provost's Office to identify areas of need in faculty professional development and recommend programming or changes in policies to address such needs. Duties will include promoting the development of scholarship and creative work, supporting faculty mentoring, and providing recommendations regarding sabbatical leaves and allocation of internal grant funds.

Membership:

- The Provost (ex officio)
- An associate Dean of the College (ex officio)
- Executive Director, Corporate, Foundation, and Government Relations (ex officio; voice, no vote)
- 4 appointed faculty members, 1 from each division and 1 at large

Chair: the Provost

**Promotion and Tenure Committee**

The committee makes recommendations to the President regarding re-appointments, promotion, and tenure of tenure-line faculty members, based on individual performance and upon departmental and college-wide needs and standards.

Membership:

- President of the College (ex officio; voice, no vote)
- Provost (ex officio; voice, no vote)
- 4 elected tenured faculty, one from each division and 1 at large
- Members of the Appeals Committee cannot serve concurrently on the Promotion and Tenure Committee

A member of the committee who is in the department of or has served on the Faculty Review Committee of a faculty member under review may not participate in the review in question. In such cases, the Provost will consult with the remaining members of the committee to appoint a temporary replacement. Replacements of divisional members must be from the same division. When possible, former members of the committee should be selected.

Chair: to be selected by the committee from among the elected faculty on the committee.

**Student Achievement in Research and Creativity Committee**

The committee supports student scholarship and achievement, which may include research, publication, performance, exhibition, or other activity appropriate to the discipline. Committee members will evaluate applications to fund items needed for student directed and independent projects and presentations, such as materials, access to resources, and travel. They will coordinate the Summer Fellows program and the Celebration of Student Achievement. The committee will promote development of opportunities for students' engagement in scholarship and achievement from pre-matriculation throughout their academic careers at Ursinus College. This includes some support for development of novel opportunities for student scholarship and achievement.

Membership:

- Dean from Academic Affairs or designee (ex officio)
- 6 appointed faculty members, 2 from each division
- 2 student members selected by USGA

Chair: Dean from Academic Affairs or designee (ex officio)

### **Student Affairs Advisory Committee**

This joint committee of students, faculty, and administrators reviews and makes recommendations regarding policy matters pertaining to student life, and solicits input from the faculty at large on matters pertaining to student affairs. Specific duties include advising the Dean of Students on matters of non-academic college policy (including updates to the student handbook), making recommendations for student support programs (including first-year and major advising, academic success initiatives, and counseling and wellness), facilitating communication on matters pertaining to the intercollegiate athletics program, and overseeing campus social organizations (including Greek life, clubs, and club sports).

#### Membership:

- 6 ex officio members:
  - Dean of Students or designee
  - Director of Residence Life
  - Athletics Director or designee
  - Member of the Institute for Student Success
  - Director of Leadership Development and Student Activities
  - Faculty Athletics Representative
- 3 appointed faculty members at large
- 5 students appointed by student government

Chair: Dean of Students (or designee)

### **Student Conduct Committee**

The Student Conduct Committee constitutes the pool from which Hearing Panel members are drawn. The Hearing Panel is responsible for reviewing the case information and issues a finding of responsible or not responsible for each alleged violation of the Student Code of Conduct. The Student Conduct Committee conducts hearings in accordance with the procedures set forth in the *Ursinus College Student Handbook*.

#### Membership:

- 7 appointed faculty members
- 8 students members selected by the UCSG
- 4 Student Affairs staff members appointed by the Dean of Students or their designee

Hearing Panel Chair: to be selected from faculty members on the Student Conduct Committee.

- Hearing Panel Chair should preferably have at least one year of experience on the Student Conduct Committee or have previously served on a Hearing Panel.
- Chair votes in hearings only in case of a tie (when, in exceptional circumstances, the panel has an even rather than an odd number of participants, excluding the chair).

### **Student Learning Outcomes Assessment Committee**

The committee consults with academic departments about how to design and administer assessment of student learning outcomes, make meaningful changes based on findings, and advocate for resources using evidence. The committee coordinates the academic department's year-end reporting process in collaboration with the Provost's Office, provides input regarding design and administration of the college's core curriculum assessment cycle, and reports results. As needed, the committee coordinates with other constituencies on campus to make recommendations and review assessment practices.

#### Membership:

- The Provost (ex officio) or designee
- Director of Institutional Research and Effectiveness (ex officio) or designee
- 3 appointed faculty members, one from each division

Chair: to be selected by the committee from within

## **PART THREE: ACADEMIC RESPONSIBILITIES AND PROCEDURES**

### **ACADEMIC STANDARDS AND INSTRUCTIONAL RESPONSIBILITIES**

Matters pertaining to the overall academic program at the College are, in general, the province of the Provost.

A normal teaching load for full-time tenured or tenure-track faculty in an academic year is 18 to 22 hours, or the equivalent, of lecture/discussion courses, laboratory courses, and other scheduled courses and activities such as studio art, dance, theater, and music. Teaching loads are approved by the department chair and the Provost. Reduction in teaching load or release time grants for professional development requires prior approval of the department chair and the Provost.

Every semester, it is the responsibility of faculty members to provide a syllabus to the students and the Provost for each course that the faculty member teaches.

Each faculty member will meet classes regularly at the time and place scheduled. If a faculty member needs to cancel a class for any reason, he/she should contact all students in the class, the department administrative assistant, and the department chair. Plans for making up missed material and/or class time must be clearly communicated with the students and the department chair, if appropriate.

All courses except seminars, workshops, internships, laboratories, and research courses must hold a final meeting. This meeting will be held at the time and place specified in the final examination schedule published by the Registrar unless an exception is granted by the Provost's Office.

Faculty are also expected to mentor the intellectual engagement of students outside the classroom. As is appropriate to the discipline, such opportunities may include:

- independent study
- student research
- internships/practica
- student teaching
- civic engagement and service learning
- student performance
- creative activities

Faculty members should, in consultation with their department chair, determine the appropriate level of involvement with students in these activities each semester.

## **ADVISING**

All full time tenured and tenure-track faculty are expected to participate in student advising. The balance of first-year and major advising loads will be determined in consultation with the department chair and the Provost's Office.

### **FIRST YEAR ADVISING**

The aim of first year Student Advising is to improve student retention and to support the college's commitment to a liberal arts education. The Institute for Student Success coordinates the First Year Student Advising Program. First year advisors are expected to:

- advise a cohort of approximately ten students
- meet with advisees during spring orientation (late May) to plan their academic program
- meet with advisees during fall orientation (Friday before the semester begins)
- meet with their cohort on a regular basis in the fall semester as a group and individually as necessary
- refer students to campus resources or other members of the faculty or staff who can give additional support

### **MAJOR ADVISING**

Faculty are responsible for advising students who are majors in their department. Major advisors are expected to:

- meet and communicate with advisees on an as needed basis to discuss academic matters, post-graduate opportunities, and when appropriate, personal matters that may be affecting the student's ability to perform academically
- know the various resources to which students can be referred for help
- meet with advisees who receive academic warnings to determine the cause of the problem, render whatever service they can and when necessary, refer the student any of the student academic support services available on campus
- work with the Provost's Office on all academic issues including exceptions to academic policies, academic violations, grade appeals, student initiated majors (SIM), leaves of absence, withdrawals, and return to active status

### **STUDENT ORGANIZATION ADVISING**

All student organizations are required to have an advisor. Those members of the faculty who accept the invitations of various student committees and organizations to serve as advisors should take their responsibilities seriously and at all times give positive direction to the activities involved.

## **COURSE MANAGEMENT**

### **CLASS ATTENDANCE**

The following Student Attendance Policy was approved by Faculty in Spring 2005:

*In keeping with a strong liberal arts tradition that encourages active learning and complete participation in the education process, the college expects students to attend class. Specific attendance policies are set by individual instructors and indicated on the course syllabus at the beginning of each term. Warning slips will be issued by instructors for all students failing to meet the stated course attendance policies. Excessive absences by first year students and students on academic probation will be reported to the Provost's office. Students may be dropped from a course with a grade of F for failing to meet the stated policy.*

### **ACADEMIC WARNING SLIPS**

Academic warnings must be submitted promptly during the semester for students whose grade in a course falls below a C minus. These warnings are submitted to the student and the student's academic adviser, as well as to the Office of the Provost, Residence Life, and the Ursinus Institute for Student Success. Academic warnings alert appropriate support personnel to a student's performance so that remedial actions can be taken.

### **REPORTING OF GRADES**

Faculty are responsible for establishing criteria for determining a course grade. These criteria must be prescribed in the course syllabus. Letter grades must be reported for all students at the end of each semester. Mid-term grades are required for all first-year, transfer, and new students and those students who are on academic probation.

Letter grades should be reported promptly following the guidelines provided by the Registrar's Office. Grades become official once released by the Registrar to students.

### **INCOMPLETES**

A grade of Incomplete (I) may be given only with the written permission of the Provost. This grade is reserved for cases of incomplete work, due to documented physical incapacitation or other extenuating circumstances beyond the student's control. A plan and schedule for completing the remaining work, agreeable to student and professor, must accompany the request for an incomplete. If the incomplete is not removed within one month after the end of the semester in which it was given, the grade F will be assigned for the course.

### **GRADE APPEALS**

The grade appeal policy and procedure afford recourse to a student who has evidence that an inaccurate final grade has been awarded under the following circumstances:

- The grade awarded does not align with criteria established in the course syllabus, rubrics, or other course documents.
- The grade awarded has been inaccurately assigned due to clerical or administrative error.

Please note the grade appeal process described in this policy is for final grades only, not individual assignments. If a student thinks that an inaccurate final grade has been assigned based on the circumstances above, they should discuss the grade with the Course Instructor within 10 business days of receiving the grade. For the purposes of grade appeals, a business day is one which is a weekday and not an administrative holiday. If an agreeable outcome is not reached, then the student may begin an official grade appeal.

### Appeal Process

- To appeal a grade for a course, the student must begin with the Course Instructor by submitting the documents outlined below. The Course Instructor shall review the appeal and provide a written response to the student within 10 business days of receiving the documents.
- If the student is not satisfied with the outcome or does not receive a response within 10 business days, the student may request, in writing, that the next designated academic official, either the Department Chair or Program Coordinator, review the appeal. (Note: If the Course Instructor is the Department Chair or Program Coordinator and the student is not satisfied with the outcome or does not receive a response within 10 business days, then the student may submit the appeal to the Provost's Office (copying the Course Instructor), who will treat the matter as an appeal consistent with the below process for appeals.) If at any point in the process, the Course Instructor and student agree on a grade change, the Course Instructor shall submit the change request to the Registrar, notifying the student of the grade change request, including the new grade.
- The Department Chair or Program Coordinator shall, absent extenuating circumstances, respond to the student in writing within 10 business days of receiving the documents.
  - In the event that the Department Chair or Program Coordinator determines the student's appeal is *merited* and the Department Chair or Program Coordinator and the Course Instructor cannot agree on a mutually acceptable outcome, the Department Chair or Program Coordinator shall forward the appeal and all corresponding documentation to the Provost's Office for a final decision, informing the Course Instructor and student of this step.
  - In the event that the Department Chair or Program Coordinator determines the student's appeal is *unmerited* (or does not respond within 10 business days) and the student is not satisfied with the outcome at that level, the student may submit an appeal to the Provost's Office, copying both the Course Instructor and the Department Chair or Program Coordinator. The Provost or representative of the Provost shall communicate with all parties and provide the final outcome of the appeal in writing with the student, Course Instructor, and Department Chair or Program Coordinator within 10 business days of receiving the appeal, absent extenuating circumstances.

### Required Documentation

For a grade appeal, the burden of proof rests on the student. To begin the appeal, the student must provide the following documents for review:

- a) a detailed written statement requesting and explaining the basis for the appeal.
- b) a copy of the relevant course materials, including syllabus and assignments; and
- c) copies of other pertinent documents, including the student's submitted work, and any other evidence that may have a bearing on the grade in question. These may include, but are not limited to, work done by the student in the course, department/college policies, tests, papers, handouts, correspondence to/from the instructor, course outlines, logs and any written feedback given by the instructor on written work.

### Timeline

A student must file the initial appeal within 10 business days after the deadline date for grade submittal as found in the Academic Calendar. The entire grade appeal process should take no more than 30 business days (approximately six weeks). If, due to extenuating circumstances, the student is unable to follow the timeframe, they must submit a written request for an extension from the next person in the process during the specified timeframe. Likewise, a Course Instructor, Department Chair, or Program Coordinator must submit a written request for an extension to the Provost if there are extenuating circumstances that would not allow the timely completion of their review and decision.

### EVALUATION OF STUDENT WORK

Students are required to take examinations at the time and place scheduled. The instructor of a course (or another faculty member, and not a department administrative assistant or student assistant) should be present at all times during an examination. If a student misses an examination, the faculty member will decide whether the reason for absence is valid and whether a make-up exam is warranted. Faculty are required to comply with ADA accommodations for students as determined by the Ursinus Institute for Student Success.

If any student work is not returned, faculty members should invite students who wish to go over their work to come to their office for that purpose. Any unreturned documents should be kept for at least one year in case a question arises concerning the student's performance.

### ACADEMIC HONESTY/DISHONESTY

#### Statement on Academic Honesty

Ursinus College is a small community that functions by a social contract among students, faculty, administration and alumni. In order for the spirit of community to endure and thrive, this agreement, based upon shared values and responsibilities and a sense of mutual respect, trust and cooperation, must be preserved. Students have an obligation to act ethically concerning academic matters and the faculty has a responsibility to require academic honesty from students and to be vigilant in order to discourage dishonesty.

Lying, cheating, stealing, other forms of academic dishonesty, and plagiarism violate this spirit of mutual respect and collaboration and corrode the atmosphere of openness and free inquiry upon which the educational process is based. Such activities are demeaning and potentially damaging to those who undertake them. Moreover, academic dishonesty is damaging to the student body as a whole, in that it cheapens the achievement of other students and subverts the integrity of the institution.

Students should be aware that there are many legitimate sources of help available on campus. Resources for supplemental academic assistance include the Ursinus Institute for Student Success, the Center for Writing and Speaking, and Myrin Library. This help is provided for academic assistance and is designed to enhance the learning process rather than circumventing it which occurs in cases of academic dishonesty.

The student body, the faculty, and the administration of Ursinus College therefore unanimously condemn academic dishonesty in all its forms and affirm that it is the responsibility of all members of the college community to prevent such activity.

#### Statement on Plagiarism

Plagiarism is the act of taking the words--written or spoken--or the ideas of someone else and presenting them as one's own. Students commit plagiarism if they copy exactly a statement by another and fail to identify the source; take notes from a book, an article or a lecture, express those materials in their own words, and present the result as their work without identifying the source; copy part or all of a paper written by a friend, another student, or a writing service and offer it as their own work; or take material verbatim from a source (even though the source is acknowledged) without identifying it as quoted material by means of quotation marks.

Plagiarism is easy to avoid by using common sense and following the advice and direction for acknowledging sources. Such forms and methods are available from instructors and from style sheets provided by departments. In order to avoid unintended plagiarism students should never take notes verbatim or in their own words without using appropriate quotation marks and noting exact sources, including page numbers of the material.

It is the policy of Ursinus College to reject and to punish the act of plagiarism. (The above has been adapted from Millward, Handbook for Writers, pp. 354-355.)

#### Definition of Cheating

Students are cheating if, for example, they do the following:

- Copy answers or use information from a fellow student's paper during a test, quiz, or examination.
- Divulge answers or information, or otherwise give improper aid to another student during a test, quiz, or examination; or accept such aid.
- Relay or receive any improperly obtained or confidential information concerning test, quiz, or examination before, during, or after such test. (Example: if they see the test

before it is to be given and transmit information concerning its contents or whereabouts to other students.)

- Use or refer to any unauthorized notes, books, calculators, or problem-solving aids during a test, quiz, or examination.
- Collaborate improperly with another student on an open-book or take-home test, quiz or examination.
- As a proctor or student assistant, divulge confidential information or aid any student in an improper manner during a laboratory exercise, test, quiz, or examination.
- Commit any act of plagiarism (intentional or unintentional).
- Borrow under false pretense, steal, or otherwise improperly obtain lecture or research notes, laboratory data, or any information gathered by another student and present it as their work (examples: term papers; laboratory reports or experimental yields; computer programs or assignments; English composition themes), or knowingly collaborate with another student by making such material available to them, or falsify laboratory data, notes, results or research data of any type in any course and present it as their own work.
- Steal or intentionally damage or destroy notes, research data, laboratory projects, library materials, computer software (including the intentional passing of a computer virus) or any other work of another student (or faculty member), out of malice, or for the purpose of sabotaging that person's work and thereby gaining an unfair advantage to themselves.
- Knowingly and willingly violate any special rules concerning research procedures, group assignments, or inter-student collaboration which may be established by an instructor in any course.
- Submit the same work including oral presentations for different courses without the permission of the instructors involved. Since it is expected that different courses offer different learning experiences, students are depriving themselves of an educational opportunity by submitting the same or similar work for more than one course. Examples include, but are not limited to, submitting a partial or complete paper previously handed into another class, superficially reworking one assignment for submission to another class.
- Misrepresent themselves to an instructor or an administrator for the purpose of gaining special favors or extensions for academic work missed. Examples include, but are not limited to, lying about health or the health of a relative, or forging doctor's notes.
- Forge signatures on forms, documents or letters pertinent to College business. This may include, but is not limited to, course of study sheets, drop/add forms, or doctor's notes.
- Students are an accessory to cheating if they do the following: witness or have direct knowledge of any person involved in the aforementioned forms of cheating and fail to inform an authorized person (faculty member, administrator, proctor, or student assistant); bring unauthorized materials into a testing area and fail to or refuse to remove them when instructed to do so; fail to or refuse to comply with admonitions from a faculty member or authorized proctor to cease any activity which might aid other students in cheating. Penalties may be applied.

#### Procedures for cases of suspected academic honesty violations

- Should a faculty member suspect a student of having committed an academic honesty violation of any kind, he/she should confront the student with the evidence.

- If the student admits guilt, the faculty member should inform the Provost of the violation and the student's confession. After consultation with the Provost, the faculty member will impose a penalty from a failing grade on the relevant work up to and including a failing grade (F) in the course in which the dishonesty took place. If the student has previously been found guilty of a violation of academic honesty of any kind, the Provost will impose additional penalties.
  - Normally, for a second offense, the student will be suspended, be asked to withdraw from the College, or be permanently dismissed.
  - If it is a third offense, the student will be permanently dismissed.
- If the student maintains innocence, or if the faculty member or the Provost request it, the case will be immediately referred to the Committee on Academic Standards and Discipline. The Subcommittee on Academic Discipline from the Committee on Academic Standards and Discipline will amass evidence and hear testimony regarding the case. This committee will then hear the evidence in the case. The faculty member will present his/her evidence to the committee in the presence of the student and then the student may present his/her defense in the presence of the faculty member. The hearing will be closed, but the student may have a campus friend with him/her during the proceedings. Members of the committee may question any parties involved in the case.
- The committee will then deliberate and judge guilt or innocence in the case.
- In the event of a verdict of guilty, the faculty member will impose a penalty from a failing grade on the relevant work up to and including a failing grade (F) in the course in which the dishonesty took place. If the student has previously been found guilty of a violation of academic honesty of any kind, the Provost will impose additional penalties. Normally, for a second offense, the student will be suspended, be asked to withdraw from the College, or be permanently dismissed. If it is a third offense, the student will be permanently dismissed.
- Decisions of the Committee on Academic Standards and Discipline or the Provost may be appealed to the President. The President's decision is final.

#### Procedures for Record-keeping in Cases of Academic Honesty Violations

- The Provost will keep a record of all cases of academic dishonesty reported by individual faculty members and of all cases, regardless of their outcomes, which are adjudicated by the regular three-person committee process.
- These records will not be kept in the regular academic files of the students involved, but in a special records section. Accused students may view their records at any time.
- Records are to be preserved until such time as students named therein are graduated or leave the College for other reasons. At such time, these records are to be destroyed, unless the individual student has been dismissed for disciplinary reasons relating to academic dishonesty or has withdrawn from the College while the circumstances of a charge of academic dishonesty against the student are still under investigation. If a student voluntarily withdraws from the College after the conclusion of a case involving a charge of academic dishonesty against that student, the record will be expunged.

## **PART FOUR: APPENDICES**

### **APPENDIX I: CONFIDENTIALITY OF STUDENT RECORDS**

In compliance with the Family Educational Rights and Privacy Act of 1974 (known as FERPA or the Buckley Amendment) the following constitutes Ursinus College's policy which informs students of the procedures available to provide appropriate access to personal records while protecting their confidentiality. The complete Act is available for inspection in the Office of the Registrar.

The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records. These rights include:

1. The right to inspect and review the student's education records within 45 days of the day the College receiving a request for access. A student should submit to the Office of the Registrar a written request that identifies the record(s) the student wishes to inspect. The Registrar will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the Registrar's Office, the student will be advised of the correct official to whom the request should be addressed.
2. The right to request the amendment of the student's education records that the student believes are inaccurate, misleading, or otherwise in violation of the student's privacy rights under FERPA. A student who wishes to ask the College to amend a record should write the College official responsible for the record, clearly identify the part of the record the student wants changed, and specify why it should be changed. If the College decides not to amend the record as requested, the College will notify the student in writing of the decision and the student's right to a hearing regarding the request for amendment.

The Provost (or a designee) is the Hearing officer appointed to resolve any disagreements which cannot be settled directly. The Provost (or designee) is available for informal meetings on such matters at any time. If the matter is not resolved through informal means, the matter will be referred to the Committee on Academic Standards whose decision is final. If the student does not agree with the decision, he or she may submit a letter to be included in his or her educational record expressing the student's explanations or interpretation of the official record.

Note: It is not the intention of the Act to provide a forum for challenging course grades, decisions by the committee on Academic Standards, the Judiciary Board or any other committee or Officer of the College assigned the responsibility to make judgments. Rather it is the intention of the Act and the College's procedures to make known to students the informational base upon which decisions included in the educational record are made and to allow corrections of that information or the inclusions of explanatory statements by the student.

3. The right to provide written consent before the College discloses personally identifiable information from the student's education records, except to the extent that FERPA authorizes disclosure without consent. The College discloses education records without a student's prior written consent under the FERPA exception for disclosure to school officials with legitimate educational interests. A school official is a person employed by the College in an administrative, supervisory, academic or research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the College has contracted as its agent to provide a service instead of using College employees or officials (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the College. A school official is deemed to have legitimate educational interest if the information requested is necessary for that official to (a) perform appropriate tasks that are specified in his/her position description or by contact agreement; (b) perform a task related to a student's education; (c) perform a task related to the discipline of a student; or (d) provides a service of benefit relating to the student or student's family. Disclosure to a school official having a legitimate educational interest does not constitute authorization to share that information with a third party without written consent.
4. The right to file a complaint with the U.S. Department of Education concerning alleged failures by the College to comply with the requirements of FERPA. The name and address of the Office that administers FERPA is:

Family Policy Compliance Office  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, DC 20202-5901

### **FERPA WAIVER REQUEST**

Institutions are not required to disclose information from the student's education records to a parent of a dependent student. Students who wish to authorize release of their academic information to parents, guardians, spouses or any other individual may do so by signing a FERPA Waiver Request and submitting it to the Office of the Registrar.

By signing a FERPA Waiver Request, the student is waiving his/her rights under the Family Education Rights and Privacy Act and is asking that grades, grade point averages, course schedules, or academic standing be released to the named person(s) indicated on the Waiver.

### **FINANCIAL AID**

FERPA provides an exception regarding the release of education records information without the consent of the student when the release is related to financial aid. The disclosure is permitted if

the information is necessary to determine eligibility for the aid; determine the amount of aid; determine the conditions for the aid; and/or enforce the terms and conditions of the aid.

### **RELEASE OF INFORMATION UNDER SPECIAL CIRCUMSTANCES**

Records may be released to third parties without a signed FERPA Waiver Request under certain exceptions. These include: Federal officers as prescribed by law; agencies as required by state law; to research projects on behalf of educational agencies for test norms, improving instruction, etc. (provided that the agencies guarantee no personal identification of students); to accrediting agencies carrying out their functions; judicial orders or lawfully issued subpoenas (provided that the student is notified prior to compliance or provided that a reasonable attempt to notify the student has been made); an emergency if the information is necessary to protect the health or safety of the student or other persons; state laws requiring disclosure before January 1, 1976.

As of January 3, 2012, the U.S. Department of Education's FERPA regulations expand the circumstances under which educational records and personally identifiable information (PII) contained in such records — including Social Security Numbers, grades, or other private information — may be accessed without consent. First, the U.S. Comptroller General, the U.S. Attorney General, the U.S. Secretary of Education, or state and local education authorities ("Federal and State Authorities") may allow access to records and PII without consent to any third party designated by a Federal or State Authority to evaluate a federal- or state-supported education program. The evaluation may relate to any program that is "principally engaged in the provision of education," such as early childhood education and job training, as well as any program that is administered by an education agency or institution. Second, Federal and State Authorities may allow access to educational records without consent to researchers performing certain types of studies, in certain cases even when the College objects or does not request such research. Federal and State Authorities must obtain certain use-restriction and data security promises from the entities that they authorize to receive the PII, but the Authorities need not maintain direct control over such entities. In addition, in connection with Statewide Longitudinal Data Systems, State Authorities may collect, compile, permanently retain, and share without consent PII from educational records, and they may track participation in education and other programs by linking such PII to other personal information that they obtain from other Federal or State data sources, including workforce development, unemployment insurance, child welfare, juvenile justice, military service, and migrant student records systems.

### **RECORD OF ACCESS AND MAINTENANCE OF FILES**

A notification of releases made to third parties (i.e. anyone not a member of Faculty or staff with legitimate access to the student's record) must be kept in the student's record.

### **NOTIFICATION OF STUDENT'S RIGHT TO NON-DISCLOSURE OF DIRECTORY INFORMATION**

FERPA requires Institutions to give public notice to students in attendance of the categories of personally identifiable information which the institution has designated as Directory Information. Institutions may disclose Directory Information about former students without meeting the notification requirement; however, if a student has requested, at his or her last opportunity as a

student, that Directory Information not be disclosed, the institution must continue to honor that request until informed to the contrary by the former student. If requested to withhold directory information by a student after he or she has left the institution, Institutions may, but are not required to, comply with the request.

### **TYPES OF INFORMATION WHICH MAY BE DESIGNATED AS DIRECTORY INFORMATION**

The following information is designated as public or "Directory Information." Such information may be disclosed without a student's previous consent by the College for any purpose, at its discretion: full name, address, phone, email; major field of study; dates of attendance; admissions or enrollment status; class year; degrees and awards; most recent previous institution attended; and student activities including athletics.

Students who object to the release of any or all "Directory Information" must express their objection in writing within the first week of the semester. The Office of the Registrar administers the procedure annually and monitors the information.

### **DEFINITIONS**

"Student" is defined as one who has attended or is attending Ursinus College and whose records are in the files of the College.

"Educational Records" are those records, files and documents relating to students and maintained by the College or an agent of the College. All such records and a log of the request for these records are maintained by College administrative personnel in the course of performance of assigned duties. Only college officials who have a legitimate educational interest shall have right of access to a student's "educational record."

"Educational Records" include:

- Admissions applications and transcripts maintained by the Office of the Registrar;
- Ursinus College academic record maintained by the Office of the Registrar;
- Student file maintained by the Dean of Students regarding judicial and disciplinary decisions;
- Student file maintained by financial aid offices;
- Record maintained by Career and Professional Development Office;
- Student records maintained by the Health Professions Advising Committee;
- Student records maintained by the Business Office;
- Student records maintained by the library.

The term "Educational Records" does not include:

- personal files of Faculty and administrators which are not accessible to any other person;
- record of parents financial status;

- medical, psychiatric or psychological records created and used for the treatment of a student and available only to those providing the treatment. These records can be reviewed by a physician or appropriate professional of the student-patient's choice.
- employment records which relate exclusively to students as employees and are not used for other purposes;
- confidential statements and letters placed in the files prior to January 1, 1975;
- confidential letters and statements to which students have waived a right of access;
- records and documents maintained by Campus Safety;
- information or data collected by the Alumni and Advancement Offices about graduates.

"Record" means any information or data recorded in any medium including but not limited to handwriting, print, tapes, file, microfilm, microfiche, and computer file.

Source: Office of the Registrar at Chestnut Hill College (August, 2015)

## **APPENDIX II: RESEARCH COMPLIANCE GUIDELINES - FEDERAL COMPLIANCE; ETHICAL STANDARDS**

### **FEDERAL COMPLIANCE: IACUC AND IRB**

Ursinus College is committed to the safety of all who are involved in research. To ensure appropriate protection of all research subjects at Ursinus College, we have established two committees to address specific issues related to research of both humans and animals. These groups follow federally mandated procedures and have established guidelines consistent with federal policies.

The guidelines set forth by the Institutional Animal Care and Use Committee (IACUC) apply to all research involving animals. IACUC policies and procedures can be found through the IACUC Chair or the Biology Department Administrative Assistant.

The guidelines of the evolving Institutional Review Board (IRB) apply to all research involving humans, including, but not limited to, questionnaires, observations, and direct experimentation. IRB policies and procedures can be found at <https://www.ursinus.edu/offices/institutional-review-board/>.

### **RESPONSIBLE CONDUCT OF RESEARCH TRAINING**

In accordance with the NSF mandate, effective 1/4/10, requiring all funded students and postdocs undergo training in the responsible conduct of research (RCR), Ursinus College has added RCR modules to its already existing CITI training course currently used by the IRB. All researchers, including faculty and students collecting data or those who have access to the resulting data, must complete training in human subjects protection every four (4) years, prior to submission of a proposal for external funding. A copy of the certification of completion for each investigator, including student investigators, will be printed and kept on file with the designated office. An electronic copy will automatically be sent to the IRB.

### **MAINTAINING HIGH ETHICAL STANDARDS OF HONESTY AND INTEGRITY: SCHOLARLY MISCONDUCT**

#### **Policy Guidelines**

Ursinus College is committed to promoting a community whose members faithfully adhere to high ethical standards of honesty and integrity. The College expects faculty and other personnel to avoid misconduct in scholarly research. Misconduct violates not only the relationship between a researcher and Ursinus College but also damages the reputations of those involved and of the entire research and scholarly community. While breaches in such standards are rare, all parties must deal with these promptly and fairly in order to preserve the integrity of the research community and of the College. Therefore, it is the responsibility of every research investigator to assure integrity in the collection of data, storage of records and proper assignment of credit in publication. It is also the responsibility of all faculty and personnel to report instances of

misconduct, as well as instances of retaliation against those who, in good faith, bring charges of scholarly misconduct.

### **Scope**

- This policy applies to all scholarly work conducted at Ursinus College.
- This policy applies to any person paid by, subject to the rules and policies of, or affiliated with Ursinus College including faculty, trainees, technicians and other staff members, administrators, fellows, visiting scholars or other collaborators at Ursinus College.
- This policy is limited to misconduct occurring within six years of the date on which the College receives the allegation of misconduct, unless otherwise determined by federal guidelines.
- This policy is based on and incorporates the federal guidelines put forth by the U. S. Department of Health and Human Services Office of Research Integrity (ORI) in the area of scientific misconduct. These guidelines shall be considered amended by all current changes in federal laws and regulations.

### **Definitions**

- Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results.
  - Fabrication is making up data or results and recording or reporting them.
  - Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- Misconduct includes a violation of regulations or ethical codes for the treatment of human and animal subjects.
- Misconduct does not include honest error or differences of opinion.
- Misconduct includes serious misappropriation of research funds, including but not limited to diversion of such funds to personal or non-College use. The term "serious misappropriations" is not contemplated to include minor deviations within budget categories.

### **Procedures**

#### **Reporting Misconduct**

All employees or individuals associated with Ursinus College shall immediately report observed, suspected, or apparent scholarly misconduct, or retaliation for having made such allegations ("Complainant"), to the senior academic official of the College (the Provost) or the Provost's appointed representative ("Provost's representative"). The report will be made in writing and signed by the Complainant. The confidentiality of those who, in good faith, report apparent misconduct will be protected to the fullest extent possible. The role of the Complainant is limited. Once the Complainant has made an allegation of research misconduct, that person does

not participate in the proceeding other than as a witness. Any comments made by the Complainant on the draft report must be included in the final investigation report.

### Initial Inquiry

Acknowledging that misunderstanding between individuals is often the basis of such allegations, the Provost's representative will attempt to resolve the issue through discussions with both parties. After review of the situation, the Provost's representative will make an initial determination whether there are sufficient grounds to indicate that these allegations have validity or if no further reporting of the incident is required. The Provost's representative shall complete this initial inquiry within fifteen (15) days, after which a written report shall be prepared which states what evidence was reviewed, summarizes the relevant interviews, and includes the conclusions of the inquiry. The individual(s) against whom the allegations of research misconduct was directed ("Respondent") shall be informed of the inquiry at the time of or before the inquiry begins. The Respondent will be given a copy of the inquiry report which includes the Provost's decision, and also has the right to make written comments to attach to the inquiry report. The confidentiality of the Respondent will be protected to the fullest extent possible. In addition, any research subjects identifiable from research records or evidence will also be protected to the fullest extent possible.

### **Due to federal requirements, the College will implement an additional step at this point for any scientific misconduct:**

The College will use the pre-established appeals committee with the addition of two extra members for a second inquiry stage. The purpose of these additional members is to ensure that the group has the scientific knowledge to adequately review these allegations in a thorough, competent, objective, and fair manner, and issue a timely response in that spirit and within all appropriate regulations. Precautions will be taken to ensure that individuals responsible for carrying out these proceedings do not have any unresolved personal, professional, or financial conflicts of interest with the Complainant, Respondent, or Witnesses. One of these additional members will be chosen by the Respondent(s) and the other member will be chosen by the appeals committee. If this group finds sufficient evidence to suggest that the allegations may be true, a full investigation will ensue. If an Investigative Committee is appointed, the Provost shall inform in writing the Respondent, any involved collaborators, and the Office of Research Integrity, U. S. Department of Health and Human Services ("ORI") that an investigation will be conducted and shall present to them a statement of the allegations.

### Maintenance and Custody of Research Records and Evidence

The College shall promptly take all reasonable and practical steps to obtain custody of all research records and evidence needed to conduct the misconduct proceeding, inventory those materials, and sequester them in a secure manner, except in the case where there records or evidences are shared by a number of users. In that case, limited copies of the data or evidence will be available to these other users. The respondent will have copies of, or reasonable, supervised access to the research records. The College shall also take custody of additional

records and evidence uncovered during the proceeding, including at the inquiry and investigation stages.

### Interim Protective Actions

At any time during the misconduct proceedings, the College shall take appropriate interim actions to protect public health, federal and other external funds and equipment, and the integrity of the scholarly process.

### Investigative Committee

If the Provost's representative finds sufficient evidence to suggest the allegations may be true, the senior academic official of the College will be consulted. Prior to the investigation, written notice will be given to ORI of any decision to open an investigation, in accordance with CF 42 93.304(d). An investigative body of impartial experts will be appointed by that official to conduct the formal examination and evaluation of all facts to determine whether research misconduct has taken place.

The Investigative Committee will consist of three to five members who have the appropriate background to judge the issues being raised. Standing committees that deal with research issues (e.g., Institutional Review Board for Human Subject Research, Institutional Animal Care and Use Committee) may be one source for members of this Investigative Committee. Committee members must have no real or apparent conflicts of interest bearing on the question. The need for impartiality and objectivity must be honored. All parties have the right to comment on the composition of the Investigative Committee and may raise questions concerning membership.

When the Investigation Committee is appointed, the senior academic official of the College shall inform in writing the Respondent(s) and any involved collaborators that an investigation will be conducted and shall present to them a statement of the allegations. The Respondent shall be informed of their right to have a campus colleague and/or legal counsel present for preparing and/or giving their responses in this and all subsequent phases of the investigation. The investigation must begin within thirty (30) days after determining the need for an investigation. The Respondent will be informed of the allegations in writing within a reasonable amount of time after determining that an investigation is warranted, but before the investigation begins. Any new allegations of research misconduct will also be provided in writing to the Respondent in a timely manner after the initial notice of investigation.

The Investigative Committee shall conduct a formal examination and evaluation of all facts to determine whether research misconduct has taken place.

1. The Investigative Committee may call witnesses, examine research data (published and unpublished), and seek expert opinion both inside and outside the College to aid in a scientific audit.
2. The Investigative Committee must interview the Complainant and the Respondent.
3. If the inquiry subsequently identifies additional Respondents, the institution will notify them.

4. The Investigative Committee will provide for all Witnesses and the Respondent the recording or transcript of their statements for correction, and include it in the record of the investigation.
5. All parties involved shall strive to maintain confidentiality of information, of Respondents, Complainants, Witnesses, and research subjects identifiable from research records or evidence.
6. Interim administrative actions appropriate to the allegations may be taken prior to completion of the investigation to protect public health, the welfare of human or animal subjects, research record, federal funds and equipment, and the integrity of the PHS supported research process.
7. The investigation shall conclude within four (4) weeks, unless compelling circumstances dictate a delay. This includes preparing a report of the findings, providing the draft report for comment, and sending the final report to ORI.

The following are necessary for a finding of scholarly misconduct:

1. There must be a significant departure from accepted practices of the relevant scholarly community.
2. The misconduct must have been committed intentionally, knowingly, or recklessly.
3. The allegations must be proven by a preponderance of evidence.
  - a. A preponderance of the evidence means proof by information that, compared with that opposing it, leads to the conclusions that the fact at issue is more probably true than not.
  - b. The College has the burden of proving scholarly misconduct. However, the respondent must prove by a preponderance of the evidence that honest error or difference of opinion occurred.

The Investigative Committee shall submit its findings and recommendations in writing to the senior academic official of the College. The institution will take the following actions:

1. The Respondent must receive a draft of the investigative report, and a copy of, or supervised access to, the evidence, and be given thirty (30) days for written comments. These comments must be considered by the College and included in the final report.
2. A copy of the final report will be submitted to ORI in accordance of their guidelines.
3. If scholarly misconduct is not confirmed, all participants shall be notified in writing. Diligent efforts will be undertaken to restore the reputations of the Respondent.
4. Reasonable and practical efforts to protect or restore the position and reputation of any Complainant, Witness, or Committee Member, will also be taken. The institution will counter any potential or actual retaliation against these Complainants, Witnesses, and Committee Members.
5. If the allegations of scholarly misconduct are confirmed, the Investigative Committee shall recommend a course of action to the senior academic official of the College. The recommendations may include sanctions, as well as adequate steps to insure that the institution meets its obligations to third parties, including collaborators and the scholarly community. The senior academic official of the College shall make those notifications, if any, that are required by any external grant or contract sponsors.

6. The College may make a finding of research misconduct or other breaches of research integrity under internal policies and standards, even if no misconduct is found under the HHS ORI regulations.
7. After considering the recommendations of this group, the senior academic official of the College shall follow established College procedures for taking disciplinary action against the Respondent.
8. The institution will complete all aspects of the investigation within 120 days of beginning it.

The Respondent has the right to appeal, via standard College administrative procedures. Please see the Faculty Handbook, Section II Academic Freedom and Professional Concerns, Part C9 Appeals Procedure.

The institution shall maintain all documentation accruing from the investigation for a minimum of seven years from the conclusion of the investigation.

The institution shall fully cooperate with ORI during its reviews under Subpart D of 42 CFR Part 93 or any subsequent hearings or appeals under Subpart E of 42 CFR Part 93 under which the respondent may contest ORI findings of research misconduct and proposed HHS administrative actions. This includes providing, as necessary to develop a complete record of relevant evidence, all research records and evidence under the institution's control, custody, or in the possession of, or accessible to, all persons within its authority.

This policy has been reviewed and accepted by the Governance Committee, the Grants Coordinator, the Provost and the President (June 1, 2017).

## APPENDIX III: LINKS TO COLLEGE POLICIES

### Campus Safety

- [Emergency Management](#)
- [Jeanne Clery Act](#)
- [Policy on Discriminatory Acts](#)

### Institutional Review Board

### Institutional Animal Care and Use Policy

### Environmental Health & Safety

- [Workplace Safety](#)
- [Laboratory Safety](#)
- [Chemical Hygiene Plan](#)

### Human Resources – College Policies

- [Anti-Hazing Policy](#)
- [Background Check Policy](#)
- [Confidentiality of Information Policy](#)
- [Disabilities Services for Faculty and Staff with Disabilities](#)
- [Drug-Free Workplace](#)
- [Employees as Representatives of Ursinus College](#)
- [Inclement Weather](#)
- [Lactation Accommodation Policy](#)
- [NLRA Employee Rights Federal Notice](#)
- [Non-Discrimination and Equal Opportunity Policy](#)
- [Non-Discrimination Statement](#)
- [Resolution of Employee Concerns](#)
- [Safety Policy](#)
- [Sexual Misconduct Policy](#)
- [Social Media Guidelines](#)
- [Whistleblower Policy](#)

### Human Resources – Employment Practices

- [College Work Rules](#)
- [Compensation Practices](#)
- [Work Related Injuries](#)

### Human Resources – Employee Benefits

- [Health and Welfare Benefits](#)
- [Medical and Maternity Leaves](#)
- [NEW U](#)

## **APPENDIX IV: LINKS TO CAMPUS RESOURCES**

[Academic Affairs](#)

[Business Office](#)

[College Catalog](#)

[Faculty and Staff Directory](#)

[Information Technology](#)

[Institute for Inclusion and Equity](#)

[Institutional Research and Effectiveness](#)

[Instructional Technology](#)

[Office of Prevention and Advocacy](#)

[Student Handbook](#)

[Teaching and Learning Institute](#)

[Ursinus Institute for Student Success](#)

- [First-Year Advising](#)

[Wellness Center](#)