

Hamline University

College of Liberal Arts

**POLICIES AND PROCEDURES
MANUAL**

2016

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SECTION 1 REVISION OF THE UNIVERSITY FACULTY HANDBOOK AND COLLEGE OF LIBERAL ARTS (CLA) POLICIES AND PROCEDURES MANUAL

The Board of Trustees has the responsibility and authority to make policy for the University. Adoption and revision of policies within the University Faculty Handbook (referred to as “Handbook” hereafter) come under that authority. Adoption and revision for the CLA Policies and Procedures Manual, while lying under the same authority, are not within the Trustees' normal purview and concern. They do not require Trustee ratification, but are subject to Trustee review. While the CLA Policies and Procedures Manual pertain to the internal operation of the College of Liberal Arts, it is recognized that such policies and procedures must not be in conflict with either the Handbook or with federal or state law.

1.1 Procedure for Revision of the Handbook

The normal procedures and processes for the orderly initiation and consideration of amendments to the Handbook are outlined in Section 15 of the Handbook.

1.1.1 Proposed Amendments to the Handbook

Proposals for revising the Handbook that come from the CLA can be made by the Dean of the College, the Faculty Institutional Relations Committee (FIRC), or any person or quasi-person (i.e., committee, council) connected with the College. While the manner of making such proposals is a matter of individual style and custom, it is nevertheless recommended that:

- A. proposals be made in the form of texts intended to replace, in whole or in part, some current expressions of the Handbook;
- B. a particular proposal contains no more than one alteration of substance;
- C. a brief explanation of the reason(s) for proposing the revision accompanies the proposal.

1.1.2 Processing of Proposals

Proposals for amending Handbook originated by individual faculty members may be submitted directly to Faculty Handbook Committee or to FIRC for CLA Faculty approval. Described below is the procedure that needs to be followed to obtain CLA Faculty approval.

- A. Without prejudice to its procedures, FIRC, upon receipt of a revision proposal, may choose one of the following courses of action:
 - 1. it may receive and transmit it to the CLA faculty without change or comment;
 - 2. it may endorse it and transmit to the CLA Faculty with an attached endorsement;
 - 3. with the consent of the submitter, it may either alter or amend a proposal before transmitting it to the CLA faculty;

4. if the submitter does not agree to such alterations or amendments, FIRC may object to the proposal and attach its objections or amendment before sending it to the CLA faculty.
- B. Any proposal for revision shall be submitted in writing to the CLA faculty at a regular meeting previous to the meeting, regular or special, at which the proposal is to be voted on.
- C. The faculty shall accept the amendment(s) by simple majority of the members voting.
- D. Upon acceptance by the CLA Faculty, the proposal should be sent to the Faculty Handbook Committee with the CLA endorsement.

1.2 Procedure for Revision of Policies and Procedures Manual

The following are the normal procedures and processes for the orderly initiation and consideration of amendments to the Policies and Procedures Manual.

1.2.1 Proposed Amendments to the Manual

Proposals for revising the Manual can be made by the Dean of the College, the Faculty Institutional Relations Committee (FIRC), or any person or quasi-person (i.e., committee, council) connected with the College. While the manner of making such proposals is a matter of individual style and custom, it is nevertheless recommended that:

- A. proposals be made in the form of texts intended to replace, in whole or in part, some current expressions of the Manual;
- B. a particular proposal contain no more than one alteration of substance;
- C. a brief explanation of the reason(s) for proposing the revision accompany the proposal.

1.2.2 Processing of Proposals

- A. Proposals for amending the CLA Policies and Procedures Manual should be submitted to FIRC. Whenever proposals originate as described in 1.2.1, they will be considered by FIRC. Without prejudice to its procedures, this committee, upon receipt of a revision proposal, may choose one of the following courses of action:
 1. it may receive and transmit it to the faculty without change or comment;
 2. it may endorse it and attach the endorsement to the proposal before transmitting it to the faculty;
 3. with the consent of the submitter, it may either alter or amend the proposal before transmitting it to the faculty;

4. if the submitter does not agree to such alterations or amendments, FIRC may object to the proposal and attach its objections or amendment before sending it to the faculty.
- B. Any proposal for revision shall be submitted in writing to the faculty at a regular meeting prior to the meeting, regular or special, at which the proposal is to be voted on.
 - C. The faculty shall accept the amendment(s) by simple majority of the members voting.

SECTION 2 DEAN OF THE COLLEGE OF LIBERAL ARTS

As chief officer of the College, the Dean bears overall responsibility for maintaining and promoting the vigor, integrity, and continuous development of the various programs through which the College seeks to fulfill its mission. The Dean is responsible both for facilitating institutional dialogue and procuring various resources necessary to accomplish this ongoing development. The Dean is responsible for fostering that atmosphere of intellectual freedom and tolerance which makes possible the fruitful pursuit of learning, teaching and scholarship. The faculty – which collectively embodies the academic history, traditions and aspirations of the institution – looks to the Dean to lead in the College's ongoing pursuit of excellence.

The Dean is accountable to the Provost. As a member of the University Leadership Team, the Dean participates in decisions about policy and governance issues, program development, capital planning and resources. The Dean is expected to balance strong advocacy for the College, including liaisons of mutual benefit with other units of the institution, with sensitivity to both the particular needs of these other units and the overall health of the University.

2.1 Search for and Selection of the Dean

A signal event in the life of the institution, the selection of a new Dean brings opportunity for examining the current academic program and agendas for sustained academic quality and growth. When the Deanship becomes vacant, the Provost will consult with the faculty on the form of the search to be undertaken, authorize the formation of a search committee, and provide the committee with a budget to conduct the search.

2. 1.1 Dean's Search Committee

The Dean's Search Committee will consist of:

- A. Six full-time faculty persons, elected by the full-time CLA faculty:
 - 1. One each from the Fine Arts, Humanities and Natural Sciences Divisions and one from the Social Sciences Division
 - 2. Two from the remaining nominees, chosen by a subsequent election

The Provost will select a committee chair from among these elected faculty members.

- B. Two Deans from other Schools of the University or their representatives, selected by the Provost
- C. One non-CLA representative from the Faculty Council, selected by the Faculty Council
- D. One Trustee, selected by the Provost
- E. One CLA sophomore or junior, able to commit at least a full year to the search, selected by the Provost in consultation with HUSC.

2.1.2 Search Procedures

The committee will pursue the search through a variety of means that may include search consultants, nominations, and advertisement in periodicals of national circulation. Special efforts should be coordinated with the Provost and Director of Human Resources to secure women and minority persons as candidates among the finalists. The confidential oral and written testimony of professional references is particularly critical to a thorough and candid search process.

When a list of finalists has been determined, campus interviews will be scheduled. Interviews should provide candidates and the institution with a broad range of opportunities for mutual appraisal: a quasi-public presentation and/or disciplinary seminar, as well as meetings with faculty, students, cabinet, other administrators, the Provost, and relevant interest groups.

After appraising the strengths and weaknesses of applicants, the committee will provide the Provost with a list of acceptable candidates, together with complete dossiers. Supporting evidence should include recent publications, testimony of success in the classroom, references, tenure record (whether, where, and when the candidate received tenure), a strong record of administrative achievement in program and faculty development, and evaluative data from the campus interviews. After reviewing the recommendations with the committee, the Provost will select the Dean.

2.2 General Expectations of a Dean

The Provost establishes the formal job description for the Dean after appropriate consultation with the search committee. However, the Faculty has these general expectations of the Dean, consistent with Section 2.1.2 above:

- 2.2.1 The Dean exercises general administrative supervision over the programs and operations of the College, and bears responsibility for preparing and presenting the budget, for strategic and tactical planning for programs, and for securing resources to support them. In that capacity the Dean may see fit to appoint Associate or Assistant Deans. These positions are accountable to and evaluated by the Dean.
 - A. The appointment of any new Assistant or Associate Deans, like the selection of a new Dean, provides an opportunity for examining the current academic program and agendas for sustained academic quality and growth, as well as the efficient functioning and administration of the CLA. When a vacancy opens and/or a need is defined for an Assistant or Associate Dean,
 1. The Dean shall establish a committee to determine and review the draft of the job description. This review should be done in consultation with Human Resources and the College's Affirmative Action Officer. The initial draft and the final version are subject to the approval of the Dean of the College of

Liberal Arts.

2. The committee shall be composed of the following membership:
 - a. Four full-time CLA faculty, elected by the faculty as a whole, reflecting divisional affiliations,
 - b. One CLA student, elected by HUSC and/or selected by the Dean, and
 - c. One CLA staff member or a university staff person with significant experience working with the College, elected by the Campus Staff Association and/or selected by the Dean.
3. Internal or External searches: For internal searches, the committee will take applications from the faculty, will consult with the Dean to determine an expeditious yet rigorous review procedure based on the number of applicants, will review all applications, and after appraising the strengths and weaknesses of applicants, will provide the Dean with a list of the top three candidates and list their strengths and weaknesses. For external candidates (outside of Hamline University) the search committee will screen the applications and would normally recommend 3-6 candidates to invite to campus.

Subsequently, the committee would evaluate feedback and identify those finalists who would be minimally acceptable and list their strengths and weaknesses.

4. After reviewing the recommendations with this committee, the Dean shall appoint the Associate or Assistant Dean.
- B. An Assistant or Associate Dean serves at the discretion of the Dean, normally for a three-year term. The position's primary responsibilities will be determined in consultation with the Dean, but should include matters central to the academic mission of the CLA.

2.2.2 The Dean plays leading roles in working with the faculty, primarily through faculty committees, in each of the following areas:

- A. planning and making decisions on staffing and budget;
- B. reviewing the recommendations from department/program chairs and the Faculty Personnel Committee (FPC) in matters of evaluation, promotion, tenure, and dismissal;
- C. administering the academic policies of the College (Academic Affairs Committee, AAC);
- D. promoting vital programs of faculty development and program development (Program and Development Committee, PDC).

2.2.3 The Dean oversees other College units that bear on the academic welfare of Hamline's

undergraduate students assuring student progress towards graduation and preparation for professional life. In areas of overlap between or among units of the University, the CLA Dean will work in cooperation with the appropriate officials of the other unit(s).

2.2.4 The Dean oversees CLA development efforts and alumni relations.

2.3 Evaluation of the Dean of the College of Liberal Arts

2.3.1 Formative Evaluations

Conceived as a formal, internal conversation between the Dean and faculty of the College, a formative evaluation is intended to provide insight and recommendations for improving performance rather than summary assessment. The Faculty Institutional Relations Committee (FIRC) shall facilitate data collection of a formative nature for the Dean and all Assistant or Associate Deans triennially and shall meet with the Dean to discuss the results. The Dean may provide any or all such data to the Provost, the faculty, and others at his/her discretion. Otherwise, the data shall be confidential.

2.3.2 Summative Evaluations

Summative evaluations of the University's senior administrative officers, including the Dean, provide the basis for the renewal or non-renewal of contracts and for salary determinations. Such summative evaluations are the purview of the Provost, to whom these officers report. As the committee charged with evaluating the Dean on behalf of the faculty, FIRC will be available for consultation with the Provost concerning the Provost's summative evaluations of the Dean.

SECTION 3 ADMINISTRATIVE HEADS

Administrative Heads

The various departments and programs offering instruction at Hamline are configured into administrative units. Each unit has an administrative head who oversees the departments and programs that reside in the unit. The administrative head is responsible for the administrative duties of the unit, providing leadership on issues not directly related to curriculum.

3.1 Term of Office

Administrative heads are selected from among the tenured members of each area and typically serve three-year terms. Administrative heads are eligible to serve a maximum of two consecutive terms. Shorter or acting appointments may be made at the discretion of the CLA Dean. Normally, during the last year of the appointment of an administrative head, the Dean will consult with members of the unit concerning the appointment or reappointment of an administrative head. Under special circumstances, an administrative head can be relieved of his or her administrative duties mid-term by the Dean after consultation with their area.

3.2 Course Load

Faculty who serve as administrative heads receive two course releases per academic year. The course releases associated with the administrative head position should not supplant other course releases for which a faculty might be eligible if holding a separate position that carries its own course release. Because the administrative head is a year-round position, heads will also receive compensation for summer work.

3.3 Duties and Responsibilities

Administrative heads report to the Dean. The administrative head is both the administrative officer for the unit and the focus of leadership within the unit.

Specific duties necessary for the successful administration of a particular area or unit will vary, but will likely include such duties as:

3.3.1 Unit Vitality

The administrative head is expected to provide leadership in planning for the unit and its departments and programs and assumes responsibility for the articulation of the area vision, in collaboration with area faculty. He/she is responsible for maintaining a vital and collegial climate in the area. The administrative head serves as the primary avenue of communication between the Dean's office and the departments/programs, as well as advocates with the Dean's office and beyond for area resources. The administrative head

assumes responsibility for ensuring equitable teaching loads among faculty within a department/program, oversees distribution of general service obligations (e.g. advising, internship and independent study direction, work with admissions), and makes sure junior faculty and adjuncts are properly mentored within the discipline and area. The administrative head is also responsible for interfacing with Marketing and overseeing website maintenance (in collaboration with area faculty and faculty secretaries, as relevant), and spearheading the writing of relevant reports for the area (such as accreditation, educational license, NCATE materials). Over the summer months the administrative head serves as a point person for summer communication with the unit as well as the rest of the University, performs initial orientation for new hires, attends periodic meetings, and participates in administrative head training and professional development.

3.3.2 Course of Study

The administrative head is responsible for maintaining the yearly offerings and scheduling of courses within a unit. This includes maintenance of all schedules and coordinating edits. The administrative head also oversees Hamline Plan proposals and submits revisions to the Bulletin. Finally, the administrative head facilitates learning outcomes assessment.

3.3.3 Personnel Matters

The administrative head consults with the department(s) and Dean regarding any personnel changes needed, such as staffing, load adjustments, and release time. The administrative head oversees faculty searches within the unit (see section 6). The administrative head, in collaboration with a department chair, is responsible for hiring, mentoring, and logistical support; and writing letters of recommendation as relevant.

3.3.4 Faculty/Staff evaluation

The administrative head participates in the evaluation process for area faculty in consultation with the department chair. This includes: performing class visits; writing annual reviews for probationary faculty (both on teaching and tenure-track); writing reviews for triennial evaluations; assigning letter writing for 3rd-year review, teaching-faculty review, and tenure and promotion (typically department/program chairs and department tenured faculty/faculty at rank sought); and writing a letter synthesizing submitted letters. The administrative head ensures development and maintenance of tenure and promotion grids. Finally, the administrative head provides direction for relevant faculty secretaries and participates in their evaluations.

3.3.5 Chair/program evaluation

The administrative head is responsible for training and, in collaboration with the Dean, evaluation of program/department chairs within the unit. The administrative head and the Dean will solicit confidential input from members of the department/program when evaluating the chair. Mandatory evaluation takes place every three years, in the spring of the chair's third year, as part of the decision-making process for appointing or reappointing chairs (see section 3.1)

3.3.6 Administrative Unit Budgets

The administrative head consults with Department/Program Chairs within the unit to develop an annual budget. The administrative head has secondary budget authority and oversight of all budgets in the area (including work-study budgets and library-related budgets). As part of the responsibility for the budget, the administrative head is also expected to facilitate equipment maintenance within the unit.

3.3.7 Student Assistants

The administrative head supervises area work study students in cases where there are students performing work for the entire area.

3.3.8 Student Relations

The administrative head is responsible for overseeing student/faculty relations. He/she serves as the tertiary contact in the student grievance process after the faculty member first and then the department chair.

3.4 Evaluation of Administrative Heads

The evaluation of administrative head refers to that portion of a faculty member's responsibilities as an administrative head. The administrative head is evaluated by the Dean who solicits confidential input from members of the administrative unit. Mandatory evaluation of the administrative head takes place in the spring of the final year of their term, as part of the decision-making process for appointing or reappointing the administrative head (see above, Section X). If at any other time a department member believes the administrative head is having a deleterious effect upon the department, the unit, or him/herself, he/she may immediately convey the concern to the Dean. For egregious cases, refer to the Grievance section in the University Handbook (Section 11).

SECTION 4 DEPARTMENT CHAIRS AND PROGRAM DIRECTORS

The various departments offering instruction at Hamline are currently arranged in five divisions: Humanities, Social Sciences, Natural Sciences, Education, and Fine Arts. Each department is also aligned with an administrative unit. Each department has a chairperson who works closely with the Administrative Head of the unit within which the department resides. Normally, the chair is chosen from among the tenured members of the department. In addition, the College sponsors several interdisciplinary programs, each with its own director. In what follows, reference to "departments" and "department chairs" should usually be understood as including interdisciplinary programs and program directors. In addition, in certain cases it is not feasible for the interdisciplinary program directorship to rotate, as department chairing with its three-year term (see below, Section 4.1) customarily does.

4.1 Term of Office

Department chairs normally serve three-year terms but are eligible for reappointment. Shorter or acting appointments may be made at the discretion of the appropriate administrative officers of the College. The appointment of department chairs is made by the Dean of the College after consultation with the department faculty members. Department chairs are responsible to the Dean of the College, the unit Administrative Head, and the members of the department. Normally, during the last year of the appointment of a chair, the Dean will consult with members of the department concerning the appointment or reappointment of a chair for the department. Under special circumstances, a department chair can be relieved of his or her administrative duties in mid-term by the Dean after consultation with the department. The chair must have the opportunity to respond before a final decision to remove a chair is made.

4.2 Duties and Responsibilities

It is the responsibility of the department chair to work in conjunction with department faculty to provide disciplinary leadership, vision, and coherence for department programs, curriculum, and for students who major or otherwise take courses in the department. Duties and responsibilities include the following: plan curricular development; recommend adjuncts; develop learning outcomes in conjunction with departmental faculty; exercise budget authority (first level) for department budget and related restricted funds; sign forms, including major/minor declarations, serve as secondary adviser to minors; mentor adjuncts on a program level, to maintain curricular consistency. Faculty who serve as department chairs or program heads will receive an additional stipend depending upon the scale of the department or program. See also Section 8.1.2 Work Load for additional information.

4.3 Evaluation of Chairs

The evaluation of department chairs refers to that portion of a faculty member's

responsibilities as chair or program director. The chair is evaluated by the unit Administrative Head and the Dean who solicits confidential input from members of the department. Mandatory evaluation takes place every three years, in the spring of the chair's third year, as part of the decision-making process for appointing or reappointing chairs (see above, Section 4.1). If at any other time a department member believes the chair is having a deleterious effect upon the department or him/herself, he/she may immediately convey the concern to the unit Administrative Head or the Dean. For egregious cases, refer to the Grievance section in the University Handbook (Section 11).

4.3.1 Departmental Vitality

The chair is expected to give leadership in planning for the department and its programs. The chair will schedule and conduct regular department meetings, counsel with individual department members, encourage improvement in teaching, evaluate departmental work, promote experimental programs, consult regularly with the Dean and the Planning and Development Committee (PDC), and help provide for the on-going growth and vitality of the department. The chair may assign to other members of the department various responsibilities to enhance departmental vitality and effectiveness.

4.3.2 Course of Study

The chair is responsible for planning the yearly offering of courses. This includes initiating necessary revision in course offerings; consulting with the Dean on departmental programming/staffing needs, changes, and requests for staffing; consulting with departmental staff on scheduling of courses; developing faculty teaching schedules; and being sure that adequate and appropriate offerings are available for both majors and non-majors. The chair is also responsible for updating the description of the department's programs in the College Bulletin and for providing the Admission's Office with current information relevant to these programs. Finally, the chair is responsible for overseeing the guidelines for approval and class coverage when members of the department are absent from class (see Handbook, Section 14.3).

4.3.3 Personnel Matters

The chair consults with the divisional coordinator and the Dean on any personnel changes needed, such as staffing, load adjustments, and release time. The chair also consults with the Dean, appropriate committees, and relevant program directors on matters dealing with faculty evaluation, promotion and tenure (see Handbook, Section 6) including the oversight and revision of departmental/programmatic promotion and tenure expectations and separation (see Handbook, Section 10).

4.3.4 Faculty Selection

The chair and other members of the department participate in the search for

qualified personnel when vacancies occur or new appointments are made. The department chair is responsible for organizing the search. For a detailed description of this responsibility, see Section 7 of this Manual.

4.3.5 Faculty Evaluation

The chair is responsible for the submission to the Faculty Personnel Committee of candid annual evaluation reports on members of the department up through their sixth year review and as circumstances dictate thereafter. The chair may want to consult with directors of programs in which his/her member teaches in compiling the report. The chair is to provide each faculty member whom he/she reviews with a written copy of the evaluation.

4.3.6 Professional Activity

The chair is expected to participate in scholarly and professional activities pertinent to his or her discipline and to encourage the active scholarly and professional participation of all members of the department.

4.3.7 Department Budget

The chair prepares an annual budget request for supplies, equipment, and special services for submission to the Dean of the College. Once the budget request is approved, the chair approves each departmental expenditure for the purchase of items authorized within the budget. As part of the responsibility for the budget, the chair is also expected to oversee the maintenance and inventory of departmental permanent equipment.

4.3.8 Student Assistants

The chair is responsible for assigning and overseeing the duties of departmental student assistants and for assuring their availability to all members of the department wishing to make use of their services.

4.3.9 Student Relations

The chair oversees the advising of students majoring in the department; departmental organizations, clubs, and professional societies; honors; and the advising of students concerning graduate and professional schools. The chair is also responsible for handling the initial stages of student complaints regarding faculty members in the department.

4.3.10 Library Purchases

The chair is responsible for coordinating the purchase of library materials in his or her department.

4.3.11 Periodic Report

The chair, at the request of the Dean and in consultation with the other members of the department, will submit a brief written summary to the Dean on the state of the department. The departmental summary typically contains the following parts: (1) a statement concerning departmental direction, activity, and growth (e.g., new programs undertaken or planned, experimental projects being considered, "success" stories, and departmental aspirations); (2) a statement of departmental needs and/or problems in the areas of personnel, equipment, administrative support, program development, and (3) other significant information pertaining to course/program assessment.

4.3.12 Departmental Review

At the request of the Dean, the chair will coordinate periodic comprehensive program reviews.

SECTION 5 COMMITTEE STRUCTURE

5.1 Structure of the Divisions

There are five divisions in the College of Liberal Arts: Humanities, Social Sciences, Natural Sciences, Education and Fine Arts. All departments and programs in the College of Liberal Arts are located in one of the five divisions. Interdisciplinary programs are typically housed in the division of their directors. Representation on three of four standing committees of the CLA is determined by division. Each division has a Divisional Representative. The structure of the Divisions and role of the Divisional Representatives will be reviewed by FIRC, PDC, and the Dean for effectiveness, with a report and recommendations to be submitted to the CLA Faculty every three years.

5.2 The Committees

5.2.1 Planning and Development Committee (PDC)

A. Goals of the Committee

This committee represents the Divisions of the College in the development and revision of strategic plans, vision and mission statements, and other broad and long-term planning activities. The committee also considers how individual hires and individual plans for development fit into the college's larger plan. This committee conducts the divisional meetings that select faculty members for committee service.

B. Membership of the Committee

This committee consists of the Divisional Representatives elected from each of the four divisions of the College. Divisional Representatives shall serve staggered three-year terms and are eligible to succeed themselves once. Shorter or acting appointments may be made at the discretion of the Dean of the College after consultation with the division. Each division shall select two to three candidates from within their division (who must either be associate professor, full professor, or senior lecturer) to run for election for Divisional Representative.

C. Responsibilities of the Committee:

1. To coordinate the planning and development of departments in their division with respect to divisional issues.
2. To organize at least one divisional meeting each semester;
3. To coordinate the priorities and long-range planning of the College including strategic planning;
4. To liaise with divisions, areas, departments and programs in the coordination of new project and program development.

5. To evaluate individual faculty-development requests, distribute resources (e.g., grant money, etc.), and make recommendations to the Dean regarding sabbaticals;
6. To collaborate with the Dean in establishing priorities regarding resources for the College;
7. To meet annually with the Faculty Personnel Committee and the Dean to harmonize the criteria for development with the criteria for evaluation, promotion and tenure;
8. To archive, oversee, and make available to all faculty the promotion and tenure expectations promulgated by each department and program; to serve as a consultative body to programs and departments seeking to revise their respective expectations; and to administer periodic reviews to assess the relationship of these collective and respective expectations to the College's standards and to the faculty handbook.

5.2.2 Faculty Personnel Committee (FPC)

A. Goals of the Committee

This committee evaluates faculty on their performance in the three traditional areas of faculty work: teaching, scholarship, and service. The committee is charged with making formal recommendations to the Dean on behalf of the faculty on issues of tenure, promotion, and renewal of term-contract faculty as well as issues of reprimand/dismissal of faculty members.

B. Membership of the Committee

This committee consists of five faculty members representing the five divisions. These five faculty members must be tenured.

C. Responsibilities of the Committee

1. to serve as the key faculty voice in evaluating faculty effectiveness in teaching, professional activity, and service;
2. to make recommendations on behalf of the Faculty to the Dean on tenure, promotion, and renewal of term contract faculty as well as issues of reprimand/dismissal of individual faculty members;
3. to interview candidates for faculty positions and offer its recommendations to the Dean in regard to the decision to hire or not to hire a candidate. If the

committee's schedule is overburdened, it may appoint a sub-committee of alternates to assist one or more of the regular members in interviewing candidates;

4. to consult with the Dean and/or the Provost and/or the President and make its recommendations regarding the reprimand, censure, dismissal, or other discipline of a faculty member or terminations for incapacity;
5. to meet annually with the PDC and the Dean to harmonize the criteria for development with the criteria for evaluation, tenure, promotion, and renewal of term contract faculty as well as issues of reprimand/dismissal;
6. to review and make recommendations about the criteria for evaluation, tenure, promotion, renewal of term contract faculty, as well as issues of reprimand/dismissal; and
7. to review and make recommendations to the Dean about emeritus status for CLA faculty members;
8. to consult with the PDC and the Dean in the periodic reviews of departmental and programmatic expectations for promotion and tenure.

Additionally, members of this committee will consider in their reviews of individual faculty members the question as to whether or not the faculty member is over- or under-burdened with service work.

5.2.3 Faculty Institutional Relations Committee (FIRC)

A. Goals of the Committee

This committee is a channel of communication between faculty and administration, and works with the Dean on matters of policies and procedures. The committee advises the Dean on matters of budget, compensation and benefits. Faculty and the Dean work together collaboratively but the Dean has ultimate decision-making powers on issues of budget, compensation and benefits.

B. Membership of the Committee

This committee consists of four faculty members representing each of the three ranks of faculty (professor, associate professor, assistant professor) and one from the teaching faculty.

C. Responsibilities of the Committee

1. to consult with the CLA Dean and Chairs of standing committees to set agendas for the faculty meetings. The Dean's office will provide administrative support. FIRC will provide a faculty moderator to lead debate and discussion for the business portion of the meeting. Faculty meeting

agendas shall include a “new business” item;

2. to consult with the Dean and other administrators on matters of mutual concern and interest, including but not limited to such matters as financial exigency, and to review proposals submitted by the Provost or the President, forwarding them to the appropriate committees;
3. to run elections for membership on the elected committees;
4. to coordinate revisions of the CLA faculty policies and procedures manual;
5. to supervise any evaluations of the Dean by the faculty and discuss this evaluation with the Provost, recognizing that the Provost is not bound by that evaluation; and
6. to act as a “creative works committee” for the faculty. In this role, the FIRC shall:
 - a. adjudicate disputes between the University and CLA faculty members pertaining to the production of creative works. For such purposes, the committee will be augmented by two administrative members appointed by the Provost; and
 - b. annually review the University’s creative-works policy in light of possible changes in copyright and patent law.

Additionally, one of the FIRC committee members will serve as Parliamentarian of Faculty meetings. Parliamentary procedure shall be based on Sturgis’s *The Standard Code of Parliamentary Procedure*. Quorum for faculty meetings is 40 voting members of the CLA faculty.

5.2.4 Academic Affairs Committee (AAC)

A. Goals of the Committee

This committee is the faculty’s main channel in shaping the curriculum but also more generally the academic work of the college. It allows faculty to give input on issues and services that support the academic mission of the college. Faculty members work with staff and the Dean on this committee, but faculty should have the major decision-making power in this committee. This is the committee where revisions are effected in content, approach, and philosophy of the intellectual life of the College.

B. Membership of the Committee

This committee consists of six faculty members, four representing the divisions of Humanities, Social Sciences, Natural Sciences, and Fine Arts, one representing Licensure Programs, and one representing Advanced Degrees, as well as a

representative of the Dean's Office, who serves on the committee in an ex officio capacity, and students from the CLA.

C. Responsibilities of the Committee

1. to recommend policy pertaining to the CLA curriculum;
2. to approve and forward all CLA courses to the faculty for ratification and major/minor programs;
3. to consult with personnel who coordinate and/or support components of the curriculum (e.g. FYSEM, language across the curriculum, study abroad, computers, and workplace experience) regarding policies and implementations of the CLA curriculum;
4. to establish CLA standards for graduation, honors programs, and individualized study;
5. to consult with library administration to provide CLA faculty advice on library policy;
6. to coordinate CLA assessment and learning outcomes projects;
7. to serve as liaison to the University Curriculum Committee.

Additionally, the committee will be responsible for the following: educational technology in the CLA, and faculty ownership of the course evaluation form and process until such time as a University-wide committee is created to take on that responsibility. This section will be automatically deleted after such committees are formed.

5.3 General Guidelines for All CLA Committees

5.3.1 Duration of Term

Committee members serve three year terms. Committee members are exempt from committee service for one year following, unless they choose to waive that exemption, which they can do as many times as they choose.

5.3.2 Committee Manuals

Each committee will be responsible for the creation and maintenance of a manual for the committee, which will contain the calendars, templates, schedules, and forms that the committee needs to get its work done. At the same time, this manual will be most helpful to incoming committee members if it also seeks to describe the scope of the committee's responsibilities, how this committee fits into the governance structure of the college, and how the individual committee members see this committee as contributing to the overall goals of the college.

5.3.3 Inter-Committee Communication

Representatives of the committees will meet together (sometimes with, sometimes without the Dean) in order to allow for communication among committees. It is recommended that these meetings will take place at least once a term.

5.3.4 CLA Responsibilities for Committee Members

Each CLA committee has several programs or issues for which it is responsible. It is recommended that a different member of the committee act as the point person for each one of these programs or issues, with the understanding that the chair is still responsible for the overall functioning of the committee. Asking a point person to be responsible for a certain issue will allow these issues to be dealt with quickly and efficiently, and it will also immediately suggest which member of the committee will be the liaison to other committees within the university dealing with those issues.

5.4 Selection Process for Committees

5.4.1 Department Meetings

At the beginning of the spring semester, departments will meet to plan how they will fulfill the service work of the department and to decide who is available to serve on committees. Ideally, the department as a whole will agree on who will be available. Those not available would be faculty going on sabbatical or three-course release in the next year, faculty holding responsibility for one of the programs designated in §4.4 above, and faculty who have just completed a three- year term of committee service and do not wish to serve again.

5.4.2 Divisional Meetings

Following department meetings, the division will meet and the divisional coordinator (Planning and Development Committee representative) will run a meeting in which faculty are officially nominated for committee service. Each division should offer approximately 7-8 people to be placed on ballots for the committees (possibly fewer for Fine Arts, as it remains a smaller division). These 7-8 people should ideally come from all the departments within the division, with smaller departments offering 1-2 faculty members for service and larger departments offering 2-3. The divisional coordinator will be responsible for examining departments' nominations of people to make sure that junior faculty, faculty under significant professional pressure, or others in need of special consideration are not being unfairly pressured to serve on committees.

For the committees whose membership is based on division (AAC, FPC, and PDC) the ballots will have two candidates listed for each of the open positions. Ballots will go to the whole faculty, be voted on, and tallied. After the results are in, Divisional Coordinators will consult with the candidates in order to create a ballot

for FIRC. Elections will be finished by the end of the spring semester, with service beginning at the start of the fall semester (i.e., the term finishes out at the end of the summer for PDC).

5.4.3 Time Line for the Selection of Committee Members

Early March

- ▶ department meetings held in which the department decides who will be available for committee service

Late March

- ▶ divisional meeting run by divisional coordinator

Early April

- ▶ FIRC uses information from each divisional coordinator to create ballots or to authorize the creation of on-line voting for CLA and University committees; these elections are held simultaneously.

Mid April

- ▶ divisional coordinators meet together and use ballot results to come up with two candidates for all open positions on FIRC.

Late April

- ▶ FIRC sends out ballots or authorizes the creation of on-line voting for open positions on FIRC.

5.4.4 Temporary Vacancies

Temporary committee vacancies occur because of sabbaticals and for other reasons. The Planning and Development Committee may make short-term replacements, such as for one semester or one year vacancies, to the Academic Affairs Committee, the Faculty Institutional Relations Committee, the Faculty Personnel Committee, and the Planning and Development Committee after consultation with the relevant committee chair on the replacement process. Temporary appointees may not continue service on the committee beyond the term of their temporary replacement without a formal election.

5.5 Service to the University and CLA Other than the CLA Committees

In addition to the CLA committees, there are a number of programs which will require CLA faculty members to run them or to have significant input in them. These are programs that require certain kinds of experience, expertise, or ability. For programs within the CLA the Dean will invite all faculty to indicate their interest in these programs if they wish, as well as communicating with individual faculty whom the Dean feels would administer these programs effectively. The

Dean will consider the list of faculty generated by these two processes, and the Dean will select, in consultation with the individual faculty member's chair, faculty to administer these programs. These faculty may be excused from serving on the CLA committees, unless they choose to do both. If they do both, they may receive compensation for their service to these programs, such as stipends, course releases, or budget increases.

Service for CLA faculty also includes University-wide committees, programs, and panels.

SECTION 6 FACULTY STATUS

This section of the Policies and Procedures Manual is closely related to Section 4 of the Hamline Handbook. The Faculty Handbook definitions of Faculty should be used for detailed information on positions. This section looks at which of these positions are expected to serve on CLA committees and expected responsibilities.

6.1 Rank and Service

6.1.1 Following Section 4 in the Faculty Handbook the ranks defined are:

- A. for full time, tenured faculty: Associate Professor, and Professor;
- B. for full time, tenure-track: Assistant Professor;
- C. for full-time, non-tenure-track faculty: Instructor, Lecturer, Senior Lecturer, and Professor of Practice;
- D. for visiting faculty: adjunct professors;
- E. for emeritus faculty: Professor;
- F. for special faculty: Artist/Writer/Scholar-In-Residence;
- G. for administrators: subject to career in academic positions or appointment.

6.1.2 Following Section 4 in the Handbook the service expectations are:

- A. for full time, tenure-track and tenured faculty: service is expected on CLA committees, to the university, to your discipline;
- B. for full-time, non-tenure-track faculty: service is expected on CLA committees, to the university, to your discipline;
- C. for part-time, fixed term, visiting faculty (often referred to as adjunct professors) and any other temporary positions are not usually expected to serve on CLA committees;
- D. for full-time visiting Professors, as defined in the Handbook, Section. 4.5.4, may have expectations of service, but would not be normally considered for committee duty due to the limited time of appointment;
- E. for emeritus faculty: no expected service;
- F. for special faculty: no expected service;
- G. for administrators: Service on committees directly related to their duties, see the Handbook, Section 4.8.4.2.

6.1.3 These ranks indicate levels of certification and advancement in one's field and represent

cohort groups in matters of salary. Informally, anyone teaching at Hamline may be addressed as “Professor.” The common distinction between “junior” and “senior” faculty is typically drawn between the ranks of Assistant and Associate Professor for the tenure-track and between lecturer and senior lecturer for the non-tenure-track.

6.1.4 Criteria for Appointment to Specific Faculty Ranks

At the time of initial appointment of a full-time or part-time faculty member, the Dean in consultation with the department/program chair makes a judgment about rank for the initial contract using the criteria described in Section 4 of the Handbook. For divisional endowed chairs, the Divisional Coordinator will also be consulted. Written copies of the decision will be provided the department involved, the individual involved, and the FPC. Thereafter, rank changes are subject to Section 6 for the tenure-track faculty and Section 7 for the non-tenure-track faculty in the Handbook. For specific guidance each CLA area has, or will have, Tenure and Promotion documents, see below, Section 6.4.

Throughout these sections on specific ranks, a college of "recognized standing" shall mean a college or university accredited by one of the six regional accrediting associations, e.g., the North Central Association, or that it is a recognized college or university of international standing. Description of the ranks follows those given in Section 4 of the Handbook.

6.2 Contracts and Individual Responsibilities

The term “individual contract” is used to distinguish annually issued letters of contract from the Handbook which functions as “contract” for the full faculty.

6.2.1 For full time, tenure-track and tenured faculty

The course or course equivalent teaching requirement (often referred to as “load”) for tenure-track and tenured faculty is currently set at six units per academic year, as defined in Section 9.1 of this Manual, where one unit corresponds to teaching a term-long course. In addition, research is expected that leads to work in one’s field that is considered to advance the art of the field. See the Handbook, Section 6.2 for the criteria for Tenure and Promotion. Service expectations are described above in Section 6.1.

6.2.2 For full-time, non-tenure-track faculty

The non-tenure track includes the teaching track which is designed to be a long term position with a focus on teaching over research, but has service commitments. The teaching track has different criteria for promotion, but leads to multi-year contract following a successful sixth year review. Typically the teaching requirement would be greater than the teaching requirement expected for the tenure-track and tenured faculty. The Handbook defines some of the duties expected in Section 7. Service expectations are described above in Section 6.1.

6.2.3 For visiting faculty

Part-time contracts are given to adjunct faculty whose services add up to less than a full load and who are paid on a per-course basis.

Per-course is currently the most frequent basis of payment for people on part-time contracts. Department/program chairs usually hire per-course faculty. Visiting faculty are evaluated according to the Handbook, Section 7.8.

Visiting faculty:

- A. usually teach no more than 4 courses per academic year;
- B. usually have no other faculty duties and responsibilities, except those listed in section 9 of this Manual;
- C. meet or exceed the criteria of the appropriate temporary academic titles;
- D. are selected in the manner set forth below (see below, Section 7);
- E. always receive a Term Contract;
- F. do not accrue time towards tenure, promotion, or sabbatical;
- G. are expected to be available at least 1 ½ hours per week for each course taught to advise students regarding their course work;
- H. do not have voting rights in faculty meetings, elections, and standing committees.

6.3 Department of Appointment

All faculty appointments to tenure, tenure-track, or non tenure-track contracts have as the locus of their appointment the department stated in their annual letter of appointment. Dual appointments to different departments or appointment to a division may be granted to a faculty member. In those cases, the dean in consultation with the faculty member and the department/program chairs involved will select one department as the faculty member's primary department for purposes of this Manual and the Handbook – in particular, governance, evaluation, promotion and tenure, but not separation. For example, the tenure process for eligible faculty always involves the primary department, but tenure is to the institution as a whole.

6.4 Affiliate Faculty

Each year, the Dean's Office shall notify all faculty of the opportunity to apply for affiliate status with programs of study outside their home department. Department Chairs and Program Directors shall meet with all faculty interested in affiliating with the program of study and reach out to other faculty whose expertise may contribute to the program to encourage them to apply.

To apply for affiliate status, faculty must submit

- A plan for course offering(s) consistent with at least one of the outside program's learning outcomes.
- A logistical plan to offer at least one course every other year endorsed by the applicant's home Department Chair and Administrative Head.
- A current CV

Affiliate faculty applications will be reviewed by the Chair or Program Director in close consultation with non-affiliate faculty in the program of study. Other affiliate faculty will be invited to provide feedback, although chairs, directors and department faculty will have decision-making authority. Ultimately a recommendation is sent from the Chair/Program Director to the Dean who makes the final decision and appoints the affiliate.

All faculty members must apply to be affiliates through this formal process, even those who have held affiliate status historically. Renewal of affiliate faculty status does not automatically renew after a five-year term. Rather, faculty seeking to continue affiliate status with a program of study after five years must reapply.

6.4.1 Criteria for Affiliate Status in a Program (or Department) other than one's Faculty Home

- Expertise in the program of study through graduate work, faculty development, research, or teaching;
- Commitment to the program and its learning outcomes through having taught at least one course that counts toward the program before applying to become an affiliate;
- Ability to teach at least one course for the program once every two years (that counts as area of study for, is cross-listed with, or that is offered by the program of study directly), with exemptions for sabbaticals, administrative responsibilities, or leaves of absence;
- Support of chair in home department of faculty member's pursuit of affiliate status.

6.4.2 Expectations of Affiliated Faculty

Affiliate faculty will be expected to

- Teach at least one course that contributes to the outside program of study every two years (determined in consultation with the Chair or Program Director, as well as the Chair of the faculty member's home department);
- Regularly attend campus events, including sponsored lectures and colloquia, which are related to the program of study;
- Work with undergraduate students engaged in honors projects, collaborative research, independent studies, and/or academic advising relevant to the affiliate faculty's expertise (if deemed appropriate by the program's Chair or Director);
- Participate in curricular and assessment work of the program of study relevant to the affiliate's course contributions (note that chairs, directors, and non-affiliate faculty have

final authority in curricular decision-making).

6.5 Guidance for Tenure and Promotion

Each area/department has prepared “Tenure and Promotion Grids” that lay out the expectations that a faculty member should aim to achieve in the areas of teaching, research, and service.

SECTION 7 SEARCH AND APPOINTMENT OF NEW FACULTY

At the College of Liberal Arts of Hamline University, our commitment to successful and fair employment practices rests on the manner and principle with which we approach each faculty search and appointment. Our community willingly assumes the responsibility to seek, hire, and retain talented faculty members and through that process to promote both academic excellence and the College's cultural, racial, and ethnic diversity. We recognize the importance of devoting sufficient time, resources, and care in appointing and retaining faculty members in order to maximize the probability of their success and satisfaction with the Hamline University community. We also commit ourselves to the highest ethical standards in our search, appointment, and orientation procedures by respecting the confidentiality of candidates, avoiding discrimination, and clearly communicating the qualifications, criteria, and terms of employment.

CLA will comply with all applicable laws governing equal employment opportunity. This policy extends to all applicants and employees and to all aspects of the employment relationship including, but not limited to, recruiting, hiring, promotion, transfer, and compensation. More particularly, it is stated College policy not to tolerate harassment or discrimination based on race, color, gender, ethnic background, national origin, sexual or affectional preference or orientation, marital or parental status, disability, religion, age, or veteran status in its employment or educational opportunities.

Policies and procedures stated in the remainder of this section of the Manual, except for 7.8.2, do not pertain to part-time per-course positions, or to one-year replacement or visiting faculty.

7.1 Appointments

The appointment of tenure track and teaching faculty is delegated by the Board of Trustees to the President and in turn by the President to the Provost and the Provost to the Dean and the faculty of the College of Liberal Arts. The Affirmative Action Officer and the Faculty Personnel Committee (FPC), interview all candidates for positions carrying faculty rank, and the FPC makes recommendations to the Dean of the College. Department chairs and the faculty of the department shall have a key role in recommending new appointments and terminations of appointments within their respective departments. The Dean shall carry the recommendations of the Dean and the faculty to the Provost.

All searches are contingent upon approval of adequate institutional budgetary resources to support the hiring of a new faculty member. If it becomes apparent that the resources are not available, the Dean and the divisional coordinators will immediately consult with the department chairs in the relevant departments prior to announcing any decisions to cancel or to postpone any or all searches.

A contract/letter of appointment from the President/Provost states the title or rank, type of contract, salary, length, and other terms of appointment. (See appropriate sections of the Handbook, Section 6 of this Manual and below, Section 7.5.2.)

7.2 The Role of the Affirmative Action Officer

The Affirmative Action Officer (AAO) shall be a CLA faculty member recommended by the Faculty Institutional Relations Committee and appointed by the CLA's Dean for a three-year term. The AAO may succeed her/himself in office only once, and shall be exempt from CLA standing-committee service.

The AAO has responsibilities relating to the recruitment, screening and interviewing of candidates for faculty positions. If Affirmative Action policies and procedures are not being followed, the AAO has the authority to intervene and, if necessary, request a suspension of the search and hiring process until problems are resolved (see further below, 7.2.3).

7.2.1 Role of the Affirmative Action Officer in Recruitment

For the purpose of enhancing the faculty's cultural, racial, and ethnic diversity, the Affirmative Action Officer keeps the faculty apprized of matters relating to diversity hiring in general, and, with a view to particular searches, recommends ways of recruiting women and minority candidates for faculty positions and for ensuring an adequate pool of candidates before the screening stages of the search begin. To that end the AAO shall be notified of all plans in connection with filling a faculty vacancy (see below, Section 7.3.1 C). The department chair shall provide her/him with the following: a description of the position, a time frame for the search, and the intended sources of recruitment.

The Director of the Office of Human Resources shall send Affirmative Action Survey questionnaires to all candidates in a search. Information collected will be supplied to the AAO.

7.2.2 Role of the AAO in Subsequent Stages of the Search

The AAO and the Dean are responsible for monitoring the screening and interviewing stages of a search and may, either at the request of one or the other or at the request of the department, review placement papers or other application material. The AAO, with the Dean of the College, also receives and evaluates petitions from department chairs or search committees requesting waiver of procedures related to Affirmative-Action requirements (see Section 7.4.2 B.3).

Before hiring takes place, the AAO shall receive from the department chair a completed "Applicant Review Report," copies of all advertisements promulgated, a list of all sources of recruitment contacted, and a list of the names of all applicants.

7.2.3 Intervention by the AAO

If the search procedures and guidelines specified in Section 7.4 (below) are not being followed, the AAO shall call it to the attention of the department chair conducting the search. If the matter is unresolved, the AAO may ask that the Dean

halt the search process.

7.3 Faculty Vacancies and New Positions

Each year, an evaluation of full-time faculty needs will be made as part of the annual budget process.

7.3.1 Allocation of Positions

- A. Divisional coordinators will consult with their respective departments in the fall of each year regarding full-time faculty needs for searches to be conducted the following academic year. In their capacity as the Planning and Development Committee (PDC), the coordinators will then meet with the Dean to review proposals from any department or program wishing either to fill a vacancy and/or add to existing faculty.
- B. In their evaluation of these proposals, the Dean and the PDC will consider the general academic program of the College. It is presumed that a department in which a vacancy has occurred will receive primary consideration unless there has been a marked change in enrollment patterns or in the importance of the academic area to the mission of the College or in the demonstrated needs of other academic areas. Specifically, the ability of a department or program to offer a range of course offerings consistent with patterns of enrollment and departmental or College needs will be of prime importance. Financial and long-term institutional needs shall also be considered.
- C. After the Dean and PDC have discussed and considered the various proposals to fill a vacancy or add faculty, the Dean will make a decision and communicate it to PDC, the Affirmative Action Officer, and the faculty at large.
- D. The search preparation shall be completed by the end of one academic year so that the search and appointment procedure can begin early in the following academic year. In the event a vacancy occurs too late in the academic year for the above schedule, the position will either be left vacant or be filled on a temporary basis. The Dean and PDC will then accelerate their consultations so that, if at all possible, the search preparation and the search itself can be conducted in that same academic year during which the position is left vacant or filled with a part-time appointment.

7.3.2 Preliminary Stages of a Search

- A. The Dean shall notify both the department chair and the Affirmative Action Officer when a position is to be filled.
- B. The Dean shall contact the department chair and the Affirmative Action Officer to discuss the plans for the candidate search. The chair shall provide the following information: a description of the position, a time frame for the

search, the intended sources of recruitment, and a completed "Description of Available Position" form.

- C. A faculty-search committee shall be established ordinarily consisting of department members and one faculty member from outside the department, with possible variances after consultation between the Dean and the department. Insofar as possible, each faculty-search committee should have at least one female and one male faculty member as part of its membership. The committee's task will be to:
1. select from a preliminary-interview list, in consultation with the Dean, candidates for on-campus interviews (see below, Section 7.4.2);
 2. interview and evaluate these candidates (see below, Section 7.4.3); and
 3. recommend to the Dean the candidate they wish to hire (see below, Section 7.5.1).

7.4 Searches

Searches are here considered in three stages: recruiting candidates, selecting candidates for on-campus interviews, and conducting on-campus interviews.

7.4.1 Recruitment

The recruitment stage of the search entails advertising the position as widely as possible to reach all potential candidates. In particular, successful recruiting will result in a number of women and minority applicants roughly proportional to the number of women and minorities in the available job pool. Announcements of the position shall clearly state rank; length of appointment; eligibility for tenure; teaching, service, and research expectations; requisite experience and credentials; and whether the availability of the position is contingent upon funding or other conditions. Advertisements of the position shall be submitted to the Dean for approval before publication.

The department chair shall file with the Dean and Affirmative Action Officer copies of all advertisements and a listing of all sources of recruitment contacted. At least one month to six weeks should be allowed for advertising the position and receiving applications.

The candidate search shall ordinarily encompass the following channels of recruitment, national and local:

- A. advertisements in appropriate professional journals and job registers recommended by the faculty within the relevant department;
- B. placement services and academic departments in colleges and universities, including predominantly women's and minority colleges and universities;

- C. appropriate professional organizations that maintain placement services, including organizations for women and minorities (the relevant information to be obtained through the Dean's office);
- D. individuals and organizations concerned with the employment of persons indicated by the University's Affirmative Action policy.

An exception from the ordinary procedure may arise if the department is seeking to re-fill a position for which they recently (within, for example, the previous 4 or 5 years) completed a national search which issued in an appointment that was shortly thereafter vacated. If the recent search produced viable candidates whom the department wishes now to re-contact and reconsider, the department may do so – upon approval of the Dean and the AAO – without initiating a new full-scale national search.

7.4.2 Selecting Candidates for On-Campus Interviews

When conducting a search, the department involved screens the applications and prepares the preliminary-interview list from which the faculty-search committee, in consultation with the Dean, ordinarily selects three or four candidates to interview. The candidates are brought on campus to meet with (at least) the faculty search committee, the Faculty Personnel Committee or its sub-committee, the Affirmative Action Officer, the Director of Human Resources (or designate), and the Dean (see below, Section 6.4.3 A).

A. General Guidelines for Selecting Candidates

1. Candidates with outstanding academic credentials, as evidenced by degrees from prestigious graduate schools, academic honors, excellence in teaching, and professional and scholarly activity should be given top consideration.
2. Active consideration should be given to women and minorities.
3. Ordinarily three or four candidates for each position may be interviewed on campus. Of these, at least one should be a minority person. Gender balance within the department, division, and College shall also be a consideration.
4. If there are no outstanding candidates in the current applicant pool, the position should be re-advertised rather than be filled from the current applicant pool.
5. Departments and Department Chairs are responsible for maintaining a strong search process.
6. Hiring for endowed chairs may require appropriate modification of procedures and committee composition but should not alter Affirmative Action policy or guidelines. (See the Handbook, Section 4.8.1)

F. Procedures for Selecting Candidates

1. After the application deadline, department members shall read the files, and each shall rank his/her top six or more candidates.
2. The department shall collate the rankings and establish a preliminary-interview list, which shall ordinarily include at least eight candidates.
 - a. Arrangements may then be made to interview candidates by phone or at professional meetings. At the department's discretion, additional candidates to those on the preliminary-interview list may be interviewed at such meetings or other venues.
 - b. The department may also wish to initiate reference checks at this stage of the search.
3. In consultation with the Dean, the faculty-search committee (participating department members plus one faculty member from outside the department) will ordinarily select three or four candidates to bring to campus, depending upon the quality of the applicant pool and the College's resources. At least one candidate is expected to be a member of a minority group. Gender balance in the department, division, and College will also be a consideration in bringing candidates to campus.

If a member of a minority group is not among the top four candidates, the Department Chair shall either request that the preliminary stages of the search be re-initiated or petition the Dean and the Affirmative Action Officer to waive the requirement. The Dean's decision shall be final.

7.4.3 Conducting On-Campus Interviews

A. Elements of the Campus Visit.

A typical interview includes the following (not necessarily in this order):

1. meeting with the faculty search committee;
2. meeting with the Department Chair;
3. meeting with FPC or its sub-committee;
4. meeting with the Affirmative Action Officer;
5. meeting with the Director of Human Resources (or designate) for the purpose of reviewing University benefits;
6. classroom teaching;

7. informal time with students (breakfast or lunch);
8. dinner with the faculty search committee (limited budget);
9. social event and/or lunch with the candidate;
10. meeting with the Dean.

B. Guidelines and Procedures for Campus Visits

1. In advance of their arrival, candidates will be asked to forward a statement of their teaching philosophy and a piece of scholarly/professional work to the faculty search committee.
2. Normally, candidates will spend one afternoon/evening and one full day on campus.
3. The Dean's office will, in consultation with the Department Chair, make hotel reservations for candidates and reimburse candidates for travel.
4. Candidates will be expected to teach a class before a group of students. As many members of the faculty search committee as possible should attend. Other interview activities such as recitals, lectures, meetings with students, other faculty, or staff may also take place.
5. Female and minority candidates shall be given the opportunity to talk with female and minority faculty.
6. Everyone who has significant exposure to the candidate shall receive a candidate evaluation form from the Dean's Office. These forms shall be filled out and returned to the Chair to be used in the decision process.
7. In their meetings with candidates, the Dean and FPC and the Department Chair shall have copies of the Handbook and Manual available in order to answer candidates' questions accurately and precisely.

C. Responsibilities of Department Chairs

Search-committee chairs have the major responsibility in overseeing arrangements for campus visits by candidates and ensuring candidates a modicum of hospitality, especially if travel arrangements require a week-end stay. Specifically, Chairs are responsible for:

1. conducting telephone interviews and checking references, when appropriate;
2. inviting candidates to campus;
3. setting the candidate's schedule, with the assistance of the Dean's Office,

which schedule shall include, when appropriate, an introduction to the Twin Cities;

4. arranging for transportation during the campus visit;
5. overseeing the evaluation of candidates;
6. completing an "Applicant Review Report" and filing it with the Affirmative Action Officer, along with a list of the names of all applicants.

7.5 Hiring

The hiring process is described in three steps: choosing a candidate, extending that candidate an offer of appointment, and the candidate's acceptance.

7.5.1 Choosing a Candidate

The faculty search committee and the Dean are responsible for choosing which candidate to hire. If no candidate is acceptable or if no consensus can be reached between the committee and the Dean, then no appointment shall be made.

7.5.2 Extending an Offer

Typically, the chair of the search committee informally notifies the successful candidate of Hamline's intention to offer an appointment. The Dean then calls the candidate with a formal offer, which is followed by a letter of intent stipulating the terms of employment. If the candidate responds in the affirmative, he/she is sent an institutional contract letter over the signature of the Provost.

7.5.3 Candidate's Acceptance

If the candidate chooses to accept the offer, s/he signs and returns the Dean's letter of intent no later than the date stated in the letter. If the candidate wishes to make a contingent acceptance, s/he shall reply in a letter specifying the relevant conditions.

7.6 Exceptional Circumstances in Candidate Selection

The procedures detailed in this section of this Manual are the policy and practice for candidate search, interview, and hiring. The Dean and/or the faculty search committee may decide, upon consultation, that extraordinary circumstances warrant some modification of these procedures. Whenever feasible, in such an event, all parties already interviewed according to Section 7.4.3 above will be informed of the modification. Objections to modifications may be raised with the Dean and/or the faculty search committee in writing.

7.7 Credit for Academic Service at Other Institutions

Newly hired faculty members with previous teaching experience may be granted credit towards tenure (see Appropriate section in the Handbook). Persons who have

held full-time status at institutions that do not grant tenure may be granted credit towards tenure under the same procedure. In extraordinary circumstances, such as that of the chief academic officer, immediate tenure may be granted by the Board of Trustees at the recommendation of the department(s) involved, the Faculty Personnel Committee, the Dean of the College (unless the Dean is the candidate), the Provost, and the President.

7.8 Academic Rank and Types of Appointment

Initial rank shall be determined according to the Handbook, Section 4, except when a person who held tenure at another institution may be awarded corresponding rank to that held at the other institution. (See also the Handbook, Sections 6 and 7).

7.8.1 Full-Time Ranked Faculty

All initial appointments are either notice/probationary or longer-term (see above, Section 6) and are for only one year unless explicitly stated to the contrary in the letter of appointment. The rank offered to new faculty members must be in accord with the requirements of that rank (see above, Section 6.1.1).

7.8.2 Appointments of Part-Time Per-Course Faculty or Special Appointment Faculty

Such appointments are made by the Dean of the College after consultation with the appropriate Department Chairs. Appointments of Part-Time Per-Course Faculty and in some circumstances of Special Appointment Faculty are dependent on adequate enrollment in the faculty member's course.

7.8.3 Summer Session Faculty

Summer Session faculty may be ranked or unranked. They are hired by the Dean of the College upon the recommendation of the department. In accordance with the needs of the College, summer session faculty are offered term contracts for the teaching of specific courses.

Time spent teaching in summer session does not count towards tenure, promotion, or sabbatical leave in the College. If by contract, however, summer school constitutes part of the regular teaching load, credit towards tenure, promotion, or sabbatical leave may accrue. In no case may an overload count towards tenure, promotion, or sabbatical leave. Summer Session faculty are expected to be available for reasonable office hours.

7.9 Orientation of New Faculty (see below, Section 8)

SECTION 8 FACULTY DEVELOPMENT

8.1 Definition of Faculty Development

Faculty development must be oriented primarily to our vocation as teaching scholars in cooperative pursuit of the common good. This broad definition of development reflects our desire to promote the integrity of Hamline's mission and to respect the wide range and individuality of faculty endeavors. It values the process of gaining knowledge, relating it to existing knowledge, and applying it to fundamental issues of human experience. Faculty are encouraged to pursue research in one or more of the following areas, all of which are considered to be of equal value: a) pure research, scholarship, and performance in their given area; b) applied research and scholarship, including that dealing with teaching and undergraduate education; and c) collaborative research and scholarship with students as well as with faculty in other disciplines.

8.2 Faculty Development and the Planning and Development Committee

The Planning and Development Committee (PDC) has primary responsibility for ongoing faculty development. Committee members are available to assist individual faculty in achieving professional development. The Committee as a whole recommends development programs to enhance the collective faculty's ability to advance the academic mission of the College. In collaboration with the Dean of the College, the Committee also archives, affirms, and, where necessary, works to reconcile the typical expectations for promotion and tenure – as precisely defined by respective departments and programs – with the broader existing standards for all CLA faculty as implemented through the deliberative work of the Faculty Personnel Committee.

8.3 Faculty Development for New and Untenured Faculty

8.3.1 New Faculty Orientation

Each year, the Dean's office offers an orientation seminar for all newly hired, full-time, tenure-track and teaching faculty in the College. Other new faculty are welcome as well. This seminar introduces faculty to the College's general education curriculum – The Hamline Plan – by providing workshops aimed at enhancing skills for teaching writing- and speaking-intensive courses, cultural breadth courses, disciplinary breadth courses, first-year seminars, LEAD courses, and computer intensive courses. In addition, sessions are held by representatives of various faculty committees and the Dean's office to explain our governance structure, expectations for tenure and promotion, academic advising, and the like.

8.3.2 Mentoring Groups

The Dean's office assigns a mentor for each new, tenure-track and teaching faculty member in consultation with the new member's Department Chair and Divisional

Coordinator. Normally, the mentor will be chosen from a different department than that of the new member. The mentor's purpose is to advise and assist in the preparation of the first-year, third-year, and sixth-year reviews and to help in the development of the three-year prospectus as part of the third-year review. All such activities should be done in consultation with the faculty member's Department Chair. The Divisional Coordinator will be available to facilitate a good working relationship between the new faculty member and the mentor.

8.3.3 Three course releases

Probationary tenure-track faculty hired on a typical six-year to tenure review sequence are eligible to apply for three-course release from teaching responsibilities in their fourth year of full-time employment (three-course releases are specified in the Section 12.1.2 of the Handbook where they are called "probationary mini-sabbaticals"). Three-course release does not translate into release from service requirements. The three-course releases are arranged by the Dean, the Department Chair, and the faculty member to maximize the benefit of the leave for the faculty member and to minimize disruption of the academic program of the department. The faculty member shall apply for the release by submitting a proposal due on the date established by the Dean of the College and the Planning and Development Committee. Applications are approved at the discretion of the Dean and upon recommendation of the Planning and Development Committee and the Department Chair.

8.4 Faculty Development for All Faculty

8.4.1 Sabbaticals

The most important faculty development program is the sabbatical leave program described in the Handbook, Section 12.1.1. Sabbatical leaves provide the opportunity for full-time faculty to suspend normal teaching and service responsibilities for the purpose of intensive study and renewal. Therefore, when granted, sabbatical leaves are serious work and become part of a faculty member's job responsibilities. Full sabbaticals may be taken for an entire year at half pay or for one semester at full pay. Sabbatical leaves are not an entitlement. They are granted by the Provost based upon the merits of the proposal and the recommendation of the Dean of the College and the Planning and Development Committee.

The reporting and request timeline for sabbaticals is as follows:

Year 1: Follows sabbatical year. Sabbatical report due to Dean's Office in accordance with policies set by Academic Personnel Decision Timeline.

Year 4: Faculty member is informed of eligibility for next sabbatical in accordance with policies set by Academic Personnel Decision Timeline.

Year 5: Sabbatical intent applications and initial recommendation by PDC and the Dean due by dates established by the CLA Dean's Office in collaboration with PDC.

Year 6: Sabbatical applications should be submitted to PDC prior to the date established on the Academic Personnel Decision Timeline. PDC should provide an initial recommendation in a timely fashion. The final Dean's approval is due by dates established on the Academic Personnel Decision Timeline.

Year 7: Sabbatical year

Divisional Coordinators will be available to assist in the preparation of sabbatical requests, but sabbatical proposals must be approved by the Department Chair before their submission to PDC. Faculty members and chairs will be notified in a timely fashion concerning the status of sabbatical requests to facilitate scheduling issues for the following year. For faculty awaiting tenure- and 6th year-review decisions, approval of the sabbatical request will be conditional upon a positive review.

8.4.2 Professional Development Funds

Ordinarily, all full-time faculty members are eligible to receive professional development funds from the Dean's office to be spent on any professional development activities. Such activities include but are not limited to registration and travel to a professional or educational conference, meeting, or workshop, purchase of professionally relevant books, journal subscriptions, or computer software, membership in the professional societies. Faculty members are reimbursed from these funds after the activity has taken place.

8.4.3 Internal Grants

Each year, the College awards grants to faculty members for development projects. Some of these funds are provided through the operating budget of the College; others are made possible through endowment funds restricted for this purpose. The Planning and Development Committee reviews all proposals and recommends to the Dean the recipients of these awards.

A. Hanna Faculty Development Grants

Each year, the College has income from the Hanna endowment for faculty projects that have a high probability of leading to publication, exhibition or public performance. These grants are provided for summer scholarship. Funds may be requested for books, equipment, travel, stipends, or with a chair's approval, a course-release during the academic year. The proposal for Hanna grants must make it clear how the grant will be used specifically for a project that is related to an eventual publishable paper, exhibition, or public performance. Proposal deadlines are announced by PDC in the spring semester of each year.

G. Dean's Faculty Development Grants

Each year, the Dean provides a pool of money from the operating budget of the College to be used for grants to faculty. The purposes for which these grants may be used are open and varied. In writing proposals for these funds, faculty members should clearly show how the funds will benefit their professional development according to the criteria outlined in the definition of faculty development at the beginning of this section of the Manual. Proposal deadlines are announced by PDC in the spring semester of each year.

8.4.4 External Grants

A number of local and national agencies and foundations provide funds to assist colleges and universities in their attempts to enhance their educational missions. In the past, Hamline has been successful in procuring a variety of grants to aid in a variety of faculty development projects, particularly in the area of curricular development and research. The Planning and Development Committee works in conjunction with the Dean's Office to monitor requests for proposals from these agencies and to seek grants that will help fund the strategic plan of the College. The Planning and Development Committee will be in close consultation with the Faculty concerning any plans for major grants that would affect the College as a whole. Such consultation is necessary not only to provide the best thinking possible for the grant proposal, but also for the eventual success of any projects funded through external resources.

The Planning and Development Committee, or a sub-committee of PDC, will provide assistance to the Dean's Office in tracking and assessing College-wide development grants. PDC, or its sub-committee, will make recommendations to the Dean concerning decisions that need to be made for the allocation of funds from external grants.

8.4.5 Curricular Development

In keeping with Hamline University's primary mission as a teaching institution, emphasis must be placed on curricular and pedagogical development for the faculty. Faculty are encouraged to use college resources that are available for the support of curricular and pedagogical development

A. College-Wide Curricular Development

The Planning and Development Committee has a major role in providing necessary faculty development activities to ensure the development and implementation of the curriculum of the College. This responsibility is particularly crucial when there has been a curricular change in the general education curriculum of the College or when an assessment of the general

education program indicates the need for improvement in one or more areas of the curriculum.

B. Departmental Curricular Development

Divisional Coordinators, as members of PDC, will make themselves available to departments to assist and support curricular and pedagogical development for faculty within a department or division. It is particularly important that resources be made available to departments to engage in development activities when a departmental review highlights the need for curricular change or renewal.

C. Leadership

The faculty governance system of the College requires effective, responsible leadership from the faculty. Ideally, all faculty members share in leadership roles in the College. Some faculty in particular demonstrate talents or indicate interest in taking more active leadership roles. Once these individuals are identified or come forward, PDC should provide opportunities for fostering their leadership skills.

Department Chairs and Divisional Coordinators play key leadership roles for the Faculty. PDC should provide regular opportunities for training for these tasks.

8.4.6 Educational/Retraining Leaves

Occasionally it is necessary or desirable for a faculty member to take a leave of absence for the purpose of further study, retraining, or experience in a professional environment that will enhance one's knowledge and skills as a teacher-scholar. Requests for leaves of absence for this purpose should be made to the Dean in consultation with the Department Chair. These are leaves of absence without pay, and the time spent on leave for educational purposes ordinarily does not count towards tenure nor towards accumulation of years of service for subsequent sabbatical leaves. (Regarding retention of benefits, see the Handbook, Section 12.2.)

8.4.7 Outcomes

The Planning and Development Committee receives reports from faculty who have participated in various faculty development projects. PDC will annually sponsor a faculty development event so that colleagues will be aware of what development activities are occurring in the College.

8.5 Other Development-Related Administrative Activities

8.5.1 Procurement and Recommendation of External Awards

It is the Planning and Development Committee's (PDC) responsibility to work

closely with the Dean's Office to solicit funds from external granting agencies and foundations. The Hamline University grants office has set forth procedures for grant proposal submission. The grant procedures are available on the grant office web page. In addition to the grants office procedures PDC will review College-wide grant proposals, prior to the Dean's approval of them. The Divisional Coordinators will work individually with departments and faculty members within their divisions to provide information about and support for grant proposals to be written for divisional, departmental, or individual projects. Faculty may also contact the grants office for access to available foundation search sites

8.5.2 Records

The Hamline University Grants Office will maintain a record of all external grants submitted on behalf of the university. This data may be available for faculty members who are seeking examples of grants written for similar proposals or to specific foundations. Faculty should contact grants office personnel for help in identifying the projects that will best faculty member's needs.

8.5.3 Budget

The Planning and Development Committee is the faculty committee that presents the arguments for the budget needed to fund faculty development efforts. Once the budget for faculty development has been set, PDC recommends to the Dean the distribution of College funds for this purpose.

SECTION 9 FACULTY RIGHTS, RESPONSIBILITIES, AND CODE OF ETHICS

This section of the Policies and Procedures Manual supplements the Handbook Sections 3 and 14.

Please refer to the Handbook, Section 14.1 and specific treatment of Sections 14.2, 14.3, 14.4, 14.5, 14.6, 14.7, 14.8.

An organization can operate effectively and consistently only if it has policies and rules to guide it and its members. Each faculty member has a responsibility to know these policies and rules and to adhere to them. However prescriptive their form, they are intended more to enhance freedom, stimulate enthusiasm, and promote loyalty to the College's objectives than to impose restrictions.

Any new or amended policies developed between this edition of the Manual and its next revision will be approved by the Faculty and the Dean and will be disseminated in writing to the College community. If questions of interpretation arise, clarification should be sought from the Dean of the College or the Faculty Institutional Relations Committee. Any exceptions mutually agreed to should be in writing and signed by all parties concerned.

9.1 Principal Occupation

A faculty member is appointed with the expectation that he or she will be principally occupied with the academic growth and development of students during all terms of the academic year. Teaching, both inside and outside of the classroom, shall normally be considered the primary concern and occupation of a faculty member. Specific responsibilities of Faculty members with different ranks are outlined in the Handbook Section 4 and in the Section 6 of this Manual.

9. 1.1 Definition of "Year"

Full-time faculty are legally employed on the basis of the nine-month academic year during which on-campus responsibilities normally take place. (Salary and benefits are accrued in that nine-month period but are paid out evenly across the twelve-month year. The nine-month academic year does not prejudice the applicability of parental leave when childbirth occurs during the summer months.) If any faculty member accepts tasks for a longer period than is customary within the present nine-month period of instruction, he or she shall normally receive additional compensation or other special considerations.

The academic year begins with the first day of faculty workshops before the beginning of the fall term, and ends after the commencement ceremony in the spring or whenever grades are turned in, whichever is later. During the winter term, faculty who are not teaching will normally be available to fulfill their other professional duties: e.g.,

individual studies and honors projects with students, student advising, committee

service, course development, and other forms of scholarship, research and faculty development. Utilization of the summer months for professional development and vacation is at the discretion of the faculty member.

9.1.2 Work Load

The College aims at flexibility in determining workload. In keeping with the Section 9.1 above, teaching remains the primary factor. The normal teaching load under the 4-1-4 academic calendar is six courses or course equivalents to be divided among the fall, winter, and spring terms. Faculty may carry an overload, additional reimbursement to be negotiated with the Dean. In consultation with the Dean, individual departments and programs may also redistribute their workload among members or adjust an individual member's workload so as best to meet their goals and accommodate current needs.

In determining fair equivalents in workload, those faculty members whose activities do not fit the conventional classroom lecture or discussion pattern should be considered: for example, those who supervise laboratories or studios or supervise student teachers. Reappraisals at regular intervals are essential in order that older patterns of faculty responsibility may be adjusted to changes in the institution's size, structure, academic programs, and facilities. Current policy and practices shall be available to all faculty members, including those new to the institution each year, through the Office of the Dean.

Individual workloads will be assessed by the department/program most familiar with the demands involved, and by the Planning and Development Committee. The recommendations of these bodies will be forwarded to the Dean of the College. Those responsible should be allowed a measure of latitude in making individual assignment, and care should be taken that all of the individual's service to the institution is considered.

Flexibility in teaching load assignment is desirable in order to account for special circumstances such as an unusually heavy load of independent study, a curriculum development project, or special research projects. Faculty members must bring to the attention of the Department/Program Chair and the Dean any individual cases for adjustment of teaching load in sufficient time to discuss them prior to the submission of departmental course schedules each year. For guidance, AAUP statements on faculty workload should be consulted.

9.1.3 Class-Related Duties

Most of the relevant data under this rubric is to be found in the Handbook, Section 14.2. Only three policy items remain to be addressed in this Manual: handling course papers after the term, covering classes of absent colleagues and evaluation of courses by students.

A. Any course exams, papers and projects left in the possession of a faculty

person at the end of a course are to be kept for a period of 30 days from the date the grades are posted with the Registrar. Only in the case of a written grievance concerning the course or project grade is the faculty person obliged to hold the material beyond that period.

- B. It has been common practice within the College for colleagues to cover each other's classes both in short-term emergency circumstances and in cases of relatively brief, pre-arranged absences. The burden of informing others of the emergency and of initiating arrangements for covering classes rests with the absent faculty member (to the degree physically possible), as indicated in the Handbook, Section 14.3.
- C. All faculty will have all courses evaluated by students.

9.1.4 Academic Advising

Since the fundamental objective of Hamline University is to assist students to develop their interests in order to reach their full personal and professional potential, the College emphasizes the role of its faculty in the academic advising of students.

The central element in advising is a genuine and sustained concern for students as persons and for their academic and personal growth. It is the duty of the Dean of the College and the Department Chairs to allocate such responsibilities, and to inform the individual faculty member of what is expected in the discharge of such responsibilities.

Although there are other offices which provide specialized counseling, such as the Counseling Center, the Career Development Center, and the Center for Academic Services to which the student may be directed for professional and personal assistance, the faculty member has a special mentorship role that takes these forms:

- A. advising of the student with regard to the student's work in classes taught by the faculty member;
- B. serving as departmental advisor in the student's major area to assist the student in setting academic goals, and to insure that College and departmental requirements are met and understood by the student, and that electives are planned to coincide with the student's personal and career objectives;
- C. recognizing when the student needs professional assistance with either personal problems or problems that result from academic skill deficiencies, and directing the student to the appropriate office or person from whom such assistance is available;
- D. writing letters of recommendation for students both past and present as appropriate.

The faculty advisor is not authorized to make representations or commitments to advisees on behalf of the University that are contrary to or not supported by authorized University policies, regulations, or procedures.

9.1.5 Recruitment of Prospective Students

A faculty member shall cooperate with the admissions staff in appropriate ways, such as inviting visiting students into the classroom or laboratory, writing letters and calling prospective students.

9.1.6 Service to Hamline

While faculty members have a primary responsibility to their own department/program, and beyond that to the College, they are also members of the larger University community and should therefore make a determined effort to work cooperatively with members of both other departments/programs and other units.

Service to Hamline is encouraged in both on- and off-campus settings. On-campus service may include admissions activities, assessment programs, all-College/University convocations, and alumni events, as well as such traditional academic events as matriculation and commencement, in which full-time faculty members are expected to participate. In emergency situations, the Dean of the College may excuse full-time faculty members from participation in a given academic procession.

Off-campus service may include, again, admissions and alumni events, or any civic, social or educational endeavor in which the faculty member is formally representing the University.

9.1.7 Deadlines

Each faculty member is responsible for meeting the appropriate deadlines established by the Office of the Dean, the Office of the Registrar, and the Campus Bookstore.

9.2 **Outside Activities and Outside Professional Activities**

The primary responsibility of a faculty member is to render to the University the most effective service possible and to devote his or her full working time to the University. At the same time, consulting and other outside activities of a professional nature are encouraged by the University where such activities give the faculty member experience and knowledge valuable to professional growth and development. These activities may help the faculty member make worthy contributions to knowledge, contribute to instructional programs, or otherwise make a positive contribution to the University or the community. All outside activities and outside professional activities are subject to University policy with the intention of avoiding conflict between such activities and a faculty member's primary

responsibility. Faculty members should consult with their department/program chair and/or the Dean before undertaking an activity in which a question of conflict might reasonably arise. (See below, Section 9.2.7.)

For the purposes of this Section, "outside activities" and "outside professional activities" are distinguished as follows:

9.2.1 Outside Activities

These are activities, compensated or uncompensated, that are not included, directly or indirectly, in a faculty member's contractual obligations to the University; and that are not related to the faculty member's academic specialty.

9.2.2 Outside Professional Activities

These are activities compensated or uncompensated, that *are* related to the faculty member's academic specialty, but that involve persons, entities or governmental agencies other than the University (an "outside entity") or programs administered through or sponsored by an outside entity.

It is recognized that outside professional activities may make a valuable contribution to the University and to an individual's professional growth as long as the activities are undertaken in a manner consistent with the full performance of the faculty member's primary obligations to the University.

Indeed, faculty are encouraged to engage in one or more of the following typical outside professional activities:

- A. writing of textbooks, scholarly books, monographs and articles;
- B. producing and/or performing creative works relevant to one's academic discipline;
- C. participating in professional organizations, seminars, and colloquia that are relevant to the educational process at the University and/or to the individual's academic interests;
- D. acting as a reviewer or editor for professional journals or book manuscripts; or
- E. presenting occasional lectures or papers at meetings of an outside entity.

This list is not exhaustive. See sections 9.3.2 and 9.3.3 for more information.

9.2.3 Financial Interest in Creative Works

It is the policy of Hamline University not to interfere with the long-standing and traditional rights of the faculty to write, create, produce or otherwise generate, on their own initiative, works or products which are copyrightable, patentable, or of commercial value. Any such materials written, created, produced or otherwise

generated by a faculty member shall remain her/his exclusive property; and he/she shall have the sole right of ownership and disposition, unless stated otherwise in a contract between that faculty member and the University.

9.2.4 Use of University Facilities and Services

University facilities may be used by faculty members in connection with the academic or scholarly activities described above in Section 9.2.2 without being subject to the requirements of prior approval or reimbursement. These include the office space and office equipment assigned to faculty.

Faculty members may utilize the services of the secretarial staff of their respective department to assist in outside professional activities, such as the preparation of professional articles, papers, grant proposals, and reviews. Such clerical assistance should not interfere with course-related work.

University facilities – including, with limitation, library services, computers and other equipment – may not be used by faculty members in connection with “outside activities” (as defined above in Section 9.2.1) without written approval by the Department Chair, the Dean, and the person responsible for operating the facility or equipment. The faculty member or his or her outside employer or sponsor may be asked to pay the rate established by the University for the use of the facility, equipment, materials or services.

9.2.5 Use of the University Name and Seal

The University's name and seal are the exclusive property of the University and, consequently, may not be used in connection with goods or services offered by any outside organization without the prior permission of the Provost. Faculty members publish a considerable number of reports in the form of bulletins, circulars, scientific articles, monographs, and books, some of which are copyrighted and others of which are not. Material from such recognized publications is, of course, quotable, and proper recognition should be given to both the individual author and to the University in connection with such quotations.

Official stationary may not be used in connection with outside activities, as defined above in Section 9.2.1. No report or statement relating to outside activities may use the name of Hamline University. The use of official University titles for personal gain or publicity is prohibited without the written approval of the Provost.

9.2.6 University Assumes No Responsibility

The University assumes no responsibility for the competence or performance of outside activities, as defined above in Section 9.2.1, engaged in by a faculty member, nor may any responsibility be implied in any advertising with respect to such activities. Faculty members may not represent themselves as acting on behalf of the University.

9.2.7 Professors and Political Activity

The following statement was approved in 1990 by the American Association of University Professors and the board of directors of the American Association of Colleges, and is supported by Hamline:

- A. College or university faculty members are citizens and, like other citizens, should be free to engage in political activities so far as they are able to do so consistently with their obligations as teachers and scholars.
- B. Many kinds of political activity (e.g., holding part-time office in a political party, seeking election to any office under circumstances that do not require extensive campaigning, or serving by appointment or election in a part-time political office) are consistent with effective service as a member of a faculty. Other kinds of political activity (e.g., intensive campaigning for elective office, serving in a state legislature, or serving a limited term in a full-time position) will often require that the professor seek a leave of absence from his or her college or university.
- C. In recognition of the legitimacy and social importance of political activity by professors, universities and colleges should provide institutional arrangements to permit it, similar to those applicable to other public or private extramural service. Such arrangements may include the reduction of the faculty member's workload or a leave of absence for the duration of an election campaign or a term of office, accompanied by equitable adjustment of compensation when necessary.
- D. Faculty members seeking leave should recognize that they have a primary obligation to their institution and to their growth as educators and scholars; they should be mindful of the problem which a leave of absence can create for their administration, colleagues, and students; and should not abuse the privilege by too frequent or too late application or too extended a leave. If adjustments in their favor are made, such as a reduction of workload, they should expect the adjustments to be limited to a reasonable period.
- E. A leave of absence incident to political activity should come under the institution's normal rules and regulations for leaves of absence. Such a leave should not affect unfavorably the tenure status of a faculty member, except that time spent on such leave from academic duties need not count as probationary service. The terms of a leave and its effect on the professor's status should be set forth in writing. (See also the Handbook, Section 12.)

9.2.8 Compliance and Enforcement

Department Chairs and the Dean are available for advance consultation with respect to potential conflicts between a faculty member's primary responsibility and outside

activities, as defined above in 9.2.1. The College expects faculty and staff members to seek advice from these sources. Legal guidance is also available for problems not otherwise resolvable.

If the Department Chair or the Dean is concerned about whether a faculty member is meeting the standards of this policy, the chair will discuss this with the faculty member. If a satisfactory resolution cannot be reached, the Chair will advise the Dean. The Dean will meet with the faculty member to resolve the issue.

9.3 Code of Professional Ethics

Although no set of rules or professional code can either guarantee or take the place of the faculty member's personal integrity, Hamline University believes that the "Statement of Professional Ethics" promulgated by the American Association of University Professors in June of 1987 and revised in 1990 may serve as a reminder of the variety of obligations assumed by all members of the academic profession. Hamline University endorses the Association's Statement, as given below.

9.3.1 AAUP Statement of Professional Ethics

- A. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgement in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- B. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. They demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and students. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
- C. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to

be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

- D. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
- E. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

9.3.2 Plagiarism

The College endorses the "Statement on Plagiarism" which was approved by AAUP in 1990. The section on precepts is given below.

Every professor should be guided by the following:

- A. In his or her own work, the professor must scrupulously acknowledge every intellectual debt – for ideas, methods, and expressions – by means appropriate to the form of communication.
- B. Any discovery of suspected plagiarism should be brought at once to the attention of the affected parties and, as appropriate, to the profession at large through proper and effective channels -- typically through reviews in or communications to relevant scholarly journals. Committee B of the Association stands ready to provide its good offices in resolving questions of plagiarism, either independently or in collaboration with other professional societies.
- C. Professors should work to ensure that their universities and professional societies adopt clear guidelines respecting plagiarism, appropriate to the disciplines involved, and should insist that regular procedures be in place to deal with violations of those guidelines. The gravity of a charge of plagiarism, by whomever it is made, must not diminish the diligence exercised in

determining whether the accusation is valid. In all cases the most scrupulous procedural fairness must be observed, and penalties must be appropriate to the degree of offense.

- D. Scholars must make clear the respective contributions of colleagues on a collaborative project and professors who have the guidance of students as their responsibility must exercise the greatest care not to appropriate a student's ideas, research, or presentation to the professor's benefit; to do so is to abuse power and trust.
- E. In dealing with graduate students, professors must demonstrate by precept and example the necessity of rigorous honesty in the use of sources and of utter respect for the work of others. The same expectations apply to the guidance of undergraduate students, with a special obligation to acquaint students new to the world of higher education with its standards and the means of ensuring intellectual honesty.

9.3.3 Ethical Standards of Academic Disciplines

As professionals, Hamline faculty abide by the ethical standards of their disciplines.

9.3.4 Statement on Sexual/Gender Harassment

All faculty are responsible for knowing and observing the campus discrimination and complaint policies relevant to this issue.

The University seeks to create and maintain an academic environment in which all members of the community are free of harassment based on gender or sexual orientation. Hamline University espouses values which infuse the academic and residential life on its campus. Undergirding community life must be the awareness on the part of every member of the rights and human dignity of every member. Attitudes of condescension, hostility, role-stereotyping, and sexual innuendo weaken the health of the community. Furthermore, harassment based on sex or gender compromises the integrity of a liberal arts education because it makes the learning and working environment hostile, intimidating and offensive; it destroys opportunities for students to develop strong, positive self-concepts and the sense of self-confidence that is essential to living out the ideals of a liberal education. In addition, persons who harass others compromise their own integrity and credibility. Consequently, no form of harassment based on gender or sexual orientation can be tolerated on our campus.

9.3.5 Consensual Relationship Policy

For purposes of this Section, the terms "faculty" or "faculty member" mean all those who teach in the College and any other instructional personnel.

- A. Rationale

The University's educational mission is promoted by professionalism in faculty-student relationships. Professionalism is fostered by an atmosphere of mutual trust and respect. Actions of faculty members and students that harm this atmosphere undermine professionalism and hinder fulfillment of the University's educational mission. Trust and respect are diminished when those in a position of authority abuse, or appear to abuse, their power. Those who abuse or appear to abuse their power in such context violate their duty to the University community.

Faculty members exercise power over students, whether in giving them praise or criticism, evaluating them, making recommendations for their further studies or their future employment, or conferring any other benefits on them. Amorous relationships between faculty members and students are wrong when the faculty member has professional responsibility for the student. Such situations greatly increase the chances that the faculty member will abuse his or her power and sexually exploit the student. Voluntary consent by the student in such a relationship is suspect, given the fundamentally asymmetric nature of the relationship.

Moreover, other students and faculty may be affected by such unprofessional behavior because it places the faculty member in a position to favor or advance one student's interest at the expense of others and implicitly makes obtaining benefits contingent on amorous or sexual favors. Therefore, the University will view it as unethical if faculty members engage in amorous relations with students enrolled in their classes or subject to their supervision, even when both parties appear to have consented to the relationship.

B. Policy Statement

Accordingly, no faculty member shall have an amorous relationship (consensual or otherwise) with any student who is enrolled in the College or in a course, College or University, being taught by the faculty member, or with any student whose academic work (including work as a teaching assistant) is being supervised by the faculty member (other than the faculty member's spouse or domestic partner, as the latter is defined by the Office of Human Resources).

C. Added Caution

Amorous relationships between faculty members and students occurring outside the College or the instructional context of the larger University may still lead to difficulties. Even in situations external to the instructional context, relationships that the parties view as consensual may appear to others to be exploitative. In these and other circumstances that cannot be adequately anticipated, the faculty member may face serious conflicts of

interest and should be careful to distance himself or herself from any decisions that may reward or penalize the student involved. The faculty member who fails to withdraw from participation in activities or decisions that may reward or penalize the student with whom the faculty member has or has had an amorous relationship will be deemed to have violated his or her ethical obligation to the student, to other students, to colleagues, and to the University.

9.3.6 Civil Rights Complaints or Harassment

Hamline University will not tolerate harassment, discrimination, or retaliation based on race; color; gender/sex; ethnic background; national origin; sexual orientation; gender presentation; marital, domestic partner or parental status; status with regard to public assistance; disability; religion; age; or veteran status in its employment or educational opportunities.

All faculty are responsible for knowing and observing the campus discrimination and complaint policies relevant to this issue.

9.4 **Violations of Faculty Rights, Academic Freedom and Professional Ethics**

Disputes involving a charge that a faculty member's rights or academic freedom has been abrogated or that professional ethics have not been maintained are to be settled through the established grievance procedures (see the Handbook, Section 11). While affirming academic freedom as a right, Hamline University recognizes that, in some circumstances, the questions of academic freedom become enmeshed in questions of professional incompetence or irresponsibility. In the effort to distinguish between these sometimes confused issues, the guiding principle is that charges of professional incompetence or irresponsibility shall not be used to limit academic freedom, nor shall appeals to academic freedom be acceptable as a shield for professional incompetence or irresponsibility.

SECTION 10 RESEARCH AND CONFLICT-OF-INTEREST POLICIES

At one point in the development of the Handbook process, this section was part of a larger unit on Working Conditions. Much of the latter has been incorporated into the Handbook, Section 14, on Faculty Rights, Responsibilities, and Working Conditions, e.g., Copyright Law Compliance (14.7) and a very brief statement on Physical Working Conditions (14.6). At the same time, the statements on Reasonable Accommodation and on Smoking, Alcohol, and Drug Policy were placed in the Employee Benefits and Personnel Guidebook, §G. What was left is the material below on Research Practice and Conflict of Interest.

10.1 Research Policies and Procedures

The following policies are applicable to all areas of organized research activity. Research policies, however, are subject to all policy matters included in the University Statutes and to Board of Trustees policies.

10.1.1 Hazardous Waste Disposal

Employees who handle toxic or hazardous substances on behalf of the University are required to maintain, use, and dispose of such substances in accordance with applicable state, federal and local laws and regulations. Employees shall obtain assistance in ascertaining their obligations under these laws and regulations from the Biology and/or Chemistry laboratory coordinators or from the Director of Facility Operations and Environmental Services. Any employee who violates any such laws shall be deemed to have acted outside the scope of his/her authority unless the employee was acting on the advice of an appropriate officer of the University.

The University also has a policy on infectious-waste management available in the office of the Director of Facility Operations and Environmental Services and in the Office of Human Resources.

10.1.2 Human Subjects Research and Laboratory Animal Care

The University is responsible for safeguarding the rights and welfare of human subjects in any research, development, and related activity, and for assuring the proper care of laboratory animals used in research. In determining policy in these matters the University is guided by (1) the "Principles for Use of Human Subjects in Research" and "Principles for Use of Animals in Research" approved by the American Psychological Association, and (2) the Code of Federal Regulations (45 CFR 46). It is essential that researchers and their Department Chairs be fully familiar with these materials.

A. Membership of the Institutional Review Board

Membership on the IRB is voluntary and shall consist of at least six members, neither all male or female, and of sufficient diversity of racial and cultural background and sensitivity to community attitudes as to be

respected for their advice and counsel. Specifically, the IRB shall include:

1. one faculty person with research interests in the natural sciences;
2. one faculty person with research interests in the social sciences;
3. one faculty person with research interests in education;
4. one faculty person with research interests in non-scientific areas (e.g., the law, humanities, and/or the arts);
5. the chair of the psychology department (or a faculty person equally familiar with the ethical guidelines of the American Psychological Association), who will chair the committee;
6. a qualified person not affiliated with Hamline University nor related to anyone employed by Hamline University.

When research is reviewed involving a category of vulnerable subjects (e.g., prisoners, children, individuals institutionalized as mentally disabled), the IRB shall include at least one member who has as a primary concern the welfare of these subjects.

To avoid conflict of interest, an IRB member shall not participate in the IRB's review of any project in which he/she is involved as a researcher or subject.

B. IRB Duties and Targeted Forms of Research

The IRB shall meet as necessary (rarely more than once a year) to review and approve any human-subjects research proposals that are or will be supported by a federal or state department or agency or that may involve research specifically regulated by a federal/state department or agency (e.g., Investigational New Drug requirements of the Food and Drug Administration). The process of review and approval includes consideration of the methods to be used in collecting data, obtaining informed consent, and protecting the confidentiality of subjects.

Exempt from such review is “research conducted in established or commonly accepted educational settings, involving normal educational practices...” [45 CFR 46.101(b)]. Also exempt is research using educational tests, survey procedures, interview procedures or observations of public behavior, to the degree that such research protects the subjects' confidentiality. Further, certain kinds of research involving no more than minimal risk are eligible for "expedited review" (45 CFR 46.110), and are published as a Notice in the Federal Register.

C. Procedures for Review of Human-Subjects Research Proposals

1. Preliminary Determinations

Principal investigators and their department chairs are responsible for

making an initial determination as to whether intended research 1) involves human subjects, 2) is federally or state supported and/or regulated, or 3) is otherwise exempt from IRB review under the provisions of 45 CFR 46:101. If questions remain on any count, they may request clarification from the chair of the IRB. If the answer on the first two counts is no, no further action is necessary. If yes, either item B or C below shall apply.

2. Limited Proposal

If the research is federally/state supported or regulated, involves human subjects but at no potential risk, and is otherwise exempt from IRB review, a brief proposal shall be filed with the chair of IRB that will include a rationale for the exempt status and a statement describing the process for obtaining informed consent and for protecting the confidentiality of subjects.

3. Full Proposal for IRB Review

If it is clear that a federally/state supported or regulated research activity involves potential risk to human subjects, the principal investigator shall submit to the chair of the IRB a full proposal for the activity, including an abstract containing:

- a. Title of proposal
- b. Name of principal investigator and department chair with campus addresses/telephones
- c. Other participants (individuals/institutions/ agencies) and previous IRB approvals, if any
- d. Subjects to be involved and how they are to be obtained
- e. Project summary
- f. Nature of subjects' participation and assurance form signed by the principal investigator certifying that:
 - 1) the rights and welfare of subjects are adequately protected;
 - 2) risks or discomfort to subjects have been clearly indicated, and it has been shown how they are outweighed by potential benefits to the subject or by the importance of the knowledge to be gained;
 - 3) the informed consent of subjects will be obtained by appropriate methods that meet the requirements of the University's general assurance procedures;

4) any changes that may alter the investigative situation will be reported to the IRB.

g. Evidence of informed consent including:

1) description of information given to subjects involved in the project

2) description of risks and benefits to those subjects

3) description of the procedures to prevent violation of the subjects' right to privacy

4) provision for the subject to respond to the information

5) procedures for consent and contact with the principal investigator

4. Outcomes of IRB Review

After the IRB has reviewed and determined the disposition of the proposal, the chair of the IRB shall notify the principal investigator of the decision and place on file both the proposal and a signed statement of the outcome of the review.

D. IRB Review for Research Involving Laboratory Animals

Federal law does not require the same procedures for review of laboratory- animal research as for human-subjects research. However, in situations where questions arise concerning the welfare of animals used in research, the matter may be brought for review to the IRB, who shall develop procedures for such review as they see fit. However, it is recommended that in such cases, the IRB seek a veterinarian as the non-University-affiliated member.

10.2 Conflict of Interest in Government-Sponsored Research

The following situations describe conflict of interest scenarios where a faculty member undertaking or engaging in government-sponsored work has a 5% or more financial interest in, or a consulting arrangement with, a private business concern:

A. undertaking or orientation of the faculty member's University research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the University and to the sponsoring agency;

B. purchase of major equipment, instruments, materials, or other items for University research from the private firm in which the staff member has the interest without disclosure of such interest;

C. transmission to the private firm or other use for personal gain of government-sponsored work products, results, materials, records, or information that are not made generally available (this would not necessarily

preclude appropriate licensing arrangements for inventions, or consulting on the basis of government-sponsored research results where there is significant additional work by the staff member independent of his government-sponsored research);

- D. use for personal gain or other unauthorized use of privileged information acquired in connection with the faculty member's government-sponsored activities (the term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);
- E. negotiation or influence upon the negotiation of contracts relating to the faculty member's government-sponsored research between the University and private organizations with which he has consulting or other significant relationships;
- F. acceptance of gratuities or special favors from private organizations with which the University does or may conduct business in connection with a government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring government agency, under circumstances that might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties;
- G. consultation by a faculty member with one or more government contractors, or prospective contractors, in the same technical field as the faculty member's government-sponsored research project.

10.3 Conflicts of Interest within the University

Faculty members are required to conduct their activities on behalf of the University with good faith and loyalty. Employees may not compete with the University or convert business opportunities of the University to their personal gain or advantage or the gain or advantage of another. Employees may not convert confidential information or trade secrets of the University to their personal gain or advantage or the gain or advantage of others.

A faculty member shall disclose to his/her immediate supervisor in writing all facts and circumstances related to any University transactions, activities, contracts or other dealings in which they are involved or may become involved on behalf of the University that might directly or indirectly involve them in a duality or conflict of interest. A conflict or potential conflict of interest shall be deemed to exist at any time when an interest held by the employee may prevent her/him from exercising independent judgment in the best interests of the University. In addition, a duality or conflict of interest shall be deemed to exist whenever an employee is a director,

President, general manager, or similar executive officer or owns or controls directly or indirectly a 5% or more financial interest in any non-governmental entity participating in a transaction with the University.

The immediate supervisor to whom a report of a duality or conflict of interest or potential duality or conflict of interest is given shall directly report the matter to the jurisdictional vice President or Dean who shall have the authority to administer the interest of the University in the situation subject to the superintendence and preemption of the President and the Board of Trustees.