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Faculty Handbook  
of Providence College

TENTH EDITION—AUGUST 2009

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**FOREWORD**

The tenth edition of the *Faculty Handbook of Providence College* is the official statement of the policies of the College governing faculty status, rights and benefits, and professional responsibilities. Members of the faculty shall give particular attention to the sections dealing with the Mission Statement, the Statement of the Objectives of the College, and the Professional Responsibilities of the faculty, since the acceptance of these sections is included in the acceptance of contracts for teaching services issued by Providence College.

This edition supersedes all previous editions, supplements and all acts and amendments related thereto approved by the Board of Trustees of Providence College since May 24, 1971. This edition will be reviewed and amended as needed to reflect approved changes in content. General reviews will be scheduled in conjunction with the College's decennial self-study.

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# 1.0 The Mission, Objectives, and Governance Structure of Providence College

## 1.1 Mission Statement of Providence College

Providence College is a primarily undergraduate, liberal arts, Catholic institution of higher education. Committed to fostering academic excellence through the sciences and humanities, the College provides a variety of opportunities for intellectual, social, moral and spiritual growth in a supportive environment.

The College actively cultivates intellectual, spiritual, ethical and aesthetic values within the context of the Judaeo-Christian heritage. These values are nurtured by the unique tradition of the Dominican Order which emphasizes quality teaching and scholarship.

Providence College recognizes the unity of the human family that proceeds from its one Creator. It therefore encourages the deepest respect for the essential dignity, freedom and equality of every person and welcomes qualified women and men from all religious, racial and ethnic backgrounds. Providence College prepares its students to be responsible and productive citizens to serve in their own society and the greater world community.

## 1.2 The Statement of the Objectives of the College

The official Statement of the Objectives of Providence College, as approved by the Board of Trustees, develops the concept of the College's mission in greater detail. The educational objective of Providence College embraces the whole person: the intellectual, spiritual, moral, aesthetic, social and physical development of each student.

The liberal education which the College offers is characterized by academic excellence through quality teaching and scholarship; the integration of the study of the individuals, ideas and cultures that have shaped the contemporary world in a common liberal arts core curriculum; and rigorous attention to the humanities, the sciences, the social sciences, the visual and performing arts, and the exploration of new technologies.

Such a learning experience also promotes the development of skills that stand the test of time in any professional or civic setting: the ability to reason well, to examine sources critically, to reconcile opposing points of view, to seek and respect the truth, to appreciate beauty and human expression, and to write and speak effectively.

Members of the faculty are men and women who possess the highest academic and teaching credentials and who display an uncommon commitment to serve students, inside and outside the classroom. They will strive to instill in students a love of learning and a desire to expand their learning through such possibilities as independent research, study abroad, internships, and fine arts performances.

Providence College seeks to accomplish these goals within the atmosphere provided by the unique Catholic intellectual and spiritual tradition of the Dominican Order, which spans nearly eight centuries. Welcoming qualified men and women students of all religious and ethnic backgrounds, the College promotes the pursuit of sound scholarship and the principles of the Judeo-Christian heritage.

In this spirit, the College encourages students to explore the philosophical, theological, spiritual and moral implications of the academic issues they address and the social problems they ponder. Because the College recognizes that the unity of the human family stems from the Creator, it strives to fashion a community which both affirms the dignity, freedom and equality of each person and recognizes and celebrates human differences.

The College also urges the members of its community to engage in service projects or volunteer efforts designed to meet the needs of the less fortunate or disadvantaged who live beyond the confines of our campus. The College has facilitated these efforts by forging a number of partnerships with local churches, corporations, schools and community agencies.

The goal of a Providence College liberal education is to prepare its graduates to possess general and disciplinary knowledge, an understanding of the importance of community, a respect for the religious traditions they have inherited, and an awareness of the role of faith in the acquisition of knowledge, the growth of personal self-identity, and the development of ethics and values informed by the teachings of Catholicism and the Dominican Order.

### **1.3 The Corporation and the Board of Trustees**

Providence College's governance structure is a two-tier system comprised of the Corporation of Providence College ("Corporation") and the Board of Trustees of Providence College ("Board"). The Corporation acts under a charter approved by the General Assembly of the State of Rhode Island in 1917 and with by-laws amended June 30, 1992 (see *Policy and Informational Documents for the Faculty of Providence College*). The Corporation has complete legal responsibility for the College and has powers vested in it to control the ownership of assets, to authorize the execution of College contracts, to elect and remove Corporation and Board members with certain exceptions, to accept or reject the Board's recommendations for election to the College's Presidency, and to adopt and amend its by-laws. The Corporation consists of twelve members which include the Roman Catholic bishop of the Diocese of Providence, the president of the College, the provincial of the Province of St. Joseph, Order of Preachers, four Dominican Friars elected by the Corporation, and four lay persons elected by the Corporation.

The Board is charged with the governance of the affairs of the College not otherwise reserved to the Corporation. Board members serve a fiduciary role and number from 25 to 35, including the members of the Corporation and the treasurer of the College, who serve *ex officio*. There are currently twelve standing committees of the Board, of which one, the Academic Affairs Committee, has two faculty representatives elected by the Faculty Senate.

## 2.0 Organization of the Faculty

### 2.1 The Faculty

The faculty consists of the Ordinary Faculty, the Term Faculty, the emeriti, the president, the executive vice president, the provost, and the dean of undergraduate and graduate studies.

#### 2.1.1 Ordinary Faculty

**a. Academic Faculty.** Personnel who hold one of the following academic ranks: professor, associate professor, assistant professor, instructor.

**b. Professional Personnel.** Personnel who are employed in the library and in the Office of the Dean of Undergraduate and Graduate Studies whose academic titles have been explicitly recognized in their contracts with Providence College as being equivalent to one of the above academic ranks.

As it pertains to professional personnel, subsequent references in this Handbook to “the department chair” shall mean the director in a professional area, and subsequent references to “members of the department” shall mean professional personnel holding faculty status within that professional area.

**c. Status, Rank, and Departmental Appointments and/or Assignments.**

Members of the Ordinary Faculty enjoy the status, rights, benefits, and services and bear the professional responsibilities as set forth in this *Faculty Handbook* and the *Policy and Informational Documents for the Faculty of Providence College* (<http://www.providence.edu/Academic+Affairs/Faculty+Policies+and+Procedures.htm>).

The title given to members of the Ordinary Faculty will usually include the department to which the member is appointed, e.g., instructor of English or associate professor of history. However, appointment may be in more than one area, e.g., instructor of history and lecturer of philosophy. In instances where a faculty member is initially appointed in an area of professional responsibility not recognized by the College as having departmental status, the faculty member shall be assigned to a department by the provost after consultation with the faculty member, the department, and the Committee on Academic Rank and Tenure. For example, “assistant professor of humanities in the Department of Philosophy” indicates the rank “assistant professor,” appointment in humanities, and assignment to the Department of Philosophy. Any subsequent changes regarding departmental assignments shall be made by the provost, in consultation with the department, who shall report such changes to the Committee on Academic Rank and Tenure.

Status, rank, and departmental appointment(s) and/or assignment(s) shall be explicitly stated in contracts between the faculty member and Providence College.

#### 2.1.2 Term Faculty

Personnel holding one of the below-designated ranks are appointed for specific limited terms (one semester, one year, three years, etc.) to fill a specific need. The appointments of personnel engaged as Term Faculty shall be made by the provost.

Status, rank, departmental appointment(s) and/or assignment(s) and term of contract shall be specifically stated in the faculty member's contract. Contract renewal is not automatic. The tenure provisions applicable to members of the Ordinary Faculty are specifically excluded from this category. Written notification of contract renewal at the expiration of the term contract must come from the provost.

**a. Adjunct Faculty.** One who holds a full-time term appointment associated with an academic department in one of the following ranks: adjunct instructor, adjunct assistant professor, adjunct associate professor, and adjunct professor. The assignment of rank shall be made by the provost in consultation with the Committee on Academic Rank and Tenure. Adjunct faculty shall possess academic qualifications that would otherwise admit them to the corresponding rank in the Ordinary Faculty. No member of the Adjunct Faculty shall serve as such for more than four (4) years total service.

**b. Special Faculty.**

**1. Visiting Professor.** One who, while holding professorial rank at another institution, temporarily serves as a member of the faculty at Providence College.

**2. Research Associate.** One who serves the College primarily in the capacity of a researcher within an academic department of the College.

**3. Special Lecturer.** One who serves the College in an academic department on a part-time, course-by-course basis. Lecturers must possess the following requirements:

- (1). Possession of at least the Master's degree or its equivalent in the academic discipline in which the rank is to be held.
- (2). Evidence of those qualities of character and personality generally recognized in the academic profession as appropriate to a teacher, advisor, and director of students.

**2.1.3 Emeriti**

Those who are separated from the Ordinary Faculty by reason of retirement or resignation may be reappointed to the faculty as Emeriti.

The department chair shall present to the Committee on Academic Rank and Tenure the evidence that the individual

deserves consideration for Emeritus status. The normal criteria shall be:

- a. the rank of professor;
- b. at least 20 years of teaching or administration at the College;
- c. a majority vote of the tenured members of the professor's department; and
- d. distinguished achievement in teaching, scholarship, and service, as described in Section 3.4.2.

Those holding Emeritus status are not members of the Ordinary Faculty. They are, however, entitled to the use of such facilities and services as an email account, the library, dining halls, and to purchase a fitness center membership.

**2.2 Department Status of Faculty**

**2.2.1** The faculty are organized according to the department and program structure described in the *Undergraduate Catalog*. Faculty hold voting rights, where applicable, in the department(s) to which they are appointed or assigned.

**2.2.2** Faculty members who hold administrative positions, i.e., administrative officers, assistant administrative officers, and administrative staff, hold full status within their department and are entitled to vote in regard to the academic affairs of their department provided that they have taught at least three semester hours in that department in each of the four prior semesters (excluding the School of Continuing Education) or have held a research assignment for the same period and provided that they are otherwise qualified to vote.

**2.2.3** All faculty members who are on approved leave of absence or on approved sabbatical leave, but who do not hold such administrative positions, are entitled to vote and to be informed of the academic affairs of their department, provided they are otherwise qualified to vote and provided such leaves have not exceeded twenty-four (24) months at the time of the vote.

**2.3 The Faculty Senate**

The Faculty Senate of Providence College is an elective assembly representing the faculty in the process of determining academic policy. Under the authority granted to it by the Corporation of Providence College on November 9, 1967, this body has the authority to initiate, revise, and regulate

educational policies of the College. Its legislative decisions are, however, subject to approval by the president. The constitution and by-laws of the Faculty Senate are set forth in the *Policy and Informational Documents for the Faculty of Providence College*.

If the president exercises his option to disapprove or veto legislation recommended by the Senate, that body may, by a two-thirds vote, appeal to the Board of Trustees, whose decision is final.

## 2.4 Academic Governance

The College consists of academic departments, programs, and schools. A department is an academic organization which has its own Ordinary Faculty, has its own major, and offers courses of studies leading to that academic major. Departments are administered by department chairs; where schools are established, they are directed by academic deans who supervise department chairs and program directors in their schools and also advise the provost on policy questions. Deans of schools report directly to the provost.

### 2.4.1 Election of Chair

**a. Term and Election.** Each department has a chair who is elected by the duly qualified electors of the department for a term of three years. Elections shall be held at a department meeting by secret ballot. Absentee ballots are permitted in the election of the chair. The number of votes necessary for election shall be a majority of the eligible electors.

**b. Role of the Provost.** All such elections are subject to the approval of the provost, who makes the official appointment. The provost will respond to the department recommendation by February 1. In the event the provost does not accept the department's recommendation, the department may ask for a reconsideration of the provost's decision by written response no later than March 1. Upon departmental request for reconsideration, the provost will respond to and, if requested by the department, meet with the department no later than April 15. The provost, by virtue of his or her appointive power, will make an administrative appointment no later than June 1.

**c. Time of Election.** The election of the department chair shall be held prior to December 15 of the academic year preceding that in which the newly elected chair's term begins.

**d. Eligibility for Election.** To be eligible for election as department chair, candidates must be tenured members of the Ordinary Faculty, and must be appointed in or assigned to the department in which they seek election in at least the rank of assistant professor. Candidates must also have served a minimum of four years at Providence College unless otherwise authorized by the provost.

**e. Electors.** Electors for department chair are members of the Ordinary Faculty holding appointment in or assignment to the department, and who have completed at least two consecutive semesters on the Providence College faculty immediately prior to the election.

### 2.4.2 Powers and Duties of Department Chair

**a.** The chair is the administrator of the affairs of the department and presides at all department meetings. The chair shall have the authority to appoint a member of the department to serve whenever the chair is unable to attend to the duties of the chair. In the event of the absence of such an appointee, the senior member in terms of service at the College shall act as chair. If the chair is unable to fulfill the duties of the office for a period exceeding thirty (30) days, the school's dean, where appropriate, or the provost shall authorize the department to elect a chair, *pro tempore*. As administrator of the department, the chair reports regularly to the school's dean, where appropriate, or to the provost on the state of the department, its programs, and its financial requirements.

**b.** The chair is responsible for planning, in consultation with the members of the department, for a sufficient number of faculty so as to sustain the teaching, scholarship, and service missions of the department, and shall perform the tasks of Section 3.0 and Appendix A in order to meet this responsibility. Chairs within schools are responsible for planning with the dean, as well as members of their departments.

**c.** The chair presents the chair's and the department's evaluations of faculty for promotion and tenure to the provost as outlined in Appendix E. Within a school, the chair submits written recommendations, along with a written report, approved by eligible voting members of the department, of its deliberations and recommendations, to the dean, who then submits these recommendations to the provost,

along with a written personal recommendation. If the dean anticipates disagreement with the recommendation of either the department or a department chair, the dean consults formally with the chair and the eligible voting members of the department before submitting the written personal recommendation to the provost. The results of any such consultations are forwarded to the provost along with the recommendations.

d. The chair is responsible for orientation of new faculty and for providing assistance in the development of teaching skills and scholarship. The chair is responsible for ascertaining that the department's techniques and procedures for evaluating a faculty member's achievements in teaching, scholarship, and service relative to promotion and tenure are implemented in a timely manner as prescribed herein.

e. The chair is responsible for calling department meetings at least once each month during the academic year, September through May. Department meetings shall be conducted in accordance with *Robert's Rules of Order, Newly Revised*. All decisions pertaining to the academic policies of the department are to be arrived at by majority vote. The minutes shall record the vote and an account of the discussion leading to it, with due consideration being given to the recording of minority opinions. Absentee ballots/votes are not permitted except in the election of the chair. The approved minutes of department meetings are submitted in a timely manner by the chair to the president and the provost, and to the school's dean. A copy is retained in the department's records.

f. The chair, in consultation with the members of the department, prepares the proposed department budget requests for each fiscal year and presents them to the provost, who forwards it to the vice president for finance and business. Within a school, department budget requests are presented to the dean, who ensures coordination of department budgets.

g. The chair, in consultation with the members of the department, assigns the office and non-teaching laboratory space which has been allocated to the department. Within a school, the dean allocates space available to individual departments.

h. The chair is required to hold regular office hours

and at such times to be available both to the members of the department and to students. The chair also has the responsibility for setting up a program for guiding and advising the majors in the department and of assigning members of the department to aid in this work. A record of the academic status of all students who are majors and minors shall be kept by the chair, as well as a record of the graduate and professional progress of those who have graduated as majors of the department.

i. The chair, after consultation with the members of the department and (where applicable) with the school's dean, has the responsibility for assigning courses to the members of the department and submitting these to the Office of Enrollment Services (Academic Scheduling and Registration). When any member of the department is unable to meet classes, that faculty member is obligated to inform the chair, whose duty it is to provide an appropriate substitute or cancel the class meeting.

j. The chair approves requests for members of the department to attend professional meetings through the assistant vice president's office in accordance with the current faculty travel policy. The chair forwards approved travel requests to the Office of Academic Affairs.

k. Individual department members or a department chair may present appeals of department decisions according to the Grievance Procedures in Appendix G. When such appeals are heard, all concerned parties have the right to present arguments and evidence in support of their points of view.

l. The chair is responsible for assisting in the transition of the new chair between the time of appointment by the provost and July 1.

## 2.5 Academic Programs

A program is an academic organization which does not have department status, but which offers a major and/or minor or provides courses of studies in core requirements. A program director is appointed by the provost and is the administrator of the affairs of the program. Where appropriate, the responsibilities of a program director are the same as those of a department chair.

## 3.0 Faculty Appointments, Rank, and Tenure

### 3.1 Initial Appointment to the Ordinary Faculty: Hiring Policy

In its appointment of Ordinary Faculty, Providence College is committed to the maintenance of the highest standards in instruction, scholarship, and service to the College and its professional and social communities. Mindful of its heritage, the College, in all of its searches for full-time faculty, seeks men and women qualified in their academic disciplines, normally holding the terminal degree, who have demonstrated excellence, or who have the potential for excellence, in teaching and scholarship, and who support and foster the College's Mission and character as a Catholic and Dominican institution. To preserve that character and further its Mission, the College appoints to the Ordinary Faculty, without formal searches, Dominican Friars qualified in their academic disciplines. In recognition of their proven achievement at Providence College in teaching, scholarship, and service, adjunct faculty may also be appointed to the Ordinary Faculty without formal searches. (Appendix A describes the process governing the authorization and advertising of a position, the constitution of a search committee, the conduct of a search, the submission of recommendations, and the selection and appointment of an Ordinary Faculty member.)

### 3.2 Contract Policy

**3.2.1** All Ordinary and Term Faculty appointments are made by formal written contract and are valid only when they have been signed by the president and the faculty member. Four copies of all such contracts are executed: one for the faculty member, one for the president, one for the provost, and one for the executive director, human resources. All contracts and commitments, together with the conditions thereof, must be

in writing, signed, and in the possession of both the College and the faculty member before an appointment is considered to be completed. No contract term or commitment or condition that is not reduced to writing and signed by the president and the faculty member shall be authorized or valid.

Full-time members of the faculty shall not engage in work for compensation outside the College during the academic year without the specific written permission of the provost. All such work, if authorized, shall be of a professional character and shall not interfere with the faculty member's responsibilities at Providence College.

**3.2.2** The contract is bilateral, and obliges both the faculty member and the College. Changes in the terms of a faculty contract before its expiration must be by mutual agreement of the parties and in writing. A new contract stating the changed terms must be written and signed by the president and the faculty member before such changes become effective.

**3.2.3** All contracts of nontenured Ordinary Faculty and of Term Faculty are bilateral and cannot be terminated prior to the expiration date by either party except by mutual consent or, on the part of the College, for adequate cause as defined in Appendix C. The terms of all faculty contracts are to be according to the official standards in effect governing salary and status at the time the contract is drawn, except in those instances in which unusual circumstances, such as the special need for a faculty member with particularly rare qualifications, may prevail.

**3.2.4** Acceptance of a faculty contract includes acceptance by the faculty member of the Mission Statement, the Statement of Objectives of the College, and the Professional Responsibilities as set forth in this Handbook.

**3.2.5** Except for those members of the Ordinary Faculty who are in their first year of probationary appointment, the provost will notify probationary faculty of a decision not to renew their contract not later than January 31 prior to the date when the renewal should be effective. Members of the Ordinary Faculty who are in their first year of probationary appointment whose contract will not be renewed shall be notified not later than March 1 of their first academic year.

**3.2.6** Members of the Ordinary Faculty who do not plan to renew their contracts are required to notify the provost and the department chair of their intention not to renew no later than March 1 of their final academic year.

### **3.3 The Committee on Academic Rank and Tenure**

All new appointments, reappointments, promotions, decisions not to reappoint, the granting of tenure, and dismissals are made by the president, acting for the Board of Trustees and in accord with the norms and standards set forth in this *Faculty Handbook*.

In carrying out this aspect of his responsibility, the president is guided, but not bound, by the recommendations of the Committee on Academic Rank and Tenure.

Faculty status and related matters are the primary responsibility of the Committee on Academic Rank and Tenure as it functions in conjunction with the departments and programs.

Normally the president shall, on questions of faculty status, as in other areas where the faculty has primary responsibility, concur with the committee's recommendations, except for compelling reasons.

#### **3.3.1 Membership and Officers of the Committee**

The Committee on Academic Rank and Tenure is composed of the provost, *ex officio*, who serves as the chair, and eleven voting members, one of whom shall be the dean of undergraduate and graduate studies, *ex officio*. The chair is empowered to vote only in the case of a tie.

The provost is the normal channel through which the committee receives the matters which it is to consider, and communicates the committee's actions to the president and other appropriate individuals. He/ she shall have the

authority to convene all regular meetings, but he/she shall be required to convene the committee at the request of any three voting members. He/she shall have the authority to appoint a voting member of the committee to serve in his/her place whenever he/she is unable to attend to his/her duties as chair. In the event of the absence of such an appointee, the senior voting member in terms of service at the College shall act as chair.

The voting members of the committee shall elect a scribe from among the membership for an annual term, which may be renewed. No member shall be required to serve in this office more than one year.

The scribe is responsible for preparing the minutes of the meetings of the committee. On occasion the committee may decide that professional secretarial service is required, e.g., when such service is specifically mandated in this Handbook.

#### **3.3.2 Selection of the Voting Members**

**a. Eligibility.** All voting members of the committee, except the dean of undergraduate and graduate studies, must hold the rank of professor or associate professor, must be tenured, and must possess the earned doctorate or other terminally qualifying degree or title. Only the dean of undergraduate and graduate studies and members of the committee who hold the rank of professor may vote on any motion pertaining to a promotion to the rank of professor.

**b. Method of Selection.** Of the eleven (11) voting members of the committee, five (5) shall be appointed by the president, and five (5) shall be elected by the Faculty Senate. Of the presidential appointees, at least one, but no more than three, shall hold the rank of associate professor. Of the Senate electees, no more than one may hold the rank of associate professor. The major academic divisions of the faculty are represented in the voting membership as follows:

*Division A*, consisting of the departments of biology, chemistry and biochemistry, mathematics and computer science, and engineering-physics-systems, has one representative appointed by the president and one elected by the Faculty Senate.

*Division B*, consisting of the departments of economics, political science, psychology, and sociology, has one representative appointed by the president and one elected by the Faculty Senate.

Division C, consisting of the departments of English, foreign language studies, history, philosophy, public and community service studies, and theology, has two representatives appointed by the president and two elected by the Faculty Senate.

Division D, consisting of the departments of accountancy, art and art history, elementary/special education, finance, management, marketing, military science, music, secondary education, social work, theatre, dance and film, and professional personnel holding Ordinary Faculty status, has one representative appointed by the president and one elected by the Faculty Senate.

This arrangement of divisions shall be reviewed by the Faculty Senate from time to time and, subject to the approval of the president, shall be adjusted to reflect changes in population and status of departments and programs.

### 3.3.3 Terms of Voting Members

**a. Length of Terms.** The voting members of the committee, with the exception of the dean of undergraduate and graduate studies, serve for a term of three (3) years, beginning on July 1, and may be elected or appointed for a second full or partial term. They may not, however, serve more than two terms, full or partial, in succession. Members who have served two consecutive terms, full or partial, must have a break in service of at least twenty-four (24) months from the date of expiration of the term or the date of resignation from the term, whichever is earlier. Members seeking promotion during an academic year must resign the remainder of their term prior to February 1. Members who are unable to serve shall resign their seats for the remainder of their term.

**b. Unexpired Terms.** The president appoints, from the appropriate division, voting members to complete unexpired terms of members he originally appointed. The Faculty Senate elects, from the appropriate division, voting members to complete unexpired terms of members it originally elected.

### 3.3.4 Powers of the Committee

Except when it delegates its authority to the provost, the Committee on Academic Rank and Tenure shall recommend to the president a new appointment to the Ordinary Faculty if a candidate meets the requirements for the recommended rank. The committee has the power to make recommendations to the president regarding appointments to the faculty, decisions not to reappoint, promotions, the granting of tenure and dismissals. Its recommendations provide guidance to the president.

In the exercise of its powers, the committee is guided by the norms and standards set forth in this *Faculty Handbook*. These norms and standards may be reviewed and revisions of them may be proposed by the committee and/or the Faculty Senate, but all such revisions are subject to the approval of the president before they may take effect.

## 3.4 The Ranks of the Ordinary Faculty

### 3.4.1. Requirements of the Ranks

#### a. Instructor:

1. Possession of at least the Master's degree or its equivalent in the academic discipline in which the rank is held.
2. Potential for development in teaching, scholarship, and service as described below in Section 3.4.2.
3. Evidence of those qualities of character and personality generally recognized in the academic profession as appropriate to a teacher, advisor, and director of students.

#### b. Assistant Professor:

1. All that is required for the rank of instructor.
2. Possession of the earned doctorate. This requirement may, however, be waived for faculty members whose professional competence is shown to be in an area in which the normal terminal qualifying credentials or degree is not the doctorate. Such faculty members must demonstrate that they do possess whatever credentials or degree is normally regarded and generally recognized as certifying terminal

professional qualification in their areas of academic instruction.

3. Preliminary evidence of scholarship as described below in Section 3.4.2.

**c. Associate Professor:**

1. All that is required for the lower ranks.
2. A minimum of four (4) years' experience in the rank of assistant professor at the College or one of equivalent standing.
3. Evidence of achievement in teaching, scholarship, and service as described below in Section 3.4.2.

**d. Professor:**

1. All that is required for the lower ranks.
2. A minimum of five (5) years' experience in the rank of associate professor at the College or one of equivalent standing.
3. Evidence of distinguished achievement in teaching, scholarship, and service as described below in Section 3.4.2.

**3.4.2 Qualifications.** All evaluations involving rank are conducted relative to the following qualifications:

**a. Teaching.** Evidence of continuing effective performance of teaching responsibilities in and out of the classroom. The evidence may depend on the norms of a particular discipline and may include, but is not limited to, peer evaluation, student evaluations, and teaching portfolios. For non-teaching members of the Ordinary Faculty, consistent demonstration of outstanding performance of professional responsibilities must be documented.

**b. Scholarship.** Evidence of continuing scholarly development and performance of scholarly responsibilities. Scholarship may be reflected in a range of professional and intellectual activities depending on the faculty member's discipline and individual talents. These activities shall be considered collectively to be the scholarship product.

Concrete scholarly products that constitute evidence of scholarship:

1. demonstrate a high level of discipline-related expertise;
2. have been shared with the relevant scholarly community;
3. have undergone objective peer review, evidenced by juried evaluation of creative work, and/or refereed evaluation of publications and presentations; and
4. have evident significance or impact.

Scholarship includes, but is not limited to:

1. Creative contributions to the stock of human knowledge;
2. Critical analysis or artistic expression centering on the interpretation and/or integration of existing knowledge or the application of expertise in one or more disciplines;
3. Critical analysis centering on significant innovations in courses, curriculum and/or the pedagogical arts.

**c. Service.** Evidence of continuing performance of service responsibilities to their department and in one or more of the following:

1. Service to the College;
2. Service to an academic discipline;
3. Service to the community.

**3.4.3 Department Evaluations of Qualifications for Ranks**

It shall be the responsibility of each academic department to devise appropriate techniques by which it can evaluate the faculty member's achievement in teaching, scholarship, and service given above in Section 3.4.1. Plans for the fulfilling of this responsibility must be filed by each department with the Office of Academic Affairs, who presents them to the Committee on Academic Rank and Tenure for review. Following this review, the provost informs the department of the committee's response and requests any necessary action.

### 3.4.4 Exceptions to the Requirements and Qualifications for Promotion

Exceptions to the requirements and qualifications for the ranks may be considered upon request for promotion by the faculty member. Such exceptions shall be considered only for members of the Ordinary Faculty who lack the appropriate terminal degree, or whose responsibilities to the College, the profession, or the community have limited their achievements in scholarship. Promotion in such cases shall be granted only when the faculty member's contributions in teaching and service to the College, the profession, or the community are determined to be of extraordinarily high quality and value, and enhance the academic reputation of Providence College.

For promotion to the rank of assistant or associate professor, the faculty member shall have a minimum of five years' experience in the rank of instructor, or a minimum of ten years' experience in the rank of assistant professor, and must, in addition to evidence of accomplishment in teaching and service, demonstrate continuing professional development and sustained scholarship in his/her field or related interdisciplinary area.

For promotion to the rank of professor, the faculty member shall have a minimum of ten years' experience in the rank of associate professor, and shall demonstrate professional growth and scholarship in his/her field or related interdisciplinary area, and shall be recognized as a master in his/her area of expertise.

### 3.4.5 The Promotion Process

#### *a. The Evaluations by the Chair and the Department*

1. Prior to September 1 of each academic year, the provost shall review the status of all faculty members and determine which faculty members are eligible for promotion. Faculty members who have served three (3) full years as an assistant professor and faculty members who have served four (4) full years as an associate professor shall be informed of their eligibility for consideration of promotion in rank to take effect in the ensuing academic year in compliance with the provisions of Section 3.4.1. The provost shall inform all those initially found eligible of their right to request such promotion.

2. Prior to December 15, eligible faculty members may present their request and all materials relevant to their promotion to the respective department chair who shall submit such request and materials to the appropriate members of the department.

3. Prior to February 1, the promotion evaluations by the chair and the eligible members of the department shall be completed utilizing the evaluation scheme outlined in Appendix E and forwarded to the provost.

(a). The department chair shall prepare the chair's promotion evaluation as outlined in Appendix E.

(b). The department chair shall inform the eligible members of the department of the name of the faculty member requesting promotion.

(1). Faculty requesting promotion to the rank of assistant professor shall be evaluated by members of the department having at least two full years of service at Providence College and holding the ranks of professor, associate professor, and assistant professor. Absentee ballots are precluded.

(2). Faculty requesting promotion to the rank of associate professor shall be evaluated by the members of the department having at least two full years of service at Providence College and holding the ranks of professor and associate professor. Absentee ballots are precluded.

(3). Faculty requesting promotion to the rank of professor shall be evaluated by members of the department having at least two full years of service at Providence College and holding the rank of professor. Absentee ballots are precluded.

(c). At a meeting called by the chair of the eligible members of the department, the eligible members shall prepare the department's promotion evaluation as outlined in Appendix E.

**b. The Recommendation by the Committee on Academic Rank and Tenure**

1. The provost shall present the results of the promotion evaluations by the academic dean if applicable, the chair and the eligible members of the department, the submissions, if any, of the faculty member, and all pertinent information and credentials available in the faculty member's personnel file, maintained by the Office of Academic Affairs, to the Committee on Academic Rank and Tenure.

At the discretion of the Committee on Academic Rank and Tenure, any materials submitted after January 25 may be considered. The faculty member shall have the option of appearing before the Committee on Academic Rank and Tenure to comment in support of his/her promotion consideration. The Committee on Academic Rank and Tenure shall prepare its promotion evaluations as outlined in Appendix E.

2. The Committee on Academic Rank and Tenure shall recommend to the president that a candidate be promoted if a candidate meets each of the following minimum standards of achievement:

(a). A majority of Yes votes by the Committee on Academic Rank and Tenure in the area of teaching;

(b). A majority of Yes votes by the Committee on Academic Rank and Tenure in the area of scholarship;

(c). A majority of Yes votes by the Committee on Academic Rank and Tenure in the area of service.

3. The Committee on Academic Rank and Tenure shall recommend to the president the denial of promotion if a candidate fails to meet any of the preceding minimum standards of achievement.

**c. The Promotion Decision**

The president's decision on the request for promotion shall be communicated to the Committee on Academic Rank and Tenure and to the faculty

member not later than April 15 prior to the effective date of the promotion.

If the faculty member considers that denial of promotion involves a violation of academic freedom, or inadequate consideration by the Committee on Academic Rank and Tenure, then the faculty member may petition for a review according to the Grievance Procedures in Appendix G.

**3.5 Academic Tenure**

Providence College endorses the 1940 *Statement of Principles on Academic Freedom and Tenure* of the American Association of University Professors and the Association of American Colleges. (See *Policy and Informational Documents for the Faculty of Providence College*.)

**3.5.1 Tenured Status**

a. All members of the Ordinary Faculty holding the rank of assistant professor or higher who have completed a probationary period of seven years are given permanent or tenured status with the College unless notice is given prior to the conclusion of the sixth year that the seventh year constitutes a final appointment. Their services may not be terminated by the College except:

(1) for dismissal for adequate cause as defined in Appendix C;

(2) under extraordinary circumstances because of financial exigency;

(3) for discontinuance of a major, minor, program or a department not mandated by financial exigency.

b. Beginning with appointment to the Ordinary Faculty, the probationary period may not exceed seven years. Credit toward tenure shall be specified at the time of the initial appointment as specified in Appendix A. Time spent on leave of absence may count as probationary period service, except in those cases when the leave is of such a nature that the individual's development as a faculty member cannot be judged, or when the leave is for other than scholarly purposes. Mutual agreement as to whether or not the leave will count as probationary period service shall be in writing at the time the leave is granted.

Notice shall be given at least one year prior to the expiration of the probationary period if the faculty member is not to be continued in service at the College after the expiration of probationary period.

c. During the probationary period a faculty member has the same academic freedom that all the other members of the faculty have.

d. The termination for adequate cause of a tenured member of the Ordinary Faculty, or the dismissal for adequate cause as defined in Appendix C, of a member of the Ordinary Faculty previous to the expiration of probationary period, shall be according to the Grievance Procedures in Appendix G.

e. Tenured faculty who are dismissed for reasons not involving grave moral delinquency or financial exigency should receive their salaries for at least a year from the date of notification of dismissal, whether or not they are continued in their duties at the College.

### 3.5.2 Decisions Not to Reappoint During the Probationary Period

a. A recommendation not to reappoint, including a recommendation based on adequate cause, as defined in Appendix C, may be initiated by any one or more of the following: the president, the provost, the dean of undergraduate and graduate studies, the academic dean of the school (where applicable), the department chair in which the faculty member teaches. Any such recommendation shall be forwarded to the Office of Academic Affairs in writing and shall include, if applicable, the adequate cause(s) for the recommendation.

b. A recommendation not to reappoint shall be discussed informally by the provost with the faculty member not later than thirty (30) calendar days prior to the dates of notice of non-reappointment specified in the schedule in Section 3.5.2.c. The provost shall discuss the recommendation informally with the department chair and any other concerned parties deemed appropriate by the provost.

1. If the recommendation is contested by the faculty member, he/she shall be given the opportunity to submit material which he/she

believes will be helpful to the adequate consideration of his/her circumstances. These submissions shall be made to the Committee on Academic Rank and Tenure through the provost not later than fourteen (14) calendar days after the date of the informal discussion referred to above. These submissions and all other pertinent information bearing on the action shall be reviewed by the Committee on Academic Rank and Tenure not later than ten (10) calendar days after the receipt of these submissions by the provost. The committee shall arrive at its recommendation by a majority vote and it shall inform the president of its findings and recommendations, together with the recorded vote not later than seventy-two (72) hours after being convened by the chair of the Committee on Academic Rank and Tenure. In the event that the president is not available or able to act on the recommendation of the committee, the executive vice president shall receive the committee's findings and recommendations and act in the president's stead.

2. If the recommendation is not contested in writing by the faculty member to the provost within fourteen (14) calendar days following this informal discussion, the recommendation not to reappoint shall be forwarded to the president by the provost.

c. The decision of the president shall be stated in writing to the faculty member, and in the event of a decision not to reappoint, notice of nonreappointment shall be given according to the following schedule:

1. Not later than March 1 of the first academic year of service, if the appointment expired at the end of that year; or, if the appointment is for less than the full academic year, at least ninety (90) calendar days in advance of its termination.

2. Not later than December 15 of the second academic year of service if the appointment expires at the end of that year.

3. At least twelve months before the expiration of an appointment after two or more years at Providence College.

4. If the College fails to provide sufficient notice as prescribed by the schedule in 1. to 3. above, the faculty member shall be paid an amount equivalent to the salary the faculty member would have been entitled to receive for a period of time equivalent to the period of deficiency, based upon the academic year base salary. If the period of deficiency exceeds ninety (90) calendar days, the faculty member shall be paid an amount equivalent to one academic year's base salary based on the faculty member's current contract. This provision for terminal notice or pay need not apply in the event that the president determines that nonreappointment is justified on the basis of conduct involving grave moral delinquency.

d. In the event of a decision of the president not to reappoint, the faculty member, if he/she so requests, shall be advised orally by the provost of the reasons that contributed to the decision.

e. If the faculty member expresses a desire to petition for a review, or the faculty member makes the request for any other reason satisfactory to himself/herself alone, he/she shall have the reasons given in explanation of the nonreappointment confirmed in writing by the provost. However, the faculty member should consider whether it is to his/her advantage to be so informed of the reasons for nonreappointment, particularly in writing. In being so informed, the faculty member may be placed under obligation to divulge the reasons to the appointing body of another institution if it inquired. Similarly, a written record may become the basis for continuing responsibilities by the College to prospective appointing bodies.

f. If the faculty member considers that nonreappointment involves a violation of academic freedom, or inadequate consideration by the Committee on Academic Rank and Tenure, then the faculty member may petition for a review according to the Grievance Procedures in Appendix G.

### 3.5.3 Qualifications for Tenure

All evaluations involving tenure are conducted relative to the following qualifications.

a. **Teaching.** Evidence of continuing effective performance of teaching responsibilities in and out of the

classroom. This achievement may be documented in one or more ways depending on the norms of a particular discipline, which may include, but is not limited to, peer evaluation, student evaluations, and teaching portfolios. For non-teaching members of the Ordinary Faculty, consistent demonstration of outstanding performance of professional responsibilities must be documented.

b. **Scholarship.** Evidence of continuing scholarly development and performance of scholarly responsibilities. Scholarship may be reflected in a range of professional and intellectual activities depending on the faculty member's discipline and individual talents. These activities will be considered collectively to be the scholarship product.

Concrete scholarly products that constitute evidence of scholarship:

1. demonstrate a high level of discipline-related expertise;
2. have been shared with the relevant scholarly community;
3. have been presented for objective peer review, evidenced by juried evaluation of creative work, and/or refereed evaluation of publications and presentations; or
4. have evident significance or impact.

Scholarship includes, but is not limited to:

1. Creative contributions to the stock of human knowledge;
2. Critical analysis or artistic expression centering on the interpretation and/or integration of existing knowledge or the application of expertise in one or more disciplines;
3. Critical analysis centering on significant innovations in courses, curriculum and/or the pedagogical arts.

c. **Service.** Evidence of continuing performance of service responsibilities to the department and in one or more of the following areas:

1. Service to the College;
2. Service to an academic discipline;
3. Service to the community.

### 3.5.4 Department Evaluation of Qualifications for Tenure

It shall be the responsibility of each academic department to devise appropriate techniques by which they can evaluate the faculty member's achievement in teaching, scholarship, and service during the probationary period. Plans for the fulfilling of this responsibility must be filed by each department with the Office of Academic Affairs, who shall present them to the Committee on Academic Rank and Tenure for review. Following this review, the provost shall inform the department of the committee's response and shall request any necessary action.

### 3.5.5 The Tenure Process

#### *a. The Evaluations by the Chair and the Department*

1. Prior to June 1 of each academic year, the provost shall inform in writing all those probationary faculty members who are eligible for tenure consideration during the next academic year that a recommendation regarding their probationary status at the College is to be made by the Committee on Academic Rank and Tenure.
2. The faculty member shall have the opportunity to submit materials which he/she believes may be helpful to the tenure consideration. These materials shall be submitted not later than September 21 to the respective department chair and to the Committee on Academic Rank and Tenure through the provost.
3. Prior to September 1, the provost presents the names of all those members of the faculty who are in their sixth year or who are otherwise eligible for tenure consideration to the appropriate department chair. Between September 21 and October 15 the tenure evaluations by the chair and the tenured members of the department shall be completed utilizing the evaluation scheme outlined in Appendix E and forwarded to the provost.

(a). The department chair shall prepare the chair's tenure evaluation as outlined in Appendix E.

(b). The department chair shall inform the tenured members of the department of the name of the probationary faculty member and shall distribute to them any materials submitted by the faculty member. At a meeting called by the chair of the tenured members of the department, the tenured members of the department shall prepare their evaluation as outlined in Appendix E.

#### *b. The Recommendation by the Committee on Academic Rank and Tenure*

1. The provost shall present the results of the tenure evaluations by the chair and the tenured members of the department, the submissions, if any, of the faculty member, and all pertinent information and credentials available in the faculty member's personnel file, maintained by the Office of Academic Affairs, to the Committee on Academic Rank and Tenure. At the discretion of the Committee on Academic Rank and Tenure, any materials submitted after October 15 may be considered. The faculty member shall have the option of appearing before the Committee on Academic Rank and Tenure to comment in support of his/her tenure consideration. The Committee on Academic Rank and Tenure shall prepare its tenure evaluation as outlined in Appendix E.
2. The Committee on Academic Rank and Tenure shall recommend to the president the award of tenure if a candidate meets each of the following minimum standards of achievement:
  - (a). A majority of Yes votes by the Committee on Academic Rank and Tenure in the area of teaching;
  - (b). A majority of Yes votes by the Committee on Academic Rank and Tenure in the area of scholarship;
  - (c). A majority of Yes votes by the Committee on Academic Rank and Tenure in the area of service.

3. The Committee on Academic Rank and Tenure shall recommend to the president the denial of tenure if a candidate fails to meet any of the preceding minimum standards of achievement.

**c. *The Tenure Decision***

1. If the granting of tenure to a candidate could conflict with the existing or projected needs of the College or the concerned department, the provost shall convene a special committee composed of the provost, the dean of undergraduate and graduate studies, the chair of the concerned department, the president of the Faculty Senate, the chair of the Academic Affairs Committee of the Senate, and the vice president for finance and business. The special committee shall advise the president on the question of need for the tenured position.

2. If the president decides to award tenure, the president shall send a letter of intention stating that the College intends to offer the faculty member a contract for the subsequent year which, when completed, would result in the faculty member's being tenured.

3. If the president decides not to award tenure, the president shall send a letter to the faculty member stating that the College intends to offer the faculty member a contract for the subsequent year, which constitutes a final year of appointment. In the event that tenure is denied because of need, the president shall so inform the faculty member in writing. In the event that tenure is denied for reasons other than need, the candidate may request from the provost the reasons which led to the decision.

**d. *Petition for Review*** If the faculty member considers that denial of tenure involves a violation of academic freedom, or inadequate consideration by the Committee on Academic Rank and Tenure, then the faculty member may petition for a review according to the Grievance Procedures in Appendix G.

## 4.0 Faculty Rights and Responsibilities

### 4.1 Academic Freedom

Providence College endorses and supports the *1940 Statement of Principles on Academic Freedom and Tenure* of the American Association of University Professors and the Association of American Colleges. (See *Policy and Informational Documents for the Faculty of Providence College*.) Faculty members should understand the *1940 Statement* in the light of the statement in this Handbook that acceptance of the contract shall be deemed to include acceptance of the Mission Statement and the Statement of the Objectives of the College.

The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon an agreement in writing with the provost or a College-approved grant.

The faculty member is entitled to freedom in the classroom in discussing his/her subject, but he/she should be careful not to introduce into his/her teaching controversial matter which has no relation to his/her subject.

The College faculty member is a citizen, a member of a learned profession, and representative of an educational institution. When he/she speaks or writes as a citizen, he/she should be free from College censorship or discipline. Nevertheless, his/ her special position in the community imposes special obligations. As a person of learning and as an educational officer, he/she should remember that the public may judge his/ her profession and the College by his/her utterances and behavior. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show

respect for the opinions of others, and should make every effort to indicate that he/she is not a College spokesperson.

### 4.2 Professional Responsibilities

**4.2.1 General Responsibilities.** The items listed under this heading are specifically those generally described as “the responsibilities and obligations of faculty members at the College” on all contracts for teaching services. Acceptance of the teaching contract includes acceptance of these responsibilities.

**a. Basic Responsibilities of Faculty.** Contracts of employment for faculty require the fulfillment of basic responsibilities in accordance with standards for professional ethics and collegiality as described in Appendix H. These basic responsibilities include acceptance of the Mission Statement and the Statement of Objectives of the College, adherence to College policies, and performance of activities associated with teaching, scholarship, and service.

**b. Familiarity with Official Publications.** Faculty members are expected to be familiar with academic rules, regulations, and requirements as outlined in the publications of the College. These publications include, but are not limited to, the *Faculty Handbook*, the *Undergraduate Catalog*, and policies as promulgated by the College. Knowledge of the *Catalog* is critical in the formal process of academic advisement and is important in assisting and guiding students on a daily basis.

**c. Adherence to College Policies.** Faculty are expected to adhere to official College policies as published in this Faculty Handbook, the Undergraduate Catalog, or as otherwise promulgated by the College. The College assumes responsibility to make copies of this *Faculty Handbook* and the *Undergraduate Catalog* available to all faculty.

**d. Professional Conduct.**

1. *Professional Ethics.* The specific language of the American Association of University Professors “Statement on Professional Ethics” set forth in Appendix H is incorporated herein and compliance therewith is an obligation of all faculty in the performance of their duties and responsibilities for the College.

2. *Plagiarism.* The specific language of the American Association of University Professors “Statement on Plagiarism” set forth at Appendix P is incorporated herein and compliance therewith is an obligation of all faculty in the performance of their duties and responsibilities for the College.

**e. Faculty Attendance at Academic Functions.** Unless officially excused by the provost, all members of the Ordinary Faculty are expected to attend all formal academic exercises of the College in appropriate academic attire. Academic exercises include, but are not necessarily limited to, the Convocation at the beginning of Fall Semester and the Awards Ceremony and Commencement at the end of Spring Semester. Faculty are expected to attend and to participate in all general and department faculty meetings.

**f. Participation in Political Activity.**

Faculty members, in the exercise of their rights as citizens to participate in political affairs, are expected to respect their responsibility to dissociate such activity from any implication of endorsement by the College. Either as individuals or as groups, faculty members have the responsibility to see to it that any public statements which they make do not have the appearance or give the impression of being official College pronouncements.

**4.2.2 Teaching Responsibilities**

**a. Priority of Good Teaching.** Providence College is primarily an undergraduate institution in which the major responsibility of faculty members is to do effective teaching and to give priority at all times to the academic development of their students. Since teaching and productive scholarship are inter-related, it is expected that members of the faculty shall engage in scholarship with a view to improving their teaching as well as their professional competence.

**b. Faculty Office Hours.** Each full-time faculty member shall hold appropriate and regular office hours. Office hours shall be posted and shall be on file with the department office.

**c. Course Syllabi.** Each faculty member is responsible for designing and distributing to students and filing with the concerned department a clear and concise plan for learning.

**d. Primacy of Classroom Time.** Classes shall begin on time and continue until the designated ending time.

**e. Faculty Absences and Cancellation of Classes.** A faculty member who by reason of illness or because of an emergency cannot meet his/her classes should, if possible, immediately inform the chair of his/her department or the Office of the Dean of Undergraduate and Graduate Studies. In such cases it shall be the responsibility of the department chair to arrange for a substitute or in situations where this is not immediately possible to inform the students concerned. If for any reason the chair should not be available, this responsibility shall be assumed by the Office of Academic Affairs.

**f. Changes in Class Schedule.** No faculty member is permitted to change the class schedule assigned preceding the beginning of each semester. A request for such a schedule change may be submitted by the faculty member prior to the start of the new semester to the department chair, who may request such a change from the Office of Enrollment Services (Academic Scheduling and Registration).

**g. Care and Control of Classrooms/Technologies.** Assignment and changes of all classrooms are the responsibility of the Office of Enrollment Services (Academic Scheduling and Registration). All requests

for assignment and/or changes shall be submitted by the department chair to the Office of Enrollment Services (Academic Scheduling and Registration). No one is authorized to change the location of his/her class without prior approval of the Office of Enrollment Services (Academic Scheduling and Registration). Classrooms are assigned to each faculty member according to the size of the class and the nature of the course. Faculty members shall report any physical damage found in classrooms and report any missing furniture. Requests for podia, chairs, etc. should be channeled through the Office of Enrollment Services (Academic Scheduling and Registration). Smoking is not permitted in any classroom. No faculty member may install hooks, screens, bulletin boards, etc., or store materials in any classroom.

**h. Administrative Regulations and Instructional Procedures.** Members of the faculty are expected to observe the following:

1. *Class Rosters.* Faculty members shall not allow unauthorized students in their classrooms. For each section of an assigned course, the faculty member has access to a class roster of all students registered for that section. A student shall not be permitted to attend the course if his/her name does not appear on the roster unless he/she can present official documentation for enrollment in the course. Each student is provided with a course schedule. All questions concerning the accuracy of a student's registration should be directed to the Office of Enrollment Services (Academic Scheduling and Registration).

2. *Final Examinations.* All faculty members are expected to familiarize themselves with the final examination schedule printed in the College Course Registration Booklet published for each semester. Faculty are to conduct final examinations at the time and in the place designated. No change may be made with respect to the hour or location of these examinations without the written permission of the dean of undergraduate and graduate studies and authorization from the Office of Enrollment Services (Academic Scheduling and Registration). In no circumstances shall a final examination be rescheduled to the College-designated reading period. Individual students may be given permission by the course instructor to take the semester examination at

another time because of illness or some other sufficiently serious reason. Copies of final examinations must be submitted to the Copy Center for duplication at least one week before the time when the examination is scheduled to be given.

3. *Other Examinations and Quizzes.*

Students have both a right and an obligation to make up an examination if the examination is announced at least one week before its administration and the examination is considered as taking up fifty (50) minutes of class time under the following conditions: if the student presents serious and verifiable reason for not taking the examination, either prior to the examination or within three calendar days after its administration. In cases of announced quizzes of less than full class time, a student has the right and the obligation to consult with his/her instructor either prior to the quiz or within three (3) calendar days after its administration regarding a possible make-up. Whether or not such a make-up is to be given is determined by the instructor, but the student retains the right to appeal to the department chair, whose decision is final.

4. *Grading System.* All faculty members are expected to follow College regulations concerning the proper determination and recording of grades. These regulations are outlined in the *Undergraduate Catalog*.

5. *Grade Reports.* Faculty are to submit semester grades to the Office of Enrollment Services (Academic Records) no later than three (3) business days after the date of each Final Examination. Mid-semester grades are to be submitted to the Office of Enrollment Services (Academic Records) no later than one week following the mid-semester date as published in the official academic calendar.

**i. Academic Advisement.** Before the beginning of classes, all incoming students are assigned an advisor by the department chair or the associate dean of undergraduate studies/director of academic advising. Major functions of academic advising include:

1. Providing students with information on policies, procedures, and programs;

2. Assisting students in choosing educational and career objectives commensurate with their interests and abilities;
3. Assisting students in exploring the possible short and long-range consequences of their choices;
4. Making students aware of the wide range of services and educational opportunities that may be pertinent to their educational objectives;
5. Helping with the selection of courses to meet curricular and graduation requirements during pre-registration for subsequent semesters; and
6. Checking the academic progress of students.

**j. Restriction on Private Tutoring.** Members of the faculty shall not do any private tutoring of Providence College students for compensation.

#### 4.2.3 Scholarly Responsibilities

**a. Teaching and Scholarship.** Since teaching and productive scholarship are interrelated, it is expected that members of the faculty shall engage in scholarship with a view to improving their teaching as well as their professional competence.

**b. Professional Growth and Development.** Membership and active participation in learned societies, representing the College in professional meetings, and actively seeking for research opportunities are responsibilities of all faculty members that relate directly to their professional growth and effectiveness in working with their students. Professional growth may include the following:

1. Service on state, regional, and national committees or panels;
2. Attendance at updating workshops, seminars, short courses and institutes;
3. State, regional, or national offices or other positions in learned or professional societies;
4. Travel related to one's field of teaching, research, or creative activity;

5. Performance or exhibitions before local, state, regional, or national groups;
6. Publications, presentations or papers delivered before learned societies or conventions.

**c. Grant Applications.** The Office of Academic Affairs is prepared to assist faculty members in the preparation of grant applications. All faculty are strongly urged to investigate opportunities for grant support.

All grant proposals must be cleared through the provost before being submitted to potential granting agencies. The College's Grant Administration Policy is set forth in the *Policy and Informational Documents for the Faculty of Providence College*.

The College provides modest institutional support grants for faculty research projects. These are administered through the Committee on Aid to Faculty Research. Application information is distributed to the faculty annually by the chair of that committee.

**d. Academic Growth and Development.**

A faculty member shall not enroll in a formal program of study leading to a certificate, diploma, or degree during the academic year without prior written consent of the provost.

#### 4.2.4 Service Responsibilities

**a. Service to the College.** Service to the College may include but is not limited to performance of administrative tasks, committee assignments, participation in College activities, advising student organizations, performance of public relations functions, and/or student recruitment.

**b. Committee Assignments.** Members of the Ordinary Faculty are expected to contribute to the academic improvement of the College by serving on those committees which relate to their department or to the general growth and development of the College in the pursuit of their stated objectives.

**c. Other Assignments.** Members of the Ordinary Faculty may be assigned additional responsibilities within their department, and/or within the College. These may include, but are not limited to student advisement, advisor to student organizations, special projects, or special committees.

*d. Advisors for Student Activities.* Faculty members who accept the responsibility of acting as advisors to student clubs and activities are performing a service of great importance to the College. They should recognize that such student clubs and activities are experiences in which undergraduates should gain a sense of responsibility. Consequently, wherever possible, faculty advisors should allow the students to carry the routine responsibilities for the operation of the club or activity. It is most important, however, for faculty advisors to keep a periodic check on the fiscal affairs of student clubs or activities with which they are associated. Faculty advisors are required to make a report to the vice president for student affairs administration each semester concerning the club's program and fiscal status. Members of the faculty who are working with student editors on publications must be aware of the need to exercise a prudent supervision over editorial policies which may affect the public image of the College. When faculty advisors are associated with students in planning social activities, they should make certain the students are fully aware of the College regulations governing such events and take all reasonable measures to arrange for the students concerned to see that these regulations are respected. Faculty advisors must not authorize student organizations to engage in activities that are contrary to law or College policy nor are faculty advisors authorized to participate in any such activities. The general responsibilities of faculty advisors for student activities should:

1. provide continuity for the organization from year to year;
2. help the officers plan and manage a program that will achieve the objectives of the club or organization;
3. attend the regular meetings of their group;
4. endeavor to have the organization contribute to the spirit and objectives of the College;
5. be present during the entire length of any function sponsored by the group, unless suitable faculty substitutes have been arranged;
6. encourage individual student development within the framework of the club or organization;

7. channel all publicity releases through the Office of Media and Community Relations.

### 4.3 Faculty Workload

4.3.1 The teaching load of full-time faculty is usually nine (9), but sometimes twelve (12) credit hours per semester. The total number of credit hours assigned per semester shall not exceed twelve (12) and the total number of separate course preparations per academic year shall not exceed six (6).

4.3.2 The assignment of teaching workloads shall be made by the chair in consultation with the faculty member.

4.3.3 It is the chair's responsibility to assure that equitable workload assignments are made within the department with due regard to the guidelines contained herein.

4.3.4 The following factors shall usually be considered in the determination of individual teaching loads:

a. Difficulty of courses, with particular attention to:

1. the number of students;
2. the number of course preparations in the academic year;
3. the introduction of a new course or the substantial revision of an existing course;
4. the number and nature of required assignments and examinations.

b. Modes of instruction which do not fit the usual lecture recitation pattern, e.g. laboratory instruction, studio courses, research and independent studies courses.

c. Evidence of active involvement in scholarly projects and research beyond that normally expected of keeping current in one's field, e.g. activity ultimately directed toward scholarly papers and presentations.

d. Evidence of significant college service or community service provided it is consistent with the faculty person's academic discipline and is offered without compensation.

e. Particular needs of the department that may arise from time to time such as the absence of faculty for illness.

4.3.5 A department chair shall be entitled to a teaching load reduction equivalent to at least three (3) credit hours per academic semester but not reduced to a total less than three (3) credit hours per academic semester.

4.3.6 For purposes of teaching load assignments, two sections of Development of Western Civilization (excluding those offered through the Liberal Arts Honors Program) shall be considered the equivalent of six credit hours.

4.3.7 While affirming the right of the department chair to assign a twelve credit hour load to a faculty member when circumstances warrant such an assignment, the College also recognizes that a nine credit hour teaching load is both a more typical and more desirable teaching assignment. While the maximum number of separate course preparations shall not exceed six per academic year, the desirable number of separate course preparations is five per academic year. The school dean has the authority to assure that the teaching workloads within each department are in conformity with the guidelines contained herein, to require justification for any unusual deviations, to have final authority, in consultation with the provost, in assigning teaching workloads in cases that are in dispute, and to determine, in consultation with affected faculty and appropriate chairs and program directors, workload allocations for team-taught courses.

## 5.0 Faculty Benefits

### 5.1 Faculty Scholarships

Annual scholarships covering tuition and special course fees shall be awarded to such sons, daughters, and spouses of tenured faculty members as fulfill the admissions requirements of Providence College. The annual renewal of such scholarships shall be contingent upon the recipient's continuing in good academic standing and the faculty member's continued employment at the College.

Sons, daughters, and spouses of deceased tenured faculty members who were members of the faculty at the time of death are entitled to receive this benefit.

Sons, daughters, and spouses of retired tenured faculty members who were members of the faculty at the time of their retirement are entitled to receive this benefit.

Sons, daughters, and spouses of disabled tenured faculty members who were members of the faculty at the time of their disability are entitled to receive this benefit.

The aforementioned qualified faculty member may apply for a tuition exchange scholarship benefit to the extent available through the Tuition Exchange Committee.

It should be noted that laboratory and studio fees are waived for those receiving faculty scholarships in the regular undergraduate programs of the College. All other fees and charges must, however, be paid in full.

All members of the Ordinary Faculty, the retired tenured faculty, and the disabled tenured faculty are entitled to a full remission of tuition for courses in the regular undergraduate program; they may also be granted full remission of tuition for courses in graduate programs and the School of Continuing Education, including the Summer Session. Immediate members of their families are eligible for full remission of tuition for courses in the School of Continuing Education including the Summer Session, and half remission of tuition for courses in graduate programs.

### 5.2 Leaves Of Absence

Applications for leaves of absence or release time, which may be granted to members of the faculty for a variety of professional or personal reasons, shall be reviewed by the department chair, who shall forward such applications to the school dean. School deans, upon endorsing the request, will forward it to the provost who, in consultation with the school dean, will approve or deny the request. The provost may authorize replacement faculty in consultation with the school dean.

The College policies regarding extended sick leave, maternity leave, and child care leave for full-time faculty members, including coverage under the long-term disability insurance plan, are set forth in the *Policy and Informational Documents for the Faculty of Providence College*.

### 5.3 Sabbatical Leaves

**5.3.1** Tenured members of the Ordinary Faculty are entitled to a sabbatical leave after intervals of no less than six years of

service as members of the Ordinary Faculty. Sabbatical leave for the purpose of professional development is considered an integral part of the College's fulfillment of its educational mission.

**5.3.2** Normally, eligible faculty should submit applications for a sabbatical leave, including a proposed plan for activities leading to professional development, to their department chair. Professional development includes any activity whose purpose is to enhance the teaching and scholarship mission of the College and of the individual faculty member.

Applications shall be submitted prior to December 15 of the year preceding the academic year for which such leave is requested. The department chair, after reviewing the application and accompanying proposal, shall within two weeks forward these documents to the school dean, who shall make a decision on this matter within two weeks.

**5.3.3** Should a request for a sabbatical leave be denied:

**a.** The faculty member shall receive written explanation, based on professional development considerations.

**b.** If the faculty member is dissatisfied with the explanation he/she may appeal the decision as a minor grievance according to Appendix G.

**5.3.4** Should the request for a sabbatical leave be approved:

**a.** The sabbatical leave shall be granted for two semesters of an academic year at half salary, or for one academic semester at full salary. Full fringe benefits shall be continued during the sabbatical leave. Full fringe benefits means that all benefits shall be provided and will be calculated on the basis of the salary the faculty member would have received had he or she not been on sabbatical leave. Further, the faculty member is entitled to all rights and privileges stated in the *Faculty Handbook* for faculty members not on sabbatical leave, including the eligibility to request funds for professional travel and research funds from the Committee on Aid to Faculty Research.

**b.** A replacement to cover the faculty member's teaching duties shall be provided where necessary. This decision shall be made by the provost after consultation with the school dean and department chair.

**c.** Prior to the mid-semester date after the completion of the leave, the faculty member shall submit a full written report to his/her department chair and to the school dean, if applicable.

**5.3.5** An administrator who is a member of the Ordinary Faculty whose contract contains no specific provisions for teaching may be granted a sabbatical leave under administrative procedures.

**5.3.6** An administrator who is a member of the Ordinary Faculty and whose contract contains specific provisions for teaching may be granted a sabbatical under the usual procedures with the recommendation of his/her supervisor. Such a sabbatical shall be pro-rated for the amount of time specified in the contract for teaching (or any other position that carries faculty status).

**5.3.7** A faculty member who holds a part-time administrative position, e.g., Dean, department chair, program director, would be considered on the same basis as a full-time teaching faculty member.

#### **5.4 Faculty Exchange Policy**

**5.4.1** A tenured member of the Ordinary Faculty may, where appropriate, initiate a process leading to a faculty exchange with another accredited institution of higher education of equivalent standing. Such exchanges which offer an option for faculty development shall normally be granted for one contractual year. In all cases such exchanges shall be a direct one-for-one exchange where the incoming faculty member shall assume the duties of the Providence College faculty member as prescribed by the department chair. All incoming exchange appointments must be recommended by the Committee on Academic Rank and Tenure. It is expected that the incoming faculty member shall possess rank and experience equivalent to the outgoing faculty member and that the incoming faculty member shall accept the educational objectives of the College and the responsibilities and obligations of faculty members at the College as set forth in the *Faculty Handbook*. All contractual compensation (salaries, fringe benefits) remain the responsibility of the home institution, though the salary payment must be processed through the appropriate financial office of the host institution under the guidelines, both administrative and legal, of the host institution.

**5.4.2** Eligible faculty shall submit an application for a faculty exchange, including proposed assignments for the incoming faculty member, as well as the professional development

benefits expected to accrue to the submitting faculty member, to the department chair. Applications shall be submitted prior to December 15 of the year preceding the academic year for which such leave is requested. The department chair, after reviewing the application and the accompanying proposal, shall within ten (10) business days forward these documents to the provost, who shall make a decision on this matter within ten (10) business days.

**5.4.3** A request for faculty exchange may be denied by the department chair or the provost on the basis of professional development considerations, needs of the department or needs of the College as determined by the department chair or the provost.

**5.4.4** The specifics of any agreement between the exchange institutions shall be made according to a format approved by Providence College and the letter of agreement shall be prepared by and executed through the Office of Academic Affairs.

**5.4.5** The College may participate in exchange program consortia that are consistent with the guidelines and intent of this policy.

## **5.5 Professional Travel Expenses**

**5.5.1** The College's policy on travel set forth in the *Policy and Informational Documents for the Faculty of Providence College* is applicable for all travel using College funds. The College aids faculty members in meeting travel expenses involved in attendance at professional meetings under certain conditions. It also reimburses them for expenditures resulting from travel on official business of the College.

Faculty members may use grant or contract funds for travel in accordance with the provisions of the grant or contract and of the corresponding budget.

**5.5.2** All requests for travel expenses to be paid by the College must be authorized in advance of travel and shall proceed through these channels: the department chair, the dean of the school (where applicable), the Office of Academic Affairs. If approved, a written authorization shall be sent to the faculty member and the department chair within ten (10) business days.

**5.5.3** The following regulations shall be observed:

- a. Authorized travel expenses shall normally be charged to the department travel budget, unless they

relate to items covered under the budget of another administrative unit, e.g., the Office of Academic Affairs.

- b. Normally no faculty member should receive full travel expenses more than twice in any fiscal year.

- c. Full travel expenses shall be authorized within annual budget guidelines:

1. For a faculty member who presents an invited and/or contributed paper based on scholarship performed at Providence College;
2. For the department chair who attends professional meetings for purposes of recruitment of faculty or for faculty members designated by the department chair for that purpose;
3. For the department chair and one faculty member designated by the department as its official representatives at a major professional meeting.

- d. Partial expenses may, in certain approved instances, be paid for faculty members who may wish to accompany the official representative of the department at a professional meeting. Such considerations as distance and the number of faculty involved shall affect the determination of policy in such cases.

## **5.6 Professional Development Fund**

Every member of the Ordinary Faculty will be eligible for reimbursement of up to established limits of personal professional discretionary development expenditures for items that have not been previously reimbursed by the College.

## **5.7 Financial Aid**

Faculty members are entitled to make use of a small loan fund provided by the College to aid them in meeting emergency situations. Those with three or more years of service may, under certain circumstances, apply for an appropriate recommendation from the College to support their applications to banks for home mortgages.

The College is prepared to aid faculty members in bearing the costs of scholarly publications from which no remuneration is to be received by the author. Such aid will not be given if the publication is intended for sale. The costs of preparing and/or

publishing doctoral dissertations will not be supported by the College in the case of salaried faculty members engaged in completing their graduate work.

All applications for the types of aid described above must be approved by the provost and, if approved, shall be sent to the vice president for finance and business and the treasurer for approval and processing.

### **5.8 Insurance Plans**

Descriptive overviews of the health, dental, life insurance, flexible benefits, and long-term disability plans of the College are provided in the *Policy and Informational Documents for the Faculty of Providence College*.

### **5.9 Retirement and Savings Plans**

Descriptive overviews of the retirement and tax-deferred savings plans of the College are provided in the *Policy and Informational Documents for the Faculty of Providence College*.

### **5.10 Social Security**

Faculty members employed by the College participate in the Federal Social Security program under the usual conditions prescribed by law.

### **5.11 Athletic Facilities and Tickets**

All members of the faculty hold membership in the Providence College Athletic Association and are entitled to the appropriate identification. They are welcome to purchase a fitness center membership.

Tickets to home basketball and hockey games are made available to the faculty on preferential dates, which are published by the assistant vice president for athletics.

### **5.12 Vacations**

Professional personnel who are members of the Ordinary Faculty are entitled to twenty-two (22) business days vacation with salary during the contract year.

# Appendix A

## RECRUITMENT AND APPOINTMENT OF ORDINARY FACULTY

### INTRODUCTION

Few decisions can influence the future of the College more importantly than the appointment of highly qualified faculty committed to the mission of the institution. The search for and appointment of such faculty is an undertaking of considerable consequence. Searches must be conducted with thorough attention to approved procedures to ensure the growth and development of the College as an educational institution with its own distinctive heritage and mission. What follows is an outline of the process that all academic departments are expected to observe in their efforts to recruit and appoint new faculty.

#### 1. Authorization

The department chair, or program director shall present to the school dean (or designee) the department's or program's request for a faculty position. This request will ordinarily precede, or occur simultaneously with, the department's or program's budget request for the following fiscal year. If the school dean approves the request, he/she will forward the request to the provost for review and approval. If the position is authorized, the provost shall send formal notification to the department chair or program director.

#### 2. Advertisement of Position

When the position is authorized, the department or program shall submit for the provost's approval a proposed advertisement for placement in appropriate professional journals and electronic list serves.

#### 3. Search Committee

The chair, or program director, after consultation with the school dean, shall constitute a search committee, which shall consist of the chair, or other tenured faculty member acting as chair of the search, and at least three other members of the department. As appropriate, the committee may also include a member of another department in the College. For interdisciplinary appointments, the search committee shall also include the program director and one other faculty member to be named by the program director.

#### 4. Search

An external search shall be deemed unnecessary if either of the following conditions applies: (1) a Dominican Friar, qualified for the position, is available or (2) appropriate approvals are secured for the appointment of an adjunct faculty member to a tenure-track position. If neither of these conditions applies, then an external search shall be initiated.

At the time the department submits its position description, the provost shall take appropriate steps to determine if there is any member of the Dominican community who should be considered for appointment. Those steps will include the forwarding of the position description to the regent of studies and, as deadlines permit, the inclusion of the description in the *Provincial News Digest*. If the president and the provost, in consultation with the department chair, and where appropriate, a program director, determine that a Dominican Friar, qualified in the discipline, is available, the name, professional credentials and proposed rank of the Dominican Friar shall be submitted by the provost to the Committee on Rank and Tenure.

If an external search is to be initiated, the department shall submit to the school dean a search plan that includes the following:

1. the deadlines that will be established for the various stages of the search process, e.g., the submission of applications and nominations, initial review of candidates, the designation of candidates for further review, the procedures to be employed in the checking of references, and the timing of on-campus interviews;
2. the actions that the department will take to assure the application of an adequate number of qualified individuals;
3. the actions the department will take to assure the application of qualified candidates who have attended Catholic schools, colleges, and/or universities and who support and foster the College's Mission and character as a Catholic and Dominican institution (e.g., letters to appropriate departments in Catholic colleges and universities);
4. the candidates' submission of responses to the College's Mission prior to the departmental search committee's determination of candidates to be invited to campus;
5. the submission of the materials for 3-5 candidates recommended for on-campus interviews to the provost's office prior to the extension of invitations to visit the College;
6. on-campus interviews with the department chair, the search committee, the provost, and the president or his designee; and
7. the candidates' demonstration of effectiveness in teaching.

#### 5. Recommendation

The search committee's recommendations concerning the finalists shall be presented to the Ordinary Faculty of the department. Ordinarily, the names of at least three candidates recommended by the department for appointment shall be submitted by the department chair to the school dean. The school dean will forward hiring recommendations to the provost (as chair of the Committee on Academic Rank and Tenure). Candidates found unacceptable to the school dean will still be forwarded to the provost.

The provost shall submit to the president a personal recommendation on the three candidates. The president shall then determine which of the recommended candidates shall be presented to the Committee on Academic Rank and Tenure for its review and recommendation.

#### 6. Final Selection

The president, after receiving the recommendations of the department, the provost, and the Committee on Academic Rank and Tenure, shall inform the provost of his decision.

The provost shall inform the department chair and the Committee on Rank and Tenure of the president's decision. If the president decides to appoint, the provost shall negotiate an initial contract with the selected candidate. All such initial appointments shall be for one academic year or less. All subsequent appointments shall be for one year commencing July 1, ending June 30.

Time spent teaching in a full-time capacity in the rank of instructor or above at another accredited baccalaureate or graduate institution of higher learning may be but need not be credited in the calculation of the length of the probationary period, with one year of credit for every year so spent. Providence College reserves the right in such cases to require the faculty member to serve a probationary period of four years at the College, even though this may extend the faculty member's total probationary period in the academic profession beyond the normal maximum of seven years. All commitments regarding credit toward the term of the probationary period must be given to the new faculty member in writing at the time of the initial appointment or no later than March 1 in the initial year of service at Providence College if additional time is required to verify or evaluate whether or what credit is appropriate for the faculty member's teaching experience elsewhere.

Any change in the number of years of credit toward tenure shall be made as a written bilateral agreement prior to March 1 in the initial year of service at Providence College.

# Appendix C

## ADEQUATE CAUSE FOR DISMISSAL

Tenure is designed to protect the academic freedom of individual faculty members who have established themselves during probationary periods. Tenured faculty are expected to continue to strive for excellence in all of their responsibilities in instruction, scholarly development, and service to the College, the community, and the academic profession.

Adequate cause for dismissal of tenured faculty members will be related directly and substantially to their fitness in their professional capacities as teachers and shall include, but should not be limited to, serious matters such as:

- moral turpitude;
- serious misrepresentation of facts by anyone accepting a faculty contract, e.g., years of teaching experience or degrees held;
- professional incompetence, which includes failure to continue the normal and expected satisfactory teaching, scholarly development, and other services within the areas of presumed professional competence;
- serious violation of the code of conduct set forth in the *Handbook* (4.2.1.d) and Appendix H;
- serious violation of provisions of contract;
- serious violation of the civil rights of a student or another Providence College employee or an applicant for the status of student or employee;
- actions that evoke condemnation by the wider academic community;
- failure to heed repeated formal written warnings to correct deficiencies;
- unprofessional conduct that seriously affects the functioning of the department or the College in an adverse fashion;
- conviction or entry of plea of guilty or no contest to a felony, or a conviction or entry of plea of guilty or no contest to a misdemeanor which carries a jail term of not less than one year and/or which renders the faculty member unfit to perform the duties and responsibilities of a faculty member at Providence College.

# Appendix D

## DISCONTINUANCE OR REDUCTION OF AN ACADEMIC PROGRAM

### 1. Definition

The term 'program' used herein includes departments and programs, the academic organizations described in Section 2.4 and Section 2.5, respectively, of the *Faculty Handbook*.

### 2. Programs Identified for Discontinuance or Reduction

*a.* The program(s) identified by the provost for program discontinuance or program reduction shall be judged reasonable in light of the criteria employed in program review and, as appropriate, (1) the nature of the budgetary problem, (2) the need for a change in educational priorities, and (3) the overall contribution to the Mission of the College.

*b.* The procedures set forth herein shall be followed in effecting program discontinuance or program reduction. If the discontinuance or reduction of a program entails removal of faculty members having tenure or the removal of non-tenured faculty members prior to the end of the specified term of appointment, the procedures in Section 6 shall also be followed.

*c.* If a program is identified for discontinuance or reduction by the provost, a Program Discontinuance or Reduction Appeals Committee shall be appointed.

### 3. Program Discontinuance or Reduction Appeals Committee

The Administration and the Faculty Senate shall each appoint one (1) member from the Faculty Senate Committee on Departmental Affairs, one (1) member from the Faculty Senate Committee on Faculty Status, and one (1) member of the Ordinary Faculty at-large; the president of the Student

Congress or his or her designee shall also be appointed. No faculty member or student from the program being reviewed for possible discontinuance or reduction shall serve on the Program Discontinuance or Reduction Appeals Committee. The Program Discontinuance or Reduction Appeals Committee shall elect its own chair.

### 4. Procedures for Program Discontinuance or Reduction

*a.* If a decision is made to discontinue or reduce a program, the provost shall immediately notify:

(1) each faculty member within the program individually in writing, and the students within the program by public notification that a review is under way. The notification shall inform the faculty and students within the identified program of their right to present their views to the Program Discontinuance or Reduction Appeals Committee; and

(2) the president of the Faculty Senate, who shall announce at the next meeting of the Senate, that a review of the identified program is under way and to whom views on the identified program can be sent.

*b.* The provost shall provide the Program Discontinuance or Reduction Appeals Committee and the president of the Faculty Senate a written statement of the reasons for proposing discontinuance or reduction of the program.

c. In its review of the program, the Program Discontinuance or Reduction Appeals Committee shall consider the reasons for the proposed program discontinuance or reduction and assess the impact, including the financial and educational consequences, of any such discontinuance or reduction on:

(1) the integrity and the excellence of the academic enterprise of the College as a whole;

(2) the academic priorities of the College as a whole in light of its goals and objectives, and the priority of the department or program when viewed in the light of the College's goals and objectives;

(3) Faculty members who are teaching in the department or program; and

(4) students who are pursuing a major, minor, or certificate in the department or program.

d. The Program Discontinuance Appeals Committee shall seek advice from related departments and programs on the short-term and long-term impact on the College without the department or program whose discontinuance or reduction is under discussion, and advice from other departments or programs that might be affected by the discontinuance or reduction of the concerned department or program.

e. The Program Discontinuance or Reduction Appeals Committee is encouraged to hold open meetings and is expected to keep the faculty of the program being reviewed informed of its progress and meeting schedules. The Program Discontinuance or Reduction Appeals Committee shall complete its review and present its written report to the provost within 90 calendar days (excluding the period from June 1 through September 1) from its appointment.

f. The Program Discontinuance or Reduction Appeals Committee shall keep a complete record of its proceedings and all data or documents gathered or presented to it.

g. When the Program Discontinuance or Reduction Appeals Committee has gathered the information it believes sufficient to formulate a recommendation to the provost and the Faculty Senate, it shall announce and hold an open meeting to gather final comments

and responses. Prior to the open meeting the Program Discontinuance or Reduction Appeals Committee shall prepare a brief written summary of its procedures, findings, and preliminary conclusions. At least 48 hours before its open meeting, this summary also shall be made available to each faculty member in the program being reviewed. Copies of the summary also shall be available for all who attend the meeting. Views on this summary shall be solicited at that open meeting.

h. The Program Discontinuance or Reduction Appeals Committee shall present to the provost and the president of the Faculty Senate a written report containing a description of its procedures and the information collected, a summary of the comments at the open meeting, a statement of impacts, and its findings and recommendations on the program discontinuance or reduction.

i. Within 30 calendar days after the Program Discontinuance or Reduction Appeals Committee's report is presented to the provost and the president of the Faculty Senate, the provost shall consider the report of the Program Discontinuance or Reduction Appeals Committee and shall announce his or her final recommendation to the Faculty Senate. If the provost rejects any recommendation made by the Program Discontinuance or Reduction Appeals Committee, the provost shall explain the nature and extent of his or her disagreement, if any, with each ground advanced by the Program Discontinuance or Reduction Appeals Committee to justify its recommendations.

## 5. Final Recommendations and Action by the Faculty Senate and the Provost

a. A decision to recommend discontinuance or reduction of a program will be made by a majority vote of the Faculty Senate, following its review of the recommendation of the Program Discontinuance or Reduction Appeals Committee. The recommendation of the Faculty Senate shall be sent to the president.

b. A decision to recommend discontinuance or reduction of a program by the provost shall be sent to the president.

c. The decision of the president shall be final.

## 6. Removal of Faculty for Reasons of Program Discontinuance or Reduction

*a.* The removal of tenured faculty, or the removal of nontenured faculty prior to the end of a specified term of appointment, may be effected upon program discontinuance or reduction within the College. Such removals shall be termed “removal for reasons of program discontinuance or reduction.”

*b.* Removal because of program discontinuance or reduction may be effected only in conformance with procedures and provisions set forth in this Appendix.

### *c. Notification*

(1). Each faculty member proposed by the provost for removal because of program discontinuance or reduction shall be so notified in writing by the provost immediately upon the appointment of the Program Discontinuance or Reduction Appeals Committee required under Section 2.c.

(2). When the decision to discontinue or reduce a program becomes final pursuant to Section 5.c., and the subsequent decision is made as to which faculty members notified under Section 6.c.1. are to be removed, each faculty member to be removed because of program discontinuance or reduction shall be notified in writing by the president and the effective date of such removal shall be stated. No faculty member shall be removed because of program discontinuance or reduction prior to the end of the academic year following the one in which a final decision is transmitted to the faculty member.

*d.* When a decision has been made to discontinue or reduce a program, and it involves the termination of tenured faculty members, the College shall make every reasonable effort to place the faculty member in other College employment for which the faculty member is qualified with comparable terms of employment. In addition to the required notification period, special assignments with pay may be provided to enable the faculty member to prepare for changed employment responsibilities. Retirement incentive or the reduction of the faculty member’s responsibilities from full time to part time should be considered as possibilities.

*e.* The provisions that should be followed to safeguard the rights of the faculty member are as follows:

(1). When termination of appointment is based on discontinuance or reduction of program, a faculty member shall have a right of appeal as provided below in 6.f.;

(2). If it becomes necessary to reduce the number of faculty members rather than discontinue a program, the termination of tenured faculty members in the program shall be considered only after all adjunct faculty, followed by probationary faculty members, have been terminated. The termination of tenured faculty members shall be selective on the basis of the academic needs of the College, and need not be determined by seniority, except that serious consideration should be given to the seniority status of the faculty member.

*f. Appeal.* Each faculty member notified of removal for reasons of program discontinuance or reduction may appeal the removal utilizing the procedures of Appendix G. Affected faculty members may raise issues related to the criteria and the procedures used in, or applied to, the removal. Such appeals shall be made utilizing the procedures of Appendix G, Section 12.a. Appeals alleging a violation of academic freedom or discrimination shall be made utilizing the procedures of Appendix G.7.a.

*g. Reinstatement.* In the event that the academic program which has been discontinued or reduced is reinstated within a period of three years, new positions shall not be filled through normal appointment search procedures until removed faculty members qualified for the position have been offered reappointment on terms at least comparable to terms which applied to the position previously held. Such removed faculty members shall be given 30 calendar days to accept or decline an offer of reinstatement.

# Appendix E

## EVALUATION OF FACULTY FOR PROMOTION AND TENURE

1. Members of the Ordinary Faculty who are candidates for promotion and/or tenure shall be evaluated in the areas of teaching, scholarship, and service vis-à-vis the qualifications and professional responsibilities specified and defined in this *Handbook*.

2. Evaluations of a candidate for promotion and/or tenure shall be conducted by the candidate's department chair, eligible members of the candidate's department, and eligible members of the Committee on Academic Rank and Tenure.

In matters involving faculty holding rank within a program, an evaluation shall also be conducted by the program director. Each evaluator shall assess the candidate in each of the areas of teaching, scholarship, and service.

Each evaluator shall indicate, Yes or No, whether or not the candidate has met the minimum standard(s) of achievement in each area. Invalid marks shall be treated as blanks.

a. The department chair—and academic dean or program director, where appropriate—shall evaluate a candidate in each of the areas of teaching, scholarship, and service.

These assessments shall be indicated on a standard form provided by the Office of Academic Affairs.

b. Eligible members of the candidate's department, excluding the department chair and program director, shall evaluate a candidate in the areas of teaching, scholarship, and service. Absentee ballots are precluded.

These assessments shall be conducted by secret ballot on a standard form provided by the Office of Academic Affairs.

c. The department chair shall report the results of the department's evaluation, as well as the chair's evaluation, to the provost on report forms provided by that office. Where appropriate, the program director shall report the results of the program director's evaluation to the provost on report forms provided by that office.

d. Eligible members of the Committee on Academic Rank and Tenure shall evaluate a candidate in each of the areas of teaching, scholarship, and service as described in 3.5.3 for tenure, and 3.4.2 for promotion.

These assessments shall be conducted through a discussion of the documented evidence presented and/or definitively solicited by the candidate, the department, the Office of the Dean of Undergraduate and Graduate Studies, and the Office of Academic Affairs. Any exceptions to this procedure for assessment shall be in accordance with the standards set forth by the American Association of University Professors and the *Policy and Informational Documents for the Faculty of Providence College*. A final assessment shall be conducted by secret ballot on a standard form provided by the Office of Academic Affairs. Absentee ballots are precluded.

e. Following the transmittal by the president of his decision regarding the promotion and/or tenure of the concerned faculty member, the concerned faculty

member may request in writing from the provost the numerical results of the evaluations in each of the areas of teaching, scholarship, and service submitted by the department chair—and where appropriate the academic dean or program director—the eligible members of the candidate's department, and the eligible members of the Committee on Academic Rank and Tenure. These numerical results shall be forwarded to the faculty member by the provost within 10 business days of date of the receipt of the request for the results.

# Appendix G

## FACULTY GRIEVANCE PROCEDURES

### 1. Purpose

The purpose of these procedures is to promote prompt and efficient investigation and resolution of grievances. Whenever possible, all problems should be resolved before filing a grievance. Open communication between administrators and faculty is encouraged so that resort to formal procedures will not be necessary.

### 2. Definitions

**a. Grievance.** The term “grievance” shall mean an allegation that the grievant’s employment rights and entitlements have been adversely affected due to a violation, misapplication or misinterpretation of College policies, regulations, or procedures.

1. The term “major grievance” shall mean

(a) a grievance involving academic freedom, and/or inadequate consideration by the Committee on Academic Rank and Tenure resulting in nonreappointment, denial of promotion or tenure, dismissal for adequate cause, or

(b) a grievance involving termination because of a financial exigency or termination because of discontinuance of a program or department not mandated by financial exigency. (See Appendix D.)

2. The term “minor grievance” shall mean a grievance on any other matter.

**b. Business Day.** The term “business day” shall mean a day when the business offices of the College are open.

### 3. Other Procedures

In recognition of the fact that the commitment of the College and the grievant to this process is necessary in order to achieve its designed objectives, if the grievant seeks resolution of the subject matter of a pending grievance in any forum or by any set of procedures other than those established here, whether administrative or judicial, the College shall be under no obligation to proceed any further with the grievance procedures below.

### 4. Confidentiality

Grievance proceedings shall be maintained as confidential subject only to the need of the grievant and the College to comply with the processes specified herein and to present evidence concerning the grievance in other administrative or judicial proceedings. All hearings shall be held in closed sessions.

### 5. Time Limitations

When any action which is required to be taken within a specified time period is not taken in time, the following shall apply:

**a.** If the grievant fails to act within the time limits provided herein, the College shall have no responsibility to process the grievance and it shall be deemed waived and dismissed.

b. If the College fails to act within the time limits provided herein, the grievant may proceed to the next review level and any subsequently issued decision on the matter at the by-passed level shall be moot. Nothing in a. or b. above precludes extension of time limits herein contained when mutually agreed upon by the grievant and the administration.

## 6. Procedure for Handling a Minor Grievance

a. The grievant must present the grievance in writing to the department chair. If the grievance involves the department chair, then the grievant must present the grievance in writing to the provost. The grievance must be filed within twenty-five (25) business days of the date on which the grievant knew or should have known of the action or condition which occasioned the grievance. The department chair or the provost, upon receiving written notice of the grievance, shall investigate the matter as deemed appropriate and respond to the grievant in writing within twenty (20) business days of the date the grievance was filed with the department chair or the provost.

b. If the grievance is not resolved (6.a.) and the grievant desires to pursue the matter, the grievant shall file it in writing with the provost within ten (10) business days of the part 6.a. decision. The written submission shall state the specific policy, regulation, or procedure alleged to have been misinterpreted, misapplied, or violated, and the relief requested. The provost (if he or she is not the subject of the grievance) shall investigate the grievance as deemed appropriate and respond to the grievant in writing to the grievant's residential address within ten (10) business days from the date the written grievance was filed. The provost (if he or she is not the subject of the grievance) may investigate the grievance on his/her own, may assign a designee to investigate and to make a recommendation and/or may request an investigation and recommendation from the Appeals Committee of the Faculty Senate. In the event the provost is the subject of the grievance, the president of the College shall appoint a member of the administration to investigate and hear the grievance in accordance with procedures established in this appendix. At any time prior to the issuance of a decision, the provost shall hold an informal conference with the grievant in an attempt to effect a settlement. If no settlement is reached at that meeting, the provost shall proceed to issue a decision.

The provost shall, within thirty (30) business days after the grievance was filed with his/ her office, notify the grievant of his/her decision. The decision shall include a statement of the findings and conclusions supporting the decision and shall be in writing to the grievant's residential address. The decision of the provost shall be final.

## 7. Procedure for Handling a Major Grievance

### *a. Grievances Concerning Alleged Violation of Academic Freedom*

If a faculty member alleges that a violation of academic freedom significantly contributed to a decision not to reappoint him/her, or a decision not to tenure him/her, this allegation shall be given a preliminary consideration by the Appeals Committee of the Faculty Senate. The three primary functions of the Appeals Committee of the Faculty Senate in reviewing the petition are the following:

1. To determine whether or not the matter on its face involves a violation of academic freedom that significantly contributed to the decision not to reappoint, or the decision not to tenure. Should the Appeals Committee so determine, the committee shall recommend that the matter shall be treated as tantamount to a dismissal of a tenured faculty member, and the faculty member shall have the opportunity to avail himself/herself of a hearing before a hearing board as described in Section 8, below. In such cases, the burden of proof rests with the faculty member.
2. To seek to settle the matter by informal methods.
3. To decide whether or not the evidence submitted in support of the petition warrants a recommendation that the matter be treated as a dismissal and subject to the formal procedures in Section 9, below.

### *b. Grievances Concerning Alleged Inadequate Consideration by the Department or the Committee on Academic Rank and Tenure*

If a faculty member on probationary or other non-tenured appointment alleges that inadequate consideration by the department or the Committee on Academic Rank and Tenure contributed to

a decision not to tenure him/her, this allegation shall be given a preliminary grievance hearing by the Appeals Committee of the Faculty Senate. The grievance petition shall set forth, in detail, the nature of the grievance and it shall contain any factual or other data which the grievant deems pertinent to the case. The Appeals Committee will have the right to decide whether or not the facts merit a detailed investigation. Submission of the petition does not automatically entail further investigation or detailed consideration. The primary functions of the Appeals Committee of the Faculty Senate in reviewing the petition shall be the following:

1. To determine whether the recommendation of the department or the Committee on Academic Rank and Tenure was the result of inadequate consideration in terms of the relevant norms and standards of the College, with the understanding that the Appeals Committee shall not substitute its judgment on the merits of the case for that of the Committee on Academic Rank and Tenure.
2. To request reconsideration by the department or the Committee on Academic Rank and Tenure when the Appeals Committee concludes that adequate consideration was not given to the faculty member's qualifications. In such instances, the Appeals Committee shall indicate the respects in which it believes the consideration may have been inadequate.
3. To provide copies of its report and recommendations to the faculty member, the department, the Committee on Academic Rank and Tenure, and the president of the College. After receiving the report and recommendations of the Appeals Committee, the department may reconsider its previous assessment of the candidate or decide to take no action. The department shall forward its decision to the Committee on Academic Rank and Tenure. After receiving the report and recommendations of the Appeals Committee and the decision of the department, the Committee on Academic Rank and Tenure may reconsider its previous assessment of the candidate. The Committee on Academic Rank and Tenure shall report its final recommendations to the president, whose decision after receiving the reports and recommendations of both the Appeals Committee of

the Senate, and the Committee on Academic Rank and Tenure, shall be final.

*c. Grievances Concerning Dismissal for Adequate Cause*

(1). A dismissal for adequate cause as defined in Appendix C shall be related directly and substantially to the fitness of the faculty member in his/her professional capacity. Dismissal will not be used to restrain the faculty member in his/her exercise of academic freedom or other rights afforded by federal, state, and local law.

(2). In cases of a recommendation of the Committee on Academic Rank and Tenure and/or a decision of the president to dismiss a tenured faculty member with continuous tenure or with a term or probationary appointment before the end of a specified period, said dismissal will be preceded by:

(a). An informal meeting and discussion between the faculty member, the provost, and the department chair. At this meeting, a written statement of charges, framed with reasonable particularity by the provost, will be presented to the faculty member.

(b). If no mutually acceptable agreement can be reached, the Committee on Academic Rank and Tenure shall hold a preliminary administrative hearing within the ten (10) business days following the informal hearing. The faculty member and all concerned parties may present such evidence and witnesses as they may deem necessary and appropriate. At the conclusion of this hearing, the Committee on Academic Rank and Tenure will present its findings to the faculty member, the department chair, and the president.

(c). If these findings are not acceptable to the faculty member, the faculty member concerned shall have the right to be heard by a hearing board.

***d. Grievances Concerning Issues of Criteria and Procedures for Removal of Faculty by Reason of Financial Exigency***

If a faculty member removed by reason of financial exigency alleges misapplication of the established criteria and procedures used in, and applied to, the removal, this allegation shall be given a preliminary grievance hearing by the Appeals Committee of the Faculty Senate. The grievance petition shall set forth in detail the nature of the grievance and it shall contain any factual or other data which the grievant deems pertinent to the case. The Appeals Committee will have the right to decide whether or not the facts merit a detailed investigation. Submission of the petition does not automatically entail further investigation or detailed consideration. The primary functions of the Appeals Committee of the Faculty Senate in reviewing the petition shall be the following:

- (1). To determine whether the removal was the consequence of the adequate and appropriate application of the criteria and procedures for removal, with the understanding that the Appeals Committee shall not substitute its judgment on the merits of the case for that of the president.
- (2). To request reconsideration by the president when the Appeals Committee believes evidence exists that the criteria and procedures may have been misapplied in the removal. In such instances, the Appeals Committee shall indicate the respects in which it believes the criteria and procedures may have been misapplied.
- (3). To provide copies of its report and recommendations to the faculty member, the Committee on Academic Rank and Tenure, and the president of the College, whose decision, after receiving the report of the Appeals Committee of the Senate and any recommendation from the Committee on Academic Rank and Tenure, shall be final. This decision shall be presented in writing by the president to the faculty member.

***e. Grievances Concerning Issues of Criteria and Procedures for Removal of Faculty by Reasons of Program Discontinuance***

If a faculty member removed by reasons of program discontinuance, as described in Appendix D, alleges misapplication of the established criteria and proce-

dures used in, and applied to, the removal, this allegation shall be given a preliminary grievance hearing by the Appeals Committee of the Faculty Senate. The grievance petition shall set forth in detail the nature of the grievance and it shall contain any factual or other data which the grievant deems pertinent to the case. The Appeals Committee will have the right to decide whether or not the facts merit a detailed investigation. Submission of the petition does not automatically entail further investigation or detailed consideration. The primary functions of the Appeals Committee of the Faculty Senate in reviewing the petition shall be the following:

- (1). To determine whether the removal was the consequence of the adequate and appropriate application of the criteria and procedures for removal, with the understanding that the Appeals Committee shall not substitute its judgment on the merits of the case for that of the president.
- (2). To request reconsideration by the president when the Appeals Committee believes evidence exists that the criteria and procedures may have been misapplied in the removal. In such instances, the Appeals Committee shall indicate the respects in which it believes the criteria and procedures may have been misapplied.
- (3). To provide copies of its report and recommendations to the faculty member, the Committee on Academic Rank and Tenure, and the president of the College, whose decision, after receiving the report of the Appeals Committee of the Senate and any recommendation from the Committee on Academic Rank and Tenure, shall be final. This decision shall be presented in writing by the president to the faculty member.

## **8. Hearing Board**

**a.** A faculty hearing board shall be established by request of the concerned faculty member to the president of the Faculty Senate and shall be established no later than 21 days after receipt of the request by the president of the Faculty Senate.

**b.** The hearing board shall be elected by the enfranchised members of the Ordinary Faculty at large, the election to be conducted under the auspices of the Faculty Senate. The ballot shall contain the names

of the tenured members of the Ordinary Faculty in the ranks of assistant professor, associate professor, and professor who have been associated with Providence College for at least two consecutive years immediately prior to the election. The seven faculty members having the highest number of votes in descending order shall be declared elected. Ties shall be broken by considering the faculty member with the longer service at the College to be in the higher position. A member will remove himself/herself from the case, either at the request of a party or on his/her own initiative, if he/ she deems himself/herself disqualified because of bias or interest. Each party (the faculty member and the president or his delegate) shall have a maximum of two challenges without stated cause. Vacancies on the hearing board resulting from disqualification, challenge without stated cause, illness, resignation, or other reason, shall be filled by selection of the faculty member(s) receiving the next higher number of votes, until the board is fully constituted.

c. The chairperson of the hearing board shall be chosen from and by its members by a majority vote.

### 9. The Dismissal Hearing

The hearing board shall conduct the hearing according to the following:

a. Service of hearing notice with specific charges shall be made in writing at least twenty (20) business days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing but denies the charges against him/her or asserts that the charges do not support a finding of adequate cause, the hearing board will evaluate all available evidence and rest its recommendation upon the evidence in the record.

b. The hearing board, in consultation with the president and the faculty member, shall exercise its judgment as to whether the hearing should be public or private.

c. During the proceedings, the faculty member shall be permitted to have an academic advisor and may engage counsel of his/her own choice at his/her own expense.

d. A stenographic record of the hearing or hearings shall be taken and a transcript made available to the faculty member upon request without cost.

e. The burden of proof that adequate cause exists rests with the College, and shall be satisfied by a preponderance of evidence in the record considered as a whole.

f. The hearing board shall grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.

g. The faculty member shall be afforded an opportunity to obtain witnesses and documentary evidence. Witness requests and requests for documentary evidence may be made by either party up to fifteen (15) business days prior to the hearing. The parties will have three (3) business days to object to the appearance of any witness and any documentary production request. All requests and objections must be submitted in writing to the chair of the hearing board with adequate reasons for the requests. The chair shall rule on the requests and objections thereto at least three (3) days prior to the hearing date. Requests that are granted will be honored within three (3) days of the chair's ruling.

h. The faculty member and the Administration, represented by the provost, shall have the right to confront and cross-examine all witnesses.

i. In the hearing of charges of incompetence, the testimony may include that of qualified faculty members from this or other institutions of higher education familiar with the qualifications and performance of the grievant.

j. The hearing board shall not be bound by strict rules of legal evidence, and may admit any evidence which it deems to be of probative value in determining the issues involved.

k. The findings of fact and the decision shall be based solely on the hearing record.

l. Except for such simple announcements as may be required concerning the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers shall be avoided insofar as possible until the proceedings have been completed, including consid-

eration by the Board of Trustees. The president and the faculty member shall be notified of the decision in writing and shall be given a copy of the transcript of the hearing.

*m.* If the hearing board concludes that adequate cause for dismissal has not been established by the evidence in the record, it shall so report to the president. If the president rejects the report, he shall state his reasons for doing so, in writing, to the hearing board and to the faculty member, and provide an opportunity for response before transmitting the case to the chairman of the Board of Trustees. If the hearing board concludes that adequate cause for a dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it shall so recommend, with supporting reasons. The president, based on the record, shall impose the penalty, and his decision as to the severity of penalty is final. If dismissal or other penalty is recommended by the hearing board, and the president concurs with that recommendation, then the decision of the president is final. If the president does not concur with the recommendation of the hearing board, the faculty member may appeal the president's decision in accordance with the Executive Committee of the Board of Trustees' resolution adopted September 9, 1999, and affirmed October 5, 1999.

#### **10. Suspensions**

Until the final decision upon termination of an appointment has been reached, the faculty member shall be suspended, or assigned to other duties in lieu of suspension, at the discretion of the president of the College. Suspension is appropriate only pending a hearing. A suspension which is intended to be final is a dismissal, and shall be dealt with as such. Salary will continue during the period of suspension except in cases involving moral turpitude.

# Appendix H

## STATEMENT OF PROFESSIONAL ETHICS

American Association of University Professors, Policy Documents & Reports, 1995, pp. 105-106.

### Statement on Professional Ethics

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

### Introduction

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

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and Committee B, to counsel with members of the academic community concerning questions of professional ethics and to inquire

into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

### The Statement

I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors 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 student. They avoid any exploitation, harassment, or

discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

IV. As members of 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.

V. 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.

# Appendix P

## STATEMENT ON PLAGIARISM

American Association of University Professors, Policy Documents & Reports, 1995, pp. 109-110

### Statement on Plagiarism

*The statement which follows was approved for publication by the Association's Committee B on Professional Ethics, adopted by the Association's Council in June 1990, and endorsed by the Seventy-sixth Annual Meeting.*

The main practical activity of the American Association of University Professors, since its founding, has concerned restraints upon the right of faculty members to inquire, to teach, to speak, and to publish professionally. Yet throughout its existence, the Association has emphasized the responsibilities of faculty members no less than their rights. Both rights and responsibilities support the common good served by institutions of higher education which, in the words of the 1940 *Statement of Principles on Academic Freedom and Tenure*, "depends upon the free search for truth and its free exposition."

In its *Statement on Professional Ethics*, the Association has stressed the obligation of professors to their subject and to the truth as they see it, as well as the need for them to "exercise critical self-discipline and judgment in using, extending, and transmitting knowledge." Defending free inquiry by their associates and respecting the opinion of others, in the exchange of criticism and ideas, professors must also be rigorously honest in acknowledging their academic debts.

In the light of recent concerns within and outside of the academic profession, it has seemed salutary to restate these general obligations with respect to the offense of plagiarism.

### Definition

The offense of plagiarism may seem less self-evident in some circles now than it did formerly. Politicians, business executives, and even university presidents depend on the ideas and literary skills of committees, aides, and speechwriters in the many communications they are called on to make inside and outside their organizations. When ideas are rapidly popularized and spread abroad through the media, when fashion and the quest for publicity are all around us, a concern with protecting the claims of originality may seem to some a quaint survival from the past or even a perverse effort to deter the spread of knowledge.

Nevertheless, within the academic world, where advancing knowledge remains the highest calling, scholars must give full and fair recognition to the contributors to that enterprise, both for the substance and for the formulation of their findings and interpretations. Even within the academic community, however, there are complexities and shades of difference. A writer of textbooks rests on the labors of hundreds of authors of monographs who cannot all be acknowledged; the derivative nature of such work is understood and even, when it is well and skillfully done, applauded. A poet, composer, or painter may "quote" the creation of another artist, deliberately without explanation, as a means of deeper exploration of meaning and in the expectation that knowledgeable readers, listeners, or viewers will appreciate the allusion and delight in it. There are even lapses—regrettable but not always avoidable—in which a long-buried memory of something read surfaces as a seemingly new thought.

But none of these situations diminishes the central certainty: taking over the ideas, methods, or written words of another, without acknowledgment and with the intention that they be taken as the work of the deceiver, is plagiarism. It is theft of a special kind, for the true author still retains the original ideas and words, yet they are diminished as that author's property and a fraud is committed upon the audience that believes those ideas and words originated with the deceiver. Plagiarism is not limited to the academic community but has perhaps its most pernicious effect in that setting. It is the antithesis of the honest labor that characterizes true scholarship and without which mutual trust and respect among scholars is impossible.

### Precepts

Every professor should be guided by the following:

1. 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.
2. 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 researching questions of plagiarism, either independently or in collaboration with other professional societies.
3. 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.<sup>1</sup>
4. 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.

5. 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.

### Conclusion

Any intellectual enterprise—by an individual, a group of collaborators, or a profession—is a mosaic, the pieces of which are put in place by many hands. Viewed from a distance, it should appear a meaningful whole, but the long process of its assemblage must not be discounted or misrepresented. Anyone who is guilty of plagiarism not only harms those most directly affected but also diminishes the authority and credibility of all scholarship and all creative arts, and therefore ultimately harms the interests of the broader society. The danger of plagiarism for teaching, learning, and scholarship is manifest, the need vigorously to maintain standards of professional integrity compelling.

<sup>1</sup> On the question of due process for a faculty member who is the subject of disciplinary action because of alleged plagiarism, see Regulations 5 and 7 of the Association's "Recommended Institutional Regulations on Academic Freedom and Tenure," *Academe* 69 (January-February 1983): 18a-19a.

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