

# **FACULTY MANUAL**

**2016-2017**

**St. Olaf College  
Northfield, Minnesota 55057**

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## **Section 1 – The *Faculty Manual***

### ***I. Purpose and Distribution***

The *Faculty Manual* sets forth the rights of faculty members, and various obligations of faculty members to the college, and of the college to faculty members, through policies adopted by the Board of Regents pursuant to its responsibility under section 3.02 of the college bylaws. Consistent with the college's commitment to shared governance, these policies generally reflect substantial faculty input, and the implementation of most of the policies contained herein depends upon faculty participation. The Dean of the College shall distribute the *Faculty Manual* in print or electronic form to the faculty.

The *Faculty Manual* is recognized as a contract between each faculty member and the college. The terms of the contract are as set forth herein, and can be changed as provided in sections 1.II and 1.III of the *Faculty Manual*.

The *Faculty Manual* is a “unilateral contract.” A unilateral contract is one that is not negotiated between two parties, but instead is offered by one party without receiving in return any promise of performance from the other. With a unilateral contract, the offering party must perform according to the offer for as long as the offer remains standing.

The policies and procedures in this *Faculty Manual* are designed to provide for respectful treatment of faculty, protection of academic freedom and the effective and efficient operation of the college as an institution. Dates and other time frames related to Creation and Discontinuance of a Department (3.VII.A&B), Reappointments and Renewals (4.VIII.B), Tenure (4.IX), Dismissal Procedures (4.XIX), and Termination Procedures (4.XXI) should be considered firm deadlines. Other dates and time frames provided in this *Faculty Manual* are intended to be followed; however, they should not be considered firm deadlines. Deviation from them may be necessitated from time to time, and the college's failure to act prior to a stated deadline shall not bind the college in any way. Additionally, throughout this *Manual* there are various responsibilities and deadlines imposed upon faculty. The failure by any faculty member or faculty committee to act in accordance with the *Manual's* policies and procedures, or to act within a stated deadline, shall not bind the college in any way.

Should institutional sanction or dismissal proceedings be initiated against a faculty member, either for failing to comply with one or more provisions of the *Faculty Manual*, or for any other reason, the procedures identified in Sections 4.XIX – 4.XXIV of the *Faculty Manual* shall be followed.

The Board of Regents, as the highest governing body of the college, may change the *Faculty Manual* by following the procedures contained herein.

Modifications to the *Faculty Manual* may be initiated during the academic year only. Any modification made to the *Faculty Manual* will include by implication revision to the Table of Contents, Index, section and subsection numbering, and the numeric references to sections and subsections affected by the revision in a manner that incorporates the revision into the *Faculty Manual* as intended. The following procedures will be used when making modifications to the *Faculty Manual*.

### ***II. Changes Initiated by the Faculty***

Any faculty member may suggest to the Faculty Governance Committee (FGC) that a modification be made in the *Faculty Manual*, or the FGC may on its own determine that a modification should be

made. In either case, the FGC shall discuss the proposed revision, modify the proposal in any way it sees fit and, if it believes the proposal is worthy, present it to the entire faculty. An individual faculty member may bring a proposed modification to the faculty for a vote if the FGC declines to do so. Proposed changes must be brought to the faculty at one of its regularly scheduled meetings, and faculty members must be notified of the proposed change seven (7) days prior to the meeting. Ratification of a proposed modification requires a favorable vote by at least 60% of those attending a regularly scheduled faculty meeting at which there is a quorum. The President, as chair of the faculty, shall then convey modifications approved by the faculty to the Board of Regents with or without his or her personal recommendation. The FGC may request of the Board of Regents an opportunity to confer with the Executive Committee of the Board of Regents about the proposed revision. The conferring between the Executive Committee and the FGC may, at the option of the Executive Committee, occur in person, electronically, by telephone, or in writing. If the Board of Regents approves the proposed modification, it becomes effective at the beginning of the next academic year, unless otherwise specified by the Board of Regents.

### ***III. Changes Initiated by the Board or the President***

The Board of Regents or the President may propose modifications to the *Manual*. The President shall publish the proposed modification in writing to the FGC. The FGC shall then analyze the proposed modification and make a recommendation to the faculty with respect to the proposed modification. Proposed changes must be brought to the faculty at a regularly scheduled meeting and faculty members must be notified of the proposed change seven (7) days prior to the meeting. Faculty action on the proposed modification must occur by the third regularly scheduled faculty meeting after the President publishes the modification to the FGC. Ratification of a proposed modification requires a favorable vote by at least 60% of those attending a regularly scheduled faculty meeting at which there is a quorum. Lack of ratification by the faculty does not preclude adoption of the proposed changes by the Board of Regents. The President, as chair of the faculty, shall then convey the recommendation of the faculty to the Board of Regents with or without his or her personal recommendation. In addition, the FGC may request an opportunity to confer with the Executive Committee of the Board of Regents about the proposed revision. The conferring between the Executive Committee and the FGC may, at the option of the Executive Committee, occur in person, electronically, by telephone, or in writing. The modification becomes effective at the beginning of the next academic year following its approval by the Board of Regents, unless otherwise specified by the Board of Regents.

## Section 2 – The *Faculty Handbook*

### ***I. Purpose and Distribution***

The *Faculty Handbook* provides members of the faculty information beyond that included in the *Faculty Manual* that is important for their work as teachers, advisers, and scholars. The *Handbook* also provides information about benefits. The Board of Regents, as the highest governing body of the college, may change the content in the *Handbook* and has directed the President to be responsible for the *Handbook* according to the *Procedures for Modification of the Handbook*. The Dean of the College shall distribute the *Handbook* in print or electronic form to the faculty.

### ***II. Categories of Handbook Content and Procedures for Modification***

There are four categories of content in the *Faculty Handbook* each with a different procedure for modification. All of the content in the *Handbook* is to be clearly identified by category number.

#### A. Category #1 *Handbook* Content

Category #1 content is general descriptive information and/or externally established rules and regulations that the college and/or its faculty are required to follow either because of law or contractual obligations of the college. Category #1 content is included in the *Handbook* because the President considers it to be important and/or it is required that the faculty be informed about it. The responsibility for making timely changes to Category #1 content lies with the President or the President's designee(s) and advance notice of changes is not expected.

#### B. Category #2 *Handbook* Content

Category #2 content is rules, policies, regulations and guidelines related to academic matters about which the President is to seek a recommendation from the faculty before the content is added, modified, or eliminated from the *Handbook*. A recommendation for an action regarding Category #2 content may be initiated by the faculty or by the President following procedures prescribed in the *Faculty Manual* that lead to a vote by the faculty. While the President has the authority to create, modify, or eliminate Category #2 content opposed by the faculty, as indicated by a majority vote of the faculty, such an action would be extraordinary and the President is to advise the Board of Regents when taking such an extraordinary action.

#### C. Category #3 *Handbook* Content

Category #3 content is rules, policies, regulations, and guidelines over which the President may delegate responsibility to various officers of the college. Category #3 content can be added, modified, or eliminated from the *Handbook* with the approval of the President, normally following a recommendation to the President from those responsible. While a change can be made without advance notice to the faculty, it is expected that the President will normally provide the faculty a 30-day notice.

#### D. Category #4 *Handbook* Content

Category #4 content provides information about benefits. The content provided in the *Faculty Handbook* provides an overview of the benefits associated with employment at the college. The detailed explanations of the binding terms of the benefits are found in the official plan documents and contracts with insurance and other companies. The terms of such benefits are governed by

the specific plan documents, which shall govern any inconsistencies between them and the descriptions contained in the *Faculty Handbook*. The overview of the benefits must be regularly updated to reflect changes in rates, insurance coverage, and changes in tax laws and other government regulations. Normally, additions, deletions, and other changes to the Category #4 content will be recommended to the President by the college's Benefits Committee and the faculty will receive at least a thirty-day notice. Depending on the situation, some content changes may also require action by the Board of Regents. Given extraordinary circumstances the President may authorize and direct that changes are made without advance notice to the faculty, but this would be extraordinary. The President is to immediately advise the Board of Regents when taking such an extraordinary action.



## **Section 3 - Faculty Governance and Regulations**

### ***I. Constituency and Privileges***

- A. The faculty of St. Olaf College shall consist of all persons having academic rank and of the President and Vice Presidents of the college. Other administrative personnel may be granted voting rights in faculty meetings upon recommendation by the Faculty Governance Committee. Administrative personnel may teach with the approval of the appropriate department and the Dean. They will receive term appointments for the period of the course being taught, the rank to be determined by the department and the Dean.
- B. Voting members of the faculty shall be those members who hold tenured full- or part-time appointments, or full- or part-time tenure-track appointments, or term appointments of one-half or more FTE.
  - 1. Members of the present staff with the voting franchise as of April 1, 1993, shall continue to have this privilege.
  - 2. All appointments of personnel to administrative positions that may include a faculty appointment will be made in consultation with the Faculty Governance Committee and members of the appropriate department. Upon notification by the President or the Dean of the College that such an appointment is contemplated, the Faculty Governance Committee will appoint a subcommittee that will consult with the department and the administration and make a recommendation to the Faculty Governance Committee, which will then formally express its position on the appointment.
- C. Faculty members who acquire tenured academic rank at St. Olaf College will retain their voting privileges as long as they continue on full-time or part-time tenured or tenure-track appointments.
- D. It shall be the responsibility of the Dean of the College to publish annually a list naming the members of the St. Olaf faculty, indicating those members who hold the voting franchise.
- E. Faculty members on leave may attend but shall not vote at faculty meetings during the period of their leave, but may vote electronically in the All-faculty and Faculty campus-wide committee elections.

### ***II. Organization***

- A. The faculty is organized into five Faculties. Departments and programs of similar interests and disciplines are grouped together.
  - 1. Fine Arts
  - 2. Humanities
  - 3. Interdisciplinary and General Studies
  - 4. Natural Sciences and Mathematics
  - 5. Social Sciences
- B. Members of the faculty are expected to take an active part in the elections and deliberations of their Faculties.

- C. Administrators with faculty status will be assigned to one of the Faculties appropriate to their academic credentials.
- D. Elections of Representatives of the Faculties to Faculty Committees.
  - 1. Each of the Faculties shall elect its representatives to faculty committees unless otherwise provided.
  - 2. The electing of representatives to committees shall be governed by the following provisions:
    - a) For purposes of electing representatives to committees, persons are voting members of the Faculty in which they hold their primary appointment. Only franchised members of the faculty may be voting members of a Faculty.
    - b) For the purposes of electing representatives to committees, persons may also choose to be voting members of a second Faculty in which they hold a professional or pedagogical interest. Those wishing to be such voting members of a second Faculty must declare their intention in writing to the Associate Dean of that Faculty before the deadline announced by the Dean of the College.
    - c) The Associate Dean shall publish lists prior to September 1 each year identifying those who, for purposes of electing representatives to committees, are voting members in their Faculties.
    - d) Persons elected as representatives from a Faculty must be voting members of that Faculty. A person who is a voting member of more than one Faculty may be elected as a committee representative from only one of the Faculties. If a person is elected a representative from a Faculty and subsequently chooses not to be a voting member of that Faculty, that person must resign the elected position.

### ***III. Faculty Meetings***

- A. Faculty meetings are held regularly during the academic year.
- B. All faculty members having voting franchise are expected to attend faculty meetings.
- C. Special meetings of the faculty are held at the call of the President or the Dean of the College:
  - 1. Upon petition of one-third of the voting membership of the faculty, the President or a designated representative shall convene a special meeting of the faculty within ten days.
  - 2. Special meetings shall not be announced later than noon of the day preceding the meeting.
- D. Faculty meetings shall follow predetermined rules of order (*Roberts' Rules of Order, Newly Revised*).
- E. Faculty members must be present at a faculty meeting to vote on any motion presented at the meeting.
- F. The quorum for a faculty meeting shall be ninety of the voting members of the faculty.
- G. Faculty members on leave may attend but shall not vote at faculty meetings during the period of their leave, but may vote electronically in the All-faculty and Faculty campus-wide committee elections.
- H. If the faculty should vote to hold a referendum then all voting members of the faculty, including those on leave, shall have the right to vote on the referendum. At least two weeks shall elapse between the vote to hold the referendum and the counting of the ballots from the referendum.

- I. Reports of faculty committees recommended for action shall be sent to all faculty members at least seven days before the date of the meeting at which they are to be considered. The faculty may suspend this rule by a two-thirds majority vote.
- J. Faculty meetings are closed to students with the following exceptions:
  - 1. The student body president and the editor of the student newspaper may be present at faculty meetings but may speak only by vote of the faculty.
  - 2. Student members of faculty committees may be present at faculty meetings in which the business of their committee is being discussed but they may speak only by vote of the faculty except that any student chair of a faculty committee always has speaking rights at faculty meetings on business concerning that committee.
- K. It is understood that matters discussed in faculty meetings will be treated with discretion.
- L. Each spring the Faculty Governance Committee will appoint faculty members to serve in the positions of Secretary to the faculty and Parliamentarian. These terms will be for one year. The Faculty Governance Committee will announce the appointments in May.
- M. The secretary of the faculty will be responsible for taking the minutes of each meeting and making them readily available to all faculty. The secretary will submit a formal record of all proceedings of the faculty meetings to the College Archives at the end of the academic year.

## Section 3 - Faculty Governance and Regulations

### *IV. Faculty Committees*

#### A. General Procedures

1. Committees are either elected or appointed.
2. All committees, except those identified in Sections 3.IV.B and 3.V.B, come into being or go out of existence by vote of the faculty.
3. A list of committees will be published in the fall by the Dean of the College.
4. *Ad hoc* committees may either be elected or appointed as designated at the time of their establishment.
5. Candidates elected by the faculty as a whole are elected by an electronic ballot from a slate of candidates presented by the Faculty Governance Committee at the April faculty meeting. The electronic balloting shall be completed within one week of the faculty meeting.  
  
Candidates elected by Faculties are elected in the first week of May by an electronic ballot from the Faculty Governance Committee.
6. Only full-time students are eligible to serve on committees.
7. Members elected to faculty committees, either within their Faculties or in all-faculty elections, must receive a plurality of votes cast for the position in question.
8. Only faculty with voting franchise are eligible to serve as members of elected committees. Before the regular faculty meeting in April of each academic year, the Dean of the College shall supply the Faculty Governance Committee with a list of holdover members of elected committees and vacancies to be filled.
9. A faculty member shall not serve as an elected member on more than one committee, nor should a faculty member, under ordinary circumstances, serve on more than one appointed committee at the same time.
10. A faculty member shall not serve more than two consecutive full terms of office on any elected committee.
11. Each committee shall elect its own officers. An organizational meeting shall be held and a list of the next year's officers shall be turned in to the Dean of the College by the end of the academic year. This meeting shall be called by the past chair. The chairs of the Faculty Governance Committee, the Faculty Life Committee, the Curriculum Committee, and the Student Life Committee must be tenured members of the faculty. For all other committees, any faculty or student member may be elected chair. A student who is elected chair of a faculty committee shall have speaking rights at faculty meetings on business concerning that committee.
12. The agendas and minutes for the Student Life Committee, the Curriculum Committee, the Faculty Life Committee, and the Faculty Governance Committee shall be made readily available to all faculty.
13. The following procedure shall govern the naming of replacements for faculty members who resign from committees before the expiration of their terms:

- a) If a faculty member resigns one year or more before the expiration of the term, the Faculty Governance Committee shall nominate and the faculty shall elect a replacement in the usual manner.
  - b) If a faculty member resigns less than a year before the expiration of the term, the Faculty Governance Committee may, at its discretion, either appoint a successor or nominate persons for election by the faculty.
  - c) In the case of the Tenure and Promotion Committee, the Faculty Governance Committee shall follow the provisions of Section 3.IV.B.6.c.(ii).
14. Documents presented to the faculty for a vote shall be numerically coded as to year and sequence. Longer documents shall carry marginal numbers.
  15. The officers of each committee shall provide the College Archivist with the records of the committee at the close of the academic year.
  16. Student representatives shall be selected in accordance with the procedures determined by the student government. The term of office of student representatives on faculty committees is one year. Student representatives may repeat a term.

## B. Elected Committees

### 1. Curriculum Committee

- a) **General Purpose:** To oversee the curriculum of the College in light of its mission, aims, and objectives. To recommend to the faculty procedures and policies affecting the educational work of the college. The work of the Curriculum Committee and the faculty on curricular issues is subject to final review by the Board of Regents and the President, as stipulated by the College's bylaws.
- b) **Responsibilities:** The committee shall have primary responsibility to review and make recommendations regarding the following areas.
  - (i) **Degree Requirements:**
    - A. General graduation requirements
    - B. Comprehensive graduation requirements (general education)
    - C. Majors, concentrations, and areas of emphasis
  - (ii) **On-campus credits:**
    - A. Semester courses
    - B. Interim courses
    - C. Summer school courses
    - D. Continuing education
    - E. Independent Study/Independent Research
    - F. Auditing of courses
  - (iii) **Off-campus credits:**
    - A. Pre-college credit (e.g., AP, IB, PSEO)
    - B. Transfer credit
    - C. International and off-campus study (St. Olaf and non-St. Olaf)
    - D. Internships and other forms of experiential learning

- (iv) Academic regulations and procedures: The committee shall recommend policies and guidelines relative to the curriculum in the *St. Olaf Academic Catalog*. These concern the following broad categories:
  - A. Registration, change of registration, special registrations.
  - B. Counting of courses and credits.
  - C. Grading and examination policies and procedures.
  - D. Academic status of students (in cooperation with the Student Life Committee).
  - E. Academic records of students.
  - F. Leaves of absence, withdrawal, returning to St. Olaf after an absence.
  - G. Graduation, commencement, diplomas.
- (v) Long-term Curricular Planning: The committee is responsible for initiating policies (and responding to initiatives from the faculty) that affect the curricular integrity of the College. This includes both formative and summative assessment of student learning. This category includes approval of the academic calendar.

c) Personnel:

- (i) Twelve faculty representatives: one tenured from each Faculty and elected by the respective Faculty, a further representative (tenured or untenured) from each Faculty and elected by the respective Faculty; and two at-large (tenured or untenured), elected by the faculty as a whole.
- (ii) Three student representatives selected through a process outlined in the Student Government Association Bylaws.
- (iii) The Dean of the College, or a designated representative.
- (iv) The College Registrar, or a designated representative.
- (v) The faculty representatives serve two-year, staggered terms. The student representatives serve one-year terms.
- (vi) The committee is chaired by one of its faculty representatives. The Chair must be tenured and may not serve as Chair for more than two years per term.

- d) Procedures: The committee shall consider and make recommendations to the faculty regarding the integrity of the curriculum, assessment of student learning, the academic schedule and calendar, the *St. Olaf Academic Catalog*, and the *Faculty Handbook*. The committee is expected to bring to the faculty for a vote matters that are of importance to the faculty. These include significant changes to the academic information in the catalog, items to be included as Category 2 material in the *Faculty Handbook*, and other items that the committee believes impact the curricular and educational policy of the college.

The committee will consult with the College Librarian, the Director of Academic Research and Planning, the Director of Government and Foundation Relations, the Director of International and Off-campus Studies, and others on issues directly related to their areas of responsibility.

2. Faculty Governance Committee
  - a) Purpose: To organize and monitor faculty governance, and to represent the faculty to the administration and the Board of Regents.
  - b) Responsibilities:
    - (i) To make recommendations on faculty governance.
    - (ii) To advise the administration on faculty meetings, college governance and college planning.
    - (iii) To review and make recommendations to the faculty on changes to the *Faculty Manual*.
    - (iv) To participate in regular Regents-Faculty Committee Joint Meetings at the invitation of the Chair of the Board of Regents and to prepare for these Joint Meetings by discerning issues of faculty interest by communicating with the chairs of faculty standing committees.
    - (v) To appoint at the end of each year a Secretary to the faculty and a Parliamentarian to serve for the following year.
    - (vi) To oversee at-large and Faculty membership on faculty committees, to nominate candidates for committee elections, and to coordinate elections.
    - (vii) To select hearing committees as specified under Dismissal Procedures (Section 4.XIX).
  - c) Personnel:
    - (i) Ten faculty representatives, one tenured from each Faculty and elected by the respective Faculty, and five at-large (tenured or untenured), elected by the faculty as a whole.
    - (ii) The Representative and the Representative-elect to the Board of Regents
    - (iii) President, or his or her representative.
    - (iv) Provost and Dean of the College, or his or her representative.
    - (v) Assistant/Associate Provost of the College, or his or her representative.
    - (vi) Vice President and Chief Financial Officer, or his or her representative.
    - (vii) One student.
  - d) Terms of Office: The terms of office for the faculty representatives shall be for two years. The terms shall be staggered.
3. Faculty Life Committee
  - a) Purpose: To organize and monitor faculty reward and support in the interests of professional development.
  - b) Responsibilities:
    - (i) To foster faculty development.
    - (ii) To review and recommend sabbatical leave applications.
    - (iii) To propose annually salary distribution formulas.
    - (iv) To appoint a faculty member to the Benefits Committee.

- (v) To recommend honorary degree awards.
- (vi) To receive annually from the Tenure & Promotion Committee recommendations on policies and procedures.
- (vii) To receive annually from the Faculty Review Committee a summary report on its actions, and recommendations on policies and procedures.

c) Personnel:

- (i) Ten faculty representatives, one tenured from each Faculty and elected by the respective Faculty; and five at-large (tenured or untenured), elected by the faculty as a whole.
- (ii) President, or his or her representative.
- (iii) Provost and Dean of the College, or his or her representative.
- (iv) Assistant/Associate Provost of the College, or his or her representative.
- (v) Vice President and Chief Financial Officer, or his or her representative.
- (vi) One student.

d) Terms of Office: The terms of office for the faculty representatives shall be for two years. The terms shall be staggered.

4. Faculty Review Committee

a) The Faculty Review Committee receives petitions, investigates, conducts hearings, and makes recommendations under the grievance and appeals procedures of the *Faculty Manual* in Sections 4.XXIII (Grievance Procedure) and 4.XXIV (Appeals Procedure).

b) Responsibilities:

- (i) To serve as the Grievance Committee as described in the Grievance Procedure (Section 4.XXIII).
- (ii) To hear appeals as described in the Appeals Procedure (Section 4.XXIV).
- (iii) To make a report at the end of each academic year to the Faculty Life Committee of its activities in the preceding year as described in d.(vii), below.

c) Personnel:

- (i) Three tenured faculty members designated as regular members at the time of their elections and elected by the faculty as a whole.
- (ii) One tenured faculty member designated as the alternate member at the time of election and elected by the faculty as a whole.
- (iii) No two members of the committee may have primary appointment in the same Faculty.
- (iv) All members of the committee shall have been members of the faculty for at least five academic years.
- (v) No member of the committee may be an Associate Dean or an administrative officer.

d) Procedures:



- (i) The committee shall elect a chair from among its regular members.
- (ii) Members shall excuse themselves, or the chair may excuse a member, from consideration of those cases where the member's impartiality could be questioned. These cases include, but are not limited to, those that present a clear conflict of interest, those in which they may be called upon to offer testimony, and those in which they are named in the petition as being involved in the grievance or decision being appealed.
- (iii) If a regular member is excused from the consideration of a case, the alternate, if not also excused, will serve for the consideration of that case.
- (iv) If the chair is excused from the consideration of a case, the remaining members will elect a chair for the consideration of that case.
- (v) Three members of the committee shall constitute a quorum for the hearing of a grievance or appeal.
- (vi) In the event that a quorum cannot be reached for a particular grievance or appeal, the elected faculty members of Faculty Life Committee shall elect sufficient replacements for the excused regular members to reach a quorum. These replacements shall serve only for the particular grievance or appeal, and must meet the requirements for membership in (c), above.
- (vii) The annual report of the committee to the Faculty Life Committee shall provide only the information described herein for each petition and only after all steps of the procedures are completed.
  - A. For each grievance petition received, the report shall first state whether the grievance merited investigation. For those grievances that merited investigation, the report shall state (1) whether hearings were held, (2) if a resolution resulted during or at the conclusion of its hearing, and (3) whether the committee issued its findings of fact and attendant recommendations.
  - B. For each appeal petition received, the report shall first state whether the appellant established a *prima facie* case of improper and/or inadequate consideration. For those appeals where a *prima facie* was established, the report shall state (1) whether a report of findings was made and, if not, the reason why a report was not made, and (2) whether the committee found either improper or inadequate consideration. If improper or inadequate consideration was found, the report shall state (3) at what points in the decision process it occurred, and (4) whether the decision was reversed or if some or all of the applicable procedures were reviewed or repeated.

e) Terms of Office, Nominations, and Elections:

- (i) The term of office is two years. The terms shall be staggered.
- (ii) When it is necessary to fill a position on or replace permanently a member of the committee, the Faculty Governance Committee shall present the names of two candidates for election by the faculty. Additional nominations shall be allowed providing that the nominees meet the requirements in (c), above. The term of the replacement shall be the remainder of the unexpired term.

## 5. Student Life Committee

- a) Purpose: To examine current policies and programs related to student life. To debate issues that are brought to its attention, and, when necessary, make recommendations to all appropriate parties. The Student Life Committee is concerned with the quality of the learning and living environment at St. Olaf College; its primary function is advisory.
- b) Responsibilities include:
  - (i) Academic and Personal Integrity: The committee shall review the College's policies regarding academic and personal integrity both in and out of the classroom. It shall constitute, from its own membership, an Appeals Board consisting of three faculty members, one student, and the Dean of Students, to address student disciplinary proceedings in accordance with the processes established in the student handbook. The Appeals Board shall have appellate jurisdiction over cases appealed by defendants from Honor Council cases and administrative hearings, and may also hear appeals from defendants who have exhausted other avenues of appeal.
  - (ii) Residence Life Policies: The committee shall review the regulations, procedures, and goals of the College's residence life program. It shall discuss grievances and requests pertaining to the conduct of students both on and off campus.
  - (iii) Co-curricular Programs and Activities: The committee shall review current and proposed co-curricular programs and activities in relationship to the purposes of the College. Co-curricular programs and activities include, but are not limited to, recognized student organizations, recreation and intramurals, student media, student performances, music organizations, and athletics. Review athletic schedules and present them to the faculty for approval.
  - (iv) Campus Climate: The committee shall review and encourage programs and activities that foster welcoming and inclusive College community and shall promote initiatives in this area.
  - (v) Enrollment: The committee shall consider the implications of financial aid, outreach, admissions, and retention for the academic program and the College community. It shall review the orientation program for first-year students.
  - (vi) Support Services: The committee shall review the academic advising program and college-wide student support services (e.g., those provided by the Academic Support Center, the Counseling Center, International Student Services, and Student Support Services).
  - (vii) Dean of Students: The committee shall serve as an advisory body to the Dean of Students.
- c) Personnel:
  - (i) Five faculty representatives (tenured or untenured), one from each of the Faculties, elected by the faculty as a whole.
  - (ii) Five student representatives selected through a process outlined in the

Student Government Association Bylaws.

- (iii) The Dean of Students, or a designated representative.
- (iv) The Faculty Athletic Representative.
- (v) The faculty representatives serve two-year, staggered terms. The student representatives serve one-year terms.
- (vi) The committee is chaired by one of its faculty representatives. The Chair must be tenured and may not serve as Chair for more than two years per term.

6. Tenure and Promotion Committee

- a) General purpose is to recommend action to the Dean of the College on promotion and tenure.
- b) Responsibilities include:
  - (i) To review annually candidates for promotion and tenure and to recommend action to the Dean of the College.
  - (ii) To recommend policy on promotion and tenure to the Faculty Life Committee.
- c) Personnel:
  - (i) Five tenured faculty of the rank of professor or associate professor, one from each of the Faculties and elected by the faculty as a whole.
  - (ii) When it is necessary to fill a position or replace a member on the committee, the Faculty Governance Committee shall present the names of two candidates for election by the faculty as a whole. No additional nominations shall be permitted from the floor.
- d) Terms of office and elections:
  - (i) The term of office is three years. The terms shall be staggered.
  - (ii) The term of a replacement shall continue for the remainder of the unexpired term.
  - (iii) No member of the committee may also be a candidate for promotion.
  - (iv) No member of the committee may also be an Associate Dean.
  - (v) Members of the committee shall be exempt from all other committee work.

7. The Four Major Committees

Curriculum, Faculty Governance, Faculty Life, and Student Life — shall keep the faculty informed of those decisions not otherwise brought to the faculty. If any faculty member wishes these decisions to be voted on by the faculty, that person should move at one faculty meeting to put the issue on the agenda. If this motion passes, the matter would be placed on the agenda for the following faculty meeting and discussed and voted on at that time.

## C. Faculty Offices

### 1. Secretary to the Faculty

The Faculty Governance Committee shall appoint a Secretary to the faculty from among its franchised members. The term of office shall be one year.

### 2. Parliamentarian

The Faculty Governance Committee shall appoint a Parliamentarian from among its franchised members. The term of office shall be one year.

### 3. Faculty Athletic Representative

The faculty shall elect an Athletic Representative from among nominees who hold faculty status but who are not members of the athletic staff or the Exercise Science department. The term of office shall be six years.

The Faculty Athletic Representative assists the President as an advisor on athletic matters, certifies the academic eligibility of athletes, and serves as an *ex officio* member of the Student Life Committee.

### 4. Honor Council Adviser

The faculty shall elect an Honor Council Adviser for a three-year term in office. See the *Faculty Handbook* for additional details.

## Section 3 - Faculty Governance and Regulations

### *V. Faculty Representation to the Board of Regents*

#### A. Faculty Representative to the Board of Regents

A Faculty Representative to the Board of Regents shall participate in the meetings of the Board for the purpose of facilitating communication between the faculty and the Board. The Representative will bring to the Board issues of particular importance to the faculty as these issues appear before standing faculty committees. Following each meeting of the Board, the Representative shall report to the faculty on the actions and deliberations of the Board. The Representative will coordinate preparation for meetings between the Faculty Governance Committee or other designated faculty and the Board of Regents.

#### B. Regents-Faculty Committee Joint Meetings

1. At the invitation of the Board of Regents, the elected members of the Faculty Governance Committee will meet with the Board to discuss matters of interest regarding the college. These joint meetings of the Board and FGC do not replace other faculty, administration, or Board functions or prerogatives. As a result of these joint deliberations, recommendations may either be directed to the faculty or to the Board for consideration and action.
2. The rules that govern the work of the joint meetings of FGC and the Board of Regents shall include:
  - a) The joint meeting shall meet at the call of the Chair of the Board of Regents, who shall act as chair of the joint meeting or shall designate another member of the body as chair. While the Board of Regents determines the number of meetings in a given academic year, FGC members should anticipate two meetings a year.
  - b) The Faculty Representative to the Board of Regents will assist the Chair of the Board of Regents in coordinating the preparation for the joint meeting.
  - c) All elected members of the Faculty Governance Committee, the Faculty Representative, and the Faculty Representative-Elect shall be invited to attend the joint meeting with the Board of Regents.
  - d) FGC may designate another standing faculty committee, as requested by that committee, to replace or supplement it in the Regents-Faculty Committee Joint Meeting if an issue of importance necessitates their participation on the issue.
3. Personnel
  - a) Five members of the Board of Regents elected annually by the Board and including Chair or Vice Chair of the Board and the President
  - b) Five faculty representatives appointed by the Faculty Governance Committee
  - c) The Faculty Representative to the Board of Regents
  - d) The Representative -elect

4. The Representative -elect to the Board of Regents shall serve a one-year term as an at-large member of the committee prior to the year's service as Representative.

## ***VI. Faculty Responsibilities***

- A. Faculty are expected to be familiar with and follow the policies, procedures, and responsibilities listed in the *Faculty Manual*, the *Faculty Handbook*, the College Catalog, the student handbook, and the class and lab schedule.

- B. Class Meetings

1. Faculty are expected to meet their classes in adherence to the college schedule. If a faculty member must be absent from classes, notice shall, if at all possible, be given in advance to the department chair.
2. Each faculty member's policy on class attendance should be clearly stated at the beginning of the course.
3. Faculty are expected to post office hours on office doors or bulletin boards and include them on copies of course syllabi. Faculty are expected to schedule their office hours at such times that they can be readily available to their students and advisees.

- C. Standard Teaching Load

The standard teaching load, known as Full Time Equivalent ("FTE"), is six courses per year. Any amount less than this is calculated in fractions of this amount. Course equivalencies will be assigned for responsibilities such as activity courses in physical education, studio courses in art, lessons and ensembles in music, laboratory supervision in the sciences, and supervision of student teachers in education. Course unit equivalencies will also be assigned for some administrative and non-teaching duties. The Dean of the College will be responsible for determining these equivalencies.

- D. Academic Advising

Academic advising is viewed by the college as an integral part of a faculty member's responsibilities. Faculty are encouraged to make frequent contacts with advisees both in formal and informal settings.

- E. Honor System

The Honor System at St. Olaf College, initiated in 1911, is an agreement between the faculty and the students. The faculty agrees to leave the responsibility for proper and honest conduct during written examinations in the hands of the students. The students in turn agree to accept this responsibility. A complete description of the Honor System and the Constitution for the Honor Council can be found in the *Faculty Handbook*. Faculty are expected to administer all tests, quizzes, and examinations under the Honor System.

## ***VII. Creation of or Discontinuance of a Department***

- A. The decision to create or discontinue a department will be based on long-term educational considerations and objectives. Educational considerations and objectives do not include short-term cyclical changes or temporary variations in enrollment but must, instead, reflect a long-range

determination that the department's creation or discontinuance will enhance the educational mission of the college.

A proposal to create or discontinue a department may originate in the faculty, the administration, or the Board of Regents. Any such proposal must be brought to the Faculty Governance Committee (FGC) for consultation a minimum of three full academic semesters before it is intended to take effect. The FGC will seek input from the Curriculum Committee and other appropriate faculty committees regarding the educational, curricular, and staffing impact of creating or discontinuing the department. The FGC will then bring the proposal to create or discontinue the department to the faculty for a vote either to endorse (by a majority in favor) or not to endorse at least two full academic semesters before it is intended to take effect. If a proposal has been brought to the faculty in a manner consistent with this policy, later revised versions of the proposal must be brought before the FGC but need not also be brought to the faculty unless materially different in scope or effect. As per the college bylaws, the final decision regarding the creation or discontinuance of a department rests with the Board of Regents.

## **Section 4 - Faculty Personnel Policies and Procedures**

### ***I. College Personnel Policy***

St. Olaf College is an equal opportunity employer. It is the policy of St. Olaf College to provide equal opportunity to all employees and applicants for employment in accordance with all applicable equal employment laws and regulations. In addition, St. Olaf College is committed to creating and maintaining an educational and work environment in which all members of the community — students, faculty, staff, and administrators — are treated with respect and dignity, free from unlawful verbal and physical harassment (see Section 4.XXII). The policies contained in the *Faculty Handbook* provide further information regarding the college's policies and initiatives relative to equal employment and harassment.

### ***II. Academic Freedom***

Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition. All members of the St. Olaf faculty shall have full academic freedom. St. Olaf College supports the general principles of academic freedom enunciated in the AAUP Statement (1940) of Principles of Academic Freedom and Tenure.

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

1. It is the duty of the institution to recognize the right and full exercise of academic freedom on the part of its members.
2. Faculty members are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, the requirements of law, and the recognized standards of their profession. Research for pecuniary return shall be based upon an understanding with the authorities of the institution.
3. Teachers are entitled to freedom in the classroom in discussing their subjects.
4. College teachers are citizens, members of a learned profession, and members of a particular educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As a member of a learned profession and a particular college, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the college.

### ***III. Faculty Ethics***

Faculty members recognize their ethical responsibility to their subjects, their students, their professional colleagues, St. Olaf College, and the wider community. Guided by a deep conviction of the worth and dignity of their service to the advancement of knowledge, they recognize the special responsibilities



placed upon them. They accept the obligation to exercise critical self-discipline and judgment in gathering information, in using it, and in transmitting it. Their ethical responsibilities are exercised within a college community in which relationships must be based upon mutual trust and consideration for all members within that community.

A venerable tradition supports the idea of a statement in which a profession defines its highest ideals of conduct. This statement testifies to the academic profession's insistence on essential self-government and its acceptance of the responsibilities which accompany this right.

1. The responsibility of faculty members to their subjects is to seek and to state the truth in those subjects as they see it. To this end, they devote their energies to developing and improving their scholarly competence. They practice intellectual honesty. They avoid conflicts of interest that may restrict their freedom of inquiry and teaching.
2. The responsibility of faculty members to their students is to teach according to the best scholarly standards of their disciplines. By rigorous self-scrutiny, by fairness and courtesy, and by attention to the details of their professional conduct, they strive for a deportment that will invite respect for themselves and for their profession. In their teaching, they maintain an atmosphere of free and unhampered inquiry, and they encourage independence and originality of thought. They avoid any exploitation of students for their private advantage and acknowledge significant assistance from them. They protect students' academic freedom.
3. The obligations of faculty members to their professional colleagues derive from common membership in the community of scholars. They seek to be magnanimous in their diverse relations with colleagues. In the exchange of criticism and ideas, they show respect for the opinions of others. They acknowledge their academic debts; their professional judgments of colleagues are impartial; they accept their share of faculty responsibilities for the governance of their institution; and they support the academic freedom of their colleagues.
4. The chief obligation of faculty members to their own institution is to be effective teachers and scholars. They observe the stated rules and regulations of the institution, yet guard vigorously their right of criticism. When they speak or act as a private person, they avoid creating the impression that they speak or act for the college. They determine the amount and character of the work they do outside the college with due regard to their paramount responsibilities within the institution. When considering the interruption or termination of their service, they weigh the effect of their decision upon the program of the college.
5. The obligations to the community of faculty members, like their rights within the community, cannot be less than those of any citizen. By virtue of their special knowledge and their position as educators, their obligations may be more. They measure the urgency of these obligations in the light of their responsibilities to their subjects, to their students, and to their institution. 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, in the civil community, the understanding of academic freedom.
6. Romantic or sexual relationships between members of the St. Olaf Community can be of concern because of the potential for conflicts of interest and/or the abuse of power. Faculty should review the college's "Consensual Relations Policy" in the *Faculty Handbook* for information regarding prohibitions and expectations relating to such relationships.

These statements are declarations which not only express the ideals of the profession of teaching generally, but are also in accord with the aims and objectives of St. Olaf College as an institution of the Christian Church.

#### ***IV. Faculty Employment Outside the College***

A. The highest standards of teaching, research, creative activity, and participation in the academic community of St. Olaf College suggest that faculty should be engaged full-time in their employment by the college. The college seeks to maintain reasonable teaching and research assignments, salaries that are competitive within the context of the academic profession, and opportunities for professional development, thus it is expected that employment outside the college should always be minimal.

B. Special situations will arise where a faculty member may wish to substitute special research under non-college sponsorship for part of normal teaching assignments. If the payment for college duties is prorated at an equitable level, the department chair and the Dean of the College may approve this arrangement.

Similar substitution of teaching at another institution will be approved only in an emergency or where joint employment of a faculty member by more than one institution has obvious advantages to all concerned. It is assumed that salary for such part-time employment will be at a rate not lower than the current college salary for the faculty member. Outside teaching employment must be approved by the department chair and the Dean of the College.

C. There may be benefit to the college and professional gain to the individual in a limited amount of outside work such as consulting, lecturing, preaching, or performing. This is acceptable provided that the amount of such activity is reasonable and does not create a conflict of interest, detract from fulfillment of normal faculty duties and responsibilities, or significantly interfere with delivery of instruction to students. Normally two or three days per month during the school year would be considered a maximum.

D. Ordinary “moonlighting” or work outside of a professional area must be limited by the good taste and judgment of the faculty.

E. If employment outside the college interferes with the quality of performance in regular college duties, the college’s administration reserves the right to review the faculty member’s salary, load, or even continued employment.

F. Salary to faculty is normally paid in twelve monthly installments for professional service during the academic year. The college does not place any formal restrictions on the summer employment or summer activity of the faculty, but it expects that faculty will allot sufficient time during the summer for intellectual refreshment, professional growth, and planning for the next academic year.

#### ***V. Faculty Staff Planning***

A. The Dean of the College, in consultation with the department chairs, the Associate Deans of the Faculties, and the directors of special programs shall be responsible for faculty staff planning.

1. Faculty staff planning should take into account such factors as the goals of the college, expected enrollment, allocation of resources, program changes, department goals, and availability of personnel.

2. In general, faculty staff planning should aim at the following objectives:

a) Long-range continuity and balance in faculty competence.

b) Opportunities for new faculty appointments and tenure.

- c) Assurance of sufficient flexibility to allow the college to undertake new programs and to expand or contract in response to changes in student interest, student body size, or other contingencies without being forced to terminate tenured personnel.
- d) Assurance of consideration for such factors as graduate school backgrounds, areas of specialization, retirement plans, and staff development.
- e) Compliance with federal affirmative action and equal opportunity guidelines.

3. Faculty staff planning shall be reviewed periodically by the Faculty Life Committee.

#### B. Department Staffing Plans

Each department shall be responsible for developing both short- and long-range staffing plans within the context of the college statements on staff planning.

- 1. All full-time and tenured or tenure-track part-time faculty members should be involved in the staff planning.
- 2. Staffing plans shall be made available to all members of the department.

## Section 4 - Faculty Personnel Policies and Procedures

### ***VI. Appointments***

Appointments to the St. Olaf faculty may be made to individual departments, to special academic units, or to more than one academic unit. Full-time appointments may be tenured, tenure-track, or term; part-time appointments may be tenured, tenure-track, term, or terminal. Tenure-track appointments are tenurable continuing positions, subject to Section 4.VIII ("Reappointments"). Term and terminal appointments are not tenurable. Term appointments may be for one, two, or three years. The terms and conditions of every appointment shall be in writing and shall be in the possession of both St. Olaf College and the faculty member before the appointment is official.

#### A. Ranks for Faculty Appointments

The following statement of qualification for the various ranks shall serve as a guide to department chairs, Associate Deans, the Dean of the College, and the President in making new appointments to the faculty.

- a) Instructor: M.A. degree or equivalent academic competence. Experience is preferred. (It is highly desirable that candidates have had previous educational experience, either in actual teaching situations or in pre-service experience acquainting them with the best educational procedures.) Upon notification of the completion of requirements for a Ph.D. or equivalent by the faculty member's graduate school, promotion to assistant professor will be automatic.
- b) Assistant Professor: Ph.D. or equivalent academic competence. Some teaching experience is desired prior to appointment.
- c) Associate Professor: Ph.D. or equivalent academic competence. Three years of full-time college teaching as instructor or above, plus three additional years of full-time college teaching, research, administration, or equivalent experience beyond the Ph.D. degree.
- d) Professor: Ph.D. or equivalent academic competence. Five years of full-time college teaching as instructor or above, plus five additional years of full-time college teaching, research, administration, or equivalent experience beyond the Ph.D. degree.

Persons appointed at the ranks of Associate Professor or Professor shall have demonstrated a level of scholarly or artistic achievement consistent with these ranks as described in the Statement of Significant Scholarly/Artistic Work of the department or departments to which the appointment is being made and also consistent with the standards of the College. The Dean of the College, in consultation with the tenured members of the appropriate department or departments, shall recommend a rank for new appointments to the President.

For faculty with term appointments, other than Special Appointments, above the rank of Instructor, the College and members of the faculty shall use the titles Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor for appointments of 0.5 FTE or greater, and Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor for appointments of less than 0.5 FTE. When a faculty member has

completed the equivalent of four years of full-time teaching (usually 24 credits), the term "Visiting" is removed from the faculty member's title. Titles for faculty with special appointments are governed by section 4.VI.D.1.

## B. Full-Time Faculty Appointments

Normally, appointments to departments shall be made in accordance with the following general guidelines. The particular process applied to a given appointment may vary from these guidelines at the discretion of the President and the Dean of the College.

1. The department chair, in cooperation with the Dean of the College, shall seek candidates from a wide and diverse pool and shall secure information about available candidates in order to evaluate their professional competence and effectiveness, publications, and other evidence of scholarly achievement, working habits, and their attitudes about and understanding of the relationship of religion to learning.
2. The chair of the department concerned shall discuss the candidates with all tenured and tenure-track members of the department as well as with those full-time members of that department presently on campus who have completed at least two years of service at the college.
3. Credentials of the candidates selected by the department chair for consideration shall be reviewed by the Associate Dean of the Faculty and the Dean of the College.
4. The candidates selected for consideration by the department chair, the Associate Dean, and the Dean of the College shall normally come to the college at the expense of the college to be interviewed by the department chair, the Associate Dean, the Dean of the College, and the President. If a candidate visits the campus, the department chair shall attempt to arrange for the candidate to meet other members of the campus community.
5. A department chair who desires to recommend a candidate for appointment shall discuss this recommendation with the Associate Dean and shall present this recommendation, together with the recommendations of the members of the department concerned, to the Dean of the College. The Associate Dean shall advise the Dean of the College concerning the appointment, and the Dean of the College shall subsequently make a recommendation to the President, who decides whether or not to make an offer of appointment. The President or the Dean of the College shall write a letter to the candidate, if chosen, stating rank, salary, and duties, and requesting the candidate, if he or she wishes to accept the appointment, to submit a letter of acceptance.
6. Term appointments are for one, two, or three years; these appointments are renewable up to six years. In special cases, full-time term appointments at the instructor rank may be renewed beyond six years without tenure. Such appointments should be regarded as exceptional, and considered carefully by St. Olaf College and the individual. [See Section 4.IX ("Tenure") for conditions under which these appointments may count towards a subsequent tenure review.]
7. Time served under a full-time term appointment shall count toward eligibility for a sabbatical leave if the individual is given at some later time an appointment which makes that person eligible for a sabbatical leave.

8. The terms and conditions of every appointment shall be stated in writing and be in the possession of both St. Olaf College and the faculty member before the appointment is official.

9. Change From Full- to Part-Time

A faculty member with a full-time appointment may, if he or she so requests, and on the recommendation of the appropriate department chair, Associate Dean, and the Dean of the College, be granted a part-time appointment either for a designated period of time, or permanently. In making such a recommendation, consideration should be given to the needs of the college as well as those of the individual. The needs of the college become especially important when individuals seek to extend designated periods of time that were earlier negotiated, since such requests can conflict with the legitimate expectations of students for continuity, of untenured members for tenurable positions, and of department chairs for staff planning. During the term of this appointment, the faculty member comes under the provisions of a part-time appointment. The change to part-time carries with it a commensurate reduction in compensation, and faculty will continue to participate in non-teaching duties in the same proportion as their percentage of FTE. If the part-time appointment is for a specified term, the individual returns to full-time status at the end of the term.

A faculty member with full-time tenure who changes to a permanent part-time appointment will retain tenure at whatever fraction of FTE is agreed to by the faculty member, the department chair, the Associate Dean, and the Dean of the College. They may subsequently request a return to full-time tenured status; such requests will be considered by the department chair, the Associate Dean, and the Dean of the College, but the college is not obligated to grant such a request.

- C. Part-Time Faculty Appointments

Appointments to the St. Olaf faculty on a less than full-time basis shall be designated as "part-time." Part-time appointments may be tenured, tenure-track, term, or terminal, the status to be determined by the President on recommendation of the appropriate department chairs, Associate Deans, and the Dean of the College, and so stated in the letter of appointment.

1. Tenured or Tenure-Track Part-Time Appointments

- a) Tenured or tenure-track part-time appointments are intended for persons who teach at least half-time but less than full-time. Additional employment outside the college will be subject to the provisions of the *Faculty Manual*.
- b) Guidelines for tenured or tenure-track part-time appointments include:
  - (i) Fractional FTEs of not less than one-half time per year with teaching normally done during both regular terms.
  - (ii) Credentials the same as those required for full-time appointments with similar curricular responsibilities.
  - (iii) A commitment to long-term professional growth and achievement.
- c) The rights and responsibilities of faculty with tenured or tenure-track part-time appointments are the same as for faculty with tenured or tenure-track full-time appointments (as specified in the relevant sections of the *Faculty Manual*) with the following provisos and conditions:

- (i) Faculty with tenured or tenure-track part-time appointments are expected to participate in the non-teaching duties of the faculty (e.g., advising, committee work) in the same proportion as their percentage of FTE.
  - (ii) Faculty with tenured or tenure-track part-time appointments who teach half-time shall, therefore, receive half the salary they would receive were they teaching full-time, and so on for other fractional FTEs.
  - (iii) Faculty with tenured or tenure-track part-time appointments are eligible to apply for funds to travel to professional meetings.
  - (iv) Faculty with tenured or tenure-track part-time appointments shall have franchise.
  - (v) Faculty with tenured or tenure-track part-time appointments are eligible for promotion and tenure under the same conditions applicable to faculty with full-time appointments. [See Section IX (“Tenure”).] Tenure for faculty with tenured part-time appointments, however, commits the college only to assurance of continuous employment at one-half the FTE. The responsibilities entailed by the award of tenure are fully incumbent on faculty with part-time appointments, who share with all other tenured faculty a special responsibility for the total ongoing life and program of the institution.
  - (vi) Tenured faculty on part-time appointments are eligible for sabbatical leave on the same basis as faculty on full-time appointments, for example, after six years of at least half-time service to the college, the sabbatical is one year at half current salary or one-half year at full current salary (current salary to be based on the average percentage FTE during the years counted toward leave).
- d) Although a part-time appointment does not imply a future full-time appointment, faculty who have had tenured or tenure-track part-time appointments may, on the recommendation of the appropriate department chairs, Associate Deans, and the Dean of the College, be given a corresponding full-time appointment by the President. If they are untenured at the time of the change in appointment, they come under all the provisions of tenure-track full-time appointments, except that the years served in tenure-track part-time appointments are counted toward the tenure probationary period only in proportion to the instructor’s actual FTE (e.g., a year of teaching half-time on a tenure-track part-time appointment counts as one-half year toward the probationary period). If they have tenure on a part-time status, they also come under all the provisions of tenured full-time status, except that they have assurance of continuous employment on a part-time basis; assurance of continuous employment on a full-time basis can be acquired only through a tenured full-time appointment.
- e) If it becomes necessary to terminate appointments for reasons specified in the *Faculty Manual*, the fact that a person holds a tenured or tenure-track part-time appointment shall not be a consideration in deciding for or against such termination.

- f) Although the college has no explicit provision for appointing two persons on a “shared tenure” basis, similar arrangements may be possible if each member of a team is granted a part-time appointment as described in this section.

## 2. Part-Time Term Appointments

- a) Part-time term appointments may be for terms of one, two, or three years. Part-time term appointments are intended ordinarily for persons appointed to fill a *bona fide* fractional teaching need, for example, when a department or a program has a fractional equivalent to fill, or a specialist is needed for a limited number of courses.
- b) Faculty with part-time term appointments shall be regarded as members of the faculty community in every way consistent with the conditions of the appointment. They shall be treated by all as professional colleagues. They shall be extended courtesies attendant on that status, be provided office space and clerical support, mailboxes, be given a just salary that accurately reflects their teaching duties and experience, be eligible for professional travel funds and for faculty development awards, and be encouraged and expected to pursue programs for long-term professional growth and achievement, and be given periodic peer reviews.
- c) Faculty with part-time term appointments are not eligible for tenure.
- d) Departments may extend franchise to part-time term faculty for department meetings.
- e) Faculty with part-time term appointments shall not be eligible for sabbatical leaves. However, they are eligible for special leaves without pay during the term of their appointment. They may apply for retirement and group health benefits if they meet eligibility requirements.
- f) Time served under a part-time term appointment shall count toward sabbatical leave if the individual is given at some later time an appointment which makes that person eligible for a sabbatical leave.
- g) Faculty with part-time term appointments who have taught satisfactorily for a number of years shall ordinarily be offered the opportunity to teach appropriate courses for which they are qualified before appointments are offered to new faculty to teach those courses as part of a part-time term appointment.

## 3. Part-Time Terminal Appointments

- a) Part-time terminal appointments shall be made for fractional teaching loads for a period of at most one year.
- b) Faculty with part-time terminal appointments shall have no obligation for service to the college apart from their assigned duties and other responsibilities attendant upon those duties, such as office hours. They may be expected, if so instructed by their department chair, to attend department meetings. They may, if they choose, be appointed to serve on *ad hoc* committees and serve in other non-curricular roles.
- c) Part-time terminal faculty shall not have franchise, though they shall have the privilege of attending and speaking at faculty meetings. Departments may extend franchise to part-time terminal faculty for department meetings.



#### D. Special Appointments

1. Special departmental appointments may be made, on a case-by-case basis, for persons whose abilities, while not necessarily reflecting the normative academic qualifications usually sought by the college, offer distinctive experience, expertise, or achievement that would enhance the college's educational aims. These appointments will carry the title of [Faculty Member] in Residence, full title to be determined by the appointing department in consultation with the Dean of the College.
2. These Special Appointments are term appointments. They may be part-time or full-time. They may be for terms of one, two, or three years.
3. Faculty on Special Appointments are not eligible for tenure. Faculty on tenure-track appointments or who are tenured are not eligible for Special Appointments.
4. Departments wishing to make a Special Appointment will present their request to the Dean of the College. The department request to the Dean of the College must contain a full justification for the Special Appointment, and a plan for regular evaluation of the appointment. The Dean of the College shall review the request, and consult with the Tenure and Promotion Committee on the matter. The Tenure and Promotion Committee will review the matter and make a recommendation as to the individual terms of the letter of appointment for the special appointee, excluding compensation. The Dean of the College will then recommend to the President whether to make the appointment. If the President approves the appointment, the letter of appointment will be sent by the Dean of the College. The letter of appointment will identify it as a Special Appointment, with reference to *Faculty Manual* provisions for Special Appointments in Section 4.VI.C.
5. Special Appointments will be eligible for renewal at the discretion of the Dean of the College, upon the recommendation of the department, up to the equivalent of six years of full-time service: 36 courses or course equivalents, taught either part-time or full-time, consecutively or non-consecutively. At the time of renewal, the terms of the faculty member's appointment will be reviewed, and may be revised. Should the Dean of the College or the Department wish to revise substantively the terms of appointment, the Dean of the College shall first ask the Tenure and Promotion Committee to review and comment on the proposed new terms.
6. During the academic year when the faculty member completes the equivalent of six years of full-time service, the performance of the faculty member shall be reviewed by the Tenure and Promotion Committee. The Tenure and Promotion Committee will use as its criteria of review the terms and expectations detailed in the letter or letters of appointment. The Tenure and Promotion Committee will then recommend to the Dean of the College if the appointment should be continued beyond the equivalent of six years of full-time service. The Dean of the College will then recommend to the President whether to continue the appointment and the President shall make the final determination. This review process shall be repeated after each six-year (or equivalent) period of full-time service.
7. All faculty members continuing on Special Appointments beyond the equivalent of six years of full-time service may apply for professional development leaves. The appointment letter shall expressly state the terms of any leave for which the faculty member shall be eligible.

#### E. Joint Appointments

For the purposes of this Manual, “joint appointment” refers to an appointment for which responsibility for appointment, reappointment, renewal, salary, tenure, and promotion recommendations shall be shared by more than one department. Assignment to teach courses in other departments does not in and of itself confer joint appointment status.

1. In the case of appointments, the chairs of the appropriate departments, in consultation with the Associate Deans of the relevant Faculties, shall be responsible for:
  - a) negotiating an agreement on the nature of the joint appointment;
  - b) determining the procedures for recruitment and interviewing the candidates;  
and
  - c) preparing a joint statement of expectations for teaching, professional activity, and service. This statement will be revised in the first year of appointment by the relevant chairs in consultation with the faculty member holding the appointment. This document will be made available to all members of the relevant departments.
2. Faculty members holding joint appointments shall be considered full members of each department to which they are appointed.
3. Except where a written agreement approved by the Dean of the College specifies other arrangements, the FTE of joint appointments is assigned in equal proportions to the relevant departments.

#### F. Released Time

Faculty, whether on full-time or part-time appointments, may, on the recommendation of the appropriate department chairs and Associate Deans, be granted a portion of released time from their teaching responsibilities in order to carry out administrative, professional, or other college-related tasks for a designated period of time. Except for a reduction in teaching load, all of the conditions of their appointment would remain the same; the period that a faculty member is on released time shall count as time in service toward tenure, sabbaticals, and salary increments. Salary and fringe benefits shall not be affected by released time. In most cases, a faculty member with released time is expected to participate in advising and committee and departmental work as usual.

## Section 4 - Faculty Personnel Policies and Procedures

### ***VII. Standards for Faculty Evaluation***

#### A. Faculty evaluation in relation to institutional mission and identity

St. Olaf College seeks to attract and retain a distinctive and accomplished faculty that advances the mission of the college by providing an academically rigorous, globally-informed liberal arts education in a Christian context. The college gives primary emphasis to effective undergraduate instruction that fosters student learning and development, expecting its faculty to ground their teaching in research, scholarship, and creative activity. The college also places a high value on scholarly and artistic work. Through such work, faculty members sustain their own intellectual and artistic vitality, exemplify a life of creative inquiry for students, enhance their capacity for effective instruction, enrich the intellectual and artistic lives of their colleagues, and expand human knowledge and imagination. Finally, the college values service and leadership within and beyond the institution. Through such contributions, faculty serve as models of civic engagement, enhance public discourse, and promote the consideration of individual and departmental interests in the larger context of the college's mission.

While there are no sectarian requirements for tenure or promotion, nor sectarian limits on what can be expressed or taught, it is central to the identity of the college that its faculty members regard inquiry into faith, morality, meaning, and values as essential to liberal learning and student development, and consider their work and the work of the college in light of such inquiry.

Guided by these institutional commitments, the college will evaluate candidates for hiring, renewal, reappointment, tenure, and promotion according to the criteria set forth in Section 4.VII.C. The criteria shall be applied within the context of the welfare and goals of the College, and are intended to reflect the identity and mission of St. Olaf as a liberal arts college of the Lutheran Church.

#### B. Purposes of faculty evaluation

Faculty evaluation serves two primary purposes. First, it provides guidance to faculty at every rank to encourage continuous self-evaluation, promote professional development, and lead to improved faculty performance. Second, the evaluation process specifies the criteria and evidence used to make judgments regarding renewal of term appointments, reappointment of tenure-track faculty, and the granting of promotion and/or tenure.

#### C. Categories and criteria for faculty evaluation

The three categories of criteria for faculty evaluation set forth below are listed in descending order of priority. However, the criteria within each category are not rank-ordered. Successful candidates for tenure and promotion to associate professor must demonstrate subject matter expertise and excellent practice in teaching; high quality in their scholarly or artistic work, and evidence that such work is likely to be continued; and service that advances the mission of the college. Successful candidates for promotion to professor must demonstrate enhanced expertise and excellence in teaching, significant and sustained accomplishment in their scholarly or artistic work, and leadership or other contributions of consequence that advance the mission of the college.

1. Category 1: Contributions to student learning and development. Such contributions may be made in a variety of contexts, including but not limited to instruction in on- or off-campus courses, field supervision in off-campus programs, studio lessons, undergraduate research, service-learning projects, academic advising, informal mentoring, and supervision of academic internships. Criteria within this category include:
  - a) Promoting student learning within one's scholarly or artistic field, including students' knowledge of its intellectual content and methods, and their understanding of its relationship to other fields of knowledge or ways of knowing.
  - b) Promoting student learning in relation to the broader outcomes of liberal education, such as the ability to think critically, communicate effectively, work creatively, engage diverse perspectives, integrate and apply knowledge to new problems or settings, and reflect thoughtfully on questions of religious, ethical, social, or global significance.
  - c) Promoting students' intellectual engagement through imaginative and effective use of instructional time; thoughtful adaptation to diverse learners; challenging and meaningful assignments; careful, timely, and useful evaluation of student work; responsiveness to students' interests; and effective assistance outside of class.
  - d) Facilitating students' reflective and deliberate development – intellectual, social, emotional, spiritual, physical, and vocational – by advising students thoughtfully, connecting students with curricular and co-curricular resources, and engaging meaningfully with students beyond the classroom.
  - e) Continuing one's own development as an instructor through a variety of means, such as participation in faculty development programs for advising, curriculum or pedagogy; development of new courses, or revision of existing courses, to reflect current scholarship in the field or new pedagogies; or the use of evidence of student learning, course evaluation results, or faculty performance reviews for instructional improvement.
  - f) Any other contributions to student learning and development which demonstrate enhanced expertise and excellence in teaching.
2. Category 2: Contributions to one's scholarly or artistic field(s). Contributions to scholarship may include, but not be limited to, disciplinary research and dissemination, interdisciplinary research and dissemination, applied scholarship, or the scholarship of teaching and learning. Scholarship may involve individual research, research with students, research with other faculty, or research with community partners.

To support the informed evaluation of the quality and significance of the candidate's contributions to his or her scholarly or artistic field(s), each department shall maintain a Department Statement on Significant Scholarly/Artistic Work. The Statement shall be prepared and periodically reviewed by the candidate's department(s) in accordance

with instructions provided by the Provost and Dean of the College. When approved by the Board of Regents or its designee, such department statements are binding on the College. A candidate's contributions to his or her scholarly or artistic field(s) shall be evaluated in light of the Statement on Significant Scholarly/Artistic Work in effect in the candidate's department(s) as well as in relation to the following three criteria:

- a) Engaging in substantial and sustained scholarly or artistic activity, such as scholarly research, development of artistic works or performances, application for grants or fellowships, preparation of informal papers or presentations, leadership or substantial service in academic professional organizations, delivery of invited lectures, service on academic editorial boards, development of new fields of expertise, engagement in consulting work, or other forms of professional activity as appropriate to one's field(s).
  - b) Disseminating high quality scholarly or artistic works, such as publications, papers, performances, compositions, exhibitions, conference presentations, grant reports, or other scholarly or creative achievements as appropriate to one's field(s). The frequency of dissemination is likely to vary according to the scope and content of the disseminated works, but should be sufficiently frequent to demonstrate the candidate's sustained and ongoing intellectual or artistic development and vitality. A candidate's portfolio of achievements may include scholarly or artistic work of varying types, but a portion of the portfolio normally shall include work that has been professionally reviewed by peers beyond the college in the candidate's scholarly or artistic field(s).
  - c) Any other activities demonstrating significant contributions to one's scholarly or artistic field(s).
3. Category 3: Contributions of service and leadership within and beyond the institution. Criteria within this category include:
- a) Enhancing the organizational effectiveness and community life of the department/program through a variety of means, such as participating in events and activities, serving on committees, assisting in the development of policies and programs, contributing to assessment and program review, advising departmental student organizations and activities, serving as liaison with other units of the college, or other activities as appropriate to the needs and mission of the department/program. Leadership as department chair or program director is a significant form of departmental service which is evaluated separately according to the criteria in Section 4.VII.C.3.c.
  - b) Enhancing the organizational effectiveness and community life of the college, and its contributions to the wider community, through a variety of means, such as serving on college-wide committees and task forces; participating in faculty meetings and forums; participating in college-wide activities, events, or grant-funded projects; contributing to inter-institutional projects or organizations; using one's professional expertise to enrich the social, cultural, and intellectual life of the wider community; or other activities as appropriate to the needs and mission of the college. Leadership in a college-wide administrative position is a

significant form of service to the college which is evaluated separately according to the criteria in Section 4.VII.C.3.c.

- c) Enhancing institutional and community life through administrative work. The following criteria are applicable to the evaluation of faculty whose appointment during the period of review has included service as a department chair, program director, associate dean, director of a center or office, or other comparable position. Although such service may result in a reduced teaching load or extent of scholarly or artistic work, it is expected that the candidate will continue to demonstrate distinction in relation to the criteria in Section 4.VII.C.1 and 2. Administrative work shall be evaluated in relation to the following criteria:
  - (1) Leadership skills, as demonstrated in the ability to create and sustain the unit's mission in relation to that of the college, promote innovative uses of college resources, and encourage professional/faculty development.
  - (2) Interpersonal skills, as demonstrated in the cultivation of effective working relationships to carry out the work of the administrative unit.
  - (3) Managerial skills, as demonstrated in organizing, delegating, and prioritizing work, exercising good judgment, and implementing college policies and procedures.
- d) Other significant contributions of service and leadership to St. Olaf College and the broader community.

## Section 4 - Faculty Personnel Policies and Procedures

### *VIII. Reappointments and Renewals*

- A. The term “reappointment” is an employment action referring exclusively to tenure-track faculty. The term “renewal” refers exclusively to the action of renewing for another year the employment of a faculty member within a multiple-year term appointment. The term “renewal” does not apply to new offers of employment to faculty holding one-year appointments, nor does it apply to the act of offering a subsequent term appointment after the expiration of a multiple-year term appointment.
- B. Written notice of reappointment or non-reappointment shall be sent to all non-tenured faculty holding tenure-track full-time or tenure-track part-time appointments. Notice shall be sent to those in their first year of service on or before March 1<sup>st</sup> of their first year; to those in their second year of service on or before December 15<sup>th</sup> of their second year; and those who have completed two years of service at least one year in advance of its effective date, normally September 1<sup>st</sup>.

On or before March 1<sup>st</sup> of each appointment year, written notice of renewal or non-renewal shall be sent to all faculty holding multiple-year term appointments that are not scheduled to expire at the end of that appointment year.

- C. At least thirty days before the deadlines for appropriate notice stated above, all department chairs shall submit to the Dean of the College recommendations concerning reappointment or non-reappointment of non-tenured faculty. Before doing so, each department chair shall consult with the individual involved, with the tenured and tenure-track members of the department as well as with the full-time members of the department who have completed at least two years of service at the college, and with the relevant Associate Deans. Recommendations must be supported by written evaluation based on the Department Staffing Plan and the Standards for Faculty Evaluation. In the case of a joint appointment, each chair shall submit an evaluation based on the candidate’s work in the chair’s department.
- D. For those faculty members who have received the appropriate reappointments a more comprehensive review will be conducted near the end of their second and fourth probationary years. The comprehensive review shall be conducted by the department chair. In the case of a joint appointment the relevant department chairs shall conduct the review in consultation with one another to minimize the duplication of effort while ensuring that both departments contribute equitably to the review process. In addition to the consultations described in Section 4.VIII.C, above, the chair(s) shall undertake the following before submitting a recommendation concerning appointment to the Dean of the College:
  - 1. The chair(s) shall notify the faculty member that a more comprehensive review is being undertaken.
  - 2. The faculty member shall provide an updated curriculum vitae, a professional statement as described in 4.XI.E.4, and samples of recent scholarly or artistic work to the chair.
  - 3. A written peer review of the faculty member’s teaching shall be prepared by the chair of the faculty member’s department and a tenured member of the faculty member’s department or Faculty. In the case of a joint appointment, the peer reviews shall be prepared by the chairs of the faculty member’s departments. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VIII.E below), a designated reviewer of that assignment may be included among the peer reviewers, subject to conditions described in Section 4.VIII.E below. These peer reviews shall address the faculty member’s contributions to student learning and development (Section 4.VII.C.1). The reviews shall include evidence from a

variety of sources, including a discussion with the faculty member about his or her teaching perspectives, practices and professional development; a sample of teaching materials prepared by the faculty member; and at least two observations of the faculty member's classroom instruction. In the case of a joint appointment, the peer reviews of teaching may be prepared by the relevant chairs alone.

4. The chair(s) shall solicit a representative sample of student reviews of the faculty member's teaching and advising, in consultation with an administrative office designated by the Dean of the College. The student reviews shall address the faculty member's contributions to student learning and development (Section 4.VII.C.1.) In the case of a joint appointment, the chairs will consult with the administrative office to ensure that the sample of student reviews is sufficiently representative of the faculty member's teaching in both departments.
5. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VIII.E below), the chair(s) may confer with a designated reviewer of that assignment concerning the quality of the faculty member's contributions in relation to Category 1 for faculty evaluation (Section 4.VII.C.1), subject to conditions described in Section 4.VIII.E below. That designated reviewer shall have access to the student reviews of the faculty member's teaching and advising to inform that reviewer's appraisal.
6. The chair(s) shall confer with the tenured members of the department(s) concerning the quality of the faculty member's contributions in relation to each of the categories and criteria for faculty evaluation (Section 4.VII.C) and the departments' Statement of Significant Scholarly/Artistic Work. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VIII.E below), a tenured department member may also serve as a designated reviewer of that assignment in relation to Category 1 for faculty evaluation (Section 4.VII.C.1), subject to conditions described in Section 4.VIII.E below. The tenured members of the department(s) shall have access to the faculty member's curriculum vitae, professional statement, samples of the faculty member's scholarly or artistic work, the student reviews of the faculty member's teaching and advising, and any previous letters of guidance provided to the faculty member to inform their appraisals.
7. The chair(s) shall invite all non-tenured members of the faculty member's department(s) who are full-time during the year of the review, and who have completed at least two years of full-time service at the College prior to the year of the review, to offer an appraisal of the faculty member's contributions in relation to the categories for faculty evaluation (Section 4.VII.C). A non-tenured member's years of service need not have been consecutive, but they must have occurred during the years of service of the faculty member under review. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VIII.E below), a non-tenured department member may also serve as a designated reviewer of that assignment in relation to Category 1 for faculty evaluation (Section 4.VII.C.1), subject to conditions described in Section 4.VIII.E below. The non-tenured members shall have access to the faculty member's curriculum vitae and the samples of the faculty member's scholarly or artistic work to inform their appraisals.
8. The chair(s) shall write a statement of recommendation and rationale to the Provost by a date determined by the Provost. This statement of recommendation shall address the faculty member's contributions in relation to each of the categories and criteria for faculty evaluation (Section 4.VII.C) and the department's (s') Statement of Significant Scholarly/Artistic Work. The statement shall make reference to any previous letters of guidance provided to the faculty member. The statement shall summarize the appraisals by other department members. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VIII.E below), the chair's (s') statement(s) shall summarize appraisals of that faculty member's teaching in that



assignment, if warranted under conditions described in Section 4.VIII.E below. The statement shall also summarize information from the peer and student reviews of teaching as well as other evidence of the quality and development of the faculty member's work as an instructor, scholar or artist, and colleague.

9. The associate dean(s), shall write a statement of recommendation and rationale to the Provost by a date determined by the Provost.
  10. In the event of reappointment by the President, the chair(s) in consultation with the associate dean(s) and the Provost, shall deliver a letter of guidance to the faculty member by June 15. If the comprehensive review is performed in the fall semester, then the chair(s) shall deliver the letter of guidance to the faculty member by March 1. The letter of guidance shall indicate the principal strengths of the faculty member's contributions and shall offer suggestions for continued growth and development as an instructor, scholar or artist, and colleague. This letter of guidance shall be included in the dossier of a faculty member who becomes a candidate for tenure. In the case of a joint appointment, the chairs shall write one joint letter of guidance to the faculty member.
- E. If a faculty member's work includes an interdisciplinary teaching assignment, that faculty member and that faculty member's chair(s) and associate dean(s) shall jointly negotiate the inclusion of that assignment in a comprehensive review as described in Section 4.VIII.D above. Any of those persons may initiate such a negotiation before the review process. An interdisciplinary teaching assignment *may* have a role in a comprehensive review if that assignment constitutes one-sixth of a faculty member's total teaching load during the period under review and *must* have a role if that assignment constitutes one-half of that teaching load. A faculty member and that faculty member's chair(s) and associate dean(s) shall negotiate details such as which assignments shall be considered interdisciplinary teaching assignments, the extent of those assignments as a proportion of total teaching load, and which role(s) those assignments may take in that comprehensive review among those identified in Section 4.VIII.D above, and shall determine any designated reviewer(s) for those role(s) in consultation with the leadership of that interdisciplinary teaching assignment, according to the particular circumstances of the case. If those negotiations cannot reach an agreement, the Provost or a designee of the Provost shall serve as arbiter.
- F. In order to guarantee a review every two years before tenure, and to correspond as closely as possible to the above guidelines, the following schedule should be observed:
1. Those whom the college has permitted to count 3 previous years of service (and would thus be in their fourth probationary year) would be reviewed in the fall of their second year of service at St. Olaf (probationary year 5) and at the normal time for tenure review.
  2. Those whom the college has permitted to count 2 previous years of service (and would thus be in their third probationary year) would be reviewed near the end of their second year of service at St. Olaf (the normal time for fourth-year review) and at the normal time for tenure review.
  3. Those whom the college has permitted to count 1 previous year of service (and would thus be in their second probationary year) would be reviewed in the fall of their second year at St. Olaf and the normal times for fourth-year and tenure reviews.
  4. Those who after consultation with the college decide to count 0 previous years of service (and would thus be in their first probationary year) would be reviewed near the end of their second year of service at St. Olaf (the normal time for their second-year review) and at the normal times for fourth-year and tenure reviews.

- G. The authority for final judgments in all renewal and reappointment decisions shall rest with the President. The terms and conditions of every reappointment shall be stated in writing and be in the possession of both St. Olaf College and the faculty member before the reappointment is official.
- H. It is the intent of the college that established deadlines for actions in reappointment and renewal decisions should be strictly observed. In the event a deadline has been missed the individual faculty member about whom the college is making a reappointment or renewal decision may move the matter forward by providing written notification to the President. The notification shall apprise the college of the details relating to the deadline that has passed and may demand prompt action to move the reappointment or renewal decision forward. If the college fails to provide a response to the demand within five business days of the President's receipt of the notification, the reappointment or renewal decision shall be deemed administratively granted.

## Section 4 - Faculty Personnel Policies and Procedures

### ***IX. Tenure***

- A. Tenure is a continuous appointment without stated term that is conferred on a faculty member after review. The college recognizes the importance of academic freedom and a sufficient degree of economic security, and the granting of tenure is therefore a commitment on the part of the college that the faculty member will be employed by the college until retirement or resignation except as provided in the *Faculty Manual*. After the expiration of a probationary period and after an affirmative tenure decision has been made by the Board of Regents, members of the faculty of St. Olaf College shall have tenure, and they shall only be subject to dismissal or termination in accordance with the standards and procedures established in the relevant sections of the *Faculty Manual* (i.e., Section 4.XIX. Dismissal Procedures and Section 4.XXI. Termination Procedures.)
- B. The granting of tenure is a recognition of the accomplishments and promise of a faculty member as demonstrated by his or her excellent teaching, high-quality scholarly or artistic work, and contributions of service and leadership. The decision to grant tenure reflects a comprehensive judgment about a faculty member's past performance and future potential in relation to the needs of the college. By granting tenure, the college is expressing confidence that a faculty member with demonstrated accomplishments in a tenure-track appointment will continue to contribute to student learning and development, to his or her field(s), and to service within and beyond the college in a way that is appropriate to the needs of the college. Thus, the successive annual evaluations leading up to the tenure decision shall serve to identify the professional capabilities and achievements, ongoing development, future promise, and compatibility with anticipated institutional needs of those faculty members who are eligible for tenure. Faculty who are granted tenure shall be responsible for their continued professional development.
- C. The following are necessary conditions for candidacy for tenure.
  - 1. Except under unusual circumstances, all candidates must have attained a terminal degree, or equivalent professional distinction, in their scholarly or artistic field.
  - 2. All candidates must have either a tenure-track full-time appointment or a tenure-track part-time appointment to be eligible for tenure review. The granting of tenure to a part-time faculty member is assurance only of continued part-time employment.
- D. The award of tenure shall always be based on an explicit review and decision by the college, following the procedures set forth in Section 4.XI. Tenure shall not be acquired by default through the mere passage of time in the probationary period.
- E. Normally, a faculty member holding a tenure-track appointment shall be a candidate for tenure in the final year of the probationary period. A faculty member may become a candidate for tenure prior to the final year of the probationary period upon nomination by a majority of the tenured members of the faculty member's department and with the faculty member's consent. A faculty member is considered for tenure only once.
  - 1. The probationary period of faculty members who hold academic rank will commence upon the first tenure-track appointment and shall not exceed six years of full-time equivalency. [For exception in instructor rank, see paragraph 3 below.] Service at other institutions of higher education or in prior years at St. Olaf shall be counted on the basis of the following conditions:

- a) The probationary period for any faculty member initially appointed to the rank of associate professor or professor shall not exceed three years and shall be stated in the first letter of appointment.
  - b) All service, up to a maximum of three years, at the rank of instructor or above at another institution of higher education may be counted for those initially appointed as instructors or assistant professors. The decision concerning the number of years to be counted shall be negotiated between the faculty member and the college during the first year of service at St. Olaf and shall be confirmed in writing in a letter from the Dean of the College to the faculty member on or before September 15<sup>th</sup> of the second year of service at St. Olaf. If agreement is not reached, the ultimate decision shall be at the discretion of the college.
  - c) Prior service at St. Olaf may be counted towards the probationary period, with a maximum of three years full-time equivalency. The decision concerning the number of years to be counted shall be negotiated between the faculty member and the college at the time of the initial tenure-track appointment and shall be stated in the first letter of appointment. If agreement is not reached, the ultimate decision shall be at the discretion of the college.
2. Under certain circumstances an extension of the probationary period may be granted to allow a tenure-track faculty member additional time to meet requirements for tenure. Circumstances that could justify a request for an extension include: the birth or adoption of a child, or the placement of a child for foster care; a serious health condition; a need to provide care for the faculty member's spouse, domestic partner, child, or parent with a serious health condition; military service. This list is meant to be illustrative, not exhaustive. The procedures and conditions for an extension shall be as follows:
- a) A request for an extension shall be initiated only by the affected faculty member. It shall be made in writing, with appropriate documentation, to the Dean of the College.
  - b) The Dean of the College, after consultation with the affected faculty member's chair(s) and associate dean(s), will recommend to the President whether to grant the extension. The President will have final determination.
  - c) A faculty member will be granted at most one one-year extension.
  - d) A faculty member is not eligible to apply for an extension once the final year of the probationary period has commenced.
  - e) If an extension is granted, the Dean of the College will inform the affected faculty member of any necessary changes to the schedule of pre-tenure evaluations planned for that faculty member.
3. A faculty member with the rank of instructor may continue to serve in that rank beyond the sixth year and without tenure.
- F. All tenure decisions shall be made according to the Procedures for Granting Tenure and Promotion (Section 4.XI). The authority for final judgments in all tenure decisions shall rest with the Board of Regents.
- G. Tenure decisions shall be based on judgments in the following two areas, listed in descending order of priority:
- a. The candidate's performance in relation to the categories and criteria set forth in the Standards for Faculty Evaluations (Section 4.VII). The specific criteria in Section 4.VII are neither inclusive nor exclusive. When making individual tenure decisions, the college

reserves the right to review the matter on a case-by-case basis, giving due weight to those criteria the college deems to be most relevant for the particular decision at hand. The goal in applying these criteria is distinction as well as competence.

- b. Considerations of personnel needs within the college.
- H. A faculty member holding the rank of assistant professor who is granted tenure will be appointed to the rank of associate professor, to take effect concurrently with his or her tenured appointment. Faculty whose tenure-line appointment starts prior to September 2011 are exempt from the automatic linking of tenure and promotion.
- I. Faculty members with tenure recognize that tenure conveys both privileges and responsibilities. Tenured faculty shall be responsible for their continued professional development as teachers, scholars or artists, and colleagues. They will regard themselves as a part of that group of faculty members who, because of the continuing relationships to the institution which their tenure involves, share responsibility for the total life and program of the institution. They will resign from their positions only after careful consideration of the effect upon the work of the college.

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### ***X. Promotion in Rank***

- A. The purpose of promotion in rank is to recognize sustained excellence and continued development in a faculty member's teaching, scholarly or artistic work, and contributions of service and leadership.
- B. The academic ranks of the college for its faculty shall be as follows, subject to the statement of qualification for each rank as specified in Section 4.VI.A.9
  1. Instructor, a rank normally held by a non-tenured faculty member who has not attained a terminal degree (or equivalent professional distinction) in his or her scholarly or artistic field.
  2. Assistant Professor, a rank normally held by a non-tenured faculty member who has attained a terminal degree (or equivalent professional distinction) in his or her scholarly or artistic field.
  3. Associate Professor, a rank normally held by a faculty member to whom tenure has been granted and who has demonstrated subject matter expertise and excellent practice in teaching; high quality in scholarly or artistic work, and evidence that such work is likely to be continued; and service that advances the mission of the college.
  4. Professor, a rank normally held by a faculty member to whom tenure has been granted and who demonstrates enhanced expertise and excellence in teaching, significant and sustained accomplishment in scholarly or artistic work, and leadership or other contributions of consequence that advance the mission of the college.

While the ranks of associate professor and professor are normally reserved for faculty members with tenure, under unusual circumstances a faculty member without tenure may be appointed to one of these ranks subject to the standards and procedures in Appointments, Section 4.VI, and Section 4.X.D, below.

- C. The college uses the designation “[Faculty Member] in Residence” to identify persons hired on Special Appointments and governed by the provisions on Special Appointments Section 4.VI.D).
- D. All promotion decisions shall be made according to the Procedures for Granting Tenure and Promotion (Section 4.XI) except those related to promotions from instructor to assistant professor. In the case of non-tenure-track appointments, any change in rank except a change from instructor to assistant professor must go through the normal procedures for promotion. The authority for final judgments in all promotion decisions shall rest with the President. A candidate for promotion shall be notified in writing of the outcome of the promotion decision.
- E. The following requirements are necessary conditions for promotion in rank:
  1. All candidates must have demonstrated that they meet high standards of professional competence in their scholarly or artistic field(s) and that they possess the ability and commitment to ensure continued growth.
  2. Except under unusual circumstances, all candidates must have attained a terminal degree, or equivalent professional distinction, in their scholarly or artistic field.
- F. Decisions concerning promotion in rank shall be based on the Standards for Faculty Evaluation (Section 4.VII), subject to the following considerations:

1. While six to nine years at a given rank may be regarded as normal, no minimum period is required before consideration for promotion; evidence of excellence in teaching and in scholarly or artistic work may be grounds for acceleration.
2. Longevity is not a qualification.
3. The specific criteria in Section 4.VII are neither inclusive nor exclusive, nor is their priority binding with equal force in all cases, exceptions may be justified by unusual circumstances, and the listing of the criteria shall in no way preclude a warranted exception.
4. The criteria shall be applied more rigorously in all categories of evaluation as the rank advances.
5. Scholarly or artistic achievements completed prior to a previous promotion shall be considered insofar as they provide evidence of significant accomplishment. However, such prior achievements do not by themselves constitute evidence of sustained accomplishment, which is an additional condition for promotion (Sections 4.VII.C and 4.X.A).

## Section 4 - Faculty Personnel Policies and Procedures

### ***XI. Procedures for Granting Tenure and Promotion***

These procedures draw on the principles, policies, and standards elsewhere in the *Faculty Manual*, especially in Sections 4.V, Faculty Staff Planning, 4.VII, Standards for Faculty Evaluations, 4.IX, Tenure, and 4.X, Promotion in Rank.

A. Recommendation for tenure and/or promotion normally shall be initiated by the department chair. If the candidate holds a joint appointment, recommendation normally shall be initiated by the relevant department chairs jointly. A candidate shall not initiate his or her own candidacy. If a candidate is a department chair, or in other unusual circumstances, recommendation may be initiated by the candidate's associate dean or a professor appointed by the associate dean.

B. Before initiating a candidacy, a prospective initiator shall confer with the prospective candidate.

For all cases of promotion, the initiator(s) shall convene a meeting of the tenured and tenure-track members of the candidate's department(s) who possess a rank equal to or greater than the rank to be considered, after providing them with an updated curriculum vitae from the candidate, in order to discuss the advisability of proceeding with the candidacy. The initiator(s) shall provide a written summary of this discussion to the candidate, the candidate's associate dean(s) and the Dean of the College.

For all cases of tenure prior to the final year of the probationary period (Section 4.IX.E), the initiator(s) shall convene a meeting of the tenured members of the candidate's department(s), after providing them with an updated curriculum vitae from the candidate, in order to discuss the advisability of proceeding with the candidacy. The initiator(s) shall provide a written summary of the discussion to the candidate, the candidate's associate dean(s), and the Dean of the College.

C. With the consent of the candidate, the initiator(s) of the candidacy shall send written notification of the faculty member's candidacy to the Dean of the College by March 1<sup>st</sup>. Under unusual circumstances, the Dean of the College may grant an extension.

D. The initiator(s) of the candidacy shall be responsible for compiling the candidate's dossier, conferring regularly with the candidate about the progress of the compilation and the general nature of the material, while keeping the names of individuals who have contributed to the dossier and the precise nature of the contributions confidential. In the case of reconsideration at the same rank within three years, promotion to associate professor or professor within three years of the tenure decision, or tenure within three years of a promotion decision, the new dossier may include documents from the previously-submitted dossier, selected in accordance with instructions provided by the Dean of the College. It is the responsibility of both the initiator(s) of the candidacy and the associate dean(s) to ensure that the dossier addresses all the categories and criteria comprising the Standards for Faculty Evaluations (Section 4.VII).

E. The dossier shall contain only the documents described below. If a tenured member of the candidate's department serves in more than one capacity in relation to the documents comprising the dossier (for example, as both the tenured member of the department and a peer reviewer of teaching), the tenured member shall prepare separate statements reflecting the distinctive purposes and requirements for each type of document. Except where otherwise provided below, the documents in the dossier are strictly confidential and, except when authorized by the Dean of the College, or in the event of an appeal by the candidate, the documents in the dossier shall be shared only with the initiator(s) of the candidacy, the candidate's associate dean(s), the Dean of the College, the members



of the Tenure and Promotion Committee, the President, and the Board of Regents. The Following documents shall be included in the dossier.

1. The department Statement on Significant Scholarly/Artistic Work or, in the case of a joint appointment, the joint statement of expectations for teaching, scholarly or artistic work, and service. If more than one statement has been in effect in the candidate's department during the period of time since the candidate was hired or previously reviewed for tenure or promotion, the candidate shall determine which version of the statement shall be included in the dossier.
2. Any previous letters of guidance provided to the candidate for tenure at the conclusion of the candidate's comprehensive reappointment reviews, normally conducted near the end of the second and fourth probationary years (Section 4.VIII.D.10).
3. The candidate's curriculum vitae. The curriculum vitae shall be prepared in accordance with instructions provided by the Dean of the College and is not confidential.
4. A professional statement prepared by the candidate. The professional statement shall convey the candidate's analysis and appraisal of his or her professional development, distinctive accomplishments, and priorities for the future in relation to the Standards for Faculty Evaluation (Section 4.VII). The principal purpose of the candidate's statement is to provide an interpretive framework for the evaluation of the scope and significance of the candidate's work and his or her maturation as an instructor, scholar or artist, and colleague. The statement should reference the written evaluations provided to the candidate at the conclusion of the candidate's most recent comprehensive reappointment review, and demonstrate the candidate's capacity for self-aware reflective practice, ongoing growth and improvement, and promise of sustained contributions. The statement shall be no longer than 3000 words.
5. Peer reviews of the candidate's teaching. Peer reviews of teaching shall be independently prepared by three faculty members: (1) a tenured member of the candidate's department(s) selected by the candidate, (2) one other tenured member of the candidate's department(s) selected by the tenured members, and (3) a tenured member of the St. Olaf faculty selected by the tenured members of the candidate's department(s) in consultation with the candidate. If there are not two tenured members of the department available to serve as peer reviewers, peer reviews may be prepared by tenured members of the candidate's Faculty or Faculties. In the case of a joint appointment, the initiators and the candidate shall confer in the selection of the peer reviewers to ensure that both of the candidate's departments contribute a review of the candidate's teaching. In the case of an interdisciplinary teaching assignment (identified as in Section 4.XI.F below), a designated reviewer of that assignment may be included among the peer reviewers, subject to conditions described in Section 4.XI.F below. The reviews shall address the candidate's contributions to student learning and development (Section 4.VII.C.1). Each review shall include evidence from a variety of sources, including an interview with the candidate about his or her teaching perspectives, practices and professional development, a sample of teaching materials prepared by the candidate, and at least two observations of the candidate's classroom instruction.
6. Student and alumni reviews of the candidate's teaching and advising. The Dean of the College shall designate an administrative office to solicit a representative sample of student and alumni reviews of the candidate's teaching and advising. The reviews shall address the candidate's contributions to student learning and development (Section 4.VII.C.1.). The procedures for soliciting and summarizing student and alumni reviews shall be designed to achieve validity, reliability, impartiality, and confidentiality in the results. A committee of three students, one selected by the candidate and the other two selected by the tenured members of the candidate's department(s) shall assist the designated office in gathering and

- summarizing the student and alumni reviews. In the case of an interdisciplinary teaching assignment (identified as in Section 4.XI.F below), one member of the student committee may be selected by a designated reviewer of that assignment, subject to conditions described in Section 4.XI.F below. Normally, at least one member of the student committee shall be a student for whom the candidate has not served as an instructor or advisor. The completed dossier shall include both the original individually-prepared reviews with identifying information removed, and summary information provided by the designated office.
7. In the case of an interdisciplinary teaching assignment (identified as in Section 4.XI.F below), a designated reviewer of that assignment may provide a statement appraising the quality of the candidate's teaching in that assignment, subject to conditions described in Section 4.VIII.E. Such a statement shall address the candidate's contributions to student learning and development (Section 4.VII.C.1). Such a designated reviewer shall have access to a sample of teaching materials compiled by the candidate, to the individually-completed student and alumni reviews of the candidate's teaching, and to quantitative summaries of these reviews (Section 4.XI.E.6) to inform that reviewer's appraisal.
  8. External reviews of the candidate's scholarly or artistic work. Reviews of the candidate's scholarly or artistic work shall be provided by at least two, but no more than four, individuals external to St. Olaf College. The purpose of these reviews is to provide expert evaluation of the quality and significance of the candidate's scholarly or artistic work. Normally, at least one of these reviews shall be prepared by an individual with little or no prior relationship with the candidate. After conferring with the candidate and the tenured members of the department(s), the initiator(s) of the candidacy shall provide to the Dean of the College an ordered list of recommended reviewers, including a rationale for each prospective reviewer and a description of his or her professional relationship, if any, to the candidate. The dean shall request from each reviewer a written evaluation of the candidate's scholarly or artistic work in relation to the criteria for contributions to one's disciplinary and/or interdisciplinary field(s) (Section 4.VII.C.2) and in light of the relevant department Statement(s) on Significant Scholarly/Artistic Work. Prospective reviewers shall be provided with the candidate's curriculum vitae, a portfolio of the candidate's scholarly or artistic work prepared by the candidate in accordance with instructions provided by the Dean of the College, the Standards for Faculty Evaluation (Section 4. VII), the department Statement(s) on Significant Scholarly/Artistic Work, and in the case of a joint appointment, the portion of the joint statement of expectations (Section 4.VI.E.1.c.) germane to scholarly or artistic work.
  9. Statements prepared by other St. Olaf faculty members. Statements shall be provided by three colleagues at St. Olaf College from outside the candidate's department(s) selected by the candidate and solicited by the initiator(s) of the candidacy. The principal purpose of these statements is to describe and evaluate the candidate's contributions to the organizational effectiveness and community life of the college (Section 4.VII.C.2). None of the colleagues preparing these statements shall be asked to serve simultaneously as a peer reviewer of the candidate's teaching. However, these statements may address the candidate's contributions to student learning and development and to the candidate's disciplinary or interdisciplinary field(s) if the additional information is likely to enhance the evidence provided elsewhere in the dossier.
  10. Reviews of the candidate's administrative work, if applicable. If a candidate is being evaluated under Section 4.VII.C.3, reviews of the candidate's administrative work in relation to the criteria listed therein shall be prepared by: (1) the candidate's supervisor, (2) no more than three constituents of the candidate's administrative unit selected by the candidate and supervisor in consultation with one another, and (3) one other faculty colleague with comparable administrative experience, selected by the candidate.

11. Statements of recommendation and rationale prepared by the tenured members of the candidate's department(s). Each tenured member of the candidate's department(s) shall prepare a confidential statement that makes a specific recommendation as to whether tenure or promotion should be granted, and that provides a rationale in support of the recommendation. The rationale shall address each of the categories for faculty evaluation in (Section 4.VII.C), and the department's Statement on Significant Scholarly/Artistic Work, and shall include specific evidence. In the case of an interdisciplinary teaching assignment (identified as in Section 4.XI.F below), a tenured department member may also serve as a designated reviewer of the quality of the candidate's teaching in that assignment, subject to conditions described in Section 4.XI.F below. In that case, that department member's statement shall address the candidate's contributions to student learning and development (Section 4.VII.C.1) in that assignment. In preparing their statements, the tenured members shall have access to the candidate's curriculum vitae and professional statement, to a sample of teaching materials and scholarly or artistic work compiled by the candidate, to the individually-completed student and alumni reviews of the candidate's teaching, and to quantitative summaries of these reviews (Section 4.XI.E.6). All tenured members of the candidate's department(s) including those on sabbatical or other leave, shall prepare a statement except in the case of a conflict of interest. In such a case, the initiator of the candidacy shall enter a statement in the dossier explaining the nature of the conflict of interest in lieu of the statement from the tenured member.
  12. Statement(s) of recommendation and rationale prepared by the initiator(s) of the candidacy. The statement(s) shall make a specific recommendation as to whether tenure or promotion should be granted and support the recommendation with a rationale that synthesizes the evidence in the dossier in relation to each of the categories and criteria for faculty evaluation (Section 4.VII.C). The rationale shall also consider the evidence in the dossier in relation to the department Statement on Significant Scholarly/Artistic Work or, in the case of a joint appointment, the joint statement of expectations for teaching, scholarly or artistic work, and service. The rationale shall specify the number of tenured members of the department whose statements recommend granting tenure or promotion and the number whose statements recommend against such action. The rationale shall also reference the opinions of all non-tenured members of the candidate's department who are full-time during the year of the review, and who have completed at least two years of full-time service at the college prior to the year of the review. The years of service need not have been consecutive, but they must have occurred during the candidate's years of service. In the case of an interdisciplinary teaching assignment (identified as in Section 4.XI.F below), the rationale shall reference appraisals of that candidate's teaching in that assignment, if warranted under conditions described in Section 4.XI.F below. In the case of a joint appointment, the initiators may prepare independent statements.
- F. If a candidate's work includes an interdisciplinary teaching assignment, that candidate and that candidate's chair(s) and associate dean(s) shall jointly negotiate the inclusion of that assignment in a tenure and/or promotion review as described in Section 4.XI.E above. Any of those persons may initiate such a negotiation before the review process. An interdisciplinary teaching assignment *may* have a role in a review if that assignment constitutes one-sixth of a candidate's total teaching load during the period under review and *must* have a role if that assignment constitutes one-half of that teaching load. The candidate and that candidate's chair(s) and associate dean(s) shall negotiate details such as which assignments shall be considered interdisciplinary teaching assignments, the extent of those assignments as a proportion of the total teaching load, and which role(s) those assignments may take in that review among those identified in Section 4.XI.E above, and shall determine any designated reviewer(s) for those role(s) in consultation with the leadership of that interdisciplinary teaching assignment, according to the particular circumstances of the case. If those

negotiations cannot reach an agreement, the Provost or a designee of the Provost shall serve as arbiter.

- G. The completed dossier shall be forwarded to the appropriate associate dean(s) on or before December 1<sup>st</sup>. At the discretion of the Dean of the College, the deadline may be extended. The associate dean(s) shall prepare a statement of recommendation and rationale to accompany the dossier. The statement(s) must make a specific recommendation as to whether tenure and/or promotion should be granted, and support the recommendation with a rationale that explains the significance of the candidate's professional development, distinctive accomplishments and priorities for the future in relation to the needs and goals of the candidate's Faculty or Faculties. The rationale shall address the categories for faculty evaluation (Section 4.VII.C), but need not constitute an independent summary of the contents of the dossier. The associate dean(s) shall forward the completed dossier, together with his or her statement(s) of recommendation and rationale, to the Dean of the College. The statement(s) of the associate dean(s) shall be shared only with the Dean of the College, the members of the Tenure and Promotion Committee, the President, and Board of Regents.
- H. Normally, the appropriate associate dean shall confer with a candidate for tenure and/or promotion on or before December 10<sup>th</sup> in anticipation of the candidate's interview with the Tenure and Promotion Committee. During this conference, the associate dean shall inform the candidate, in a general way, of the contents of the dossier, keeping the names of individuals who have contributed to the dossier and the precise nature of the contribution confidential. In the case of a joint appointment, the relevant associate deans shall confer with the candidate jointly.
- I. The Dean of the College shall provide to the Tenure and Promotion Committee on or before December 15<sup>th</sup> a list of all current candidates for tenure and/or promotion. At the discretion of the Dean of the College, the deadline may be extended.
- J. The Dean of the College shall interview each candidate for tenure and/or promotion.
- K. The Tenure and Promotion Committee shall review candidates for tenure and/or promotion in relation to the Standards for Faculty Evaluation (Section 4.VII).
  - 1. The committee shall receive from the Dean of the College the full dossiers of all candidates and the statement(s) of recommendation and rationale prepared by the associate dean(s). The committee shall also have access to each candidate's portfolio of scholarly or artistic work prepared in accordance with instructions provided by the Provost and Dean of the College.
  - 2. The committee shall discuss each candidate with the candidate's associate dean(s).
  - 3. The committee shall discuss each candidate with the initiator(s) of the candidacy.
  - 4. The committee shall interview each candidate.
  - 5. The committee shall discuss each candidate with the Dean of the College.
  - 6. For each of the candidates, the committee shall prepare a written recommendation to the Dean of the College as to whether tenure or promotion should be granted. The committee's recommendation shall include a summary of the committee's deliberations in relation to each of the categories for faculty evaluation (Section 4.VII), and a numerical summary of the committee's vote.
  - 7. If the committee intends to make a recommendation to the Dean of the College that is at variance with the recommendation on a candidate by the initiator(s) of the candidacy or the Associate Dean(s), the committee shall confer with such persons individually before it makes its final recommendation to the Dean.
- L. After reviewing the committee's recommendations, the Dean of the College shall prepare a written recommendation to the president as to whether tenure or promotion should be granted to each

candidate. The Dean shall forward his or her recommendations, together with the recommendations of the committee to the President.

- M. The President shall review the recommendations of the committee and of the Dean of the College. If the President intends to make recommendations or decisions at variance with the committee's recommendations, the President shall notify the committee.
- N. The President shall provide to the Board of Regents the names of those candidates to whom the President recommends that tenure be granted. Final tenure decisions shall be made by the Board of Regents.
- O. Subsequent to the decisions of the Board concerning tenure, and of the President concerning promotion, the Dean of the College shall meet with each candidate to inform the candidate of the outcome of the review process, and to provide an overall assessment of the candidate's professional development, distinctive accomplishments, and priorities for the future. Normally, this meeting shall occur within one week of the Board or President's final decision, and shall precede any public announcement of the names of faculty members receiving tenure and/or promotion.
- P. The President shall notify each candidate in writing of the decision to grant tenure and/or promotion.
- Q. Normally, the names of faculty members receiving tenure and/or promotion shall be announced within one week after the decisions of the Board of Regents and of the President.

## Section 4 - Faculty Personnel Policies and Procedures

### ***XII. Oral and Written Reasons in the Event of a Decision Not to Reappoint, Renew, or Promote***

#### A. Oral Reasons

In the event of a decision denying annual renewal within a multiple-year term appointment, reappointment, tenure, or promotion, the faculty member shall be informed of the decision in writing, and, upon request, be advised orally in a meeting with the Dean of the College of the reasons which contributed to the decision.

1. The request for a meeting with the Dean of the College shall be made in writing within fourteen (14) calendar days of the faculty member's receipt of official written notice of the decision.
2. The Dean of the College shall schedule and conduct the meeting as soon as is reasonably practical.

#### B. Written Reasons

Having met with the Dean of the College and been given orally the reasons which contributed to the decision, the faculty member may request that the reasons be confirmed in writing.

1. The request for written confirmation of the reasons which contributed to the decision must be made in writing within seven (7) calendar days of the meeting with the Dean of the College.
2. The Dean of the College shall honor the request for written confirmation of the reasons which contributed to the decision within seven (7) calendar days of the request.

[Adapted from *AAUP Policy Documents and Reports*, 1995 Ed., p. 18.]

### ***XIII. Salary***

The major purpose of the salary policy shall be to compensate the faculty in an equitable manner. Salaries are normally based on service during the academic year, but are usually paid over twelve months. Benefits provided to faculty as employees of the college are described in the *Faculty Handbook*.

The procedure for establishing the annual salary distribution formula and individual salaries is as follows:

1. The Chief Financial Officer shall provide the Faculty Life Committee a report regarding the budget plans for the next academic year on or before December 15<sup>th</sup>.
2. Each Associate Dean shall meet with the department chairs of his or her faculty to review faculty salaries for cases where adjustments may be warranted and shall communicate their recommendations, if any, to the Dean of the College by April 15<sup>th</sup>.
3. If any portion of the salary pool that year has been designated for merit pay, the department chair shall follow whatever guidelines have been established for evaluating members of his or her department and shall share recommendations with the Associate Dean, who shall communicate them to the dean of the College by May 1<sup>st</sup>.

4. The Board of Regents, normally at its May meeting, makes a decision regarding the size of the salary pool.
5. Based upon the salary pool set by the Board of Regents, the Faculty Life Committee shall develop a salary distribution formula and forward this recommendation to the President and the Dean of the College on or before May 15<sup>th</sup>.
6. After the Dean of the College has met with all Associate Deans and reviewed the salary distribution formula recommendation from the Faculty Life Committee, the Dean of the College shall make recommendations for salaries and forward them to the President. If these recommendations differ from those of the department chair and the Associate Dean submitted to the Dean of the College by April 15<sup>th</sup> (see #2 above), the recommendations of both the department chair and Associate Dean shall be included.
7. The President shall set the salaries of faculty members and normally inform them in writing of their salaries by July 1<sup>st</sup>.
8. The Dean of the College shall notify department chairs and Associate Deans of the salaries in their respective departments on or by July 15<sup>th</sup>.

#### ***XIV. Benefits***

Employee benefits are generally offered to faculty and other exempt non-faculty employees on an identical basis. The benefits offered by the college to faculty include medical insurance, life insurance, long-term disability insurance, retirement plan, and reimbursement accounts for medical and dependent care expenses along with some statutory benefits, such as worker's compensation. An overview of these benefits can be found in the *Faculty Handbook*. The detailed binding terms and conditions pertaining to these benefits are found in the plan documents and contracts between the college and insurance or other companies.

The Benefits Advisory Committee, which is appointed by the President to make recommendations to the President regarding benefits, includes at least 4 members of the faculty, one of whom is appointed by the Faculty Life Committee. See the *Faculty Handbook* for a description of the Benefits Advisory Committee.

#### ***XV. Leaves of Absence***

- A. A leave of absence is a period of time in a faculty member's employment during which he or she is partially or completely relieved of on-campus responsibilities.
- B. A faculty member who begins a non-FMLA (Family Medical Leave Act) leave of absence is considered to have resigned from all elected committee positions and elected offices.
- C. Faculty who have been granted a leave of absence should consult with the Human Resources Office to determine their eligibility for benefits during their leave and to make arrangements for any payments that may be necessary.
- D. The period during which a faculty member is on leave shall not count as time in service accumulating toward a sabbatical leave.

- E. The period during which a faculty member is on leave shall count as time in service in determining salary increments, provided that the leave is not for the purpose of work toward a terminal degree as defined by one's department.
- F. A faculty member with a tenure-track appointment who takes a leave of absence may choose whether to count the leave period as part of the probationary period before tenure unless the leave is for the purpose of pursuing work toward a terminal degree as defined by one's department, in which case the leave period shall not count as part of the probationary period. A faculty member with a full-time appointment who chooses to count the leave period shall count it as full-time service; a faculty member with a part-time appointment who chooses to count the leave period shall count it in terms of his or her FTE the preceding year. The choice shall be made in writing before the leave period begins.
- G. Faculty members who are granted a leave of absence from the college are expected to return to the college after their leaves have been completed. It is anticipated that most faculty members will return to their former position when they return from their leave of absence. There may be situations, however, where (when consistent with applicable law) the college will need to fill the position the faculty member held. In these instances, the college will attempt to place the faculty member in a similar position when he or she returns to work.
- H. Faculty members not returning to work upon the conclusion of their leaves of absence will be deemed to have resigned from their employment unless an extension of the leave has been granted.
- I. Notice of severance from the college shall not be given during a leave of absence except pursuant to provisions of the *Faculty Manual*.

When faculty members have been granted leaves of absence, the administration of the college will strive to make proper provision for their work without increasing the teaching loads of other members of the faculty.



## Section 4 - Faculty Personnel Policies and Procedures

### *XVI. Post-Tenure Review Process*

- A. St. Olaf College strives to provide an exceptional undergraduate liberal arts education for all of its students. The principal responsibility for achieving that purpose rests with the faculty. In order to be effective educators, faculty members need to grow and develop – as teachers, scholars, and citizens – implementing a type of post-tenure review consonant with its ideals. The process is intended to be neither arduous nor time-consuming, but routine, informative, and practical.
- B. There are two separate features of this process – yearly course evaluations and a periodic professional development conversation with the faculty member’s department chair(s) and/or associate dean(s). Both are designed to be formative and supportive.
  - 1. **Course evaluations:** Every year each tenured faculty member will distribute either a pre-designed or a self-designed course evaluation to at least two classes of students and make the completed evaluations available to the faculty member’s department chair. The minimum number of courses evaluated is based upon a full-time load and can be pro-rated for partial teaching loads.
  - 2. **Professional development conversation:** During the fourth year after a sabbatical, each tenured faculty member will have a conversation with his/her department chair(s) and/or associate dean(s) about how the College might best support the faculty member’s career objectives. This conversation will be based on a professional development plan drafted by the faculty member and shared with the department chair before October 1<sup>st</sup> of that year. The professional development plan will be a reflection on the faculty member’s contributions to the mission of the college over the previous three years (including information about professional activity, service to the College, teaching, and advising) and a projection of ideas for the future. The faculty member may incorporate peer review.
- C. The faculty promotion process is separate from the post-tenure review activities. The dossiers for promotion contain data gathered specifically for that purpose, and will not contain documents generated during a post-tenure review.

### *XVII. Sabbatical Leaves*

- A. The sabbatical leave has grown out of a recognition of the need and desirability for each faculty member to have an opportunity at regular intervals for professional growth and renewal. The purpose of the sabbatical leave program is to strengthen the faculty by providing opportunity for tenured and tenure-track faculty members to improve their competence as creative and interpretive teachers. All tenured and tenure-track faculty are eligible to apply for sabbatical leaves according to the terms of this Section.
- B. Each faculty member’s sabbatical should be designed primarily to engage the individual with some aspect of current scholarship or professional activity. It should not be used simply to prepare course material or to broaden one’s perspective through travel, although such activities may be appropriate as a part of a professionally oriented program of research or study.
- C. Sabbatical salary is based on the length of the sabbatical leave and the average FTE of the faculty member over the period of service counted towards the sabbatical leave. In this section current salary

means the average annual FTE over the period counted towards the sabbatical leave times the full-time salary in effect during the year of the sabbatical leave. Sabbatical leaves for one year shall be at 50% of the current salary. For a faculty member who takes a one-half year sabbatical leave, the salary for the academic year will be 0.5 times current salary plus fractional FTE during the non-leave portion times the full-time salary.

- D. A faculty member taking a one-year sabbatical may apply to the college for an additional grant of up to 20% of current salary provided that no outside funding would consequently be reduced.
- E. Eligibility to apply for a sabbatical leave is based on years of service. Each member of the faculty who has been awarded tenure has a right to expect, and is expected to apply for a sabbatical leave after each six years of service to St. Olaf College. Such service need not be continuous. In this section, a year of service is defined to be an academic year in which a faculty member works at least half-time. An academic year in which a faculty member takes a half-year sabbatical leave is not counted as a year of service. When a year-long sabbatical leave begins with the calendar year, the academic year in which the sabbatical leave ends is counted as a year of service towards the next sabbatical leave, with the FTE for the year being the sum of the FTE's during the non-leave portions of the two academic years in which the sabbatical leave occurred.
- F. One-semester sabbatical leaves may be awarded to untenured faculty with tenure-track appointments who have claimed no more than one year of prior service in establishing the tenure probationary period and who have been reappointed after at least one comprehensive review conducted according to the procedures in Section 4.VIII. The leave period shall count as part of the probationary period before tenure.

Pre-tenure sabbatical leaves are normally taken in the year prior to the faculty member's tenure review. A pre-tenure sabbatical leave may not be taken in the year of the faculty member's tenure review. Eligibility for a sabbatical leave following a pre-tenure sabbatical leave normally comes after a further six years of service.

- G. Exception in the regular schedule of applications for sabbatical leaves may be made for the reasons listed below. A faculty member who receives approval for a change in sabbatical schedule should request confirmation in writing from the Dean's Office of the change and its impact on the timing of the subsequent sabbatical.
  - 1. For reasons of staffing and planning, a department may request a faculty member to take a sabbatical leave one year earlier or one year later than regularly scheduled. The department chair must obtain the approval of the Dean of the College for such changes in sabbatical schedule. A faculty member who for departmental reasons takes a leave earlier than regularly scheduled may apply for the subsequent sabbatical after six years of service. A faculty member who for departmental reasons takes a leave later than regularly scheduled may apply for the subsequent sabbatical after five years of service.
  - 2. Faculty members who assume college responsibilities such as department chair may request a postponement in their sabbatical leave. If the Dean of the College and the faculty member agree that such a postponement is in the best interests of the college, then the faculty member will be eligible to apply for the subsequent sabbatical at the time he/she would have been without the postponement. If the Dean does not agree that the postponement is desirable, then such a postponement will be treated as in part 3 below.
  - 3. Faculty members may request an advancement of one year or postponement in their sabbatical leaves for personal reasons. Such requests will be reviewed and decided upon, on an individual basis, by the Dean of the College. A faculty member whose leave is advanced for personal reasons may apply for the next sabbatical after seven years of service. A faculty

member whose leave is postponed for personal reasons may apply for the subsequent sabbatical after six years of service.

4. Circumstances not covered above which affect the scheduling of a sabbatical leave should be discussed with the Dean of the College. If a change of schedule is approved, the faculty member shall be eligible for subsequent leaves according to a schedule agreed upon at the time the change of schedule is granted.
  5. For reasons deemed significant to the college, the Dean of the College may advance the timing of a faculty member's eligibility to apply for a sabbatical leave.
- H. The right to expect a sabbatical leave is a contingent, not an absolute right. The granting of sabbatical leaves is not, therefore, automatic. In exercising its discretion in deciding whether to grant sabbatical leaves, the college will normally consider, in addition to other factors deemed relevant by the college, the following minimum requirements consistent with the basic intent of the sabbatical leave program:
1. The faculty member must apply for a sabbatical leave in order to be considered. Application forms may be obtained from the office of the Dean of the College by responding to the email notification of eligibility it sends by April 1. The application is a multi-stage process. On or before June 1 of the academic year preceding submission of an application for a sabbatical leave, the faculty member must notify his/her department chair(s), associate dean(s), and the Dean of the College of his/her intent to apply, including the proposed dates of the leave and a brief description of tentative plans for the sabbatical. A draft of the sabbatical application will be submitted to the chair(s) of the department and the Associate Dean(s) by September 1 in order to allow for a productive discussion of the application with the faculty member. The final application form will be submitted to the department chair(s) by October 1, with a request for a recommendation; the chair(s) will then forward the application along with this recommendation to the Dean of the College on or before the Tuesday following Fall Break for a leave to begin during the following academic year. Notification of approval of the sabbatical leave will be sent to the faculty member by the end of the Fall Semester.
  2. The applications for sabbatical leave shall be reviewed by the Sabbatical Leaves Subcommittee of the Faculty Life Committee and the Dean of the College. The Sabbatical Leaves Subcommittee shall consist of members of the Faculty Life Committee who shall be appointed by the chair of that committee; these appointments shall be ratified by said committee. The Sabbatical Leaves Subcommittee shall be broadly representative and composed of tenured members who have had sabbatical leaves. Their recommendations shall be made to the Faculty Life Committee which, in turn, makes recommendations to the Dean of the College. Final approval of sabbatical leave applications is the prerogative of the President.
  3. The Sabbatical Leaves Subcommittee shall satisfy itself that the following minimum criteria are met:
    - a) The applicant must have a worthy project as attested to by the chair(s) of their department(s) and their associate dean(s).
    - b) The project must be in harmony with the objectives of the sabbatical leave program as specified in Section 4.XVII.A&B.
    - c) For pre-tenure sabbatical leaves, the project must significantly aid in preparing the faculty member to meet the stated criteria for tenure.
- I. Following the completion of a sabbatical leave, recipients shall submit a report of their sabbatical leave activities to the Dean of the College, to their associate dean(s), and to their department chair(s). The Dean of the College shall make these reports available for review by the Faculty Life Committee.

The approval by the Dean of the College of the report of a sabbatical leave shall normally be a condition for the granting of a subsequent sabbatical leave to a faculty member.

- J. The period of sabbatical leave shall count towards salary increments.
- K. At the beginning of each academic year, the Dean of the College shall make available to the faculty a list of the persons on sabbatical leave during that academic year.

## **Section 4 - Faculty Personnel Policies and Procedures**

### ***XVIII. Resignation***

Notification of resignation by a faculty member ought to be early enough to prevent staffing problems. As a general rule, a resignation should be submitted at least one semester before its effective date.

### ***XIX. Dismissal Procedures***

Dismissal of a faculty member with a tenured appointment, or with a non-tenured appointment before the end of the specified term, may be effected by the institution only for adequate cause. Adequate cause for dismissal of a faculty member shall be (1) incompetence or dishonesty in teaching or research, (2) neglect of institutional responsibilities, or (3) personal conduct involving moral turpitude or which substantially impairs the individual's fulfillment of institutional responsibilities.

#### **A. Preliminary Proceedings**

When reason arises to question the fitness of a faculty member who has tenure or whose term of appointment has not expired, the President shall discuss the matter with the individual in personal conference. If the matter is not settled by mutual consent at this point, the President shall request that the Faculty Life Committee informally inquire into the situation. If the Faculty Life Committee cannot settle the matter, it shall determine whether formal proceedings to consider dismissal should be initiated. If the committee recommends that such proceedings should be initiated, or if the President, even after considering a recommendation of the committee favorable to the faculty member is convinced that a proceeding should be undertaken, action shall be commenced under the procedures which follow. Except where there is disagreement, a statement with reasonable particularity of the grounds proposed for the dismissal shall then be formulated jointly by the President and the Faculty Life Committee; if there is disagreement, the President or a representative shall formulate the statement.

#### **B. Commencement of Formal Proceedings**

The formal proceedings shall be commenced by a communication addressed to the faculty member by the President informing the faculty member of the statement formulated, and of a hearing to determine whether he or she should be removed from a faculty position on the grounds stated which will be conducted by a hearing committee (see below) at a specified time and place. In setting the date of the hearing, sufficient time shall be allowed the faculty member to prepare a defense. The faculty member shall be informed of the procedural rights accorded. The faculty member may respond in writing to the statements in the President's letter at any time before the scheduled hearing.

#### **C. Suspension**

Suspension of the faculty member during the proceedings is justified only if the President or the Dean of the College believes that immediate harm to the individual or others is threatened by continuance of teaching. Any such suspension shall be with pay.

#### **D. Hearing Committee**

The committee of faculty members to conduct the hearing and reach a decision shall be appointed in the following manner:

1. The Faculty Governance Committee shall appoint one member from the tenured faculty to serve as chair of the Hearing Committee. The appointment cannot be challenged.
2. The Faculty Governance Committee shall also present to the appointed chair a slate of ten tenured faculty members from whom the President and the faculty member involved shall by mutual agreement select two additional members to serve on the Hearing Committee. Faculty members deeming themselves disqualified for bias or interest shall remove their names from the list. If the President and the faculty member cannot reach agreement, the Faculty Governance Committee shall appoint the members.
3. The Faculty Governance Committee shall make it clear to the Hearing Committee that the burden of proof for adequate cause rests with the institution. Such a determination shall be satisfied only by clear and convincing evidence in the record considered as a whole.
4. Except as specified below, neither the Hearing Committee nor the Board of Regents shall be bound by the formal rules of court procedure.

#### E. Committee Proceedings

The Hearing Committee shall proceed by considering the statement of grounds for dismissal already formulated and the faculty member's response (if any) written before the time of the hearing. The committee, in consultation with the President and the faculty member, shall exercise its judgment whether the hearing should be public or private. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter set forth in the President's letter to the faculty member shall be received.

The Hearing Committee shall determine the order in which any testimony shall be given and shall conduct the questioning of all witnesses. If necessary, it shall also secure the presentation of any additional evidence it deems important to the case.

The President or a designated representative may attend the hearing, and may choose counsel to assist in presenting the institution's case. The faculty member shall have the option of assistance by counsel of his or her choice and shall have the aid of the committee, when needed, in securing attendance of witnesses.

The faculty member or the faculty member's counsel and the President, his or her representative, or the counsel of the college, shall have the right, within reasonable limits, to question all witnesses who testify orally and to expand upon or question the nature of all other evidence presented to the committee. The faculty member shall have the opportunity to be confronted by all adverse witnesses. Where unusual and urgent reasons move the Hearing Committee to withhold this right, or where the witnesses cannot appear, the identity of the witness, as well as his or her statements, shall, nevertheless, be disclosed to the faculty member. Subject to these safeguards, statements may, when necessary, be taken outside the hearing and reported to it. All the evidence shall be duly recorded.

If the faculty member waives his or her right to a hearing or fails to respond to requests from the Hearing Committee for written or oral statements, the Hearing Committee shall evaluate all available evidence and rest its recommendation upon the evidence in the record.

#### F. Consideration by Hearing Committee

The committee shall reach its decision in conference on the basis of the hearing record. Before doing so, it shall give opportunity to the faculty member or his or her counsel and the President, his or her representative, or the counsel of the college, to argue orally before it. If written briefs would be helpful, the committee may request them. The committee may proceed to decision promptly, without having the record of the hearing transcribed, where it feels that a just decision can be reached by this means, or it may await the availability of a transcript of the hearing if its decision would be aided thereby. It shall make explicit findings with respect to each of the grounds of removal presented and

shall provide a reasoned opinion for each decision. The President and the faculty member shall be notified of the decision in writing and shall be given a typewritten copy of the record of the hearing. The committee shall complete its work no later than 45 days after the commencement of formal proceedings.

#### G. Consideration by Board of Regents

1. The President shall transmit to the Board of Regents the full report of the Hearing Committee, stating its action. The Board of Regents may of its own choosing decide to review the case or, if the faculty member so requests, it must review the case. The review shall be based on the record of the previous hearing, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or their representatives. The decision by the Board must be made no later than 120 days after the decision of the Hearing Committee. The decision of the Hearing Committee shall either be sustained or the proceeding be returned to the committee with objections specified.
2. In such a case, the committee, within 30 days, shall reconsider, taking account of the stated objections and receiving new evidence if necessary. It shall frame its decision and communicate it in the same manner as before.
3. The Board of Regents shall make a final judgment no later than 120 days after the committee's decision concerning reconsideration.

#### H. Publicity

Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements about the case by either the faculty member or administrative officers shall be avoided so far as possible until the proceedings have been completed. Announcement of the final decision by the Board of Regents shall include a statement of the Hearing Committee's original action.

#### I. Remuneration

On the recommendation of the faculty Hearing Committee or the President, the Board of Regents, in determining what, if any, payments will be made to the faculty member beyond the effective date of dismissal, shall take into account the length and quality of service of the faculty member.

### ***XX. Institutional Sanction***

- A. Sanctions short of dismissal (e.g., loss of prospective benefits, major fines, reduction in salary, suspension from service) may be effected by the institution only in cases of demonstrated irresponsibility or professional misconduct.
- B. If a sanction short of dismissal is contested, the faculty member affected may seek redress through the Grievance Procedure.

## Section 4 - Faculty Personnel Policies and Procedures

### ***XXI. Termination Procedures***

- A. Termination of a tenured appointment, or of a non-tenured appointment before the end of the specified term, may be effected by the institution only for adequate cause. Adequate cause for termination of service of a faculty member shall be (1) demonstrably *bona fide* financial exigency as declared by the Board of Regents, (2) discontinuance of a department for reasons other than financial exigency, or (3) demonstrable medical disability.
1. Demonstrably *bona fide* financial exigency as declared by the Board of Regents: If the Board of Regents declares a financial exigency, the following steps shall be taken before any adjustments in faculty are made:
    - a) The President and the Dean of the College, following the Board's notice of financial exigency, shall present data relevant to the exigency at a meeting of the faculty. The faculty may request the Board to make available a report of the results of an outside consultant who has examined the claim of exigency.
    - b) The President and the Dean of the College shall bring to the campus outside colleagues to assist the college in planning necessary changes in the program of the college.
    - c) Adjustments required in each department shall be prepared by the President and the Dean of the College and reviewed by both the Curriculum Committee and the Faculty Life Committee.
    - d) Following these reviews, the President and the Dean of the College shall prepare a general plan to adjust the staff, indicating the number of needed changes in the different areas of the college. Final approval of this plan must be made by the Board of Regents.
  2. Discontinuance of a department for reasons other than financial exigency. In such cases, guidelines in Section 3.VII shall be followed.
  3. Demonstrable medical disability: Termination for demonstrable medical disability of a tenured appointment, or of a non-tenured appointment before the end of the specified term, shall be based upon clear and convincing medical evidence that the medical condition makes it impossible for the faculty member to meet minimal, work-related levels of achievement even with reasonable disability accommodations. The decision to terminate shall be reached only after there has been appropriate consultation and the faculty member or his or her representative has been informed of the basis of the proposed action and has been afforded an opportunity to present his or her position and to respond to the evidence.
- B. All faculty staffing changes resulting from any of the above decisions must follow due process as outlined below.
1. All faculty members whose appointments are terminated shall receive a written explanation from the President justifying this action. All faculty members whose appointments are terminated pursuant to Sections 4.XXI.A.1 or 4.XXI.A.2 must be notified by the President, in writing, at least two full academic semesters before the termination is intended to take effect.
  2. Any faculty member not convinced that adequate cause has been demonstrated may file a written response with the Faculty Life Committee. The committee shall review the



- institution's statement justifying adequate cause and the faculty member's rebuttal. If one-third of the committee feels a hearing is necessary in order to reach a decision, a hearing shall be scheduled to clarify statements received and to accept any additional evidence the President, a representative of the President, or the counsel of the college, and the faculty member, or designated counsel, wish to submit. The committee's decision (and, if possible, its written opinion) shall be presented to the Board of Regents. The Board of Regents shall make the final decision.
3. Before issuing notice to a faculty member of its intention to terminate an appointment pursuant to Sections 4.XXI.A.1 or 4.XXI.A.2 the administration must make every effort to place the faculty member concerned in another suitable position. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered. If no position is available within the institution, with or without retraining, the faculty member's appointment may then be terminated, but only with provision of severance. In every case of termination, except cases based on medical disability, the faculty member involved will be given notice according to the schedule for non-reappointment. Where notice is not given according to this schedule, severance salary shall be paid to the completion of the current contract year; in addition, those in their first year of service shall receive three months extra salary, those in their second year shall receive six months extra salary and those in their third, or later, year shall receive twelve months extra salary.
  4. If any tenured or tenure-track appointment is terminated pursuant to Section 4.XXI.A.1 or Section 4.XXI.A.2 the released faculty member's position shall not be filled by a replacement for a minimum of two years following the termination of the appointment.

## ***XXII. Harassment***

Harassment of any member of the St. Olaf community that is based on an individual's protected class status is prohibited. The college prohibits sexual harassment and all other forms of unlawful harassment by any individual, including supervisors, employees, coworkers, students, and third parties such as consultants, contractors or vendors. Procedures for handling harassment complaints are described in the *Faculty Handbook*.

## ***XXIII. Grievance Procedure***

### **A. General Considerations**

1. A faculty member may bring a grievance under this policy alleging mistreatment or violation of his or her rights by another college employee related to his or her work as a faculty member. Matters grievable under this policy shall not include decisions regarding reappointment, tenure, promotion, or renewal (matters governed by the procedure in Section 4.VIII and XI), dismissal or termination (matters governed by the procedures in Sections 4.XIX and 4.XXI, respectively); complaints of unlawful discrimination or harassment (matters referred exclusively to the Human Resources Office), or scientific misconduct (governed by the procedure in the *Faculty Handbook*).

2. The Faculty Review Committee is charged with reviewing the merits of the grievance and reporting its findings of fact and recommendations, normally within ninety (90) calendar days of receipt of the grievance petition.
3. Time frames and the procedures set forth in this policy are intended by the college to be followed in all instances. Nevertheless, extraordinary circumstances may occur in which variation from what is set out here is necessary. The Dean of the College and the President may grant requests for such variances from the Chair of the Faculty Review Committee or any party to the grievance.

#### B. Initiating a Grievance

1. A faculty member may initiate a grievance by notifying the Chair of the Faculty Review Committee within one (1) year of the circumstances or events giving rise to the grievance. The faculty member shall submit to the Chair of the Faculty Review Committee, the Dean of the College, and the President a written petition setting forth in detail the nature of the grievance and against whom the grievance is directed. The petition shall contain all factual information the faculty member deems relevant to the grievance, including, but not limited to, the identity of the party or parties against whom the grievance is directed, the identity of all witnesses to the events giving rise to the grievance, dates and descriptions of those events, and any documents relevant to the grievance.
2. Within fourteen (14) calendar days of receipt of the grievance petition, the Faculty Review Committee shall notify the grieving party, the Dean of the College, and the President whether the matter is an appropriate grievance under this policy, and whether it was initiated within the deadline established for grievances under this policy.
3. If the Faculty Review Committee determines that the grievance is untimely or outside the scope of the grievance process, the grieving party will be informed in writing as the reasons for this decision, and no further action by the Faculty Review Committee shall be taken in the matter. If the issues raised in a grievance petition are determined to relate to matters outside the intended scope of this procedure, the Chair shall notify the Dean of the College who will refer the matter to the appropriate college official or entity.
4. If the grieving party believes the Faculty Review Committee has improperly dismissed the grievance for being untimely or outside of the scope of the grievance process, the grieving party may appeal the Committee's decision to the President, who shall make the final determination as to whether a permissible grievance was timely commenced. Such an appeal must be submitted within fourteen (14) calendar days of receipt of notice of the committee's decision to dismiss.

#### C. Informal Mediation

1. If a timely and appropriate grievance has been initiated under this process, the Faculty Review Committee shall determine whether to recommend an attempt to mediate a resolution between the parties. If the committee recommends that mediation be attempted, the Chair of the Faculty Review Committee shall communicate this to the grieving party, those against whom the grievance is directed, the Dean of the College, and the President within fourteen (14) calendar days of receipt of the grievance petition or, if there has been an appeal of the committee's decision to dismiss the grievance, within fourteen (14) calendar days of receipt of the President's decision that a permissible grievance was timely commenced. At the same time, if the committee recommends that mediation be attempted, the Chair of the Faculty Review Committee shall send a copy of the grievance petition to those against whom the grievance is directed.

2. If the Faculty Review Committee recommends that mediation efforts be initiated, the Chair of the Faculty Review Committee shall request that the Human Resources Office appoint a mediator. The Chair of the Faculty Review Committee shall provide the mediator with a copy of the grievance petition and shall inform the grieving party and those against whom the grievance is directed of the identity of the mediator. Unless a party has objected, mediation efforts shall commence within seven (7) calendar days of the committee's notification to the parties of its recommendation that mediation be attempted.
3. Mediation is a voluntary and confidential process, and any party may at any time request that mediation efforts stop.
4. The mediator shall have discretion to determine the process for mediating a resolution. Unless the mediator, the grieving party, and those against whom the grievance is directed agree that the period for mediation should be extended, mediation efforts may not continue beyond fourteen (14) calendar days after commencement of the mediation.
5. If the parties are successful in mediating a resolution to the grievance, the mediator shall prepare for the parties' signature a written summary of the concerns raised in the grievance, and the parties' agreed response. Once the parties have signed this document, the mediator shall notify the Faculty Review Committee that the grievance has been resolved and the committee shall take no further action in the matter. The mediator shall forward copies of the signed document to the parties, the Dean of the College, and the President.
6. If the mediator determines after reviewing the petition and speaking with the parties that mediation would not be fruitful, if attempts to mediate have proven unsuccessful, or if any of the parties requests to stop the mediation process at any time, the grievance petition shall be referred for investigation by the Faculty Review Committee.

#### D. Investigation by the Faculty Review Committee

1. If mediation attempts are unsuccessful, or if mediation was not recommended, the Faculty Review Committee shall decide whether the allegations merit an investigation. Notification of this decision will be made within seven (7) calendar days after the conclusion of mediation efforts or, if mediation was not recommended, within seven (7) calendar days of the decision not to recommend mediation. This notification will be given to the grieving party, the Dean of the College, the President, and, if mediation was involved, those against whom the grievance is directed.
2. If the grieving party believes the Faculty Review Committee has improperly decided that the allegations do not merit an investigation, the grieving party may appeal the committee's decision to the President, who shall make the final determination as to whether the Faculty Review Committee shall conduct an investigation. Such an appeal must be submitted within fourteen (14) calendar days of receipt of notice of the committee's decision not to investigate.
3. Once the committee, or the President, has determined that the allegations merit investigation, the committee shall send a copy of the grievance petition to those against whom the grievance is directed, notify them that an investigation is being undertaken, and request that these parties submit written responses to the grievance petition within fourteen (14) calendar days. These responses may contain the names of additional witnesses to the events giving rise to the grievance and documents relevant to the grievance.
4. Depending upon the facts and circumstances of each particular case, the committee may make a determination based upon the parties' statements or it may choose to seek additional evidence and information. Unless specifically granted as per Section 4.XXIII.A.3, a maximum of sixty (60) calendar days will be allowed for this process.

5. The committee may deliberate on its own or meet with whomever it chooses. The committee may seek to obtain evidence and information from whatever sources and in whatever forms it deems appropriate, including hearings to obtain information from witnesses to the events giving rise to the grievance.
6. Whenever a party to the grievance is present at a meeting or a hearing held by the committee, he or she shall have the right to have present an advisor of his or her choice from the faculty or the staff of the college.
7. Committee hearings are open only to the committee, the parties to the grievance, their advisors, and specific persons invited by the committee. The committee may question all persons involved in hearings of the committee. Neither the parties, nor their advisors, if any, may question witnesses or other hearing attendees.
8. After the committee's work is complete, all records of its activities as well as all written materials submitted to it shall be placed in the custody of the President. The President shall determine the extent, if any, to which the materials from each case may be accessible to the public.

#### E. Faculty Review Committee Report

1. The Faculty Review Committee shall submit a written report of its findings of fact to the Dean of the College, the President, the grieving party, and the person or persons against whom the grievance was made. The committee's report shall include a list of the documents the committee reviewed as evidence, the dates of all meetings and hearings, and the names of any individuals interviewed. The committee shall include in its report its recommendations for future action, if any, and its reasons for such recommendations.
2. If agreement between the parties to the dispute has been reached, the committee shall include in their report a summary of the agreement reached.

#### F. Further Action

1. The Dean of the College shall then decide what, if any, further action shall be taken. The Dean shall provide written notice of his or her decision regarding further action to the Faculty Review Committee, the President, and the parties to the grievance within thirty (30) calendar days of receipt of the committee's report.
2. Parties to the grievance may appeal the Dean's decision to the President within fourteen (14) calendar days of receipt of notice of that decision. The President shall make the final decision about further action to be taken after engaging in whatever process he or she determines appropriate.

#### G. Special Circumstances

1. If the Dean of the College is a party to the grievance, the President shall make those decisions and undertake those actions that would otherwise have been the responsibility of the Dean of the College under this procedure. In this case, parties to the grievance may appeal the President's decision (Section 4.XXIII.F.2) to the Chair of the Board of Regents within fourteen (14) calendar days of receipt of notice of the President's decision. The Chair of the Board of Regents shall make the final decision after engaging in whatever process he or she determines appropriate.
2. If the President is a party to the grievance, the Chair of the Board of Regents shall make those decisions and undertake those actions that would otherwise have been the responsibility of either the Dean of the College or the President under this procedure. In this case, the Faculty

Review Committee shall submit its report only to the grieving party, those against whom the grievance is directed, and the Chair of the Board of Regents.

## Section 4 - Faculty Personnel Policies and Procedures

### ***XXIV. Appeals Procedure***

#### A. Appeal Rights

The purpose of this policy is to provide appeal rights to faculty members for these specific circumstances: to a tenure-track faculty member who is denied reappointment, promotion, or tenure; to a faculty member who is denied promotion; to a faculty member who is denied annual renewal within a multiple-year term appointment.

1. An appeal must be based upon one or more of the grounds for appeal provided herein.
2. The remedy available through this procedure is that some or all of the applicable procedures be reviewed or repeated and the college's decision be reconsidered.

#### B. Grounds For Appeal of Renewal, Reappointment, Tenure and Promotion Decisions

The grounds upon which appeals may be made are (1) improper consideration and/or (2) inadequate consideration.

1. An appeal may allege that a decision against renewal, reappointment, tenure, or promotion was based significantly on improper consideration because the review process involved at least one of the following: (a) violation of academic freedom, or (b) unlawful discrimination, or (c) violation of applicable college policies on discrimination.
2. An appeal may allege that a decision against renewal, reappointment, tenure, or promotion, was based significantly on inadequate consideration of the evidence and/or of applicable evaluation standards for the relevant decision. The evaluation standards set forth in Section 4.VII of the *Faculty Manual* shall apply. An allegation of "inadequate consideration" refers to concerns whether the department or departments, the Tenure and Promotion Committee, the Dean of the College, and/or the President used applicable standards and appropriate evidence in reaching their decisions.

For the purposes of this policy, the term "adequate consideration" refers essentially to procedural issues having a bearing on the substance of the decision. The standard of adequate consideration would suggest these kinds of questions: "Was the decision conscientiously arrived at? Was all available evidence bearing on the relevant performance of the candidate sought out and considered? Was there adequate deliberation by the department over the import of the evidence in light of the relevant standards? Were irrelevant and improper standards excluded from consideration? Was the decision a bona fide exercise of professional academic judgment?" (*AAUP Policy Documents and Reports*, 1995 Ed., p. 20). Thus, a finding of inadequate consideration involves a critique of process and not a substitution of the committee's own judgment on the merits.

#### C. Initiating an Appeal

1. To initiate an appeal, the faculty member shall deliver a written petition to the Chair of the Faculty Review Committee, the Office of the President, and the Office of the Dean of the College. The petition must be delivered within sixty (60) calendar days of receipt of official written notice of the decision, or within forty (40) calendar days of receipt of official written notice of the reasons which contributed to the decision (see Section 4.XII), whichever is later. In exceptional cases, the President may grant an extension of the deadline.

2. The petition must state the decision being appealed, the grounds for appeal, and a statement of evidence in support of the allegations. The burden of proof rests upon the appellant to establish a *prima facie* case. A *prima facie* case has been established if the appellant's petition contains statements alleging facts which, if they were uncontradicted, would reasonably allow the Faculty Review Committee to conclude that the college's decision was based on improper consideration and/or inadequate consideration.

#### D. Faculty Review Committee Preliminary Response

1. Within fourteen (14) calendar days of their receipt of the petition, the Faculty Review Committee members shall meet to determine whether: the faculty member has alleged a proper basis for appeal; the appeal was commenced within the deadline; and the appellant has established a *prima facie* case. The committee will establish its own procedures for this preliminary meeting.
2. If the committee determines that proper grounds for an appeal have not been alleged, or that an appeal has not been timely commenced, or that a *prima facie* case has not been established, it shall so notify the appellant, the President, and the Dean of the College and no further action shall be taken in review of the appeal.
3. If the committee determines that proper grounds have been alleged, and that the appeal is timely, and that a *prima facie* case has been established, the committee shall next determine how best to conduct its review of the appeal. Depending upon the facts and circumstances of each particular case, the committee may request the parties to state their positions in writing, and make a determination based upon these submissions, or the committee may choose to hold a hearing.

#### E. Faculty Review Committee Procedures

1. At all hearings of the committee, the appellant shall have the right to have present an advisor of the appellant's choosing from among the faculty and staff of the college. The college shall be represented at all hearings of the committee by the Dean of the College who may select and have present an advisor from the faculty or staff of the college. The role of the advisor is to listen to the proceedings, offer advice to the advisee, take notes, and provide personal support to the advisee. Hearings of the committee are open only to the appellant, the Dean of the College, the advisors to the appellant and the Dean, and other persons invited by the committee.
2. The committee may seek to obtain information from whatever sources it deems necessary. If the appellant or the Dean believes that additional information would be useful from witnesses, or that additional documentary evidence would be helpful, either or both may so inform the committee, which will determine whether to seek additional testimony or evidence. With the consent of the appellant, the committee is entitled to access to the appellant's dossier and personnel documents used by individuals or committees in making the original decision.
3. The committee shall have discretion to determine the manner and order in which it shall take evidence. It may question all persons involved in the hearing. Neither the appellant nor the Dean, nor either of their advisors, if any, may question witnesses without the consent of the committee. Rules of evidence and other rules and procedures applicable to a court of law need not apply. While protecting the confidentiality of contributions to the dossier, both parties to the dispute have the right to hear testimony of all witnesses and the right to knowledge of all other evidence on which the committee may base its findings.

4. All hearings and deliberations of the Faculty Review Committee shall be conducted confidentially. All participants are bound to keep confidential the evidence and testimony presented or reviewed in the hearings and deliberations. This provision is not intended to limit the ability of the appellant or the college to communicate freely with attorneys, governmental agencies, or as otherwise allowed or required by law.
5. The Faculty Review Committee shall make audio recordings of all hearings.

#### F. Actions of the Faculty Review Committee

1. The Faculty Review Committee is charged with studying the merits of the appeal and reporting its findings to the President within thirty (30) calendar days of the committee's preliminary meeting.
2. The Faculty Review Committee shall not substitute its judgment on the merits of the decision for that of appropriate faculty bodies, the Dean of the College, or the President as to the faculty member's suitability for renewal, reappointment, tenure, or promotion, but instead shall limit its findings of fact to the following:
  - a) Whether improper considerations have occurred and likely have affected the decision(s).
  - b) Whether inadequate consideration of the evidence and/or of applicable evaluation standards for the relevant decision have occurred and likely have affected the decision(s).
3. If the committee finds improper and/or inadequate consideration, the committee shall recommend to the President that some or all of the applicable procedures be reviewed or repeated and that the decision be reconsidered. The committee shall prepare a report explaining why the committee arrived at its findings and identifying which procedures shall be reviewed or repeated and by whom. The President shall provide copies of the committee's report to the Dean of the College, the appellant, and, as appropriate, individuals or committees involved in the original decision. The findings and contents of the report shall otherwise remain confidential.
4. If the committee finds improper and/or inadequate consideration on the part of the President alone, the committee report shall recommend to the President that the President's decision be reconsidered. The report of the committee shall explain why the committee arrived at its findings. The President shall provide copies of the committee's report to the Chair of the Board of Regents, the Dean of the College, the appellant, and, as appropriate, individuals or committees involved in the original decision. The findings and contents of the report shall otherwise remain confidential.
5. All audio recordings and all written records of the committee shall be placed in the custody of the President's Office for a period of seven (7) years after the appellant faculty member ceases employment at the college.

#### G. Actions of the President

1. Within seven (7) calendar days of receipt of the Faculty Review Committee Report, the President will either reverse the decision without further consideration or direct that some or all of the applicable procedures be reviewed or repeated as identified in the committee's report. The directive for reconsideration shall include specific instructions for individuals or committees and shall state specific deadlines for reconsideration.
2. Within seven (7) calendar days of receipt of all required responses for reconsideration from individuals and committees, the President will either reverse the decision or let stand the



original decision and notify the appellant, the Dean of the College, and other individuals or committees involved in the appeal. If the President decides to reverse the original decision, positive recommendations for renewal, reappointment, promotion, and tenure will be forwarded to the Board of Regents for final action. If the President decides to let stand the original decision, this decision of the President cannot be appealed further under this Appeals Procedure.

3. The President's notification to reverse or let stand the original decision should include an explanation for the decision.

#### H. Action by the Board of Regents

1. After the process outlined in Section 4.XXIV.G has been completed, and if the committee has found that the President alone made improper and/or inadequate considerations that likely affected the decision, and if the President decides not to reverse the original decision, the appellant may appeal the decision of the President to the Board of Regents by writing to the Chair of the Board.
2. After the Board has completed its review, the Board will either reverse the decision or let stand the original decision and the Board Chair will notify the appellant, the President, the Dean of the College, and other individuals or committees involved in the appeal.
3. The Board Chair's notification to reverse or let stand the original decision should include an explanation for the decision.

### ***XXV. Retirement***

The date of retirement for faculty is ordinarily at the end of the academic year during which one retires. The academic year, for retirement purposes, is defined as beginning on the first of September and ending on the thirty-first of August of the following calendar year.

### ***XXVI. Faculty Emeriti***

The title "emeritus" or "emerita" is an honorable recognition of the service of those who have contributed substantially to the life and mission of the college. For faculty, it normally is recommended by the Dean of the College and conferred by the Board of Regents upon retirement after teaching for at least ten years with an average FTE of 0.50 or more

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