

## **1.1. MISSION STATEMENT AND STATEMENT OF PHILOSOPHY AND PURPOSE OF SAINT MARY'S COLLEGE**

### **1.1.1. MISSION STATEMENT**

Founded by the Sisters of the Holy Cross in 1844, Saint Mary's College promotes a life of intellectual vigor, aesthetic appreciation, religious sensibility, and social responsibility. Saint Mary's is a Catholic, residential, women's, liberal arts college offering undergraduate degrees and co-educational graduate programs.

A pioneer in the education of women, the College fosters an inclusive, academic community where students discover and develop their talents as they prepare to make a difference in the world. All members of the College contribute to this mission in their response to the complex needs and challenges of contemporary life.

### **1.1.2. STATEMENT OF PHILOSOPHY AND PURPOSE**

As a center of higher education, Saint Mary's fosters an academic climate of scholarship and learning for faculty and students alike. Through excellence in teaching and the example of its own active scholarship, the faculty challenges students to expand their horizons and supports them in their intellectual pursuits. A broad-based course of study invites students to think critically and creatively about the natural world and human culture. Acknowledging the need to prepare women for an array of careers, the College insists on a liberal arts foundation for all its students. Through their years at Saint Mary's students acquire depth and breadth of knowledge, competence in quantitative skills and modern languages, the ability to think clearly about complex problems, and the capacity to communicate with precision and style.

As a Catholic college, Saint Mary's cultivates a community of intellectual inquiry, liturgical prayer, and social action. The College creates an open forum in which students freely and critically study the rich heritage of the Catholic tradition, raising the questions necessary to develop a mature religious life. The celebration of liturgy encourages students to explore the fullness of life and its mysteries. The College nurtures awareness and compassion for a troubled world and challenges students to promote human dignity throughout their lives. In preparing women for roles of leadership and action, Saint Mary's pays particular attention to the rights and responsibilities of women in the worlds of work, church, community, and family.

Dedicated to the personal and social growth of its students, Saint Mary's cultivates a community of students, faculty, and staff, which responds to the needs of women. In order to offer the richest educational experience possible, the College strives to bring together women of different nations, cultures, and races. It provides a residential environment where women grow in their appreciation of the strengths and needs of others. Through a host of co-curricular programs on campus and in the local community, Saint Mary's College initiates students in the habits of civic responsibility. Engaging in all aspects of the college experience, students acquire the hallmarks

of a liberally educated woman: keen self-knowledge, lively imagination, lifelong intellectual and cultural interests, and the ability to make socially responsible choices about the future.

## **1.2. PROCEDURE FOR AMENDING THE STATEMENT OF THE PHILOSOPHY AND PURPOSE OF SAINT MARY'S COLLEGE**

The statement on the philosophy and purpose of Saint Mary's College is approved by the Board of Trustees and may be modified by them. In accordance with the principle of shared governance, proposed changes in this statement are submitted by the President to the Academic Leadership Council and other appropriate bodies for their consideration before action by the Board of Trustees. The President of the College is responsible for seeing that this section of the Governance Manual is kept up to date.

## SECTION 2

### 2. THE GOVERNANCE OF THE COLLEGE

#### 2.1.STATEMENT ON THE CONCEPT OF SHARED GOVERNANCE

The Board of Trustees governs the institution. Any responsibility and authority that any group or individual has is implicitly or explicitly delegated by the Board of Trustees. While the Board of Trustees and the President bear full responsibility for the governance and operation of the College, all members of the College community participate in the governance of the College in accordance with their rights and responsibilities. All members of the College community share responsibility for the governance of the College. The following sections describe the function of each component of the community.

#### 2.2.THE CORPORATION OF SAINT MARY’S COLLEGE

##### INTRODUCTION

The institution is governed in accordance with the Code of Bylaws of the Corporation of Saint Mary’s College, Notre Dame, which can be viewed at <https://www.saintmarys.edu/code-of-bylaws>

#### 2.3.THE ADMINISTRATION OF THE COLLEGE

##### 2.3.1. OFFICERS OF THE ADMINISTRATION

###### 2.3.1.1. PRESIDENT OF THE COLLEGE

2.3.1.1.1. APPOINTMENT. The President of the College is appointed by the Board of Trustees of the Corporation of Saint Mary’s College and serves at the pleasure of the Board.

2.3.1.1.2. AUTHORITY AND RESPONSIBILITY. The President is the College’s chief executive officer (CEO) and the chief advisor to the Board. The authority of the President is vested through the Board and includes responsibilities for all College educational and managerial affairs. The President is responsible for leading the College, implementing all Board policies, keeping the Board informed on appropriate matters, consulting with the Board in a timely manner on matters appropriate to its policy making and fiduciary functions, and serving as the College’s key spokesperson. The President has the authority to execute all documents on behalf of the College and the Board consistent with Board policies and the best interests of the College. The President:

2.3.1.1.2.1. is an *ex officio* voting member of the Board of Trustees and serves *ex officio* as a member of all Board committees except the Audit, Risk & Legal Committee;

2.3.1.1.2.2. presides or designates the presiding officer at all academic functions and represents the College before the public;

- 2.3.1.1.2.3. serves as the chief liaison officer between the Board of Trustees and the College community. As such, the President receives and transmits all resolutions and petitions affecting the welfare of the College;
- 2.3.1.1.2.4. presents regular reports on the state of the College to the Board of Trustees and to the Academic Leadership Council and such other reports as are requested by the Board of Trustees;
- 2.3.1.1.2.5. recommends, after appropriate consultation, administrative officers for confirmation by the Board of Trustees;
- 2.3.1.1.2.6. informs the Board of Trustees of the number of the faculty members awarded tenure and/or promotion after considering the report of the Committee on Rank and Tenure;
- 2.3.1.1.2.7. appoints, promotes, and dismisses the academic and nonacademic staffs of the College subject to the limitations of budget provisions and college policies, according to the provisions outlined in this manual;
- 2.3.1.1.2.8. designates the duties and functions of other officers and agents of the College, subject to the supervision and direction of the Board of Trustees;
- 2.3.1.1.2.9. makes changes in the administrative structure of the College that are advantageous to the College;
- 2.3.1.1.2.10. appoints committees, delegates authority, assigns responsibility to committees or to individuals as needed;
- 2.3.1.1.2.11. in the absence of the President, the Provost and Senior Vice President serves as Acting President, pending further action of the Board of Trustees.

#### 2.3.1.1.3. PRESIDENTIAL ASSISTANTS

The Special Assistant to the President and the General Counsel are appointed at the discretion of and responsible to the President. Information regarding their responsibilities is contained in job descriptions available in the Office of Human Resources.

#### 2.3.1.1.4. PRESIDENT'S COMMITTEES AND COUNCILS

The following committees and councils report directly to the President:

- The Executive Team (the officers of the college and the Special Assistant to the President)
- President's Cabinet \*the Executive Team and other key administrators and faculty representatives, as determined annually by the President
- Budget Committee
- Committee on Rank and Tenure

- Elected Executive Committee of the Academic Leadership Council (joint report to the Provost)
- President's Circle
- Governance Manual Committee
- President's Committee on Sexual Violence
- Staff Advisory Council

#### 2.3.1.1.4.1. EXECUTIVE TEAM

2.3.1.1.4.1.1. MEMBERSHIP. The President's Executive Team consists of the President, Provost and Senior Vice President, Vice President for Strategy and Finance, Vice President for Mission, Vice President for Advancement, Vice President for Student Enrollment and Engagement, Vice President for Inclusion and Equity, General Counsel, and Special Assistant to the President. The President convenes the meetings of the Executive Team.

2.3.1.1.4.1.2. RESPONSIBILITY. The Executive Team (ET):

2.3.1.1.4.1.2.1. collaborates with the College President to develop and execute the College's strategy. The ET establishes college-wide policy and its members work collaboratively to advance institutional goals. Each year, the ET reviews the strategic plan and identifies annual goals toward its implementation; monitors budget against revenues and makes adjustments if needed; sets the College's revenue targets for the next fiscal year; and develops the next fiscal year budget. The members are key advisors to the President on all matters of concern to their divisions of the College and on general College matters.

#### 2.3.1.1.4.2. PRESIDENT'S CABINET

2.3.1.1.4.2.1. MEMBERSHIP. The President's Cabinet consists of the President, Provost and Senior Vice President, Vice President for Strategy and Finance, Vice President for Mission, Vice President for Advancement, Vice President for Student Enrollment and Engagement, the Vice President for Inclusion and Equity, the Special Assistant to the President, and other College leaders appointed by the President to support the College's strategy. The President convenes the meetings of the President's Cabinet.

2.3.1.1.4.2.2. RESPONSIBILITY. The President's Cabinet:

2.3.1.1.4.2.2.1. works toward the integration of policy among the administrative branches;

2.3.1.1.4.2.2. advises the President on matters of policy and administration.

2.3.1.1.4.3. BUDGET COMMITTEE

2.3.1.1.4.3.1. MEMBERSHIP. The Executive Team serves as the Budget Committee. The Vice President for Strategy and Finance serves as chair.

2.3.1.1.4.3.2. RESPONSIBILITY. The Budget Committee:

2.3.1.1.4.3.2.1. reviews the budgets prepared by administrative officers for their departments;

2.3.1.1.4.3.2.2. reviews proposals to change student or academic fees;

2.3.1.1.4.3.2.3. receives recommendations from the College's Budget Priorities Committee;

2.3.1.1.4.3.2.4. reviews the total College budget and submits a proposed budget to the President for presentation to the Financial Stewardship Committee of the Board of Trustees.

2.3.1.1.4.4. COMMITTEE ON RANK AND TENURE

2.3.1.1.4.4.1. MEMBERS. The Committee on Rank and Tenure consists of the Provost and Senior Vice President, the Associate Provost and Dean of Graduate Studies (serving as the academic administrative members appointed by the President), and three tenured faculty members above the rank of Assistant Professor chosen by the Academic Leadership Council. The faculty member who is in the second year of her/his term serves as the Chair. Faculty serving on this committee whose department colleagues are candidates for third- or fourth-year review, tenure and/or promotion, are recused from the committee proceedings related to their departmental candidate's review. The recused member will be replaced by the faculty member from a different department who most recently completed her/his term on the committee.

2.3.1.1.4.4.2. RESPONSIBILITY. The Committee on Rank and Tenure:

2.3.1.1.4.4.2.1. establishes the criteria and procedures for tenure and promotion within the policy guidelines of the College;

2.3.1.1.4.4.2.2. reviews the candidates for promotion and tenure;

2.3.1.1.4.4.2.3. prepares a written statement for those faculty members regarding mid-point review, advising them on their progress toward tenure;

- 2.3.1.1.4.4.2.4. prepares a confidential written recommendation on candidates for promotion and/or tenure for the President's consideration.
- 2.3.1.1.4.4.3. PROCEDURES. For a detailed description of the Committee on Rank and Tenure policies and procedures, see the section on Faculty Policies and Procedures (Section 3).
- 2.3.1.1.4.5. ELECTED EXECUTIVE COMMITTEE OF THE ACADEMIC LEADERSHIP COUNCIL (see Section 5).
- 2.3.1.1.4.6. PRESIDENT'S CIRCLE
  - 2.3.1.1.4.6.1. MEMBERSHIP. Trustees who retire from the Saint Mary's College Board of Trustees after serving three (3) full terms (9 years) and who agree to support the College at the Trustee level.
  - 2.3.1.1.4.6.2. RESPONSIBILITY. Members provide historical perspective, vision and counsel.
- 2.3.1.1.4.7. GOVERNANCE MANUAL COMMITTEE
  - 2.3.1.1.4.7.1. MEMBERSHIP. Three (3) administrators, appointed by the President, three (3) elected faculty, the junior vice-chair of Academic Leadership Council, General Counsel, and the Special Assistant to the President, who chairs the committee.
  - 2.3.1.1.4.7.2. RESPONSIBILITY. The committee will develop procedures for the orderly review and revision of the Governance Manual. It will receive and review new proposals and proposed revisions to the Governance Manual and advise the President as to whether proper processes were followed. It will maintain the Governance Manual in current and operational form on a yearly basis. It will oversee compatibility between the Governance Manual and other College manuals to ensure consistency with the Governance Manual.
- 2.3.1.1.4.8. PRESIDENT'S COMMITTEE ON SEXUAL VIOLENCE
  - 2.3.1.1.4.8.1. MEMBERSHIP. Faculty, staff, students and administrators designated by the President.
  - 2.3.1.1.4.8.2. RESPONSIBILITY. The charge of the committee is to make recommendations to the President for programming, education, and training related to sexual violence, for improving support systems for survivors.
- 2.3.1.1.4.9. STAFF ADVISORY COUNCIL
  - 2.3.1.1.4.9.1. MEMBERSHIP. The Staff Advisory Council consists of 12 seats of both exempt and non-exempt employees to ensure direct

communication between staff and leadership. Six seats serve a two-year term and six serve a one-year term. The Director of Human Resources serves as chair.

2.3.1.1.4.9.2. RESPONSIBILITY. The Council serves as an advisory body to the President and assists in facilitating active, direct communication between staff and College Leadership. Meetings provide a forum for input and discussion on issues important to the staff and the College. The Council seeks to:

- 2.3.1.1.4.9.2.1. contribute to the College's culture of community and recognition;
- 2.3.1.1.4.9.2.2. provide a forum for the exchange of information;
- 2.3.1.1.4.9.2.3. enhance staff morale by promoting a positive and collaborative campus environment;
- 2.3.1.1.4.9.2.4. increase levels of awareness and understanding; and
- 2.3.1.1.4.9.2.5. foster a campuswide spirit of respect, dignity, unity, and cooperation.

#### 2.3.1.2. PROVOST AND SENIOR VICE PRESIDENT (Provost)

2.3.1.2.1. APPOINTMENT. The appointment of the Provost is confirmed by the Board of Trustees upon the recommendation of the President after appropriate consultation with the faculty. The Provost holds office at the discretion of the President.

2.3.1.2.2. AUTHORITY AND RESPONSIBILITY. The Provost is directly responsible to the President and is the chief executive officer in the absence of the President. The Provost is the Chief Academic Officer (CAO) of the College as well as the overseer of certain support units within the College. If the President is unavailable, the Provost serves as the College's key spokesperson. In time of disability of the President, the Provost serves as Acting President, pending further action of the Board of Trustees. The Provost:

- 2.3.1.2.2.1. serves on the President's Executive Team and the Budget Committee;
- 2.3.1.2.2.2. consults, on a timely basis, with the Vice Presidents as the officers and agents of the College;
- 2.3.1.2.2.3. serves as advisor of the Board of Trustees Educational Stewardship Committee;
- 2.3.1.2.2.4. generally serves as a liaison with the Higher Learning Commission; oversees institutional assessment projects, working in collaboration with the Office of Institutional Research and other units of the College; is



responsible for preparing the College for its four-year improvement process, its ongoing assurance process, and its ten-year site visit (as mandated by the HLC);

- 2.3.1.2.2.5. provides oversight and support to the academic divisions of the College;
- 2.3.1.2.2.6. annually reviews each academic department or interdisciplinary program;
- 2.3.1.2.2.7. oversees the academic centers and offices established by the College;
- 2.3.1.2.2.8. appoints committees, delegates authority, assigns responsibility to committees or to individuals on matters under the Provost's purview as needed;
- 2.3.1.2.2.9. represents the College in designated professional associations and functions as requested by the President;
- 2.3.1.2.2.10. annually prepares the academic affairs unit budget in consultation with unit budget supervisors and submits them to the President for approval by the Board of Trustees and serves as the chief representative of the academic area of the College on the Budget Committee of the College;
- 2.3.1.2.2.11. serves as a voting *ex-officio* member of the Committee on Rank and Tenure, as the President's appointee; serves, or appoints a designee to serve on academic committees;
- 2.3.1.2.2.12. designates administrative representatives to committees as called for;
- 2.3.1.2.2.13. oversees undergraduate and graduate studies;
- 2.3.1.2.2.14. oversees the primary academic support services administrators: (i.e. Deans, Directors, etc.);
- 2.3.1.2.2.15. oversees professional development in all academic areas;
- 2.3.1.2.2.16. leads the College faculty in continual review and improvement of the undergraduate and graduate academic programs;
- 2.3.1.2.2.17. consults with the President on the hiring, retention, or non-retention of all faculty; and
- 2.3.1.2.2.18. performs other duties requested by the President.

#### 2.3.1.3. OTHER ACADEMIC ADMINISTRATORS

The following academic administrators report to and are immediately responsible to the Provost:

2.3.1.3.1. ASSOCIATE PROVOST AND DEAN OF GRADUATE STUDIES (Associate Provost)

2.3.1.3.1.1. APPOINTMENT. The Associate Provost and Dean of Graduate Studies is appointed by the President upon the Recommendation of the Provost and holds the office at the discretion of the President. This is a 12 month full-time administrative position.

2.3.1.3.1.2. AUTHORITY AND RESPONSIBILITY. The Associate Provost is directly responsible to the Provost. He/she is the Chief Academic Officer in the absence of the Provost. The Associate Provost:

2.3.1.3.1.2.1. serves as Deputy Title IX Coordinator for matters relating to faculty;

2.3.1.3.1.2.2. serves as Research Integrity Officer for the College;

2.3.1.3.1.2.3. serves as a member of the Provost's Council;

2.3.1.3.1.2.4. manages part-time faculty requests and budget;

2.3.1.3.1.2.5. provides oversight to insure effective, efficient scheduling of courses, and assignment of faculty loads;

2.3.1.3.1.2.6. serves as a voting *ex officio* member of relevant Councils and Committees or appoints a designee to do so;

2.3.1.3.1.2.7. represents the College in designated professional associations and functions as requested by the Provost;

2.3.1.3.1.2.8. in collaboration with the Dean of Student Academic Services, provides oversight to the continuing development, implementation, and assessment of the General Education program;

2.3.1.3.1.2.9. oversees graduate programs

2.3.1.3.1.2.10. Supervises graduate program directors, overseeing the quality of graduate education, its assessment, and the development of new programs

2.3.1.3.1.2.11. manages and reviews all budgets related to graduate studies;

2.3.1.3.1.2.12. Chairs the Graduate Program Committee and other ad hoc committees related to graduate programs.

2.3.1.3.1.2.13. performs other duties requested by the Provost.

2.3.1.3.2. DEAN OF STUDENT ACADEMIC SERVICES

2.3.1.3.2.1. APPOINTMENT. The Dean of Student Academic Services is appointed by the President upon the recommendation of the Provost and holds office at the discretion of the President.

2.3.1.3.2.2. AUTHORITY AND RESPONSIBILITY. The Dean of Student Academic Services is directly responsible to the Provost. The Dean of Student Academic Services:

2.3.1.3.2.2.1. Leads Student Academic Services in developing a unit mission statement/strategic plan that is in alignment with that of the College.

2.3.1.3.2.2.2. Serves as the administrator of the unit and leads the efforts of the unit in planning, developing, and maintaining outstanding staff and programs.

2.3.1.3.2.2.3. Coordinates and promotes collaboration across the offices of the Student Academic Services unit, faculty, and other College units.

2.3.1.3.2.2.4. Coordinates with Institutional Research to assess effectiveness of unit goals and outcomes as well as to make data-informed decisions.

2.3.1.3.2.2.5. Oversees academic matters of all students with regard to academic advising, academic policies, and academic progress.

2.3.1.3.2.2.6. Oversees creation of the course schedule to best meet student needs and meet enrollment demands.

2.3.1.3.2.2.7. Promotes, ensures effectiveness, and collaborates with all appropriate parties to oversee the academic success, retention, and career advising of all students across all of their undergraduate years.

2.3.1.3.2.2.8. Oversees accommodations for students with disabilities.

2.3.1.3.2.2.9. Chairs the Academic Standards Committee.

2.3.1.3.2.2.10. Collaborates with academic administrators to coordinate General Education Program course offerings.

2.3.1.3.2.2.11. Serves on the Curriculum Committee, General Education Program Oversight Committee, Writing Proficiency Program Committee, and other committees/councils designated by the Provost.

2.3.1.3.2.2.12. Represents the College at designated functions as requested by the Provost.

2.3.1.3.2.2.13. Participates and serves as part of the Academic Affairs Division while leading initiatives as determined by the Provost.

2.3.1.3.2.2.14. Performs other duties as designated by the Provost.

#### 2.3.1.3.2.3. DIRECT REPORTS

The following administrative positions are directly responsible to the Dean of Student Academic Services:

- Director of Academic Advising
- Director of Accessibility Resource Office
- Director of Career Crossings
- Registrar
- Director of Student Success
- Director of the Writing and Tutoring Center

Information regarding the director's responsibilities is contained in a job description available in the Office of Human Resources.

#### 2.3.1.3.3. DIVISION DIRECTOR

2.3.1.3.3.1. APPOINTMENT and TERM. A Division Director is appointed by the President upon the recommendation of the Provost after consultation with members of the departments. The Division Director reports to the Provost and holds this position at the discretion of the President and the Provost. Normally the term of appointment is three years; renewal is possible after consultation with the divisional faculty and reappointment by the provost.

#### 2.3.1.3.3.2. AUTHORITY AND RESPONSIBILITIES.

2.3.1.3.3.2.1. Fosters collaboration and community within the division and across divisions; fosters an innovative and entrepreneurial mindset within the division;

2.3.1.3.3.2.2. Represents the division on the Provost's Council and ensures communication between Provost/Provost's Council and divisional faculty

2.3.1.3.3.2.3. Provides logistical support and advocacy for divisional programs.

2.3.1.3.3.2.4. Manages and leads division personnel:

2.3.1.3.3.2.4.1. Supervises and supports department chairs and program directors within their division

2.3.1.3.3.2.4.2. Calls regular divisional meetings

2.3.1.3.3.2.4.3. Receives and follows up on all complaints regarding matters associated with the division; is the first point of contact for

issues/disciplinary concerns regarding divisional faculty and staff;

- 2.3.1.3.3.2.4.4. Advises and supports department chairs and undergraduate program directors on the preparation of their annual academic program reports and resource requests.
- 2.3.1.3.3.2.4.5. Reviews annual faculty reports for divisional faculty and discusses the results of these reviews with the department chair and Provost as needed, with a particular focus on the renewal and progress of pre-tenure faculty
- 2.3.1.3.3.2.4.6. Makes recommendations for the promotion and tenure of divisional faculty in consultation with faculty in the candidate's department and in accordance with the procedures described in the *Governance Manual*; at the discretion of the candidate, may be delegated to the Department Chair and Graduate Program Director or may be provided by the Division Director<sup>1</sup>
  - 2.3.1.3.2.2.4.6.1. Reviews and signs off on faculty grant and sabbatical proposals to ensure plan for course coverage and release, reassigned or leave time
  - 2.3.1.3.2.2.4.6.2. Maintains professional files for divisional staff and faculty.
- 2.3.1.3.3.2.5. Oversees the divisional schedule and course offerings in collaboration with the Associate Provost, Dean of Academic Services, and Department Chairs to ensure that student academic needs are met; that faculty workload assignments are accurate and equitable; and that the schedule promotes financial sustainability
  - 2.3.1.3.3.2.5.1. Ensures accurate faculty course load assignments
  - 2.3.1.3.3.2.5.2. Works with department chairs to identify part-time faculty needs
- 2.3.1.3.3.2.6. Works with the provost, associate provost, department chairs and/or program directors on planning, assessment, and curriculum development within the division
- 2.3.1.3.3.2.7. Supervises divisional department chair and program directors and their management of operating budgets and restricted funds

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<sup>1</sup> Pre-tenure faculty currently in the pipeline will continue to be evaluated by Department Chairs.

- 2.3.1.3.3.2.7.1. In consultation with Department Chairs and Program Directors, submits annual operating departmental budgets to Provost
- 2.3.1.3.3.2.7.2. Reviews IT, capital, and non-capital requests from departments that are presented to the Provost through the annual report process
- 2.3.1.3.3.2.7.3. Deliberates on academic resource requests college-wide as a member of the Provost's Council and makes recommendations to the Provost

2.3.1.3.4. DEPARTMENT CHAIR

2.3.1.3.4.1. APPOINTMENT and TERM. A Department Chair is appointed by the Provost upon the recommendation of the Division Director and after consultation with the members of the department. A Chair holds this position at the discretion of the President and the Provost. Normally the appointment is for three years and may be renewed for an additional term; reappointment by the Provost may be made after consultation with the department. The Chair reports directly to the Division Director.

2.3.1.3.4.2. AUTHORITY AND RESPONSIBILITY. The Department Chair:

2.3.1.3.3.2.1. Manages advising in the department:

2.3.1.3.3.2.1.1. Oversees the assignment of advisors and ensures the advising and registration of students who major and minor in departmental programs;

2.3.1.3.3.2.1.2. Is consulted by Student Academic Services in cases of transfer students where prior transfer equivalences have not been established.

2.3.1.3.3.2.1.3. Oversees the review of Formal Petitions to Major and Degree Petitions;

2.3.1.3.3.2.1.4. Oversees the submission of individual waivers, learning contracts for research and independent study courses, and substitutions within the major or minor;

2.3.1.3.3.2.1.5. Oversees the maintenance of student major and minor files;

2.3.1.3.3.2.1.6. Oversees the senior comprehensives including scheduling, collecting faculty feedback, and grade reporting;

2.3.1.3.3.2.1.7. Mediates faculty-student issues.

- 2.3.1.3.3.2.2. Collaborates with department faculty, the Division Director, the Associate Provost, the Provost, and appropriate committees as needed for the department's oversight of its curricula
- 2.3.1.3.3.2.3. Develops the department schedule and submits it to the Division Director:
  - 2.3.1.3.3.2.3.1. Ensures that programmatic and general education responsibilities are met
  - 2.3.1.3.3.2.3.2. Resolves schedule conflicts with other departments;
  - 2.3.1.3.3.2.3.3. Delineates room assignment preferences and makes efficient use of space.
- 2.3.1.3.3.2.4. Represents department needs and interests, communicates them to the Division Director, and works with Division Director to resolve identified personnel, scheduling, budget, communications, or curriculum issues:
  - 2.3.1.3.3.2.4.1. Prepares annual program report and resource requests in consultation with the Division Director. Submits final annual program report to the Provost and Division Director.
  - 2.3.1.3.3.2.4.2. Ensures department/program representation at official functions of the College (such as Admission events);
  - 2.3.1.3.3.2.4.3. Manages departmental operating budgets and all restricted funds within the department;
  - 2.3.1.3.3.2.4.4. In consultation with the Division Director, addresses facilities issues as they relate to departmental needs.
- 2.3.1.3.3.2.5. Mentors and supports pre-tenure faculty:
  - 2.3.1.3.3.2.5.1. Specifically works with new faculty on teaching matters, including the interpretation of course evaluations;
  - 2.3.1.3.3.2.5.2. Provides formative evaluation of classroom instruction;
  - 2.3.1.3.3.2.5.3. Makes recommendations for the promotion and tenure of current departmental pre-tenure faculty in consultation with faculty in the candidate's department and in accordance with the procedures described in the Governance Manual; at the discretion of the candidate, representation before the Rank and Tenure Committee

may be delegated to the Department Chair or may be provided by the Division Director<sup>2</sup>.

2.3.1.3.3.2.5.4. Represents candidates before the Rank and Tenure Committee at the request of a candidate.

2.3.1.3.3.2.6. Reviews and responds to annual faculty reports for department faculty and discusses the results of these reviews with the Division Director.

2.3.1.3.3.2.7. Department administration:

2.3.1.3.3.2.7.1. Calls department meetings and oversees record keeping (agenda and minutes);

2.3.1.3.3.2.7.2. Manages program review, and external accreditation in collaboration with departmental faculty;

2.3.1.3.3.2.7.3. Collaborates with Advancement and the Provost on issues of fundraising

#### 2.3.1.3.5. GRADUATE PROGRAM DIRECTORS

2.3.1.3.4.1. APPOINTMENT. Graduate program directors are appointed by the President upon the recommendation of the Provost after consultation with the members of the department. Graduate Program Directors report directly to the Associate Provost and Dean of Graduate Studies. In their roles as department faculty, they report to the department chair.

2.3.1.3.4.2. AUTHORITY AND RESPONSIBILITY. The Graduate Program Director:

2.3.1.3.4.2.1. Supervises the graduate program curriculum, ensuring its quality

2.3.1.3.4.2.1.1. Oversees program assessment and accreditation

2.3.1.3.4.2.1.2. Manages curricular change, improvement, and development in response to assessment and student needs

2.3.1.3.4.2.1.3. Coordinates with clinical or field supervisors, if applicable

2.3.1.3.4.2.2. Manages graduate advising in the program

2.3.1.3.4.2.2.1. Oversees the assignment of advisors and ensures the advising and registration of enrolled students

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<sup>2</sup> Pre-tenure faculty currently in the pipeline will continue to be evaluated by Department Chairs.



2.3.1.3.4.2.2. Oversees the maintenance of student files

2.3.1.3.4.2.3. Mediates faculty-student issues within the graduate program.

2.3.1.3.4.2.3. Proposes graduate program teaching schedule to the Dean of Graduate Studies after coordination with the department chair

2.3.1.3.4.2.4. Manages graduate program budgets

2.3.1.3.4.2.5. Participates in marketing and recruitment

2.3.1.3.4.2.5.1. Consults on graduate program marketing and recruitment with Admissions and the Dean of Graduate Studies on marketing messaging

2.3.1.3.4.2.5.2. Participates in or coordinating faculty, student, and/or alumni participation in recruitment and new student orientation events

2.3.1.3.4.2.6. Serves on the Graduate Program Committee

#### 2.3.1.3.6. CLINICAL DIRECTOR

2.3.1.3.5.1. Clinical Directors who supervise clinics that support graduate programs primarily report to the Dean of Graduate Studies. Educational goals for the program should be set collaboratively with the relevant graduate program director and the dean.

2.3.1.3.5.2. Clinical Directors supervise all aspects of clinical education, and are responsible for budget oversight; clinical faculty assignments and oversight; and student clinical assignments.

2.3.1.3.5.3. Clinical faculty report to the Clinical Director for their clinical placement and oversight, but report to the department chair for other faculty responsibilities (e.g., department meeting attendance)

#### 2.3.1.3.7. DIRECTORS AND COORDINATORS OF THE INTERDISCIPLINARY PROGRAMS

Directors and coordinators of undergraduate interdisciplinary programs are appointed by the Provost after consultation with the faculty. They report to the division director in which the program is housed and are responsible for curriculum development, program assessment, scheduling coordination, student advisement oversight in the program, and the mediation of faculty-student issues.

Directors of graduate interdisciplinary programs report to the Associate Provost and Dean of Graduate Studies.

#### 2.3.1.3.8. OTHER DIRECT REPORTS TO THE PROVOST

The following administrative roles are directly responsible to the Provost:

- Director of the Center for Academic Innovation (CAI)
- Director of the Center for Women's Intercultural Leadership (CWIL)
- Director of the Office Academic Research, Grants, and Sponsored Programs
- Director of the CUSHWA-LEIGHTON Library
- Director of the Global Education Office
- Director of the Spark lab
- Director of Grants and Sponsored Programs

Information regarding the directors' responsibilities is contained in a job description available in the Office of Human Resources.

#### 2.3.1.4. COMMITTEES OF THE PROVOST OR ASSOCIATE PROVOST

##### 2.3.1.4.1. INSTITUTIONAL REVIEW BOARD (IRB) (reports to the Provost)

2.3.1.4.1.1. MEMBERSHIP The Institutional Review Board consists of faculty members who are knowledgeable about the experimental design, at least one each from the Social Sciences and the natural Sciences; one from a graduate program, at least one member of the faculty at large who is not a scientist; one representative from the Student Affairs Division; one person from outside the institution whose training or profession is relevant; at least one member of the College administration; one discretionary consultant (non-voting) who may be invited for clarification.

2.3.1.4.1.1.1. The IRB Chair, who must be a tenured member of the faculty, will be selected by the committee. Faculty members and administrators are nominated by the continuing members of the IRB subject to appointment by the Provost. One faculty at large will be elected by the Faculty. Outside members and consultants are nominated by the IRB subject to appointment by the Provost. While there are no fixed terms on the IRB, appointments should be made to insure both continuity and refreshed membership. In compliance with federal regulations, the IRB will not be single sex (all male or all female) in compositions. If a member of IRB is involved in the research proposal under review, she or he will absent her/himself from the deliberations. Four members from the institution and one

outside member are required for full committee reviews. All members of the IRB must undergo designated training.

#### 2.3.1.4.1.2. RESPONSIBILITY

##### 2.3.1.4.1.2.1. The Institutional Review Board:

- 2.3.1.4.1.2.1.1. reviews, approves, or rejects, requires modifications, and monitors all research involving human participants conducted at Saint Mary's College, or by Saint Mary's students or personnel.
- 2.3.1.4.1.2.1.2. ensures that information given to participants as informed consent is in accord with federal guidelines.
- 2.3.1.4.1.2.1.3. approves continuing research projects if a project lasts more than one year and more frequently if needed.
- 2.3.1.4.1.2.1.4. reviews and approves all previously approved research when there are changes in the research protocol and deemed necessary by the investigator.
- 2.3.1.4.1.2.1.5. informs investigators and the Provost of decisions. In case of rejection of a research activity, the IRB shall include in its written response the reasons for this decision, and allow the investigator to respond in person or in writing.
- 2.3.1.4.1.2.1.6. maintains a file of active and past approved and rejected research proposals along with sample consent forms, progress reports, and reports of injuries. All applications and decisions reached on those applications must be kept for a minimum of three years. These files shall be open to inspection by IRB members and appropriate members of Saint Mary's College Administration.
- 2.3.1.4.1.2.1.7. suspends or terminates approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to participants. If needed, a representative from Student Affairs may be brought in for consultation. Such termination must be communicated, with reasons, to the investigator and the Provost.
- 2.3.1.4.1.2.1.8. keeps minutes of IRB meetings that include records of attendance, actions taken, the vote on each proposal, the basis for requiring changes in or approving research, and a written summary of the discussion of controversies and their resolutions.

2.3.1.4.1.2.1.9. provides education and consultation on request.

2.3.1.4.1.2.2. The Chair:

2.3.1.4.1.2.2.1. keeps files on all submitted proposals and records of the decisions made on those proposals.

2.3.1.4.1.2.2.2. notifies in writing to the Provost and the investigator of the decisions of the IRB and maintains files of such notifications.

2.3.1.4.1.2.2.3. notifies faculty semi-annually of IRB guidelines.

2.3.1.4.1.2.2.4. organizes meetings and sets the agenda for meetings.

2.3.1.4.1.2.3. The Investigator:

2.3.1.4.1.2.3.1. The IRB requires all investigators to conduct themselves in a manner that considers the welfare of the participant before the research project. The faculty member will be the principal investigator of any student research. Investigators must be familiar with and behave consistent with federal and professional guidelines pertaining to human research.

Before undertaking the project the investigator will:

1. carefully read the instruction on the requirements for informed consent, and the definitions of the appropriate levels of review;
2. carefully, thoroughly, accurately complete the appropriate forms;
3. submit documentation of training or education pertaining to ethics and responsible conduct of research with human participants;
4. submit proposals for full committee review ten days before the regularly scheduled meeting of the IRB and before initiating the project. The investigator must submit the proposal to the Chair of the IRB for distribution to the full IRB.
5. is the principal investigator of any student research.

After receiving IRB approval the investigator will:

6. adhere to the protocol described in the approval proposal;
7. obtain a signed consent form for each individual participant in the study;
8. maintain records of consent forms;
9. resubmit to the IRB for approval any deviations from the approved protocol;

10. submit annually for review any continuing projects;

If, during the course of the research the investigator has any evidence that participants have in any way been harmed as a direct consequence of their participation, or that participation functioned as a contributing fact in producing the harm, or for any other reason, that investigator must:

1. take immediate measures to prevent further harm and seek assistance as needed;
2. notify the Provost and the Chair of the IRB immediately irrespective of the incident. The Provost or the Chair of the IRB may subsequently solicit assistance from appropriate personnel;
3. continue to monitor the participants as necessary;
4. stop data collection from the participants in question and postpone all activities associated with the research project.
5. seek consultation with the IRB as to the continuation of the project.

The principal investigator must keep all research records for a minimum of three years or per federal guidelines. In the case of research involving minors, records must be maintained until those participants reach the age of majority plus two additional years or per federal guidelines. These files should be available for inspection by the IRB or by an administrative person evaluating the IRB.

2.3.1.4.1.2.4. The Supervisor - In the event that a student is a co-investigator, the faculty member is considered the principal investigator and must actively supervise the research and maintain a written record of that supervision.

2.3.1.4.1.2.5. The Institution – The Provost will conduct an annual review of the entire program to insure that proper quality assurance and risk management procedures are being followed.

#### 2.3.1.4.1.3. PROCEDURES

2.3.1.4.1.3.1. The full IRB will meet regularly in the fourth and eleventh week of each semester during which time the IRB will review proposals requiring full review and update the files of currently active projects and review new proposals.

2.3.1.4.1.3.2. There will be three levels of review:

2.3.1.4.1.3.2.1. projects submitted for basic review will be reviewed by one member of the IRB.

2.3.1.4.1.3.2.2. projects submitted for expedited review will be reviewed by two members of the IRB. In the event those members feel the proposal should receive full review, the investigator will be informed, and the proposal will be put on the agenda for the next full committee review.

2.3.1.4.1.3.2.3. proposals requiring full committee review will be reviewed at the regular meetings of the committee. All research involving minors is subject to a full review.

2.3.1.4.1.3.3. Full review requires a quorum of five members, one of whom must be the outside member.

2.3.1.4.1.3.4. If approval is denied, the investigator will be given written feedback on the specific reasons for denial and the investigator will be given an opportunity to respond in person or in writing.

2.3.1.4.1.3.5. The IRB is the only body that can approve research proposals.

2.3.1.4.1.3.6. The Provost's Office of Saint Mary's may also review and disapprove any research proposal that has been passed by the IRB. They may not approve any research that has been rejected by the IRB.

2.3.1.4.2. LEARNING COMMONS DIRECTORS' ROUNDTABLE.

2.3.1.4.2.1. Composition: The Learning Commons Directors' Roundtable Membership consists of the directors of the units located in the learning commons. Supervisors of those directors attend at the discretion of the committee.

Purpose: The Roundtable supports planning, implementation, and collaboration among the units of the learning commons to promote integrated student services. The Roundtable should be consulted on major changes to the building or changes in the composition of the units that make the learning commons.

2.3.1.4.3. TEACHING, LEARNING, AND TECHNOLOGY ROUNDTABLE (TLTR) (reports to the Provost)

2.3.1.4.3.1. MEMBERSHIP – The Teaching, Learning, and Technology Roundtable reports to the Provost and is open to any member of the Saint Mary’s community interested in instructional technology. The representative standing membership, or Steering Committee, consists of: the Provost, the Chief Information Officer, the Director of the Center for Academic Innovation, the Director of the Library (or other Librarian representative), one Computer Science faculty member from the Mathematics Department, the Director of Instructional Technology and Director of Distance Education, the Director of Instructional Technologies and Support for Graduate Program, a representative from the Graduate Program Committee, and three faculty members elected by the Faculty, and a representative from the Student Government Association. A Chair is elected by the Steering Committee from among its representative standing membership.

Typically, the group operates by discussion and reaching consensus. However, if during any meeting or discussion of the TLTR the Chair feels there is a need for a vote on an issue, the Steering Committee has voting authority.

2.3.1.4.3.2. RESPONSIBILITY – The Teaching, Learning, and Technology Roundtable:

2.3.1.4.3.2.1. advises the College on the teaching and learning technology vision and initiatives at Saint Mary’s College and assesses the implementation of those initiatives and the effectiveness of efforts to realize it;

2.3.1.4.3.2.2. studies and recommends the acquisition and placement of information technologies for teaching and learning purposes;

2.3.1.4.3.2.3. reviews proposals, makes recommendations, and advises the Provost and Chief Information Officer on how information technology can be linked with curricular, budgetary, and facilities planning;

2.3.1.4.3.2.4. forms a subcommittee reporting to the Associate Provost to assess classroom needs of all types and recommends classroom improvements.

2.3.1.4.3.2.5. develops requirements and procedures for review of online courses in consultation with the Director of Instructional Design and Technology.

2.3.1.4.4. THE STEERING COMMITTEE OF THE WRITING PROFICIENCY PROGRAM  
(reports to the Associate Provost)

2.3.1.4.4.1. MEMBERSHIP – The Steering Committee of the Writing Proficiency Program consists of the Director and Assistant Director of the Writing Proficiency Program, a maximum of five prior directors, the Director of the Writing Center, . The Dean of Student Academic Services and four faculty members will serve staggered three-year terms (ordinary members).

2.3.1.4.4.2. RESPONSIBILITY – The Steering Committee of the Writing and Proficiency Program:

2.3.1.4.4.2.1. nominates the ordinary members as openings arise;

2.3.1.4.4.2.2. makes policy decisions congruent with the philosophy and goals of the Writing Proficiency Program;

2.3.1.4.4.2.3. forwards to the appropriate curricular or academic committees of the College its recommendations for policy or other changes;

2.3.1.4.4.2.4. receives recommendations for changes in the Writing Proficiency Program from members of the Writing Proficiency Committee and from the larger academic community;

2.3.1.4.4.2.5. approves or disapproves exceptions to the transfer-student portfolio review policy administered by the Director of Academic Advising and Registrar;

2.3.1.4.4.2.6. serves as reviews for students who appeal the decision to deny the W;

2.3.1.4.4.2.7. keeps the Associate Provost informed about the Writing Proficiency Program's current policies and procedures.

2.3.1.4.5. WRITING PROFICIENCY COMMITTEE (reports to the Associate Provost)

2.3.1.4.5.1. MEMBERSHIP – The Writing Proficiency Committee consists of past and current teachers of W courses, those planning to teach a course, the Director and Assistant Director of the Writing Proficiency Program, the Director of the Writing Center, the Director of Academic Advising and Registrar, and the Dean of Student Academic Services.

2.3.1.4.5.2. RESPONSIBILITY – The Writing Proficiency Committee



- 2.3.1.4.5.2.1. staffs W courses in sufficient numbers to provide instruction for all students who need W certification;
- 2.3.1.4.5.2.2. participates as readers in the Portfolio review;
- 2.3.1.4.5.2.3. evaluates portfolios of transfer students;
- 2.3.1.4.5.2.4. reads entries submitted for the Writing Proficiency Program essay contest.

2.3.1.4.6. ACADEMIC RESEARCH GRANTS COMMITTEE (reports to the Associate Provost)

2.3.1.4.6.1. MEMBERSHIP – The Academic Research Grants Committee consists of the Faculty Director of Academic Research, Grants, and Sponsored Programs, who serves as chair; and five faculty members elected by the Faculty: one from the area of Fine Arts (Art, Music, Communication, Dance, Theater, or Physical Education), one from the Sciences (Biology, Chemistry, Physics, Nursing, or Mathematics), one from Social Sciences (Psychology, Political Science, Sociology, Anthropology, Social Work, Business Administration, Economics, or Education), and two from the Humanities (one from Religious Studies, Philosophy, History, or Humanistic Studies, and one from English or Modern Languages). The normal term of appointment for faculty members is three years. During SSTAR deliberations, the Committee will also include two students chosen from and by the Student Academic Council. The student members may not be current applicants for SSTAR grants. The Committee on Committees of the Academic Leadership Council provides for the orderly rotation of the faculty members so that no more than two of the members' terms expire in the same year. Members of the Academic Research and Grants Committee having a conflict of interest must withdraw from the committee; replacements are appointed by the Executive Committee of the Academic Leadership Council. The replacement must represent the same general academic area as the person who withdraws.

2.3.1.4.6.2. RESPONSIBILITY – The Academic Research and Grants Committee:

- 2.3.1.4.6.2.1. reviews the guidelines and forms used by the Committee;
- 2.3.1.4.6.2.2. distributes the guidelines and application forms to all full-time faculty in a timely fashion;
- 2.3.1.4.6.2.3. reviews applications and determines awards;

2.3.1.4.6.2.4. receives reports on the activity from award recipients.

2.3.1.4.6.3. PROCEDURES

2.3.1.4.6.3.1. DEADLINES Deadlines are provided by the Academic Research Office for each of the grants.

2.3.1.4.6.3.2. ELIGIBILITY

2.3.1.4.6.3.2.1. Only full-time faculty and part-time faculty who have taught a minimum of five semesters are eligible.

2.3.1.4.6.3.2.2. Faculty of all ranks from all departments are encouraged to apply.

2.3.1.4.6.3.2.3. Former recipients may apply. Only if the Committee must choose between two applications of equal merit will it prefer the applicant who has not received an award in the recent past.

2.3.1.4.6.3.2.4. A member of the Committee may apply, vacating automatically his or her seat on the selection committee.

2.3.1.4.6.3.2.5. Persons on terminal contracts are not eligible.

2.3.1.4.6.3.2.6. Grants are intended to assist faculty members in pursuing their professional development as teachers and scholars. An award cannot be used for degree completion.

2.3.1.4.6.3.3. RESPONSIBILITIES OF THE RECIPIENT

2.3.1.4.6.3.3.1. The funds must (normally) be used during the fiscal year immediately following that in which the awards are made.

2.3.1.4.6.3.3.2. Recipients must file a written report with the Associate Provost, sending a copy to the Chair of the Faculty Director of the Academic Research and Grants Committee within nine (9) months after the proposed beginning date of the project. This report must specify how the funds were spent and indicate what the recipient accomplished.

2.3.1.4.6.3.3.3. The financial support of Saint Mary's College must be acknowledged in any published report, article, exhibit, etc., stemming from activities supported by an award.

2.3.1.4.7. ADVISORY COMMITTEE ON GLOBAL EDUCATION (reports to the Director of the Global Education Office) – The Advisory Committee on Global Education guides decisions and directions of the international and intercultural education at Saint Mary's.

2.3.1.4.7.1. MEMBERSHIP – The Advisory Committee on Global Education consists of a campus administrator, two elected faculty representatives, the faculty coordinator of study abroad programs, a faculty coordinator of short-term study abroad programs, a student representative, the Global Education Assistant Directors, and the Director of the Global Education Office.

2.3.1.4.7.2. RESPONSIBILITY – The Advisory Committee on Global Education:

2.3.1.4.7.2.1. reviews proposals for new Saint Mary's College off-campus intercultural programs or affiliations (in conjunction with the Curriculum Committee as laid out in the policy for approval of such programs;

2.3.1.4.7.2.2. reviews proposals for global study and travel grants and departmental materials grants;

2.3.1.4.7.2.3. advises on policy recommendations for and overall direction of Saint Mary's College global education and for faculty development to support it across the curriculum.

2.3.1.4.8. ADVISORY COMMITTEE FOR CWIL SCHOLARSHIP (reports to the Director of CWIL) – The Advisory Committee for CWIL Scholarship offers counsel to CWIL regarding faculty travel grants, co-sponsorships, speaker's bureau and educational programs.

2.3.1.4.8.1. MEMBERSHIP – The Advisory Committee for CWIL Scholarship consists of two elected faculty representatives, appointed faculty representatives from Justice Studies, Gender and Women's Studies, and Intercultural Studies, a faculty/staff member from the Cushwa-Leighton Library, the Director of the Center for Academic Innovation, a student representative, and the CWIL Director.

2.3.1.4.8.2. RESPONSIBILITY – The Advisory Committee for CWIL Scholarship:

2.3.1.4.8.2.1. reviews and approves faculty travel grants;

2.3.1.4.8.2.2. reviews and approves group travel grants;

2.3.1.4.8.2.3. advises CWIL Director and staff on speakers and visiting scholars;

2.3.1.4.8.2.4. advises CWIL Director on the Status of Girls project

2.3.1.4.9 LIBRARY COMMITTEE (Reports to the Director of the Library)

2.3.1.4.8.2.5. MEMBERSHIP. The Library Committee consists of Director of the Cushwa-Leighton Library; six faculty elected through the Academic Leadership Council, at least one of which must be from the library; and two students selected according to the procedures outlined in the Student Government Association Constitution. The Director of the Library serves as Chair.

2.3.1.4.8.2.6. RESPONSIBILITY

2.3.1.4.8.2.6.1. makes policy recommendations for the improvement of library services;

2.3.1.4.8.2.6.2. studies and makes recommendations for the acquisition and placement of library materials;

2.3.1.4.8.2.6.3. advises on the policies relative to the use of the library and its materials.

2.3.1.5. VICE PRESIDENT FOR STRATEGY AND FINANCE

2.3.1.5.1. APPOINTMENT – The appointment of the Vice President for Strategy and Finance is confirmed by the Board of Trustees upon the recommendation of the President after appropriate consultation with the faculty. The Vice President for Strategy and Finance holds the office at the discretion of the President.

2.3.1.5.2. AUTHORITY AND RESPONSIBILITY – The Vice President for Strategy and Finance is directly responsible to the President. The Vice President for Strategy and Finance:

2.3.1.5.2.1. supervises the fiscal affairs of the college and serves as the College's chief financial officer;

2.3.1.5.2.2. supervises human resources and related affairs;

2.3.1.5.2.3. supervises and coordinates the operation, maintenance, and construction of all College facilities;

2.3.1.5.2.4. supervises the the implementation and oversight of information technology and technological investments;

- 2.3.1.5.2.5. oversees the implementation of enterprise risk management, in coordination with the Board of Trustees;
  - 2.3.1.5.2.6. oversees the management of the auxiliary services of the College, including food service operations, catering services, and the bookstore;
  - 2.3.1.5.2.7. provides periodic financial reports for presentation to the Board of Trustees and other reports as may be requested;
  - 2.3.1.5.2.8. aids the President in the preparation of the budget;
  - 2.3.1.5.2.9. oversees the management of contract and purchasing programs;
  - 2.3.1.5.2.10. directs the preparation of quarterly reports on all College, departmental, and divisional budgets;
  - 2.3.1.5.2.11. ensures that legal documents and instruments are properly executed;
  - 2.3.1.5.2.12. manages and maintains all College property;
  - 2.3.1.5.2.13. invests the College funds and reports to the Board of Trustees on the investment of those funds;
  - 2.3.1.5.2.14. appoints, with the approval of the President, such assistants as are needed;
  - 2.3.1.5.2.15. advises the Board of Trustees Committees on Financial Stewardship and Audit, Risk, and Legal, and the Investment Sub-Committee; serves as chair of the College Budget Committee and the College's Budget Priorities Committee; and is a member of the President's Executive Team;
  - 2.3.1.5.2.16. represents the College in designated professional associations and functions as requested by the President;
  - 2.3.1.5.2.17. performs other duties requested by the President.
- 2.3.1.5.3. OFFICE OF THE VICE PRESIDENT FOR STRATEGY AND FINANCE – The following administrators report to and are immediately responsible to the Vice President for Strategy and Finance. Information regarding the directors' responsibilities are contained in a job description available in the Office of Human Resources.

2.3.1.5.3.1. CHIEF INFORMATION OFFICER

2.3.1.5.3.2. CONTROLLER

2.3.1.5.3.3. DIRECTOR OF FACILITIES

2.3.1.5.3.4. DIRECTOR OF HUMAN RESOURCES

2.3.1.5.3.5. DIRECTOR OF PURCHASING

2.3.1.8.4. COMMITTEES OF THE SENIOR VICE PRESIDENT FOR STRATEGY AND FINANCE

2.3.1.8.4.1. COLLEGE BUDGET PRIORITIES COMMITTEE

2.3.1.8.4.1.1. MEMBERSHIP. The College Budget Priorities Committee consists of the Director of Human Resources, the Associate Vice President for Advancement, the Director of Admissions, the Provost or designee, and at least three faculty members. Faculty include one member of the Faculty Compensation Committee of the Academic Leadership Council, an appointed member of the Department of Business and Economics, an appointed member of a graduate program, and one additional elected faculty member. This committee is chaired by the Vice President for Strategy and Finance and staffed by the Senior Financial Planning Analyst.

2.3.1.8.4.1.2. RESPONSIBILITY. The College Budget Priorities Committee:

2.3.1.8.4.1.2.1. strategizes about such things as compensation for faculty and staff;

2.3.1.8.4.1.2.2. understands how budget priorities are set by the administration;

2.3.1.8.4.1.2.3. contributes to discussions on such matters as budget deficit/surplus, policy definition, and the funding of College initiatives pertaining to both near- and longer-term financial models;

2.3.1.8.4.1.2.4. provides guidance and recommendations regarding the sharing of budget information and financial decisions to the College community

2.3.1.6. VICE PRESIDENT FOR MISSION

2.3.1.6.1. APPOINTMENT – The Vice President for Mission is mutually selected by the President of the Congregation and the President of the College.

Appointment is made by the President of the College. The Vice President for Mission holds office at the discretion of the President of the Congregation and the President of the College.

2.3.1.6.2. AUTHORITY AND RESPONSIBILITY – The Vice President for Mission is directly responsible to the President of the College. The Vice President for Mission:

2.3.1.6.2.1. develops and implements education that animates the community around the charism of the Sisters of the Holy Cross—not only their history and values, but also their ongoing lived mission, a mission that the College is a part of;

2.3.1.6.2.2. guides processes that enable the Board of Trustees, administration, staff, faculty, and students to understand the mission and philosophy of the College and their responsibility for its implementation;

2.3.1.6.2.3. ensures that the mission and values of the College, which have been determined by the Board of Trustees, are in harmony with the tradition of the Catholic Church and the mission of the Sisters of the Holy Cross;

2.3.1.6.2.4. advises and assists the President and exercises collaborative leadership in the process of mission integration across all sectors of Saint Mary's College;

2.3.1.6.2.5. convenes and chairs the Mission Council of the College which is designed to coordinate mission activities;

2.3.1.6.2.6. leads a periodic assessment of the effectiveness and relevance of the College's mission fulfillment and Catholic identity;

2.3.1.6.2.7. encourages the integration of mission and values in the processes of strategic planning, budgeting, marketing, policy, and decision making;

2.3.1.6.2.8. plans and participates in an annual meeting of the leadership of the Congregation (General Council), leadership of the College Board, and Administrative Officers about matters related to the College and the Congregation;

2.3.1.6.2.9. establishes and maintains relationships with the mission offices and mission officers of other Catholic institutions of higher education and of other Holy Cross sponsored institutions;

2.3.1.6.2.10. chairs the Sustainability Committee, serves on the Inclusion and Equity Advisory Council;

2.3.1.6.2.11. serves as staff advisor for the Board of Trustees Mission Stewardship Committee; and

2.3.1.6.2.12. performs other duties requested by the President.

2.3.1.6.3. DIVISION FOR MISSION ADMINISTRATORS – The following Mission Services Administrators report to and are immediately responsible to the Vice President for Mission. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.

2.3.1.6.3.1. DIRECTOR OF THE CENTER FOR THE STUDY OF SPIRITUALITY

2.3.1.6.3.2. DIRECTOR OF CENTER FOR FAITH, ACTION, AND MINISTRY

2.3.1.6.4. COMMITTEES OF THE VICE PRESIDENT FOR MISSION

2.3.1.6.4.1. MISSION COUNCIL

2.3.1.6.4.1.1. MEMBERSHIP – The Mission Council consists of representatives from all campus constituencies and two elected faculty members. The Vice President for Mission serves as chair.

2.3.1.6.4.1.2. RESPONSIBILITY – The Mission Council:

2.3.1.6.4.1.2.1. encourages members of the College community to learn about the Congregation of the Sisters of the Holy Cross, its history, and tradition as they relate to the College;

2.3.1.6.4.1.2.2. supports a culture of understanding the College's mission and integrating that mission across the College;

2.3.1.6.4.1.2.3. promotes objectives and programs that highlight the mission and values of the College;

2.3.1.6.4.1.2.4. participates in the selection of the recipient of the Lumen Christi award, Unsung Hero award (*Caritas Canantes*) and the Jane O'Rourke Bender award;



2.3.1.6.4.1.2.5. supports the Vice President's work to ensure that religious symbolism and spiritual art is present and appropriate at the College.

#### 2.3.1.6.4.2. SUSTAINABILITY COMMITTEE

2.3.1.6.4.2.1. MEMBERSHIP - The Sustainability Committee consists of the Vice President for Mission, Director of Facilities, Manager of Saint Mary's Campus Dining Services, the Chair of the Environmental Studies Department, Education Director of the Sustainable Farm, College Compliance Officer, a Director from Student Affairs, Assistant Director of Justice and Solidarity, a representative from the Sisters of the Holy Cross, two faculty members elected by the Academic Leadership Council and an undergraduate student representative from the Student Government Association. The Vice President for Mission serves as the chair.

2.3.1.6.4.2.2. RESPONSIBILITY – The Sustainability Committee:

2.3.1.6.4.2.2.1. advises the Vice President for Mission on sustainability and other matters of environmental concern.

2.3.1.6.4.2.2.2. shares and facilitates coordination across departments, divisions and constituencies to enhance sustainability initiatives and practices between the College and neighboring communities.

2.3.1.6.4.2.2.3. supports sustainability practices across campus. This may include, but not be limited to: engage in consciousness raising, assist in implementing green initiatives, identifying sustainability needs for strategic planning.

2.3.1.6.4.2.2.4. articulates and shares the place of sustainability, environmental justice and other environmental concerns in the Mission of the College.

#### 2.3.1.7. VICE PRESIDENT FOR ADVANCEMENT

2.3.1.7.1. APPOINTMENT – The appointment of the Vice President for Advancement is confirmed by the Board of Trustees upon recommendation of the President after appropriate consultation with faculty. The Vice President for Advancement holds office at the discretion of the President.

2.3.1.7.2. AUTHORITY AND RESPONSIBILITY – The Vice President for Advancement is directly responsible to the President. The Vice President for Advancement

2.3.1.7.2.1. develops and supervises programs in alumnae relations, development, marketing and communications campus experience and events, and pre-college events;

2.3.1.7.2.2. assists the President in raising resources for the College and is responsible for designing and executing a comprehensive, integrated advancement strategy and the necessary infrastructure to further elevate a high-performing operation which will best position the College to respond to the evolving nature of philanthropy;

2.3.1.7.2.3. appoints, with the approval of the President, such assistants as needed;

2.3.1.7.2.4. represents the College in designated professional associations and functions as requested by the President;

2.3.1.7.2.5. ensures that the fundraising activities of the College are consistent with College objectives and with the role of the College as an institution of Catholic higher education;

2.3.1.7.2.6. develops a comprehensive marketing and communications plan to elevate and support deployment of the College's brand platform and enrollment efforts;

2.3.1.7.2.7. supervises the management and execution of all campus and external community events held at the College;

2.3.1.7.2.8. advises the Board of Trustees Financial Stewardship Committee, serves as an advisor to the Board of Trustees Trusteeship Committee, serves on the Executive Team, and the College Budget Committee;

2.3.1.7.2.9. serves in other capacities as designated by the President.

2.3.1.7.3. ADVANCEMENT ADMINISTRATORS – The following Advancement administrators report to and are immediately responsible to the Vice President for Advancement. Information regarding their responsibilities is contained in job descriptions available in the Department of Human Resources.

2.3.1.7.3.1. ASSOCIATE VICE PRESIDENT FOR ADVANCEMENT

- 2.3.1.7.3.2. EXECUTIVE DIRECTOR OF ALUMNAE AND ADVANCEMENT
- 2.3.1.7.3.3. EXECUTIVE DIRECTOR OF MARKETING AND COMMUNICATIONS
- 2.3.1.7.3.4. EXECUTIVE DIRECTOR OF ADVANCEMENT OPERATIONS
- 2.3.1.7.3.5. DIRECTOR OF CAMPUS EXPERIENCES AND EVENTS
- 2.3.1.7.3.6. DIRECTOR OF PRE-COLLEGE PROGRAMS AND STRATEGIC INITIATIVES
- 2.3.1.6.4. COMMITTEES OF THE VICE PRESIDENT FOR ADVANCEMENT
  - 2.3.1.6.4.1. PARENTS COUNCIL
    - 2.3.1.6.4.1.1. MEMBERSHIP. The Parents Council consists of parents of sophomore, junior, and senior students who are invited by the President to serve while their daughters are students.
    - 2.3.1.6.1.2 RESPONSIBILITY. The Parents Council members serve as advisors to the Vice President for Advancement on matters relating to marketing and fundraising from parents. They serve as a focus group for the Vice President for Student Enrollment and Engagement. They also assist the Vice President for Student Enrollment and Engagement Management with recruitment efforts.

2.3.1.8. VICE PRESIDENT FOR STUDENT ENROLLMENT AND ENGAGEMENT

- 2.3.1.8.1. APPOINTMENT – The Vice President for Student Enrollment and Engagement is appointed by the President after appropriate consultation with the faculty. The Vice President for Student Enrollment and Engagement holds office at the discretion of the President.
- 2.3.1.8.2. AUTHORITY AND RESPONSIBILITY – The Vice President for Student Enrollment and Engagement is directly responsible to the President. The Vice President for Student Enrollment and Engagement sets the strategy for a unified student experience that spans the lifecycle of interactions a student receives from the College, starting with recruitment and continuing through commencement. The Vice President for Student Enrollment and Engagement:
  - 2.3.1.8.2.1. Integrates and coordinates Enrollment Management and Student Affairs personnel in ways that maximize integration of mission and purpose;

- 2.3.1.8.2.2. supervises the offices of Admission and Financial Aid, and oversees and evaluates the undergraduate recruitment and financial aid activities of the institution; administers and supervises the Dean of Students and Campus Life, Student Involvement, Residence Life, Community Standards,, Health and Counseling, Campus Safety, Athletics and Recreation, Retention Strategies, and Belles Against Violence;
- 2.3.1.8.2.3. collaborates on related enrollment management issues with Academic Affairs, and the Associate Provost/Dean of Graduate Studies related to any grants; contributes to other committees, including retention;
- 2.3.1.8.2.4. develops the philosophy and policies of the Division of Student Enrollment and Engagement according to the objectives and purposes of the College;
- 2.3.1.8.2.5. oversees the development of strategic enrollment marketing plan;
- 2.3.1.8.2.6. evaluates effectiveness of recruitment practices and financial aid policies;
- 2.3.1.8.2.7. tracks enrollment trends within and outside Saint Mary's;
- 2.3.1.8.2.8. educates the Saint Mary's community on the goals, objectives, achievements and challenges of the undergraduate enrollment management operation and strategic plan;
- 2.3.1.8.2.9. monitors student satisfaction and attrition patterns;
- 2.3.1.8.2.10. works with Executive Director of Retention Strategy and the Academic Affairs Office to develop early intervention programs for enrolled students at risk;
- 2.3.1.8.2.11. advises the Board of Trustees Educational Stewardship;
- 2.3.1.8.2.12. supervises the preparation of the Student Handbook and other publications and announcements of the Division;
- 2.3.1.8.2.13. develops a student environment at the College conducive to the spiritual, personal, intellectual, and social growth of students;
- 2.3.1.8.2.14. examines the dynamics/experiences for first year students and collaborates with relevant offices to bring about institutional changes to

improve these dynamics/experiences;

2.3.1.8.2.15. Fosters student leadership development in all areas of student life;

2.3.1.8.2.16. advises the Board of Trustees on progress throughout the enrollment cycle and on issues relevant to student life through the Educational Stewardship Committee of the Board; serves on the President's Executive Team, and Inclusion and Equity Advisory Council;

2.3.1.8.2.17. prepares, submits, and monitors the annual budget in coordination with directors;

2.3.1.8.2.18. appoints, with the approval of the President, other staff as are needed;

2.3.1.8.2.19. annually reviews the performance of each administrator within the Division;

2.3.1.8.2.20. represents the College in designated professional associations and functions as requested by the President;

2.3.1.8.3. ENROLLMENT AND ENGAGEMENT ADMINISTRATORS – The following report to and are immediately responsible to the Vice President for Student Enrollment and Engagement. Information regarding their responsibilities can be found in the Human Resources Office.

2.3.1.8.3.1. EXECUTIVE DIRECTOR OF RETENTION STRATEGIES

2.3.1.8.3.2. DEAN OF STUDENTS

2.3.1.8.3.3. DEAN OF ENROLLMENT MANAGEMENT AND MARKETING

2.3.1.8.3.4. DIRECTOR OF STUDENT FINANCIAL SERVICES

2.3.1.8.3.5. DIRECTOR OF HEALTH AND COUNSELING

2.3.1.8.3.6. DIRECTOR OF ATHLETICS AND RECREATION

2.3.1.7.4. COMMITTEES OF THE VICE PRESIDENT ENROLLMENT AND ENGAGEMENT ADMINISTRATORS

2.3.1.7.4.1. RETENTION COMMITTEE

2.3.1.7.4.1.1. MEMBERSHIP. The Retention Committee is chaired by the Executive Director of Retention Strategies. Membership includes the Membership includes the Dean of Student Academic Services, Associate Dean of Students, Director of Accessibility Resource Office, Director of Athletics, Director of Building and General Services, Director of Career Crossings, Director of Health and Counseling, Director of Institutional Research, Director of International Students and Multicultural Services, Director of Residence Life, Director of Student Success, Registrar, Associate Director of Admission, Associate Director of Financial Aid, Associate Director of Student Equity, a representative from Center for Faith, Action, and Ministry, two faculty members elected through the Academic Leadership Council and two students chosen by the Student Government Association. The President appoints the Chair of this committee.

2.3.1.7.4.1.2. RESPONSIBILITY. The Retention Committee:

2.3.1.7.4.1.2.1. assists the Chair of the Retention Committee in developing and implementing a retention plan for Saint Mary's College;

2.3.1.7.4.1.2.2. gathers, evaluates, and assesses data related to retention of undergraduate students;

2.3.1.7.4.1.2.3. monitors and assesses progress in achieving the College's retention goals;

2.3.1.7.4.1.2.4. examines and improves programs and services designed to enhance retention;

2.3.1.7.4.1.2.5. gathers peer data.

2.3.1.7.4.2. STUDENT AFFAIRS COUNCIL

2.3.1.7.4.2.1. MEMBERSHIP. The Student Engagement Council VPSEE/or designee oversees the council: the Vice President for Student Enrollment and Engagement; the Dean of Students; the Dean of Enrollment Management and Marketing, the Director of International Students and Multicultural Services, two directors within the Division of Student Enrollment and Engagement; two faculty members; one member of the Division for Mission; the Student Body President or their designee, the Student Government Association Vice President or their designee, the

President of the Residence Hall Association or their designee, and the President of the Student Diversity Board or their designee. Faculty members are appointed by the ALC. The two Directors have staggered appointments. The Vice President of Student Enrollment and Engagement or designee serves as Chair.

2.3.1.7.4.2.2. RESPONSIBILITY. The Student Engagement Council:

2.3.1.7.4.2.2.1. advises the President of the College on policies which affect all aspects of student life;

2.3.1.7.4.2.2.2. advises the President on the procedures in the search for a Vice President for Student Enrollment and Engagement;

2.3.1.7.4.2.2.3. proposes policies and participates in the selection of the Student Trustee and selects Jablonski-Diehl Student Government Scholarship awardees

2.3.1.7.4.2.2.4. provides a campus-wide forum for the discussion of student life;

2.3.1.7.4.2.2.5. serves as a forum for input from students and faculty regarding the programs and services in the Division of Student Enrollment and Engagement;

2.3.1.7.4.2.3. PROCEDURES. The Vice President for Student Enrollment and Engagement or designee schedules meetings and sets agenda for the Student Affairs Council.

2.3.1.9. VICE PRESIDENT FOR INCLUSION AND EQUITY

2.3.1.9.1 APPOINTMENT – The Vice President for Inclusion and Equity is appointed by the President after appropriate consultation with the faculty. The Vice President for Inclusion and Equity holds office at the discretion of the President.

2.3.1.9.2. AUTHORITY AND RESPONSIBILITY – The Vice President for Inclusion and Equity is directly responsible to the President. The Vice President for Inclusion and Equity:

2.3.1.9.2.1. leads the development and implementation of proactive inclusion and equity initiatives in support of the College's strategic plan to create a welcoming, diverse community where all have an opportunity to succeed.

2.3.1.9.2.2. champions the importance and value of an inclusive college environment and leads the development of a vision and effective strategy to create a culture for equity and inclusion in all areas of diversity.

2.3.1.9.2.3. engages students, faculty, and staff to further behaviors, attitudes, and policies that support diversity, equity, inclusion, and justice.

2.3.1.9.2.4. collaborates with College stakeholders to assess potential barriers and to develop strategies to recruit and retain a diverse workforce.

2.3.1.9.2.5. collaborates with college stakeholders to assess the need for, and to recommend training initiatives on, cultural competency, gender differences, disability, sexual harassment, and other topics designed to increase awareness and support of equity and inclusion values.

2.3.1.9.2.6. plans, guides, and advises the President and Executive Team on diversity, equity, inclusion and affirmative action matters. Collaborates with College leadership to create, implement and monitor programs designed to ensure fair and equitable treatment of students, faculty and staff.

2.3.1.9.2.7. leads the College in implementing strategic initiatives, including the creation of a culture for equity, diversity, inclusion, and justice. Partners with campus leaders, faculty, students, staff, and internal and external constituencies to ensure programming supports the College's values and strategic goals.

2.3.1.9.2.8. works with Director of Human Resources and General Counsel to provide strategic direction for training initiatives on cultural competency, gender differences, sexual harassment, building a climate of equity and inclusion, and other topics designed to increase awareness and support of equity and inclusion values, and maintaining compliance with applicable laws in collaboration with College stakeholders.

2.3.1.9.2.9. promotes College commitment to a climate of equity, diversity, inclusion, and justice through interaction with all student clubs and other College entities that specifically engage in efforts to address issues of equity, diversity, inclusion, and justice.

2.3.1.9.2.10. participates in various activities regarding student and faculty recruitment and works in conjunction with the Office for Multicultural and International Student Services, the Office for Student Equity, the division for Student Enrollment and Engagement and Human Resources to coordinate programs for underrepresented groups.

2.3.1.9.2.11. represents the College to external community, organizations, and agencies. Collaborates with external and internal constituency groups to promote and advance diversity, equity, inclusion, and justice.



2.3.1.9.2.12. works in conjunction with Director of Human Resources and campus Title IX Coordinator to review and develop strategies involving Affirmative Action, including Affirmative Action for Protected Veterans, Equal Employment Opportunity, Title IX and other applicable regulations.

2.3.1.9.2.13. establishes and maintains an internal audit and reporting system to allow for effective measurement of College programs. Assesses and monitors program effectiveness and keeps management informed of progress and issues through periodic reports.

2.3.1.9.2.14. working with the Director of Human Resources, gathers, researches and analyzes data for use in statistical calculations and reporting in order to meet federal and state requirements, including creating workforce analysis reports. Conducts annual Climate Survey, analyzes results, and makes recommendations for action.

2.3.1.9.2.15. manages the department budget, including developing budget proposals, justifying expenses and monitoring accounts.

2.3.1.9.2.16. chairs Inclusion and Equity Council; advises the Board of Trustees Mission Stewardship and Trusteeship Committees.

2.3.1.9.2.17. performs other duties requested by the President.

2.3.1.9.3. DIVISION FOR INCLUSION AND EQUITY ADMINISTRATORS – The following administrators report to and are immediately responsible to the Vice President for Inclusion and Equity. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.

2.3.1.9.3.1. DIRECTOR OF MULTICULTURAL AND INTERNATIONAL STUDENT SERVICES

2.3.1.9.3.2. DIRECTOR OF WOMEN'S ENTREPRENEURSHIP INITIATIVE

2.3.1.9.3.3. DIRECTOR OF THE OFFICE FOR STUDENT EQUITY

2.3.1.9.3.4. TITLE IX OFFICER

2.3.1.9.3.5. DIRECTOR FOR ACADEMIC INCLUSION & EXCELLENCE

2.3.1.9.4. COMMITTEES OF THE VICE PRESIDENT FOR INCLUSION AND EQUITY

2.3.1.9.4.1. INCLUSION AND EQUITY ADVISORY COUNCIL

2.3.1.9.4.1.1. MEMBERSHIP. The Inclusion and Equity Advisory Council consists of the Vice President for Inclusion and Equity, Vice President for Mission,

Director of Admission, Director of Human Resources, Director of the Center for Women's Intercultural Leadership, Director of Multicultural Services and Student Programs, Dean of Student Academic Services, President of the Student Diversity Board, Dean of Students, Executive Director for Retention Strategy, SGA Representation, SAGE President, Associate Director for Student Equity, an appointed faculty member, and two elected faculty members. The Chair of the Council is the Vice President for Inclusion and Equity.

2.3.1.9.4.1.2. **RESPONSIBILITY.** The Inclusion and Equity Advisory Council will promote strategies to build an inclusive and just community and will monitor the diversification of students, faculty, staff, and administrators; and receive annual reports from various campus departments regarding the College's efforts to create a culture of belonging and mattering. The Council will:

2.3.1.9.4.1.2.1. oversee the ongoing education and development of the entire College community (faculty, staff, administrators, and students) in the area of diversity and receive assessment reports on these efforts;

2.3.1.9.4.1.2.2. recommend, in conjunction with the appropriate units (e.g. Human Resources), policies and procedures; and

2.3.1.9.4.1.2.3. propose initiatives to improve the diversification, climate, inclusivity, equity, and belonging of the College community.

**2.3.2. ACADEMIC DEPARTMENTS/DIVISIONS** – A current organization chart is available in the Provost Office

## **2.4.OVERVIEW OF COLLEGE BOARDS, COUNCILS, AND COMMITTEES**

### **2.4.1. BOARD OF TRUSTEES**

Executive Committee  
Audit, Risk, and Legal Committee  
Educational Stewardship Committee  
Financial Stewardship Committee  
Mission Stewardship Committee  
Trusteeship Committee

### **2.4.2. PRESIDENT'S COUNCILS AND COMMITTEES**

Executive Team  
President's Cabinet  
Budget Committee  
Committee on Rank and Tenure  
Elected Executive Committee of the Academic Leadership Council  
Governance Manual Committee

President's Circle  
President's Committee on Sexual Violence  
Staff Advisory Council

**2.4.3. PROVOST AND SENIOR VICE PRESIDENT COMMITTEES**

Advisory Committees for:  
Academic Research and Grants Committee (Associate Provost)  
Global Education  
Institutional Review Board  
Teaching, Learning, and Technology Roundtable  
Graduate Program Committee (Associate Provost)  
Quality Assurance Committee (Associate Provost)  
Curriculum Committee (Associate Provost)  
General Education Oversight Committee (Associate Provost)

**2.4.4. ACADEMIC LEADERSHIP COUNCIL**

Academic Standards Committee  
Committee on Academic Effectiveness  
Curriculum Committee  
Graduate Program Committee  
Sophia Oversight Committee  
Faculty Affairs, Inclusion, and Retention  
Faculty Compensation and Budget Priorities  
Faculty Development  
Committee on Committees  
Grievance Committee (reports to the ALC Executive Committee)  
Online Academic Excellence Subcommittee (Subcommittee of Curriculum and Graduate Committees)

**2.4.5. VICE PRESIDENT FOR STRATEGY AND FINANCE**

College Budget Priorities Committee

**2.4.6. VICE PRESIDENT FOR MISSION**

Mission Council  
Sustainability Committee

**2.4.7. VICE PRESIDENT FOR ADVANCEMENT**

Alumnae Association Board of Directors  
Campaign Executive Committee  
Madeleva Society Steering Committee  
Parents Council

**2.4.8. VICE PRESIDENT FOR STUDENT ENROLLMENT AND ENGAGEMENT**

Retention Committee  
Student Affairs Council

#### **2.4.9. VICE PRESIDENT FOR INCLUSION AND EQUITY**

Inclusion and Equity Advisory Council

#### **2.4.10. JUDICIAL STRUCTURE**

For violations of the code of social conduct:

Residence Hall Director

Critical Incident Board

Dean of Students

Vice President for Student Enrollment and Engagement

For violations of academic honesty code:

Faculty

Department Chair

Graduate Program Director

Division Director

Dean of Student Academic Services and Director of Academic Advising and Registrar

Academic Standards Committee

Academic Hearing Board

Academic Appellate Board

President

## **2.5. PROCEDURES FOR AMENDING THE GOVERNANCE OF THE COLLEGE**

**2.5.1. THE CORPORATION OF SAINT MARY'S COLLEGE** – The procedure for amending the Code of Bylaws of the Corporation of Saint Mary's College, Notre Dame is found in Article XVI of the Code of Bylaws. The President of the College is responsible for seeing that the Code of Bylaws, published in the Governance Manual, is current.

**2.5.2. THE BOARD OF TRUSTEES OF THE COLLEGE** – The Bylaws of the Board of Trustees are the Bylaws of the Corporation of Saint Mary's College, Notre Dame; therefore, the process for amending the Bylaws of the Board is the same as that of the Corporation.

**2.5.3. THE ADMINISTRATION OF THE COLLEGE** – The authority and responsibilities of the Administrative Officers of the College (i.e., President, Provost, Vice President for Strategy and Finance, Vice President for Mission, Vice President for Advancement, Vice President for Student Enrollment and Engagement, Vice President for Inclusion and Equity, and General Counsel) are determined by the Board of Trustees.

**2.5.3.1. PRESIDENT** – The President, in consultation with the administrative officer to whom an administrator reports, determines the authority and responsibility of the

administrator. The membership structure, authority, and responsibilities of the following presidential committees are determined by the President: President's Cabinet, Budget Committee. The President may create additional committees as needed. The President makes changes in the membership structure of the Committee on Rank and Tenure only after appropriate consultation with the Provost and the faculty.

2.5.3.1.1. ACADEMIC LEADERSHIP COUNCIL (see Section 5)

2.5.3.1.2. STUDENT ENGAGEMENT COUNCIL – The President determines the membership structure, authority, and responsibility of the Student Engagement Council only after consultation with the Vice President for Student Enrollment and Engagement and the Student Engagement Council. The Student Engagement Council determines the membership structure, authority and responsibility of the committee which reports to it. The Vice President for Student Enrollment and Engagement is responsible for keeping the section of the Governance Manual dealing with Student Engagement Council and its committee up to date.

2.5.3.2. PROVOST AND SENIOR VICE PRESIDENT – The Provost and Senior Vice President is responsible for keeping the section of the Governance Manual dealing with that office and its administrative personnel up to date.

2.5.3.3. VICE PRESIDENT FOR STRATEGY AND FINANCE – The Vice President for Strategy and Finance is responsible for keeping the section of the Governance Manual dealing with that office and its administrative personnel up to date.

2.5.3.4. VICE PRESIDENT FOR MISSION – The Vice President for Mission is responsible for keeping the section of the Governance Manual dealing with that office and its administrative personnel up to date.

2.5.3.5. VICE PRESIDENT FOR ADVANCEMENT – The Vice President for Advancement is responsible for keeping the section of the Governance Manual dealing with that office and its administrative personnel up to date.

2.5.3.6. VICE PRESIDENT FOR STUDENT ENROLLMENT AND ENGAGEMENT – The Vice President for Student Enrollment and Engagement may create committees as needed and is responsible for keeping the sections of the Governance Manual dealing with Student Engagement, Enrollment, and Financial Aid and their administrative personnel up to date.

2.5.3.7. VICE PRESIDENT FOR INCLUSION AND EQUITY – The Vice President for Inclusion and Equity is responsible for keeping the section of the Governance Manual dealing with that office and its administrative personnel up to date.

**2.5.4. ACADEMIC DIVISION/DEPARTMENTS** – The Provost, only after consultation with the Division Directors/Department Chairs/Graduate Program Directors, determines the membership structure, authority, and responsibility of the academic departments. The Provost is responsible for keeping this section of the Governance Manual up to date.

### SECTION III

## **3. FACULTY POLICIES AND PROCEDURES**

### **3.1.FACULTY MEMBERSHIP**

The faculty of the College consists of the teaching faculty (each of whom holds a faculty rank and whose primary responsibility is classroom teaching), the Provost, the Associate Provost, emerita/us faculty, professional librarians, and those College administrators who, though their primary responsibilities to the College are other than teaching, have been appointed to the faculty by the President.

### **3.2.RESPONSIBILITIES OF THE FACULTY**

#### **3.2.1. RESPONSIBILITIES OF THE TEACHING FACULTY**

##### **3.2.1.1. GENERAL RESPONSIBILITY**

The teaching faculty as a whole has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, selection of new faculty members, faculty tenure status and related matters, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision, lodged in the Board of Trustees and delegated by it to the President, is exercised adversely only in exceptional circumstances, and for reasons communicated to the teaching faculty in writing. Thereafter, the teaching faculty has the right of further consideration and transmittal of its views to the President or, through the President, to the Board of Trustees.

##### **3.2.1.2. SPECIFIC RESPONSIBILITIES**

**3.2.1.2.1. TEACHING** Faculty are expected to demonstrate in their teaching a command of the subject matter, an ability to communicate, and a capacity to stimulate students. Faculty are also expected to be well organized in their presentation, to be well prepared for classes, to be available to students, to be interested in the development of students, to be fair in evaluation of students, and to be professional in relations with students. Further, faculty are expected to develop as teachers; development is evidenced by such factors as the introduction of new interests, ideas, or techniques in existing courses; the development of new courses; or movement into new subject areas.

**3.2.1.2.2. SCHOLARLY ACTIVITIES** Beyond the responsibility of maintaining a superior level of instruction, the teaching faculty are expected to cultivate and to improve their scholarly competence. This may be demonstrated by: published research, artistic production, distinguished performance, activity in professional societies, and other scholarly inquiries as deemed appropriate by the departments and the Committee on Rank and Tenure.

**3.2.1.2.3. SERVICE** In addition to responsibilities as teachers and scholars, the teaching faculty participates with the Board of Trustees and the President in determination of long-range plans for the College; selection of the President and other academic officers; improvements in the academic curriculum; decisions regarding buildings and facilities to be used in the educational work of the College; allocation of finances among competing demands; formulation of

policies and procedures relative to salary and ancillary benefits of the teaching faculty; and recommendation of structures and procedures for faculty participation in College governance through membership in the Academic Leadership Council and on College councils and committees. As members of the community, teaching faculty have the obligations of all citizens. They measure the urgency of these public responsibilities in the light of responsibilities to the students, to their disciplines, and to the College.

### **3.2.2. RESPONSIBILITIES OF THE PROFESSIONAL LIBRARIANS**

#### **3.2.2.1. GENERAL RESPONSIBILITY**

The professional librarians as a whole have primary responsibility in the College for such fundamental areas contributing to the educational and research mission of the College as: library service, reference service, collection development, bibliographic organization, and control. Professional librarians do not generally teach credit-bearing courses; however, they do have equivalent professional responsibilities commensurate with their role in the library. As members of the faculty, professional librarians have all the privileges and responsibilities of the faculty with the exception of academic rank.

#### **3.2.2.2. SPECIFIC RESPONSIBILITIES**

3.2.2.2.1. LIBRARIANSHIP Professional services in the library include administration, collection building, patron service, information literacy instruction, assessment of library services, and bibliographic organization and control;

3.2.2.2.2. SCHOLARLY ACTIVITIES Beyond the responsibility of maintaining a superior level of librarianship, the library faculty are expected to cultivate and to improve their scholarly competence through bibliographic research, library and information science research, disciplinary research when appropriate, research into the scholarship of teaching and learning, preparation of catalogues and indexes, participation in workshops and professional meetings, and publications;

3.2.2.2.3. SERVICE Professional librarians are expected to participate in appropriate professional and scholarly organizations, to participate in College governance through membership in the Academic Leadership Council and on College councils and committees. As members of the community, professional librarians are expected to contribute to the work of the college, using their skills and interests as a guide to where they can best serve.

### **3.2.3. RESPONSIBILITIES OF ADMINISTRATORS WHO ARE MEMBERS OF THE FACULTY**

3.2.3.1. GENERAL RESPONSIBILITY Administrators who hold faculty rank have contractually designated responsibilities that are specific to their positions. Their positions as administrators preclude their election as faculty on College councils and committees.



3.2.3.2. SPECIFIC RESPONSIBILITIES These are unique to each position and are delineated in the administration position description.

### **3.2.4. RESPONSIBILITIES OF THE EMERITA/US FACULTY**

3.2.4.1. GENERAL RESPONSIBILITY Emerita/us faculty are expected to support the principles, objectives, and standards of the college in a manner befitting their honored status.

3.2.4.2. SPECIFIC RESPONSIBILITIES Emerita/us faculty do not have specific responsibilities to the College unless they are contractually retained. If so disposed, they may continue to serve on College councils and committees.

## **3.3.FACULTY RANKS**

### **3.3.1. GENERAL POLICY**

All permanent faculty hold academic rank. There are four primary academic ranks for tenure track faculty: Instructor, Assistant Professor, Associate Professor, and Professor, plus Professional Librarian. Each faculty member is assigned to one of these according to the principles and procedures established for appointment and promotion. In addition to the four primary ranks, there are several academic designations with rank for part-time faculty and faculty not on the tenure track. All faculty are expected to fulfill the responsibilities appropriate to their position on the faculty and each has the rights appropriate to that position.

### **3.3.2. TENURE TRACK ACADEMIC RANKS**

3.3.2.1. INSTRUCTOR The beginning rank, may be assigned to those who have not completed all the requirements for the terminal degree in their discipline.

3.3.2.2. ASSISTANT PROFESSOR The second academic rank, ordinarily conferred upon those who have completed their terminal degree and who have not yet been promoted to the rank of Associate Professor.

3.3.2.3. ASSOCIATE PROFESSOR The third academic rank, ordinarily conferred upon those who have served as assistant professors, have been recognized for superior teaching, and have achieved public recognition in their discipline.

3.3.2.4. PROFESSOR The fourth academic rank, ordinarily conferred upon those who have served as associate professors, have been recognized for superior teaching, and have achieved widespread recognition in their discipline.

3.3.2.5. PROFESSIONAL LIBRARIAN The designation of Professional Librarian is normally conferred on persons possessing the appropriate terminal professional degree. Appointment of Librarians follows the same procedures as those established for appointing other tenure track faculty.

### **3.3.3. NON-TENURE ACADEMIC DESIGNATIONS**

There are several rationales for non-tenure track faculty positions, including 1) the institution sometimes has a need for shorter-term positions to fill temporary staffing gaps; 2) the institution needs to recruit and retain new and established professionals in their fields for more specific purposes, e.g. clinical teaching and placement oversight; focus on teaching; or focus on practice. In these cases, it is the mutual interest of the institution and the faculty member both to qualify for the position based on their experience and skills in the area of focus and to have a workload and evaluation expectations commensurate with that focus.

Non-visiting, ongoing, full-time non-tenure faculty positions, both as professional specialists and teaching professors will have an opportunity for promotion. The ranks include assistant, associate, and full professor. Promotion under this context does not confer tenure or the expectation of tenure. Because of the more specialized expectations and credentialing of these positions, they are not substitutes for tenure-track lines. Rank follows the same general timeline for promotion as for tenure/tenure-track faculty. A non-tenure track faculty member is typically eligible for promotion to associate after six years of employment and to full professor after 12 years of employment at Saint Mary's college. With the support of annual reviews, the provost's office, division director, and department chair will determine appropriate rank in consultation with the faculty member.

- 3.3.3.1. **ADJUNCT FACULTY** The designation of Adjunct Faculty is normally conferred on persons who are paid to teach on a course-by-course basis. They may hold other academic or administrative positions. A letter of agreement is issued to them on a semester basis. Adjuncts are appointed on an ad hoc basis in consultation between the Department Chair/Division Director and the Associate Provost.
- 3.3.3.2. **VISITING** The designation of Visiting Faculty is conferred on persons holding short-term period, of no more than three years, in a full-time appointment with rank. A visiting faculty can be hired as a professional specialist or teaching professor. A load is typically 4:3 to 4:4 which equals up to 12 credit hours each semester (if service expectations exist, the load will more likely be at a 4:3 level). Visiting Faculty should meet the qualifications for the rank they hold (e.g. Visiting Assistant Professor or Visiting Associate Professor, etc.). Visiting Faculty are appointed following the procedure for Appointment to the Faculty.
- 3.3.3.3. **PROFESSIONAL SPECIALIST** The designation of Professional Specialist is conferred upon full-time faculty not on the tenure track whom have ongoing and yearly teaching expectations but also have specialized training, knowledge, skills, competencies and experience in a particular field relevant to a departmental or programmatic need with full service expectation to the department and participation in departmental activities. Faculty Professional Specialists must have an advanced degree, professional credentials, licensure or certification, and/or current professional experience in their respective discipline as determined to be appropriate

by the departmental faculty, the Division Chair, and the Provost. Professional Specialists are expected to maintain requisite clinical competencies and professional credentials. Normally faculty specialists do not need to hold a terminal degree. If they do hold a terminal degree relevant to the position, an increase in salary will be given. Professional Specialists are appointed following the procedure for Appointment to the Faculty.

3.3.3.3.1. CLINICAL PROFESSIONAL SPECIALISTS The designation of Clinical Professional Specialist is conferred upon faculty who hold professional credentials that support clinical work and/or supervision.

3.3.3.4. TEACHING PROFESSOR The designation of Teaching Professor is conferred upon full-time faculty not on the tenure track who are appointed primarily to provide instruction with full service expectation to the department and participation in departmental activities (e.g. advising, assessment, and/or curriculum development). The basic qualifications and standards vary by discipline, but the title reflects strong teaching ability and a relevant basis of scholarly work or professional expertise and achievement. The expected teaching load is typically a 4:3 (or 3:4) load which is the equivalent of 21 hours over both semesters. These individuals need to hold an advanced degree but a terminal degree is not required. If they do hold a terminal degree in the relevant position, an increase in salary will be given. Teaching professors are appointed following the procedure for Appointment to the Faculty.

3.3.3.4.1. CLINICAL TEACHING PROFESSOR Faculty who serve an essential teaching function that requires substantive clinical expertise and leadership in a clinical practice area. Teaching is their primary responsibility with expectations for service commensurate with a tenure track position and possible outreach with community partners. Research is not a specific expectation for this position but in many cases these faculty are conducting clinical scholarship. A terminal degree, often a clinical doctorate, is required. In most cases, maintenance of clinical licensure is expected.

3.3.3.5. FACULTY FELLOWS The designation of Faculty Fellow is conferred upon individuals who: teach courses for a graduate program on a regular basis (typically at least one course per year); contribute to the work of designing, implementing, assessing and reviewing their graduate programs; engage in efforts to develop the reputation of their graduate programs outside the College; and participate in recruitment and mentoring of students in ways that exceed the bounds of course instruction (e.g., directing student research, constructing and evaluating comprehensive exams, supervising students in community of field placements, etc.). Faculty Fellows are individuals who bring significant expertise in their fields (normally possessing the terminal degree), but who do not hold a full-time or part-time faculty appointment at the College.

3.3.3.6. Non-tenure track faculty expectations and opportunities

- 3.3.3.6.1. As faculty members, all non-tenure track faculty are expected to uphold the professional norms expected of all faculty in terms of teaching responsibilities and professional integrity and abide by the expectations of the governance manual. The specific expectations in terms of teaching, service, research and/or other responsibilities to the College will be dictated by the position description and/or faculty contract, with any additional details outlined in the appointment letter.
- 3.3.3.6.2. All non-tenure track faculty are immediately eligible upon hire to participate in faculty development workshops on teaching and assessment offered through their departments, divisions, or the Center For Academic Innovation (CAI).
- 3.3.3.6.3. All full-time non-tenure track faculty are eligible for internal grants and travel funds starting immediately.
- 3.3.3.6.4. All non-tenure track faculty are eligible to serve and may serve on the ALC, ALC committees, as well as department, divisional, provost, and college committees, but non-tenure track faculty should not be pressured to serve in areas that are beyond the scope of their title and associated obligations. Service participation will be incorporated into annual reports. Non-tenure track faculty do not serve on the Rank & Tenure Committee.

### **3.4.APPOINTMENT TO THE FACULTY: TEACHING AND NONTEACHING FACULTY**

#### **3.4.1. APPOINTMENT PROCEDURE**

- 3.4.1.1. CRITERIA FOR APPOINTMENT The appointment of a member of the faculty is based on a careful evaluation of the individual's potential for fulfilling the responsibilities of a faculty member and on the needs of the institution.
- 3.4.1.2. POSITION APPROVAL PROCEDURE In consultation with the Department Chair, the Division Director prepares a position request for the Associate Provost. Guidelines and requirements will be posted on the Council of Chairs/Division Director portal. Position requests will be reviewed by the Associate Provost and Provost, with the hiring decision made in discussion with the President.
- 3.4.1.3. SEARCH PROCEDURE Upon receipt of position approval, departments/divisions will establish search procedures and conduct a search for a candidate in accord with the College's Equal Employment Opportunity Policy. Normally, all faculty in the department, or a Search Committee selected by them, will review the credentials of applicants for the position.

3.4.1.4. CANDIDATE APPROVAL      Except in extraordinary circumstances, the division in consultation with the department originates the recommendation for filling approved positions. The chair of the search committee sends credentials of the candidates and the recommendation of the search committee to the Provost, who approves the list of candidates to be brought to campus for interviews. The Chair of the Search Committee will invite candidates to campus for interviews. Candidates who visit campus will be reimbursed for their travel expenses according to the policies described under Travel Reimbursement.

3.4.1.5. CANDIDATE INTERVIEWS      All members of the department shall have the opportunity to interview each candidate. Candidates will be interviewed by the Associate Provost, or the Provost, or their designees. Normally, candidates are expected to make a presentation to students and faculty, who will be requested to complete an evaluation of the candidate's performance. After the interviewing process is completed, the search committee will evaluate and rank all of the candidates in order of hiring preference. The Division Director will then forward the recommendation to the Provost. The Associate Provost, the Provost, and the President will review the recommendation along with their own evaluations in light of institutional priorities.

3.4.1.6. INVITATION TO JOIN FACULTY      Upon a positive decision, the Provost will invite the applicant to join the faculty of the College. A time limit of one week is ordinarily given to the applicant to accept or decline the offer. Upon acceptance of the offer the Initial Letter of Appointment [Section III.E] will be sent by the Provost's Office.

### **3.4.2. QUALIFICATIONS FOR TENURE/TENURE-TRACK APPOINTMENT**

3.4.2.1. INSTRUCTOR. Appointment to the rank of Instructor requires:

- 3.4.2.1.1.      An appropriate academic degree or the standard accepted equivalent;
- 3.4.2.1.2.      The promise of superior teaching ability.

3.4.2.2. ASSISTANT PROFESSOR. Appointment to the rank of Assistant Professor requires:

- 3.4.2.2.1.      an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
- 3.4.2.2.2.      evidence of teaching excellence, at an institution of higher learning; and
- 3.4.2.2.3.      evidence of scholarship or creative activity in one's professional discipline.

3.4.2.3. ASSOCIATE PROFESSOR. Appointment to the rank of Associate Professor requires:

- 3.4.2.3.1. an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
- 3.4.2.3.2. evidence of teaching excellence as a full-time faculty member; and
- 3.4.2.3.3. accomplishment in scholarship or creative activity in one's professional discipline.
- 3.4.2.3.4. Evidence of active service in an academic position.

3.4.2.4. PROFESSOR. Appointment to the rank of Professor requires:

- 3.4.2.4.1. an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
- 3.4.2.4.2. evidence of teaching excellence as a full-time faculty member; and
- 3.4.2.4.3. excellence in either research or service and at a minimum, meets expectations in the other.

3.4.2.5. EMERITA/US This rank is ordinarily granted upon retirement to a person who has spent ten or more years at Saint Mary's College.

3.4.2.6. PROFESSIONAL LIBRARIAN The designation of Professional Librarian is normally conferred on persons possessing the appropriate terminal professional degree. Appointment of Librarians follows the same procedures as those established for appointing other tenure-track faculty.

3.4.2.7. PART-TIME TENURE-TRACK APPOINTMENTS Part-time tenure-track appointments to the faculty are permitted for persons who for appropriate reasons must devote less than full-time service to the College provided that the service is at least half-time. Except in extraordinary situations no more than one-fourth of the tenure-track faculty in any department shall have part-time appointments.

- 3.4.2.7.1. Requests by members of the tenure-track faculty for transfers between full-time and part-time service shall be made in accordance with Section 3.4.1. Such a transfer can be made only by mutual agreement between the appointee and the College.

- 3.4.2.7.2. Standards for appointment and reappointment to tenure-track positions shall be the same for part-time service as for full-time service. The duration of contractual periods and academic ranks shall also be the same. The responsibilities and privileges of a member of the tenure track faculty with a part-time appointment are as defined in the Governance Manual, but on a proportionate scale, to those of a member with full-time appointment.

3.4.2.8. OTHER ACADEMIC DESIGNATIONS

**ADMINISTRATORS WHO TEACH** Administrators who do not hold faculty rank and who teach will be designated "Teaching Professor" at the appropriate rank and according to the terms of their appointment. To teach, administrators should meet or exceed the qualifications listed for initial appointment to the teaching faculty at the Instructor level.

### **3.4.3. APPOINTMENTS WITH TENURE**

Ordinarily, tenure is not granted upon appointment. If a candidate wishes to be considered for an appointment with tenure, that request must be considered by the Committee on Rank and Tenure. Denial of tenure will not affect the candidate's status as a candidate for appointment, nor should it be considered as affecting future consideration for tenure.

### **3.4.4. ADMINISTRATIVE APPOINTMENT WITH FACULTY RANK**

Administrators who wish to retain their faculty rank or who wish promotion in rank to accompany their administrative appointment must meet the criteria established for that rank in 3.6.2.

### **3.4.5. TRAVEL AND OTHER EXPENSES FOR CANDIDATES**

Travel and other expenses connected with the recruitment or visit of faculty candidates to Saint Mary's campus are paid by the College. Candidates' expenses are charged to the recruitment budget in the Provost Office.

To receive reimbursement, a candidate must submit all receipts to the search committee who forwards them to the Provost Office with a request for reimbursement. If candidates use their own cars, they are reimbursed at the rate which the Internal Revenue Service allows as a tax deduction for professional travel. (The current rate may be obtained from the Business Office.)

## **3.5.LETTERS OF APPOINTMENT AND RENEWAL**

### **3.5.1. INITIAL LETTER OF APPOINTMENT: ALL FACULTY**

The initial letter of appointment from the Provost is issued upon acceptance of the offer to join the College faculty. The letter states the rank or title; the salary; the contracted time; and provisions, if any, for reimbursement of moving expenses. The initial letter of appointment also defines the terminal degree for the position and the candidate's status with regard to that degree.

### **3.5.2. LETTERS OF RENEWAL: ALL FACULTY**

Letters of renewal for faculty are issued by the Provost during the first week of March. The letter states the rank or title, salary, beginning and ending dates of the contract period, and the tenure status of the faculty member

### **3.5.3. RECOMMENDATION OF RENEWAL OR NONRENEWAL OF APPOINTMENT FOR PRE-TENURE FACULTY**

3.5.3.1. The Division Director shares in confidence the pre-tenure faculty member's Annual Review report with the Department Chair and tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. The recommendation, signed by the Division Director, Department Chair and the tenured members of the department's faculty, along with the reasons for the recommendation, must be received by the Associate Provost by November 15.

3.5.3.2. The Provost and the Associate Provost review each case with the President and convey a decision to the Division Director by December 15.

3.5.3.3. In the case of pre-tenure faculty in their first year of appointment, since there is no Annual Review report of the prior year's performance, an abbreviated Annual Review report of the results of the first semester's appointment will be shared in confidence with the tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. The Associate Provost must receive this recommendation and the reasons therefore by February 1. It is to be placed at the end of the Annual Review report and must be signed by the Division Director, the Chair and the tenured members of the department's faculty. The Provost and the Associate Provost review each case with the President and convey a decision to the Division Director by February 15.

### **3.5.4. NOTIFICATION TO NON-TENURED FACULTY OF RENEWAL OR NONRENEWAL OF APPOINTMENT**

Regardless of assigned rank, a non-tenure track instructional appointment generally begins with a single-year contract and, given satisfactory performance, may be renewed annually, but does not lead to tenure status. If not in a short-term or visiting non-tenure track position, depending on annual reviews and the faculty member's ability to meet expectations for the position, two-year contracts may be offered within the first six years of hire at Saint Mary's. Following promotion, typically after six years of service at Saint Mary's, Professional Specialist and Teaching Professor positions may be offered variable-year terms, in 2-5 year increments. Terms are determined by the Provost, Chair, and Division Director. Renewals are dependent upon enrollment demand and performance.

In cases of non-renewal, the College follows the American Association of University Professors (AAUP) recommendations in "Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments" (AAUP Policy Documents and Reports as amended). Faculty members not being renewed will be notified by the Associate Provost. Faculty members in their first year receive three months notice, no later than March 1 of their first year of service to the College.



Faculty members in their second year of service receive six months notice, no later than December 15 of their second year of service to the College. Faculty members in their third year, to the end of their tenure probationary period (as defined in section 3.7.2.1.), receive 12 months notice. Such notification is normally sent to the faculty member at the time contracts are issued, but in no instance will notification occur later than twelve months before the expiration of the appointment.

## **3.6.PROMOTION**

### **3.6.1. PROMOTION POLICY**

3.6.1.1. Promotion is neither automatic nor assured, except when promotion is contractually delineated at the time of appointment.

3.6.1.2. Promotions are subject to the procedures of the Committee on Rank and Tenure as found in section 3.8.

3.6.1.3. The principal qualifications for promotion in tenure/tenure-track positions relate to teaching excellence, scholarly/creative work or its professional equivalent, and service to the institution and/or community. (See Section 3.8.1 for more information.)

3.6.1.4. The principal qualifications for promotion in non-tenure track positions relate to the expectations for each of the non-tenure track positions. Typically, this includes teaching excellence, professional capabilities and expectations, and service to the institution and/or community.

### **3.6.2. QUALIFICATIONS FOR PROMOTION IN TENURE/TENURE-TRACK POSITIONS**

Candidates for promotion normally are expected to meet the following qualifications for promotion to an academic rank:

3.6.2.1. ASSISTANT PROFESSOR: The rank of Assistant Professor requires:

3.6.2.1.1. an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and

3.6.2.1.2. evidence for teaching excellence at an institution of higher learning; and

3.6.2.1.3. evidence of scholarship or creative activity in one's professional discipline.

3.6.2.2. ASSOCIATE PROFESSOR: Promotion to the rank of Associate Professor requires:

3.6.2.2.1. an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and

- 3.6.2.2.2. evidence of teaching excellences as a full-time faculty member at the rank of Assistant Professor in this or any other institution of higher learning; and
- 3.6.2.2.3. Accomplishment in scholarship or creative work either through publication of the results of academic research or its professional equivalent; and
- 3.6.2.2.4. evidence of active service in the College department, community, or profession other than teaching and scholarship or its equivalent, which is consistent with the mission and goals of the College and the profession.

3.6.2.3. PROFESSOR: Promotion to the rank of Professor requires:

- 3.6.2.3.1. an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
- 3.6.2.3.2. evidence of teaching excellence as a full-time member of the faculty at the rank of Associate Professor in this or any institution of higher learning; and
- 3.6.2.3.3. Excellence in either scholarship or service and, at a minimum, meets expectations in the other:
  - 3.6.2.3.3.1. Active accomplishment in one's scholarship or creative work; and
- 3.6.2.3.4. evidence of leadership in service to the College, department, community or profession, other than teaching and scholarship or its equivalent, which is consistent with the mission and goals of the College and the profession. Candidates for promotion to Professor are advised to pursue those levels of quality and achievement which bring ever greater stature to the academic reputation of the College.

3.6.3. PROMOTION EVALUATION CRITERIA

The criteria used in evaluating faculty performance for purposes of promotion are described in Section 3.8.

## **3.7.TENURE**

### **3.7.1. TENURE: DEFINITIONS AND OBJECTIVES**

Except as provided in Section 3.10, tenure is a permanent commitment by the College and by the faculty member until retirement or resignation. The significance of tenure to the faculty lies in the establishment of a climate where freedom of teaching, research, and extramural activity are possible. Tenure's significance to the institution lies in its provision of a core of able professionals who have the freedom to pursue the search for truth and its free exposition. Providing an

atmosphere where the search for truth is possible fulfills the institution's obligations to both students and society.

### **3.7.2. TENURE POLICY**

Saint Mary's College generally endorses the policy recommendations of the AAUP. College policy, however, in certain instances may differ from the detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this section is an interpretation of the following AAUP statements as they apply to the granting of tenure to the faculty at Saint Mary's College: "Academic Freedom and Tenure: 1940 Statement of Principles and Interpretive Comments," and "1976 Recommended Institutional Regulations on Academic Freedom and Tenure," AAUP Policy Documents and Reports.

#### **3.7.2.1. TENURE PROBATIONARY PERIOD: FULL AND PART-TIME FACULTY**

3.7.2.1.1. Tenure is granted after a probationary period at Saint Mary's College which will not exceed seven years of full-time equivalent teaching. Faculty members who have taught at other institutions may negotiate a reduction of their probationary period. The terms of this reduction appear in the faculty member's initial letter of appointment. The probationary period ordinarily will not be shortened by more than two years. Customarily, the College does not grant tenure before the completion of the probationary period.

3.7.2.1.2. Part-time faculty in tenure track positions receive probationary credit in relation to the number of full-time equivalent hours they teach. Thus, the maximum tenure probationary period for a part-time faculty member who teaches one-half time is fourteen years.

3.7.2.1.3. During the midpoint of the probationary period, a review of the faculty member's performance is conducted by the Committee on Rank and Tenure. This review is based on information provided by the individual, the Department Chair/Division Director, and tenured members of the department. The criteria used in the process are found in Section 3.8.1. The faculty member is informed in writing of the results of this review.

#### **3.7.2.2. TERMINATION OF A TENURED APPOINTMENT**

Tenured appointments are terminated only under exceptional circumstances, pursuant to the provisions of Section 3.10.

#### **3.7.2.3. TENURE AND RETIREMENT**

Tenure ceases upon retirement.

## **3.8. PROMOTION AND TENURE IN TENURE/TENURE-TRACK POSITIONS: CRITERIA AND PROCEDURES**

### **3.8.1. PROMOTION AND TENURE EVALUATION FACTORS**

Three distinct criteria are employed in evaluating faculty performance in tenure-track positions: Teaching, Creative and Scholarly Activities, and Service. The criteria for evaluating creative and scholarly work and service vary considerably from one department to the next. It is the responsibility of the Division Director and the Department Chair to assist their faculty members to understand how the standard applies to their discipline and to assist the members of the Committee on Rank and Tenure in interpreting the standards of performance in their respective disciplines. Candidates for promotion and/or tenure are evaluated in terms of the following general factors:

3.8.1.1. TEACHING: Superior teaching is essential. Faculty are expected to effectively demonstrate all of the following criteria in their teaching practice (the criteria are in no particular order of importance):

- 3.8.1.1.1. Command of subject and remaining knowledgeable in current research and information that contributes to the field.
- 3.8.1.1.2. Teaching at an appropriate level that promotes intellectual engagement and/or curiosity of students
- 3.8.1.1.3. Ability to communicate effectively
- 3.8.1.1.4. Organization of material
- 3.8.1.1.5. Availability to students
- 3.8.1.1.6. Encouragement and mentoring of students
- 3.8.1.1.7. Academic advising of students
- 3.8.1.1.8. Engage in assessment of student learning
- 3.8.1.1.9. Efforts to continually improve the quality of teaching in response to evaluations and feedback, assessment, and/or best practices in pedagogy and how students learn. This could include participation in opportunities provided through on campus or national training.
- 3.8.1.1.10. Ongoing development and improvement of courses. Examples could include:
  - 3.8.1.1.10.1. Development of new courses and/or curriculum
  - 3.8.1.1.10.2. Revision of existing courses
  - 3.8.1.1.10.3. Developing courses or curricular materials that focus on themes of diversity, equity, inclusion, and justice.

3.8.1.1.10.4. Development of certificates and/or credentials.

3.8.1.1.10.5. Development of courses or curricular materials that employ pedagogies of community engagement.

3.8.1.1.11. Incorporate inclusive pedagogy in teaching and in all interactions with students. This includes:

3.8.1.1.11.1. Fostering an inclusive classroom environment that values diversity, takes into consideration students from a broad variety of backgrounds and learning styles, and challenges students to their best efforts.

3.8.1.1.11.2. Ensuring equity in the classroom by removing barriers that might otherwise prevent students from being able to participate.

### 3.8.1.2. CREATIVE, SCHOLARLY, AND RESEARCH ACTIVITIES

All faculty at Saint Mary's are expected to demonstrate continuing involvement in the professional life of their disciplines. This could also include scholarly work on teaching and community-engaged research. To facilitate comprehension of this complex area, the Committee on Rank and Tenure, in consultation with the various departments, has prepared the following listing. Activities have been divided into three categories presented in order of decreasing importance of the category. (Activities listed within the category have equal weight unless noted.) This listing is intended to be illustrative, not exhaustive. While some activities corresponding to those in Category I are essential to promotion and tenure, it is expected that faculty will be involved in various activities of the kind listed below. Please be sure to include, as appropriate, any contribution to DEIJ (Diversity, Equity, Inclusion, and Justice) shapes one's discipline in any of the categories below.

#### 3.8.1.2.1. CATEGORY I

Essential production within Category I (depending on the discipline) includes:

3.8.1.2.1.1. Publishing peer-reviewed work in the field of research and/or teaching

3.8.1.2.1.2. Giving invitational recitals and concerts

3.8.1.2.1.3. Participation in solo or group art/design exhibitions or competitions at peer-recognized venues; or peer-recognized public art/design commissions or community-based projects

3.8.1.2.1.4. Guest participation in one's discipline in professional theater (such as acting, directing, stage managing)

Other options in Category I include:

- 3.8.1.2.1.5. Presenting papers or posters at peer-reviewed sessions at meetings of professional organizations and/or societies.
- 3.8.1.2.1.6. Presenting invited papers at meetings of professional organizations and/or societies.
- 3.8.1.2.1.7. Receiving external grants in support of scholarly activity as PI or co-PI.
- 3.8.1.2.1.8. Peer-reviewed fellowships or residencies.
- 3.8.1.2.1.9. Acquisition of creative or scholarly work into peer-recognized public or private collections.
- 3.8.1.2.1.10. Holding office in national/international professional societies in one's discipline. This could also include positions on editorial boards for scholarly journals and/or producing edited volumes or special editions.
- 3.8.1.2.1.11. Receiving external honors and awards indicative of professional recognition in one's discipline
- 3.8.1.2.1.12. Publishing a peer-reviewed textbook, including open access.
- 3.8.1.2.1.13. Peer-reviewed clinical practice and certification and/or licensure renewal.
- 3.8.1.2.2. CATEGORY II
  - 3.8.1.2.2.1. Engaging in ongoing research. This includes ongoing research with students as part of undergraduate research (e.g. summer research projects) as well as oversight of graduate student research projects.
  - 3.8.1.2.2.2. Having one's work cited by other scholars
  - 3.8.1.2.2.3. Refereeing papers and/or acting as official peer reviewer of manuscripts
  - 3.8.1.2.2.4. Publishing laboratory manuals and other kinds of teaching tools, including open access
  - 3.8.1.2.2.5. Giving invitational lectures on scholarly subjects both on and off campus
  - 3.8.1.2.2.6. Publishing non-peer-reviewed work in the field of research or of teaching for public audiences.

- 3.8.1.2.2.7. Participating in solo or group art/design/scholarly exhibitions at mid-tier venues; mid-tier public art/design commissions or community-based projects
- 3.8.1.2.2.8. Participating in on-campus concerts, art exhibitions, or theatrical productions
- 3.8.1.2.2.9. Designing seminars and/or workshops for professional meetings and/or societies
- 3.8.1.2.2.10. Writing reviews of scholarly books, concerts, art exhibitions, or theatrical productions
- 3.8.1.2.2.11. Primary authorship of a substantive assessment report or benchmark
- 3.8.1.2.2.12. Leadership in development of new undergraduate or graduate programs
- 3.8.1.2.2.13. Receiving external grants not directly related to scholarly activity as PI or co-PI

3.8.1.2.3. CATEGORY III

- 3.8.1.2.3.1. Receiving internal grants to support scholarly/creative activity
- 3.8.1.2.3.2. Participating in group art/design/scholarly exhibitions or community-based art/design projects at entry-level venues
- 3.8.1.2.3.3. Giving lectures in the areas of one's academic discipline for non-professional organizations
- 3.8.1.2.3.4. Being chosen as an officer and/or board member of a local organization on the basis of expertise in one's academic discipline
- 3.8.1.2.3.5. attending professional workshops, conferences, and seminars in one's discipline.

While it is true that criteria for evaluating creative and scholarly work vary greatly, these categories in effect constitute a ranking.

3.8.1.3. SERVICE: Service embraces a wide range of activities including:

- 3.8.1.3.1. College governance and College committee work
- 3.8.1.3.2. Departmental and Divisional activities

- 3.8.1.3.3. Service to professional organizations
- 3.8.1.3.4. Service to the College community
- 3.8.1.3.5. Service to the community outside the college, utilizing one's professional abilities as teacher and scholar
- 3.8.1.3.6. Services that fosters a culture of DEI in the college and/or community including contributions to the College's diversity, equity, inclusion and diversity goals

### **3.8.2. PROMOTION AND/OR TENURE PROCEDURES**

Faculty who intend to apply for tenure and/or promotion should notify the Chair of the Committee on Rank and Tenure no later than June 1, so as to allow adequate time for the Committee's planning for cases, and for the candidate to gather, develop, and distribute materials for the review

#### **3.8.2.1. NOMINATION FOR PROMOTION AND/OR TENURE**

Tenure and promotion in faculty rank at Saint Mary's College normally originate with the Division Director; however, they may be initiated by the faculty member, a colleague, or an administrator. Nominations are submitted to the Chair of the Committee on Rank and Tenure who initiates the procedures outlined below. To avoid prejudicing a case, the source of the nomination is kept confidential by the Chair of the Committee. College policy does not encourage nominations for early tenure.

#### **3.8.2.2. CANDIDACY FOR PROMOTION AND/OR TENURE**

3.8.2.2.1. The Chair of the Committee on Rank and Tenure notifies faculty nominated for promotion or tenure, in writing, of their nomination.<sup>3</sup> The nominee may accept or decline the nomination. If a nominee declines the nomination, that person's name is withdrawn and no further consideration is given to that case that year except in cases of faculty at end of probationary period (see paragraph below). The person or persons making the nomination are so notified in writing. If the nominee accepts, that faculty member becomes a candidate.

3.8.2.2.2. Faculty members who reach the end of the probationary period and refuse the nomination for tenure are issued a terminal contract. On the basis of the acceptance notices received from the nominees, the Chair of the Committee on Rank and Tenure prepares a list of candidates for promotion and/or tenure. This list is known only to the members of the committee on Rank and Tenure and the President of the College.

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<sup>3</sup> Faculty who are expecting to be nominated for tenure and/or promotion should notify the Chair of the Committee on Rank and Tenure by June. 1.



### 3.8.2.3. CANDIDACY MATERIALS

It is the candidate's responsibility and opportunity to make her or his best case for tenure and/or promotion. The Committee on Rank and Tenure considers the following materials (3.8.2.3.1-3.8.2.3.6.) for each candidate. Additional materials may be submitted by the candidate.

#### 3.8.2.3.1. CANDIDATE

3.8.2.3.1.1. The Committee on Rank and Tenure Evaluation form can be found on the College portal, under the Faculty Committee tab.

3.8.2.3.1.2. Supporting materials such as representative syllabi, student course/instructor surveys, publications, slides, reviews, programs, original evaluation forms with student comments, etc.

#### 3.8.2.3.2. DEPARTMENT CHAIR / DIVISION DIRECTOR

3.8.2.3.2.1. The Committee on Rank and Tenure Evaluation form can be found on the College portal, under the Faculty Committee tab.

3.8.2.3.2.2. Supporting materials.

#### 3.8.2.3.3. FACULTY

3.8.2.3.3.1. The Chair of the Committee on Rank and Tenure Evaluation requests each member of a candidate's department to submit an evaluation of the candidate.

3.8.2.3.3.2. The Committee on Rank and Tenure may request that colleagues outside of the department submit evaluations of the candidate. This is normally done in instances where there has been significant involvement with the candidate. A candidate may ask that the Committee request an evaluation from any faculty member. Ordinarily, however, the candidate is expected to issue the request to the evaluator.

#### 3.8.2.3.4. STUDENTS

3.8.2.3.4.1. Quantitative data from Student Course Instructor Surveys are assembled by the Office of the Associate Provost.

3.8.2.3.4.2. Students are asked to provide a written evaluation of the candidate's strengths and weaknesses as well as to evaluate the candidate as a member of the Saint Mary's College community. A sample of students who have had only lower division courses and a sample of students having a range of courses are asked to write. Students' names

are selected from class lists of preceding years. Candidates are not to solicit letters from current students.

#### 3.8.2.3.5. ALUMNAE

Alumnae who have taken one or more courses with the candidate are asked to provide written evaluations of the candidate's strengths and weaknesses and to evaluate the candidate as a member of the Saint Mary's College community. A random sample of alumnae throughout the candidate's time at Saint Mary's is chosen representing undergraduate majors and non-majors and graduate students.

#### 3.8.2.3.6. EXTERNAL REVIEWERS

3.8.2.3.6.1. As part of the review of all cases for tenure and/or promotion, the Committee on Rank and Tenure asks for input from reviewers from outside the College who are in a position to speak knowledgeably about the accomplishments of the candidate in the area of scholarly/creative activity. Outside reviews are ordinarily sought only from the individuals identified by the candidate, but the Committee may request assessments from other individuals as well.

3.8.2.3.6.2. No later than the first day of the academic year in which the candidate will be considered for tenure and/or promotion, the candidate submits to the Chair of the Committee, a list of external reviewers who have agreed to review the candidate's scholarly/creative activity. The list includes names and contact information for a minimum of 3 and a maximum of 5 individuals.

3.8.2.3.6.2.1. It is the candidate's responsibility to send, in a timely fashion, materials she or he deems necessary to complete the review process to the individuals on the list. The material includes a copy of the candidate's own narrative report to the committee, and may include any other materials that the candidate judges to be useful to the reviewer, e.g., representative syllabi, articles, books, texts of presentations, reproductions of art work.

3.8.2.3.6.2.2. No later than September 1, the Chair of the Committee contacts the individuals on the list provided by the candidate and requests that they return their completed evaluations by October 1.

#### 3.8.2.4. REQUESTS TO APPEAR BEFORE THE COMMITTEE

3.8.2.5. Candidates for promotion and/or tenure who wish to make a personal appearance to the Committee on Rank and Tenure may do so by contacting the Chair of the Committee prior to the deadline set for candidacy materials. Faculty who are not candidates and administrators who wish to appear before the Committee in support

of, or in opposition to a candidate, should contact the Chair of the Committee prior to November 1. Those who wish to recommend changes in procedure or policy should contact the Chair of the Committee.

#### 3.8.2.6. REVIEW PROCEDURES: COMMITTEE ON RANK AND TENURE

Although there may be deviation from the following procedure, the Committee on Rank and Tenure normally follows the procedure described below in reviewing all candidates. **All deliberations of the Committee on Rank and Tenure and the materials on which they are based are strictly confidential.**

3.8.2.6.1. PHASE 1 Prior to considering any candidate for promotion and/or tenure, and prior to meeting with the Department Chair/Division Director of the candidate, the Committee on Rank and Tenure must be in receipt of the above candidacy materials. The Committee members review the candidate's materials prior to the meeting.

3.8.2.6.2. PHASE 2 Committee members do not discuss their observations based upon their review of the materials among themselves nor with others prior to meeting with the Department Chair/Division Director. Thus, each Committee member forms a personal assessment and develops a line of inquiry to be pursued during the meeting. If the Chair of a department is a candidate for promotion, the most recent past chair of the department or the Division Director will complete the candidate report and present the candidate to the Committee on Rank and Tenure.

3.8.2.6.3. PHASE 3 Following the meeting with the candidate's Department Chair/Division Director, the Committee on Rank and Tenure discusses the case before it. The Committee may decide to defer the discussion pending further review of the materials. When the Committee is satisfied that it can make an informed judgment, a vote is taken. All decisions which serve as the basis for the Committee's recommendation are based on a majority vote via secret ballot.

#### 3.8.2.7. RECOMMENDATIONS OF THE COMMITTEE ON RANK AND TENURE

The Committee on Rank and Tenure submits its written recommendations together with all candidate material to the President no later than January 1.

#### 3.8.2.8. PRESIDENT'S DECISION

The President communicates the decision on promotion and tenure to the Provost and to the Committee on Rank and Tenure no later than February 1. If the President does not accept a Committee recommendation, the President meets with the Committee to discuss the rationale for this decision. The President may request a meeting with the Committee on

Rank and Tenure to seek clarification or to review these decisions. The President reports tenure decisions to the Executive Committee of the Board of Trustees at its winter meeting.

#### 3.8.2.9. NOTIFICATION OF DECISION ON PROMOTIONS AND TENURE

Division Directors, Department Chairs, and candidates for promotion and/or tenure are given written notification of decisions from the President by February 15. Faculty members who are promoted and/or granted tenure receive contracts that reflect their new status. Those denied tenure and who are at the end of their probationary period receive terminal contracts. Public announcement of promotions conferred by the College is made at the annual President's Dinner.

#### 3.8.2.10. CONFIDENTIALITY

With the exception of supporting materials (e.g., publications, slides, etc.), all materials submitted to the Committee as well as materials generated by the Committee on Rank and Tenure are confidential. Only Committee members and the President are granted access to these materials. Committee members do not have access to the written evaluations by faculty members of candidates considered in previous years.

#### 3.8.2.11. REASONS FOR RANK AND TENURE DECISIONS

3.8.2.11.1. Reasons which contributed to the decision to deny tenure or promotion to a faculty member will be given verbally if that faculty member requests them.

3.8.2.11.2. Unsuccessful candidates for promotion and/or tenure have the right to meet with the President and Provost to discuss the decision.

3.8.2.11.3. If, having received reasons verbally and having been advised of potential adverse consequences, the faculty member believes that written confirmation of the reasons for denying tenure or promotion might be useful in pursuing a professional career, that individual may request and shall receive the reasons in writing. Such a request must be submitted in writing by April 15 of the academic year in which the decision to deny tenure and/or promotion was communicated in writing to the candidate.

#### 3.8.2.12. REAPPLICATION FOR PROMOTION

3.8.2.13. Tenured faculty denied promotion may not reapply the following academic year.

### 3.8.3. APPEAL OF A PROMOTION OR TENURE DECISION

Faculty who are denied promotion and/or tenure and who wish to appeal the decision must submit a written appeal to the President within thirty working days after they are notified of the

denial. Faculty who believe there has been a procedural irregularity or lack of adequate consideration may appeal their case to the Grievance Committee of the Academic Leadership Council.

### **3.9.PROMOTION IN NON-TENURE-TRACK POSITIONS: CRITERIA AND PROCEDURES TO BEGIN FALL 2025**

#### **3.9.1. PROMOTION EVALUATION FACTORS**

- 3.9.1.1.** As faculty members, all non-tenure track faculty are expected to uphold the professional norms expected of all faculty in terms of teaching responsibilities and professional integrity and abide by the expectations of the governance manual.
- 3.9.1.2.** Teaching excellence is measured similar to the criteria for tenure/tenure-track faculty. Please see 3.8.1.1 of the Governance Manual.
- 3.9.1.3.** Service to the department and participation in departmental activities is expected for promotion. Non-tenure track faculty, can participate in College-wide service. When College-wide service is expected of the position, this will be required for promotion.
- 3.9.1.4.** Other specific expectations in terms of research and/or other responsibilities to the College dictated by the position description and/or faculty contract will be evaluated as part of promotion.

#### **3.9.2. PROMOTION PROCEDURE**

- 3.9.2.1.** Promotion will be based on annual evaluations in alignment with the expectations for each of the non-tenure track positions.
- 3.9.2.2.** The timeline for promotion will follow a similar timeline for tenure/tenure-track faculty. Non-tenure track faculty are eligible for promotion typically in the sixth year and will typically be eligible again for promotion in another six years.
- 3.9.2.3.** A summative evaluation will be conducted at times of promotion which includes:
  - 3.9.2.3.1.** a complete and updated curriculum vitae provided by the candidate that speaks to the expectations of the non-tenure track position and that defined in the individual's position description and/or contract.
  - 3.9.2.3.2.** a review of annual performance evaluations by the department, chair, and division director.
  - 3.9.2.3.3.** a written recommendation will be provided by the department. This recommendation, while written by the chair, should be agreed upon by the department and furthermore signed by tenured members of the department.
  - 3.9.2.3.4.** a written recommendation will be provided by the division director.

**3.9.2.4.** These recommendations and annual evaluations will be reviewed by the Provost's office for a final decision.

## **3.10. ACADEMIC FREEDOM**

### **3.10.1. ACADEMIC FREEDOM POLICY**

3.10.2. Saint Mary's College generally endorses the policy recommendations of the AAUP. College policy, however, in certain instances may differ from the detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this section is an interpretation of the following AAUP statements as they apply to the academic freedom of the faculty at Saint Mary's College: "Academic Freedom and Tenure: 1940 Statement of Principles and Interpretive Statements" and "1976 Recommended Institutional Regulations on Academic Freedom and Tenure," AAUP Policy Documents and Report.

#### **3.10.2.1. FREEDOM OF TEACHING**

Faculty are entitled to freedom in the classroom in discussing their subjects, but they should be careful not to introduce into their teaching controversial matter which has no relation to the subject. They are expected to exercise care in their own subjects so that hypotheses, theories, and opinions are presented as such, and not as facts.

#### **3.10.2.2. FREEDOM OF RESEARCH**

Faculty are entitled to full freedom in research and in the publication of their results subject to the adequate performance of other academic duties. Research for pecuniary return must be based upon an understanding with the College administration.

#### **3.10.2.3. FREEDOM OF EXTRAMURAL ACTIVITY**

Faculty are citizens, members of learned professions, and officers of instruction. When they speak or write as citizens they are free from institutional censorship or discipline, but their special position in the community imposes special obligations. As learned persons and officers of instruction, faculty should remember that the public may judge their profession and institution by their utterances. Hence, faculty should 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 as representatives of the institution.

#### **3.10.2.4. ACADEMIC FREEDOM IN A CATHOLIC COLLEGE**

Saint Mary's College is a Roman Catholic institution. Faculty are free to research, to present, and to discuss all positions on important issues; however, they must do so in an atmosphere which promotes the highest intellectual standards and recognizes and respects the tradition of Christian belief, which is a major foundation of this institution.

### **3.10.3. GRIEVANCE PROCEDURES INVOLVING ALLEGATIONS OF VIOLATION OF ACADEMIC FREEDOM**

Cases involving issues centering on alleged violation of academic freedom are handled by the Grievance Committee of the Academic Leadership Council according to the special procedure delineated for cases involving academic freedom.

## **3.11. TERMINATION OF SERVICE**

### **3.11.1. TERMINATION OF TENURED FACULTY**

#### **3.11.1.1. POLICY**

Saint Mary's College generally endorses the policy recommendations of the AAUP. College policy, however, in certain instances may differ from the detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this section is an interpretation of the following AAUP statements as they apply to the termination of tenured faculty at Saint Mary's College: "1976 Recommended Institutional Regulations on Academic Freedom and Tenure," Section 4, AAUP Policy Documents and Reports, as amended.

#### **3.11.1.2. PROCEDURE FOR TERMINATION OF TENURED FACULTY**

The contracts of tenured faculty may be terminated only under the following conditions: extraordinary financial emergency of the College, discontinuance of an academic program or division, and serious cause. To terminate a tenured appointment, the College must establish conclusively that one or more of the above conditions prevail and, except in the case of serious cause (3.10.5.), must give the faculty member not less than twelve months-notice or one full-year's salary in lieu thereof. The standards of notification and procedure in cases involving serious cause are outlined in the section on serious cause [Section 3.10.5]. In instances other than serious cause:

- 3.11.1.2.1. termination of regular appointment is to be sought only as a last resort, after every effort has been made to meet the need in other ways and to find for the teacher other employment in the institution or with other institutions of higher learning at the same or similar pay and responsibilities;
- 3.11.1.2.2. notification of the intent to terminate a permanent position is to be made in writing stating reasons for the termination;
- 3.11.1.2.3. notification is to be made twelve months prior to the termination of the position;
- 3.11.1.2.4. If a tenured appointment is terminated because of financial exigency (financial exigency is a bona fide severe financial crisis that fundamentally compromises the academic integrity of the institution as a whole. AAUP

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(c), the released faculty member's place will not be filled by a replacement within a period of three years unless the released faculty member has been offered reappointment, with tenure, and at the same or better rank and salary, and has rejected it in writing.

**3.11.2. TERMINATION OF PRETENURED FACULTY**

3.11.2.1. POLICY

The services of faculty who do not hold tenure may be discontinued at the end of a contract period. Termination of non-tenured faculty generally follows the procedures and policies of the AAUP, as amended. In certain instances, College policy may differ from detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this section is an interpretation of the following AAUP statements as they apply to the faculty in Saint Mary's College: "Standards for Non-reappointment" and "Statements on Procedural Standards in the Renewal of NonRenewal of Faculty Appointments," (AAUP Policy Documents and Reports.

3.11.2.2. PROCEDURES FOR TERMINATION OF PRETENURED FACULTY

3.11.2.2.1. RECOMMENDATION FOR NON-REAPPOINTMENT

3.11.2.2.1.1. The Division Director shares in confidence the pre-tenure faculty member's Annual Review report with the Department Chair and tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. The Associate Provost must receive this recommendation and the reasons therefore by November 15. It is to be placed at the end of the Annual Review report (or Third Year Review Report) and must be signed by the Division Director, Department Chair, and the tenured members of the department's faculty. The Provost and Associate Provost review each case with the President and convey a decision to the Division Director by December 15.

3.11.2.2.1.2. In the case of pre-tenure faculty in their first year of appointment, since there is no Annual Review report of the prior year's performance, an abbreviated Annual Review report of the results of the first semester's appointment will be shared in confidence with the Department Chair and tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. The Associate Provost must receive this recommendation and the reasons therefore by February 1. It is to be placed at the end of the Annual Review and must be signed by the Division Director, Department Chair and the tenured members of the department's faculty. The Provost and



Associate Provost review each case with the President and convey a decision to the Division Director by February 15.

#### 3.11.2.2.2. NOTIFICATION OF NON-REAPPOINTMENT

In cases of non-renewal, the College follows the AAUP recommendations in “The Standards for Notice of Non-Reappointment” (AAUP Policy Documents and Reports, as amended). Faculty members in their first year receive three months’ notice, no later than March 1 of their first year of service to the College. Faculty members in their second year receive six months’ notice, no later than December 15 of their second year of service to the College. Faculty members in their third year, to the end of their probationary period, receive twelve months’ notice. Normally, notification is sent to the faculty member at the time contracts are issued by the College; in no instance will notification occur later than twelve months before the expiration of the appointment.

#### 3.11.2.2.3. NON-REAPPOINTMENT AND ACADEMIC FREEDOM: GRIEVANCE

If a pre-tenured member of the faculty alleges that a decision for non-renewal resulted from considerations that were in violation of academic freedom, these allegations are to be presented to the Grievance Committee of the Academic Leadership Council. If appeal is made to the Grievance Committee, the matter is to be heard according to the procedure in the section on Dismissal for Serious Cause, except that the burden of proof rests with the faculty member who must establish that a violation of academic freedom was an element in the decision for non-renewal of contract.

#### 3.11.2.2.4. REASONS FOR NON-REAPPOINTMENT

Reasons which contributed to the decision not to reappoint a faculty member may be given verbally if that faculty member requests them. If, having received reasons verbally and having been advised of potential adverse consequences, the faculty member believes that written confirmation of the reasons for denying reappointment might be useful in pursuing a professional career, that individual may request and shall receive the reasons in writing. Such a request must be made in writing and presented during the academic year in which notification of non-reappointment occurs.

### **3.11.3. TERMINATION OF NONTENURED FACULTY**

#### 3.11.3.1. POLICY

Nontenured faculty are defined as those individuals who are not in a tenure-track position and who do not hold tenure. Nontenured faculty who are hired by semester or year based on department need should be requested when the call for part-time faculty is made. For those nontenured individuals who fill continuing positions, nonrenewal of contract or termination will follow the procedures listed in the following section.

#### 3.11.3.2. PROCEDURES FOR TERMINATION OF NONTENURED FACULTY

#### 3.11.3.2.1. RECOMMENDATION FOR NONRENEWAL OF CONTRACT/TERMINATION

The Division Director should discuss with the Associate Provost reasons for a recommendation for nonrenewal of contract. If the department no longer has a position available for that individual, or the administration has determined the position is no longer needed or cannot be supported, the nontenured individual will be notified by the Division Director no later than March, prior to the issuance of new contracts, that s/he will not be receiving a contract for the following academic year. If the position is still needed but the individual is not fulfilling the duties to the satisfaction of the department, the Division Director will explain to the individual why s/he is not being recommended to continue on the position. In both of these instances, the individual is allowed to continue working to the end of the contract year/term

3.11.3.2.2. If an employee must be terminated in the middle of a contract semester or year for a behavioral or performance concern, the Division Director first meets with the Associate Provost to discuss the concern and strategize about ways to resolve the issue. The Division Director explains the concerns to the employee and issues a verbal warning about the need to resolve the issues immediately. The Division Director, using the strategies discussed with the Associate Provost, works with the employee to determine the best course of action to resolve the issues. If these measures are not successful (requires documentation), the employee is asked to meet with the Associate Provost and the Division Director of her/his department to discuss the behaviors in question. At this time, a written warning is given to the employee by the Associate Provost stating that continuation of the concerning behaviors could result in termination if not addressed immediately. If appropriate the employee is then made aware of the Employee Assistance Program and other avenues for acquiring support in addressing her/his issues. If the behaviors of concern are still not resolved (requires documentation), the employee is asked to meet again with her/his Division Director and the Associate Provost at which time the employee is informed s/he is terminated immediately without further options for appeal.

#### 3.11.4. RESIGNATION: ALL FACULTY

##### 3.11.4.1. VOLUNTARY TERMINATION OF SERVICES

Resignation is the termination of services by voluntary action of the faculty member. If a member of the faculty desires to terminate an existing appointment or to decline a renewal, that member is to give notice in writing as early as possible but no later than April 1. Such notification is to be given to both the Division Director and the Associate Provost. Faculty members may properly request a waiver of this requirement in cases of hardship or situations where they would otherwise be denied substantial professional advancement

##### 3.11.4.2. NEGOTIATED RESIGNATION

Resignation may be negotiated by the College. In these instances, the College takes the initiative, offering faculty the choice of resigning, in lieu of dismissal, in order to protect professional reputation and status.

### **3.11.5. DISMISSAL FOR SERIOUS CAUSE: ALL FACULTY**

#### **3.11.5.1. DEFINITION OF SERIOUS CAUSE**

3.11.5.2. The College reserves the right to terminate the services of any member of the faculty for serious cause. Dismissal for serious cause may be justified by demonstrating professional incompetence, gross neglect of professional responsibilities, conviction of a felony, continual serious disrespect for the Catholic character of this institution, or notorious and public scandal

#### **3.11.5.3. PROCEDURES FOR ESTABLISHING SERIOUS CAUSE FOR DISMISSAL**

##### **3.11.5.3.1. POLICY**

If it is necessary to consider termination of the services of a faculty member for serious cause, formal proceedings are conducted according to the procedural recommendations of the AAUP contained in the "Statement on Procedural Standards in the Faculty Dismissal Proceedings," (AAUP Policy Documents and Reports). What follows is an interpretation of this statement as it applies to Saint Mary's College.

##### **3.11.5.3.2. PRELIMINARY TO FORMAL CHARGES**

Before formal charges are brought against a member of the faculty, the President will appoint the Provost and one tenured faculty member to attempt conciliation in private. If conciliation fails, the President will request the Executive Committee of the Academic Leadership Council to inquire informally into the situation, and to advise whether formal proceedings to consider the dismissal should be instituted.

##### **3.11.5.3.3. FILING OF FORMAL CHARGES**

The formal proceedings commence with a written communication from the President informing the faculty member of the charges and that, if requested, a hearing on the charges will be conducted by a Hearing Committee. The Grievance Committee of the Academic Leadership Council will serve as the Hearing Committee. The faculty member must notify the President in writing within thirty working days from the receipt of the President's communication whether a formal hearing is requested. Absence of such a written request results in waiving the right for any further consideration of the case.

##### **3.11.5.3.4. PROCEDURES OF HEARING COMMITTEE**

The Hearing Committee will convene, elect its own chair, and will choose a specified time and place for meeting. The Chair will establish the rules for conduct of the hearing. The following procedure will be in effect at the hearing:

- 3.11.5.3.4.1. during the proceedings the faculty member is permitted to have an academic advisor of his/her choice;
- 3.11.5.3.4.2. the faculty member has the right to confront and question all witnesses adverse to him/her and to present witnesses on his/her own behalf;
- 3.11.5.3.4.3. a verbatim record of the hearings will be taken. A copy of it will be made available to the faculty member without cost, at the faculty member's request;
- 3.11.5.3.4.4. the burden of proof that adequate cause exists rests with the institution and is satisfied only by clear and convincing evidence in the record considered as a whole.

#### 3.11.5.3.5. RECOMMENDATIONS FROM THE HEARING COMMITTEE

The President and faculty member should be notified of the decision of the Hearing Committee in writing and should be given a copy of the record of the hearing. The President should transmit to the Board of Trustees the full report of the Hearing Committee. If the Board wishes to review the case, its review should be based on the record of the hearing accompanied by an opportunity for argument, written, or oral or both, by the principals at the hearing or their representatives. The decision of the Hearing Committee should either be sustained or the proceeding be returned to the committee with objections specified. In such a case, the committee should reconsider, taking account of the stated objections and receiving new evidence if necessary. It should frame its decision and communicate it in the same manner as before. Only after study of the committee's reconsideration should the Board of Trustees make a final decision overruling the committee.

#### 3.11.5.3.6. FACULTY MEMBER'S STATUS DURING HEARINGS

Until the final decision on the termination of an appointment has been reached, the faculty member will be suspended only if immediate harm to self or others is threatened by continuance.

#### 3.11.5.3.7. TERMINAL SALARY

If the appointment is terminated for reasons not involving moral turpitude, the faculty member receives the contracted salary in accordance with the following schedule:

- 3.11.5.3.7.1. faculty members in their first through third year of probationary service receive their contracted salary for three months following the date of notification of their dismissal;
- 3.11.5.3.7.2. faculty members in their fourth through sixth year of probationary service receive their contracted salary for six months following the date of notification of their dismissal;
- 3.11.5.3.7.3. tenured faculty members receive their contracted salary for twelve months following the date of notification of their dismissal.

The provision for terminal salary does not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. Moral turpitude applies to that kind of behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the continuation of the faculty member's salary. The standard is not that the moral sensibilities of the persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.

### **3.11.6. RETIREMENT**

Tenure ceases upon retirement

Saint Mary's College grants the title of Emerita/us to an individual in recognition of service of significant length and effectiveness to the educational goals of the College. This rank is ordinarily granted upon retirement to a person who has spent ten or more years at Saint Mary's College.

## **3.12. FACULTY LEAVES OF ABSENCE**

### **3.12.1. SABBATICAL LEAVE**

#### **3.12.1.1. POLICY**

- 3.12.1.1.1. The sabbatical leave program makes it possible for members of the tenured teaching faculty to take the time from normal academic duties to engage in activities appropriately construed as serving the faculty member's development. The College recognizes that the long-term value of a sabbatical leave program outweighs any short-term disadvantages to students, instructional programs, and purposes of the College.
- 3.12.1.1.2. The sabbatical leave is a central element in the faculty development program at Saint Mary's College. It exists to enable faculty members to continue to grow as teachers, thinkers, and professionals. The variety of activities appropriate for sabbatical leave support represents the wide range of

departments, disciplines, areas of study, and individuals that make up Saint Mary's community.

3.12.1.1.3. A tenured faculty member is eligible for sabbatical leave after 12 semesters of full-time service to the College with academic rank. Full-time service includes an ongoing commitment to teaching excellence, a commitment to scholarship, and demonstrated participation in service. Eligibility for additional sabbatical leaves will occur after six years of full-time service following the return of the faculty member from the previous sabbatical. Tenured faculty holding full-time administrative appointments are not eligible for faculty sabbatical leaves. Tenured faculty who have part-time teaching appointments will accrue sabbatical leave eligibility on a pro-rated full-time equivalent basis. The sabbatical leave entitles a faculty member to full salary for one semester or one-half salary for a full-year leave. The sabbatical leave also provides faculty members with the opportunity to continue their participation in all the benefit programs of the College. Participation in TIAA-CREF will be based on the actual salary paid during the sabbatical leave.

3.12.1.1.4. It is expected that faculty commit to at least one year of full-time work after a sabbatical before leaving the institution unless an alternative commitment is agreed upon in advance with the provost's office.

#### 3.12.1.2. PROCEDURE

3.12.1.2.1. Formal request for sabbatical leave must be made in writing to the faculty member's Department Chair/Division Director no later than November 1 for sabbatical leave to be granted the following academic year. The proposal should contain the following in a letter not to exceed two, single-spaced pages.

3.12.1.2.1.1. The proposal should state clearly the nature of the activity to be undertaken during the tenure of the sabbatical.

3.12.1.2.1.2. Included in the proposal should be evidence to suggest the feasibility of completing the activity; for example, the proposal should briefly address potential problems and anticipated needs.

3.12.1.2.1.3. The proposal should explain how the activity will enhance the individual's development as a faculty member.

The preceding guidelines are designed to help all faculty who are applying for sabbatical leaves prepare applications that best express their intentions and provide the information necessary to make an informed evaluation. They are not offered to limit the creativity and innovation of faculty in designing professional activities. The Faculty Development Committee reviews the proposal and advises the Provost of the merit of its content. Copies of successful proposals are available from the Provost Office

3.12.1.2.2. The Division Director consults with all full-time faculty in the department in determining recommendations for sabbatical leave. The written recommendation should be submitted to the Provost Office by November 15, and should include a copy of the candidate's proposal. In the letter the Division Director will indicate how the department proposes to meet the needs created by the faculty member's absence. Ordinarily other faculty members' teaching loads should not be increased to accommodate sabbatical leaves.

3.12.1.2.3. The Associate Provost and Provost, together with the President, will review the request, the Division Director's evaluation, and the review of the Faculty Development Committee. The judgment concerning the granting of the request will be based on the merits of the proposed activity and budget considerations. The President informs the applicant of the decision in writing by December 15.

### 3.12.1.3. EARLY REQUEST FOR SABBATICAL LEAVE

3.12.1.3.1. A faculty member may request approval of proposed sabbatical leave activities as early as two years prior to the expected leave. Reasons for early application would include such things as additional time to search for supplementary funds, arrangement for a visiting professorship, the need to effect special arrangements for research.

3.12.1.3.2. If the conditions that led to the request for early approval of the sabbatical are met, that is, if the grant is received, the visiting professorship arranged, the special arrangements effected, etc., the sabbatical leave will be granted as requested and approved. If, however, the special conditions are not met, the candidate must reapply.

### 3.12.1.4. SABBATICAL REPORT

The faculty member assumes the obligation of presenting a written report on the sabbatical leave activities to the Provost Office and the Division/Department. This report is to be filed within six months of the end of the leave.

## **3.12.2. LEAVES OF ABSENCE WITH SALARY**

### 3.12.2.1. SHORT-TERM LEAVES OF ABSENCE

#### 3.12.2.1.1. POLICY

Short absences of faculty members for personal business, illness, jury duty, military training duty, and similar limited absences normally are with full salary.

#### 3.12.2.1.2. PROCEDURE

When practical, the Department Chair/Division Director is to be notified in advance of absences which may affect class, laboratory, research, or other College-related commitments. The Department Chair/Division Director and faculty member in consultation are to secure a substitute instructor if possible or if deemed necessary.

#### 3.12.2.2. PARENTING LEAVE

3.12.2.2.1. Full-time faculty members with a tenure-track appointment are eligible for the Parenting Leave plan after completing a minimum of one semester of their initial appointment. The College adheres to its high scholarly and educational standards, and at the same time supports the fact that a number of faculty have the dual concern of maintaining professional competency and of caring for children without harmful pressure of teaching and professional duties. Our primary concern is that a talented faculty member not be lost to Saint Mary's College because of the strains of maintaining both family and career.

3.12.2.2.2. The College's parenting leave policy is consistent with the following principles: A faculty member who takes primary responsibility for the care of a newborn child or a newly adopted child while the College is in session, or near the beginning of a semester, should not feel compelled to return to work. Arrangements made in connection with the new child should disrupt the students' education and the operation of the departments as little as possible. Pregnancy, delivery, and/or care of an infant are major events in the life of a faculty member. These events should not penalize a faculty member in pursuit of tenure.

3.12.2.2.3. The College offers faculty members a series of options. In consultation with the division and department, a faculty member may choose from the plans listed below the one most appropriate. The College includes the following policies as part of its parenting leave plan:

3.12.2.2.3.1. Tenure. In the case of the birth or adoption of a child, the faculty member will be granted a one-year extension of the tenure probationary period. If he/she chooses to be considered for tenure at the normal date, the decision will be honored.

3.12.2.2.3.2. Benefits. Full benefits will continue with TIAA-CREF contribution and group life insurance prorated on the basis of salary.

3.12.2.2.3.3. Sabbatical Leave. A faculty member of the rank of Assistant Professor or above who chooses one of these options acquires credit towards sabbatical on a prorated basis.

3.12.2.2.3.4. Teaching Assignment. The faculty member needs to be able to negotiate an option which is workable for him/her and the department. If



he/she continues to teach, every effort will be made to arrange a convenient teaching schedule. In the case that the medical leave option is chosen, the College will hire a substitute, since faculty members cannot be expected to assume a colleague's full load during an extended medical leave.

3.12.2.2.4. Parenting leave options include:

3.12.2.2.4.1. Plan A: Medical Leave. The faculty member takes a medical leave (typically for a six-week period for normal pregnancy and delivery) but otherwise teaches full-time. He/she draws his/her full salary and benefits for the semester. Substitutes covering classes during the absence are paid by the College.

3.12.2.2.4.2. Plan B: One semester parenting leave: half pay, full benefits.

3.12.2.2.4.3. Plan C: One semester half-time teaching load: full pay, full benefits. Note: circumstances such as the actual date of birth and complications will sometimes require an extension or combination of these options over a period of two semesters.

3.12.2.3. LONG-TERM LEAVES AND ABSENCES.

3.12.2.3.1. POLICY

Non-occupational absences of more than six months resulting from total disability may be covered through the College's participation in a group long-term disability insurance plan in accordance with the plan's provisions. Between the onset of the disability and the beginning of long-term disability payments, the College will continue the faculty member's salary and benefits, for a maximum of six months, as though that member were still working. The salary continuation policy includes disabling maternity, illness, and disability.

The tenure status of faculty members on long-term disability is fixed at the time of the onset of the disability; i.e., tenured faculty retain tenure, untenured faculty resume their probationary period with their return to teaching. Further information on the College's long-term disability policy is available in Section IV, Faculty Personnel Policies.

3.12.2.3.2. PROCEDURE

As soon as a non-occupational disability becomes known to the Department Chair/Division Director, the Division Director reports this in writing to the Provost who in turn communicates this information to the Director of Human Resources who establishes the degree and likely duration of the non-occupational disability. The Department Chair/Division Director consults with departmental faculty to determine how the department is to cope with the faculty member's absence and communicates

this information to the Provost Office. If further action is required, the issue may be taken to the Grievance Committee of the Academic Leadership Council.

Any work related injury must be reported immediately to the Division Director and the Department of Human Resources. The Division Director informs the Associate Provost of the accident.

### **3.12.3. LEAVES OF ABSENCE WITHOUT SALARY**

#### **3.12.3.1. POLICY**

Leaves of absence without salary may be granted to a faculty member should the situation be deemed appropriate by the Division Director and the Associate Provost. Appropriate reasons include professional growth, research activities, health, or family requirements. Faculty who are on long-term leave without salary are normally not eligible for continuation of benefits.

#### **3.12.3.2. PROCEDURE**

3.12.3.2.1. A faculty member requesting a leave of absence without salary shall submit the request to the Provost with a copy to the Division Director. The request should outline the nature of the proposed activity during the leave and such other information as would be useful in evaluating the request. In the case of a non-tenured faculty member applying for a leave without salary, the Provost and the faculty member will negotiate whether leave time will count as probationary time for purposes of tenure. Within two weeks of the date of the request, the Division Director shall send to the Associate Provost an evaluation of the request and Division Director's recommendation. The Associate Provost shall send written notification to the Division Director, Department Chair, and the applicant of the Administration's decision within thirty days of the receipt of the original petition.

3.12.3.2.2. Normally requests for leave of absence without salary are made at least six months before the beginning of the semester the leave is expected to commence. The Division Director and the Department Chair consult with the members of the department on how to meet the needs created by the faculty member's absence.

### **3.13. OUTSIDE EMPLOYMENT**

Under normal circumstances, full-time members of the faculty and part-time tenure-track faculty members are not to engage in any outside employment during the academic year. Exceptions in cases involving special circumstances may be made. In these cases faculty members must request exceptions through their Division Director. Requests must contain all pertinent information related to employment. The Division Director will send this request along with a written recommendation to

the Associate Provost. The final decision will be made by the Provost and the Associate Provost. If a favorable decision is made, it will be effective only for that particular situation.

### **3.14. CONFLICT OF INTEREST POLICY (interim policy approved by Cabinet, August 2019)**

#### **3.14.1. Preamble**

This Conflict of Interest Policy is designed to allow Saint Mary's College faculty and staff to determine if a potential or actual conflict of interest, hereafter COI, exists in their professional life with respect to the financial operations of the College, to entities sponsoring grants, or to research activities. Disclosure and management of potential or actual conflicts of interest protects the reputation of both individual faculty or staff members and the College as a whole and helps to maintain public trust in higher education. These standards also promote objectivity in research and enable unbiased scholarship and sponsored research activities.

If there is a potential or actual financial or other COI, there is an expectation that the faculty or staff member will disclose it so that a proper management process can be implemented. Disclosing a potential COI does not mean that the faculty or staff member will need to sever the relationship, but it may require the faculty or staff member to minimize potential problems. Overall, COI is about disclosure and management, not about prohibitions.

The policy applies to both faculty and staff members who engage in regular financial transactions of the College, administer or work on grant funded activities, and to those who, on occasion, might find themselves with a potential or actual financial COI.

#### **3.14.2. Definitions**

**Entity** - Any person, firm, corporation, governmental entity, or organization that currently does business with, is attempting to do business in the future with the College, or which is directly or indirectly providing funding through grants or other modalities.

3.14.2.1. **Faculty** - The Faculty of the College consists of the teaching Faculty (each of whom holds a Faculty rank and whose primary responsibility is classroom teaching), the President, the Provost, Emeritus Faculty, Professional Librarians, and Academic Administrators.

3.14.2.2. **Staff** - A College Staff member consists of exempt or non-exempt employees of the College other than faculty.

3.14.2.3. **Investigator** - Any person responsible for the design, conduct, or reporting of Research. This includes the Principal Investigator (PI) and any other person involved in the conduct of Research by or under the auspices of Saint Mary's College. This may include students, volunteers or others, if the individual has some degree of independence in conducting aspects of the research.

- 3.14.2.4. **Research** - An organized program of scientific inquiry that involves a systemic investigation performed by or under the auspices of Saint Mary's College.
- 3.14.2.5. **Family Member** - Family Members are defined as spouses, parents, siblings, children, and any other person that resides in the same household as the Faculty or Staff member.
- 3.14.2.6. **Financial Interest** - The receipt or expectation of anything of greater than nominal monetary value, including salary or other payment for services (e.g., consulting fees), equity or other ownership interest (e.g., stocks or stock options), or intellectual property rights (e.g., patents, copyrights and royalties from such rights) or sponsored travel.

Financial Interest **does not include** income from investment vehicles such as mutual funds or retirement accounts, as long as the faculty or staff member does not directly control the investment decisions made in those vehicles.

- 3.14.2.7. **Controlling Interest** - As used in this section, means 50 percent or more ownership, directly or indirectly, of the stock of a corporation, profits interest in a partnership, or equitable interest in an estate or trust. An individual shall be considered as owning the stock, partnership interest, or estate or trust interest, owned directly or indirectly by the Faculty or Staff member or by a Family Member, as defined in this policy.

### 3.14.3. POLICY

#### 3.14.3.1.1. A FACULTY OR STAFF MEMBER SHALL BE CONSIDERED TO HAVE A CONFLICT OF INTEREST IF:

- 3.14.3.1.1.1. Such Faculty or Staff member has actual or potential financial or other interests which impair or might reasonably appear to impair her/his independent, unbiased judgment in the discharge of her/his responsibilities to the College or that could affect the design, management, or reporting of activities and results related to externally funded research;
- 3.14.3.1.1.2. Such faculty or staff member is aware that a member of her/his family, or any organization in which such faculty or staff member (or a member of her/his family) is an officer, director, employee, member, partner, trustee, or stockholder who has a Controlling Interest in such organization, and has such existing or potential financial or other interests which impair or might reasonably appear to impair her/his independent, unbiased judgment in the discharge of her/his responsibilities to the College;

3.14.3.1.1.3. "Interest" includes having an interest in an organization which is in competition with Saint Mary's College and/or having an interest in an entity seeking to do business with the College. In either case, the potential conflict arises when the faculty or staff member's position gives her/him access to proprietary or privileged information which could benefit the entity in which the faculty member or her/his family member has an interest.

3.14.3.1.2. A faculty or staff member must disclose in a timely fashion when duties exercised on behalf of Saint Mary's College or related to grant funded activities bring them into business negotiations with an entity in which they or members of their family have a material financial interest or significant indebtedness.

3.14.3.1.3. A faculty or staff member must disclose in advance and in a timely fashion and prior to the submission of requests for external funding, her/his participation in decisions or actions on behalf of Saint Mary's College or in conjunction with a grant funded activity which may result in personal gain or greater than normal value for the faculty or staff member or the faculty or staff member's family.

3.14.3.1.4. In each application for federal grant funding and many applications for corporate and foundation funding Saint Mary's College is required to certify the existence of this policy and a process to identify any existing conflicts. A Principal Investigator (hereinafter PI) applying for support for their research or project must disclose any potential conflict of interest. If a conflict arises after federal grant funding has been secured, the faculty or staff member is required to report the conflict as soon as the faculty or staff member could reasonably be aware of the conflict.

3.14.3.1.5. Faculty and staff members also have a duty to disclose all solicitations to or offers from entities outside the College for financial support for their programs of study, research or scholarship. Faculty and staff members involved with the design, conduct, or reporting of research or educational scholarly activities supported by outside funding of any significant value must disclose this involvement.

3.14.3.1.6. This COI Policy disallows the following unless approved in advance by the Provost for faculty or by the Human Resources Department for other employees: acceptance of gifts, entertainment, payments, loans, or favors of greater than nominal value involving more than social amenity from suppliers or goods or services to the College, or from persons associated with or seeking association with the College.

3.14.3.2. DISCLOSURE OF CONFLICT OF INTEREST

- 3.14.3.2.1. All faculty and staff, including but not limited to those authorized to sign for expenditures, acting as principal investigators, project directors or the key/senior personnel, collaborators or consultants involved in proposing, conducting or reporting on grant-funded activities on grants, or involved in making purchases on behalf of the College are required to complete a [Conflict of Interest Questionnaire](#). The forms are kept in the Human Resources Office. The Human Resources Department shall distribute the forms annually. If a faculty or staff member becomes aware of a COI or a possible COI subsequent to submitting the annual questionnaire, the faculty or staff member must up-date the Conflict of Interest Questionnaire.
- 3.14.3.2.2. Any faculty or staff member who is uncertain whether a COI may exist in any matter will discuss said matter with her/his Division Chair or Vice President. The faculty or staff member's Division Chair or Director shall consult with the Provost and/or sponsoring Vice Presidents regarding the need for the faculty or staff member to further disclose said matter on the Questionnaire.
- 3.14.3.2.3. The Provost and sponsoring Vice President, in consultation with the Faculty Affairs, Inclusion and Retention (FAIR) Committee of the Academic Leadership Council and the Vice President for Strategy and Finance, shall determine if a potential or actual financial COI exists for a faculty or staff member. If such a conflict is found to exist, an acceptable management plan or other appropriate means for resolving a potential or actual COI will be developed by the faculty member in consultation with the Department Chair and Provost or sponsoring Vice President.
- 3.14.3.2.4. If there is a conflict in conjunction with a federal grant, no grant funds shall be expended until the COI has been managed or eliminated. If an acceptable management plan for the conflict cannot be reached or if Saint Mary's proceeds without the imposition of conditions or restrictions to address the conflict, Saint Mary's shall comply with all requirements of external funders in regards to reporting any conflicts and shall notify the Office of General Counsel for the federal agency that sponsored the grant. After a COI has been identified and a COI management plan has been developed, Saint Mary's shall notify the grant sponsoring agency of the COI and the management plan. Such notifications must be made within sixty (60) business days of the identification of the COI.
- 3.14.3.2.5. If a faculty member wishes to appeal the determination of a potential or actual COI, she/he may do so to the Grievance Committee of the Academic Leadership Council. If a staff member wishes to appeal the determination of a potential or actual COI, she/he may do so to the President.
- 3.14.3.2.6. In order to comply with requirements to be eligible for federal grants, Saint Mary's College reserves the right to impose sanctions on faculty or staff

for failure to disclose serious financial interests that pose a conflict and for failure to abide by this policy. Recommendations regarding the imposition of sanctions will be made by the supervising Vice-President in conjunction with the College Counsel. Sanctions may include restrictions on future submission of research proposals and other disciplinary actions. Institutional sanctions will travel with the faculty upon transfer to another institution.

- 3.14.3.2.7. The College will incorporate, as part of a written agreement with a subrecipient or other collaborator, terms that establish whether the subrecipient or other collaborator will be governed by Saint Mary's Conflict of Interest policy or the sub-recipient or other collaborator's own policy. The sub-recipient or other collaborator will be required to follow Saint Mary's Conflict of Interest Policy if the policy of the sub-recipient or other collaborator is not in compliance with the Grantor's requirements.

#### **3.14.4. RECORDS**

The College will retain records of all disclosures and actions taken to manage or eliminate conflicts of interest for at least three years beyond the end of the grant to which they pertain or until the final resolution of the conflict, whichever is longer.

#### **3.14.5. COMPENSATION FROM GRANTS AND CONTRACTS**

- 3.14.5.1. Compensation from grants, contracts and other sponsored agreements shall be in the form of salary for actual work performed on the project from which the salary is paid. Compensated services must be performed during the project period. No faculty or staff member of Saint Mary's College may receive monthly compensation in excess of their regular monthly institutional salary by engaging in sponsored projects. All sponsor rules and restrictions regarding faculty and staff member compensation will be followed.
- 3.14.5.2. The applicable regulations for this policy are the Office of Management and Budget (OMB) Uniform Guidance: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The OMB Uniform Guidance is very specific about faculty salaries charged to federal sponsored projects. The cost principles prescribe pay for faculty on sponsored projects during two periods: 1) during the academic year, and 2) periods outside the academic year. During the academic year, faculty members working on federal sponsored projects may charge a proportionate share of their institutional base salary to the sponsored project, but faculty may not increase their total compensation by working on a sponsored project. The salary charged to the sponsored project must be based on their regular, annual compensation. Faculty may earn additional compensation for working on grants over the summer, again based on their regular, annual compensation. Likewise, administrative staff working on federal sponsored projects may, through release time,

charge a portion of their institutional base salary to a sponsored project, but may not increase their total compensation by working on the sponsored project.

- 3.14.5.3. The OMB Uniform Guidance is the authoritative source regarding federal grants; however, non-federal agencies refer to the OMB Uniform Guidance as well. Employees expending effort on any sponsored project, federal or non-federal, must comply with the following procedures:
  - 3.14.5.3.1. During the academic year, faculty may not earn any additional compensation from a sponsored project. If a faculty member intends to apply for a grant or contract that will require effort during the academic year, then the faculty member must apply to the appropriate Division Chair and the Provost's Office for release time, i.e. course buy-out(s). The faculty member's proportionate salary (commensurate with effort) will be charged to the sponsored project, thus freeing up salary in the regular Division account to pay an adjunct to teach the faculty member's course(s), if necessary.
  - 3.14.5.3.2. Faculty may earn additional compensation during the summer (defined as mid-May through mid-August) based on the percent effort they will be working on a sponsored project each summer. Faculty members receiving three months of summer support (the maximum allowable) from a sponsored project must spend the entire three months of the summer working on the sponsored project, unless the sponsor's rules restrict allowable compensation to less than three months of support.
  - 3.14.5.3.3. Faculty with full time administrative duties and staff may not earn any additional compensation from a sponsored project. If a faculty with full time administrative duties or staff member intends to apply for funding for a sponsored project that will require effort, then the faculty or staff member must apply to their supervisor for release time. In such cases, the faculty or staff member's proportionate salary (commensurate with effort) will be charged to the sponsored project, thus freeing up salary in the regular unit account with which to hire adjuncts or additional staff, if necessary.
  - 3.14.5.3.4. Prior to the start of work, the Principal Investigator, the Grant Administrator and the Human Resources Department shall meet with all faculty and staff who are to perform work on a sponsored project and instruct on how to properly report their time to ensure that only the actual work time attributable to a sponsored project is reported.
  - 3.14.5.3.5. Any and all work attributed to a sponsored project must be documented at the time the work was performed and submitted to the PI on a bi-weekly basis. **Incorrectly charging time to federal sponsored project means that the person reporting the time is making a false claim against the government, which carries criminal penalties.**



- 3.14.5.3.6. Saint Mary's College Grant administrator in conjunction with the PI will document that the faculty or staff member did not receive compensation from the sponsored project in excess of the work performed in furtherance of the sponsored project.
- 3.14.5.4. When an application for a grant, contract, or other sponsored funding is prepared, this policy shall be used to estimate personnel costs for the proposal. Actual salary payments will be based on salaries at the time effort is expended.
- 3.14.5.5. The Grant Administrator and the Human Resources Department or the Provost Office, as appropriate, will ensure that requested compensation meets this policy and that any release time requests have been approved.
- 3.14.5.6. All sponsored project funds shall be subject to a compliance audit prior to certification that the time attributed to the sponsored project was in compliance with the terms of the sponsored project.
- 3.14.5.7. Non-Compliance with this compensation policy or those of the sponsor-specific program requirements, and/or federal rules and regulations may result in discipline.

### **3.14.6. PARTICIPANT SUPPORT COSTS**

- 3.14.6.1. Participant support costs (PSC) are direct costs for items such as stipends or subsistence allowances, travel allowances and registration fees paid to or on behalf of participants in connection with conferences or training projects. Sponsor approval must be obtained before incurring participant support costs on sponsored awards.
- 3.14.6.2. A participant is defined as the recipient, not the provider, of a service or training associated with a workshop, conference, seminar, symposium or other short-term instructional or information-sharing activity. Participants may include students, scholars, and scientists from other institutions, individuals from the private sector, teachers and state or local government personnel. Employees of Saint Mary's College are **not** eligible to receive participant support.

Participant support costs are exempt from facilities and administration ("F&A") on federally sponsored projects. For Non-Federal awards, sponsor-specific and/or award-specific guidelines should be reviewed at the time of proposal to determine if F&A is allowable.

- 3.14.6.3. Unallowable Costs: The intent of participant support is solely to provide financial assistance for participants to attend conferences and training. These funds are not intended to pay the costs of hosting the conference or training program. Unallowable costs include honoraria for guest speakers, room rental, supplies, and expenses for the PI, project staff or collaborators to attend, and payments made to research subjects as an incentive for recruitment or participation in a research

project. Costs for hosting the conference or training should be budgeted and charged to the parent budget.

3.14.6.3.1. Managing participant support funding: Participant support funding is typically restricted for purpose and exempt from F&A, requiring separate accountability from the rest of the award. If participant support is approved by the sponsor and indicated in the award documents, the Finance Office shall set up a sub-account for the Grant to administer the PSC.

3.14.6.3.2. Do not assume that an unexpended balance on the participant support sub budget may be used to offset a deficit on the parent budgets. If the award agreement restricted the funds for PSC, they may not be used to offset a deficit on the parent budget without written approval from the sponsor.

3.14.6.4. Rebudgeting participant support: Generally, participant support may not be formally or informally rebudgeted without written approval from the sponsor. Please review your award document and/or the sponsor's terms and conditions.

3.14.6.5. Participant support costs:

- are identified specifically on National Science Foundation (NSF) awards.
  - are awarded by other sponsors (but not necessarily referred to as "participant support costs") and tend to be by program
  - are accounted for in separate sub budgets.
  - are often subject to special sponsor regulations
    - do not allow re-budgeting from the participant support cost category into other categories without prior sponsor approval.
    - may be exempt from facilities and administrative (F&A) costs.
    - require Saint Mary's College to return any unexpended participant support costs to the sponsor.
    - are associated with special programs that provide research experience for participants, such as Research Experience for Undergraduates (REU) and Research Experiences for Teachers (RET) on National Science Foundation grants.
- Additional sponsor regulations:
- do not allow participant support costs to be budgeted on REU and RET sub budgets to be spent on non-participant activities.
  - Budget allocations cannot offset a deficit in the parent account.

3.14.6.6. The PI in conjunction with the Grants Administrator shall:

3.14.6.6.1. Review award documents, looking for wording similar to "PSC", "participant support" or "participant costs awarded" to determine if this issue is applicable to your grant.

3.14.6.6.2. Check the sponsor's regulations to see if any rules prohibit Saint Mary's College from applying F&A costs to these charges.

3.14.6.6.3. If a separate sub budget has not been set up and the sponsor does not allow Saint Mary's to apply F&A costs to these charges or requires separate accountability for these costs, notify the Finance Office and a separate sub account will be established.

3.14.6.6.4. Monitor expenditures for appropriateness throughout the life of the grant.

3.14.6.6.5. Work with the Finance Office at closeout.

3.14.6.6.6. Obtain written sponsor approval for any re-budgeting into or out of the participant support cost sub budget.

### **3.14.7. ALLOWABLE COSTS**

3.14.7.1. The consistent treatment of grant-related costs facilitates an understanding of allowable costs for federal grant awards. The Principal Investigator is responsible for determining whether expenditures are allowable, reasonable, and allocable to the award. The PI is responsible for approving expenditures and providing justification for each transaction.

3.14.7.2. There are two types of costs related to grants: direct cost and indirect costs.

3.14.7.2.1. Direct Costs: Direct costs are expenses that are specifically associated with a particular sponsored project and can be directly assigned to such activities easily with a high degree of accuracy.

3.14.7.2.2. Indirect Costs: Indirect costs are expenses that cannot be identified specifically with a particular project of activity. They are expenses that benefit more than one activity.

3.14.7.3. A direct cost must meet the allowable cost criteria in order to be charged to grants. OMB Circular A-21: "Cost Principles for Educational Institutions" provides the regulations for determining the costs on federally sponsored projects. However, each awarding agency can establish its own terms and conditions which take precedence over the provisions of A-21. An allowable cost is a cost that can be charged or assigned to a sponsored program. All expenditures charged to sponsored programs must meet the criteria of reasonable, allocable, consistent and allowable.

3.14.7.3.1. Reasonable: A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

3.14.7.3.2. Allocable: A cost is allocable to a particular federal award or other cost objective if the goods or services involved are chargeable or assignable to that federal award or cost objective in accordance with relative benefits received.

For a cost to be allocable it must be incurred specifically for the award; benefit the award and other work distributed in a reasonable proportion; and it is necessary to the overall operation of the College and is assignable in part to the award.

3.14.7.3.3. Consistent: A cost is consistent if similar expenses are treated the same in similar circumstances.

3.14.7.3.4. Allowable: A cost is allowable if it is fully in line with the respective sponsored agreement. Costs also must be determined in accordance with Generally Accepted Accounting Principles (GAAP), conform to any limitations or exclusions set forth in the award, not be included as a cost or used to meet cost sharing or matching requirements of any other federally-financed program in either the current or a prior period, and be adequately documented.

3.14.7.4. If a cost is greater than the Simplified Acquisition Threshold rate, competitive bids must be obtained from an adequate number of qualified sources. The "adequate number" of qualified sources will be a matter of judgment.

3.14.7.4.1. Unallowable Costs: Costs that fail to pass one or more of the allowable tests above, are considered unallowable costs. In the event that a PI proposes to charge a direct cost to a grant that does not pass the allowable tests, the PI must obtain written approval from the cognizant agency. General office items with multifunctional use (computers, fax machines, file cabinets, chairs, desks, etc.) that do not have a direct relationship to a specific sponsored project's scope of work are examples of unallowable costs. These are indirect costs.

3.14.7.5. When the Finance Office receives a signed Grant award, a restricted account will be established to administer the grant funds. The restricted grant administration accounts shall not include funding from more than one funding source.

Prior to the expenditure of grant funds, the PI, the Division Chair, the Finance Office, and the Grants Administrator shall meet to review the following:

3.14.7.5.1. restricted account number and budget;

3.14.7.5.2. the PI's responsibilities as to grant policies, compliance, and reporting;

3.14.7.5.3. sub-award monitoring plan, as needed;

3.14.7.5.4. guidelines on purchasing, including equipment, supplies, and travel;

3.14.7.5.5. guidelines on personnel costs directly attributed to the grant.

### **3.14.8. FEDERAL FUNDING RESOURCES**

Federal funding sources set very strict policies and guidelines for awardees to follow. If the grant is from one of the following agencies, the meeting shall include a review of the grant policies from the appropriate agency.

The Office of Management and Budget (OMB) has issued the “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (Uniform Guidance) (2 CFR Chapter I, Chapter II, Part 200, et al.) in December 2013. The OMB Uniform Guidance supersedes and streamlines requirements from eight OMB circulars, A-21, A-87, A110, A-122, A-89, A102, A-133 and A-50 into one document. A copy of the Uniform Guidance can be downloaded from <http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>

For National Science Foundation (NSF), a copy of the Grant Policy can be downloaded from [https://www.nsf.gov/pubs/manuals/gpm05\\_131/gpm05\\_131.pdf](https://www.nsf.gov/pubs/manuals/gpm05_131/gpm05_131.pdf)

For National Institutes of Health (NIH) projects, the policy manual can be found in [http://grants.nih.gov/grants/policy/nihgps\\_2012/index.htm](http://grants.nih.gov/grants/policy/nihgps_2012/index.htm).

For U.S. Department of Health and Human Services (HHS), the grant management guidance is available for reference at <http://dhhs.gov/asfr/ogapa/grantinformation/appbusguidance.html>

### **3.15. PROCEDURES FOR AMENDING FACULTY POLICIES AND PROCEDURES**

The President determines faculty policies and procedures only after consultation with the Provost. The Faculty may also propose changes directly to the President. The Provost ensures that this section of the *Governance Manual* is kept up to date.

## SECTION 4

### **4. FACULTY PERSONNEL POLICIES**

## **4.1. FACULTY SALARY: POLICIES AND PROCEDURES**

### **4.1.1. SALARY**

#### **4.1.1.1. FULL-TIME FACULTY**

The College strives to maintain faculty salaries at levels that are at or above those at other liberal arts institutions on our peer institution list. Variations in salary exist depending upon the academic qualifications and experience of a faculty member, the faculty member's discipline, and the College's evaluation of the individual.

#### **4.1.1.2. PART-TIME FACULTY**

4.1.1.2.1. **TENURE-TRACK** – The salary for a member of the tenure-track faculty on a part-time appointment shall be the proportionate share of the appropriate salary for a full-time appointment.

4.1.1.2.2. **NON-TENURE-TRACK** – Remuneration for part-time faculty normally follows a schedule which is based on performance and the number of years of service at Saint Mary's College.

### **4.1.2. SALARY PROCEDURES AND POLICIES**

#### **4.1.2.1. GENERAL PROCEDURES: COLLEGE**

To assist the Administration in formulating its salary budget proposal, the Faculty Compensation Committee of the Academic Leadership Council prepares a detailed report on the economic status of the faculty. This report normally includes data reflecting the general pattern of the economic status of the profession, the relationship of the Saint Mary's faculty to the profession, and special economic consideration. The report concludes with a set of specific recommendations to the Administration. This report is presented to the Academic Leadership Council for its consideration. After consultation with the Faculty Compensation Committee, the Administration designates portions of the increase in the faculty salary budget to such categories as cost of living, equity adjustment, academic rank differential, and merit. Preliminary budget parameters are presented to the Board of Trustees at its spring meeting. The final budget is approved at the fall meeting of the Board of Trustees.

Following preliminary approval of the College budget, the Provost informs the Division Director of the percent being allocated for cost of living, merit, and other salary adjustment.

#### **4.1.2.2. GENERAL PROCEDURES: INDIVIDUAL SALARY DETERMINATION**

Faculty salaries are reviewed annually. Planned cost of living adjustments are approved by the Board of Trustees and take effect January 1 of the following academic year.  
Adjustments

related to promotion are made in the context of the President's appointment to the new rank.

#### 4.1.2.3. NOTIFICATION

During the first week of March each faculty member on a continuing appointment receives a letter from the Provost's Office confirming rank, tenure, status, and salary for the coming academic year. The notification also includes a statement of inclusive dates of that academic year.

#### 4.1.2.4. PAY OPTIONS AND PAY SCHEDULE

Full-time faculty and part-time tenure-track faculty have the option of being paid on a 10- or 12-month schedule. Those who do not indicate a preference are paid on a ten-month schedule. Revisions in the method of payment can be made only by the faculty member in any year from May 1 to August 1. Faculty are paid on the first of the month beginning on the first of September. If the first falls on a holiday or a weekend (except for January 1st), the pay date will be the last banking day before the first of the month.

#### 4.1.2.5. PAYROLL PROCEDURES

Earnings statements, available for review on-line, show deductions, such as for federal, state, and Social Security taxes, and any appropriate deductions for group insurance or voluntary payroll deductions plans. New faculty must complete federal and state tax withholding forms and choose benefit coverage before they receive their first earnings statement. If there are any questions about these forms or the process, they should be directed to a representative of the Human Resources Office. Faculty members' pay is direct deposited in a bank of the faculty member's choosing. A branch of the 1st Source Bank is located in the Student Center for convenience. Forms to open an account are available by contacting the bank directly.

#### 4.1.2.6. PROMOTION INCREASES

It is the general policy of the College to grant special salary increases to faculty members upon their promotion. The President, in consultation with the Provost, sets the promotion amount.

#### 4.1.2.7. DIVISION DIRECTOR AND DEPARTMENT CHAIR STIPENDS

Division Directors and Department Chairs may receive a stipend which is added to their salary and/or a course release to support this work.

#### 4.1.2.8. FINAL PAYCHECK – FACULTY AND FACULTY ADMINISTRATORS

When an individual terminates employment with the College, all College property must be returned, his/her office vacated, and all outstanding obligations to the College satisfied by the conclusion of the final day worked. In the case of faculty terminating at the conclusion of an academic year, this is assumed to be June 1 and for those terminating at the

conclusion of the fall semester, January 1. The employee is responsible for securing clearance from each of the offices involved. The obligations include keys, credit cards, College ID, any equipment assigned to the employee, and satisfaction of Morrissey Loan balances. Keys are to be returned to the Maintenance Department, credit cards and Morrissey Loan balances settled at the Business Office, the ID card returned to the Human Resources Office, and the Provost Office notified that the office has been vacated. A check form for this purpose is available in the Office of Human Resources.

## **4.2. BENEFITS: FULL-TIME FACULTY**

### **4.2.1. INTRODUCTION**

The benefits described in this section pertain to full-time faculty of the College unless otherwise noted.

### **4.2.2. LIFE INSURANCE**

4.2.2.1. Faculty members are covered on the first day of their academic appointments with a life insurance and accidental death and dismemberment policy equal to two times the individual's annual base salary rounded to the next highest \$1,000 to a maximum of \$50,000. The College pays the entire premium for the basic insurance.

4.2.2.2. Faculty members may also elect to purchase supplemental life insurance equal to one, two, three, four, or five times the individual's annual base salary rounded to the next highest \$1,000 to a maximum of \$500,000. If faculty members elect not to participate in the supplemental plan when it is initially offered, they must present the insurance company with evidence of insurability prior to being admitted to the plan at a later date. There is no guarantee that the insurance company will extend coverage to faculty members who do not take this option within thirty days of the beginning of their appointment.

4.2.2.3. Faculty who leave the College at age 55 or older after 10 or more years of continuous service and who have coverage under the life insurance plan are provided with College paid life insurance in an amount equal to one-half of the base annual salary up to a maximum of \$10,000.

### **4.2.3. LIFE INSURANCE: COLLEGE TRAVEL POLICY**

When traveling on official College business, faculty are covered by an accidental death and dismemberment policy. The amount of payment in cases of accidental death varies according to salary, but in no case is less than \$25,000. The College pays the entire premium.

### **4.2.4. MEDICAL, DENTAL AND VISION INSURANCE**

#### **4.2.4.1. ELIGIBILITY**



- 4.2.4.1.1. Immediately upon employment, full-time and tenure track faculty members are eligible to enroll in group health, dental and vision benefit plans.
- 4.2.4.1.2. New eligible faculty members can enroll in the plans effective on their start date. Coverages must be elected within 30 days of a faculty/staff member's initial eligibility period. If coverage is not elected when the faculty member is first eligible, they can apply for coverage during the annual open enrollment period or within thirty (30) days of a qualifying event. Cancellations or changes to current coverages must be made within thirty (30) days following a qualifying event or during the annual open enrollment period.

#### 4.2.4.2. COST

The College pays the majority cost of the health premium and a portion of the cost of the dental premiums for full-time faculty. Changes to annual premiums and employee costs are announced during the open enrollment period for the next plan year.

#### 4.2.4.3. TERMINATION OF HEALTH, DENTAL AND VISION INSURANCE

- 4.2.4.3.1. Medical and/or dental coverage for full-time faculty members starts at the beginning of their first semester and ends at the start of the academic semester following their departure from the College.

- 4.2.4.4. Options to continue your health, dental and vision options following separation of employment are available based on current summary plan descriptions found on the College portal and through the Office of Human Resources.

#### **4.2.4.4.1. WORKER'S COMPENSATION**

The College provides coverage under the Worker's Compensation Act of the State of Indiana for every faculty member and employee on its payroll. Individuals who suffer injury on the job, no matter how minor, should report the incident in writing to the Human Resources Office within 24 hours of its occurrence. If faculty lose time from their jobs as a result of a worker's compensation qualified injury or illness, they may be eligible for Worker's Compensation.

#### **4.2.5. LONG-TERM DISABILITY**

- 4.2.5.1. Full-time faculty are eligible for long-term disability insurance provided by the College. This full cost of this plan premium is paid by the College for full time employees. Following a six-month waiting period and approval by the insurance carrier of a qualifying illness or injury, disability income benefits will provide a 60% of regular pay per month up to a \$10,000 maximum per month. The amount of the disability income payment is offset by the individual's Social Security disability payment, Workers' Compensation payment, and any payment received from another employer-financed disability plan.
- 4.2.5.2. Contributions to the retirement plan will be made on their behalf by the insurance

company when a faculty member is totally disabled (as determined by the insurance company), receives a total disability monthly

benefit from the insurance carrier and is an eligible participant in the College's Defined Contribution Retirement Plan for Faculty and Administrators.

4.2.5.3. During the period between the onset of disability and the start of the seventh month of disability, the College will continue the individual's salary at a monthly rate equal to 1/12 of the current contract salary with a maximum payment of 50% of contracted salary.

4.2.5.4. If Social Security disability payments begin while the employee is receiving College paid salary contribution payments, the amount of salary payment will be reduced by the amount of the Social Security disability payment received. The salary contribution policy covers any disabling illness including disabling maternity. The College retains the right to request medical verification of a condition of disability. (See also: Leave of Absence: Long-Term Leaves.)

4.2.5.5. During the first two years of disability, life insurance benefits are continued.

4.2.5.6. During the first six months between the onset of the disability and the beginning of disability coverage, health insurance benefits will be continued on the same basis as for active employees. After the six months, an Extension of Benefits coverage may be elected for a period based on eligibility. The College will reimburse the faculty member for his/her individual coverage. Family Extension of Benefits coverage is at the faculty member's expense. The rate will be adjusted whenever the rate for active employees' changes. Faculty who are currently participating in the College health plan at the time of disability are eligible to continue coverage through an extension of Benefits program at the full cost of the premiums.

#### **4.2.6. COLLEGE RETIREMENT PLAN**

Saint Mary's College sponsors and maintains the Saint Mary's College Defined Contribution Retirement Plan under Code Section 403(b), to which eligible employees can voluntarily make pre-tax elective deferrals and the College will make discretionary employer contributions on behalf of plan participants.

##### **4.2.6.1. ELIGIBILITY**

Full-time faculty members include tenured or tenure-track faculty. Adjunct professors/instructors/lecturers and visiting professors are excluded from participation in the plan.

##### **4.2.6.2. CONTRIBUTIONS**

4.2.6.2.1.1. As a participant, employees can elect to make a voluntary pre-tax contribution based on their compensation each pay period.

4.2.6.2.1.2. The College will make a discretionary matching contribution to the plan on behalf of a faculty member who has satisfied the eligibility provisions. The contribution will be based on a matching formula.

4.2.6.2.1.3. During a sabbatical leave, the College continues its contribution on the basis of the amount of salary actually paid.

#### 4.2.6.3. VESTING

4.2.6.3.1.1. An Eligible faculty member who becomes a participant for purposes of discretionary employer contributions prior to June 1, 2021 shall be immediately vested in the College discretionary contribution.

4.2.6.3.1.2. An eligible faculty member who becomes a participant for purposes of discretionary employer contributions on or after June 1, 2021, shall be vested in the College discretionary matching contribution and discretionary nonelective contribution upon completing three (3) years of service with the College.

More detailed information on these plans and participant contribution and investment fund choice options can be obtained from the Office of Human Resources or by contacting TIAA-CREF directly. See summary plan description.

#### **4.2.7. SOCIAL SECURITY: FEDERAL INSURANCE CONTRIBUTIONS ACT**

Faculty members of the College are automatically covered by the Federal Insurance Contributions ACT (FICA). The College pays one-half of the current tax charged by the program and the faculty member pays the other half through payroll deductions. The amount of tax is regulated by federal law.

#### **4.2.8. EDUCATIONAL BENEFITS FOR UNDERGRADUATE STUDIES**

Full-time faculty are eligible for both employee educational benefits and family educational benefits at Saint Mary's College. Tuition benefits are also available for dependents attending Saint Mary's College, the University of Notre Dame, and other accredited academic institutions participating in available tuition exchange programs offered by the College. Detailed policies and procedures regarding program specifics and the application process are available on the Saint Mary's portal or by contacting the Office of Human Resources.

#### **4.2.9. MOVING EXPENSES AND MOVING ASSISTANCE**

##### 4.2.9.1. EXPENSES

At the time of initial appointment, the College will pay a maximum of \$6,000 toward moving expenses. This money may be used for moving services which the Internal Revenue Service allows as a moving expense deduction. Reimbursement of moving expenses is a taxable benefit. Receipts for all claimed expenses must be submitted to the Office of Human Resources after the move is completed.

### **4.3. BENEFITS: RETIRED FACULTY**

#### **4.3.1. RETIREMENT POLICY**

Policies regarding retirement will be found in the section on Termination of Service.

#### **4.3.2. BENEFITS**

4.3.2.1. The following benefits accrue to emeritus faculty and retired tenured faculty at retirement:

4.3.2.1.1. TIAA-CREF – At retirement, TIAA-CREF and Social Security, which had been benefits, takes the place of salary. Faculty members may obtain help in their planning from TIAA-CREF, the Social Security Administration, and from the Office of Human Resources.

4.3.2.1.2. LIBRARY PRIVILEGES

4.3.2.1.2.1. Library privileges as faculty will continue at both the Cushwa-Leighton Library and the Hesburgh Library.

4.3.2.1.2.2. Emeriti faculty are eligible for a faculty carrel on the second floor of the Library if one is available. Faculty carrels are assigned by semester or summer period and must be renewed if more extended use is requested.

4.3.2.2.2.1. The priorities for use of these spaces are:

1. Saint Mary's College current faculty members with research needs for a defined period, usually a semester and/or summer.
2. Saint Mary's College faculty members who are on sabbatical leave for the duration of their sabbatical project.
3. Emeriti faculty or retired tenured faculty members who are under contract, for the duration of their letter of appointment period.
4. Emeriti faculty or retired tenured faculty may request renewal each semester or summer so long as the space is actively being used.

4.3.2.1.2.2.2. Carrels are currently equipped with a phone, desk, file cabinet, and chair. Emeriti faculty or tenured retired faculty, who are allocated a faculty carrel in the library are allocated a key only to the individual office space, not the building. They will use their carrel during regular library hours.

4.3.2.1.3. TECHNOLOGY

4.3.2.1.3.1. Emeriti faculty may continue to have access to and use the College email system and network services.

4.3.2.1.3.2. The emeritus or tenured retired faculty member may request to retain her/his college-owned computer (desktop or laptop). Depending on the age of the computer, the emeriti faculty member may be asked to

buy it at a reasonable cost from the College (since the College would ordinarily repurpose younger computers to other spaces on campus). User ID, email and network access currently available to faculty will also be retained.

4.3.2.1.4. DISCOUNTS

Discounts at events, bookstore, and dining hall continue.

4.3.2.1.5. EDUCATIONAL BENEFITS

The spouses and unmarried, dependent children under age 26 of retired faculty members are eligible for the same undergraduate educational benefits for which they were eligible on the date of the faculty member's retirement if the faculty member had at least 8 years of service with the College. An exception to this is that the tuition exchange programs are not available to retired faculty.

4.3.2.1.6. COLLEGE ID AND ACCESS – Current identification cards will be retained and updated with appropriate access.

4.3.2.1.7. PARKING – Parking privileges will be retained.

4.3.2.1.8. PHONE LISTING – Listing in online directory will continue unless otherwise requested.

4.3.2.2. The following benefits are to be determined by the Division Director:

4.3.2.2.1. STAFF SUPPORT – Staff support may be available on a limited basis, as long as resources are available.

4.3.2.2.2. SUPPLIES – Supplies, if available (e.g., letterhead to write references for students).

4.3.2.3. The following additional benefits accrue to emeritus faculty and tenured retired faculty who are under contract (i.e. sign a letter of appointment as an adjunct faculty or for non-teaching duties).

4.3.2.3.1. SPACE – Office space, lab space, studio space, as determined by the Associate Provost.

4.3.2.3.2. BUILDING ACCESS – Access to the building in which office space resides (except Cushwa-Leighton Library).

4.3.2.3.3. PRINTING AND COPYING – Printing and photocopying in department.

4.3.2.3.4. PHONE – Access to phone in department.

4.3.2.3.5. STAFF SUPPORT – Staff support from department assistant for contracted task.

4.3.2.3.6. STORAGE – Storage space on campus, if needed for contracted task.

4.3.2.3.7. ELECTRONIC FILES – Maintenance of electronic files on H drive.

#### **4.4. BENEFITS: FACULTY MEMBERS ON LEAVE**

##### **4.4.1. SABBATICAL LEAVES AND OTHER LEAVES WITH SALARY**

###### **4.4.1.1. BENEFITS**

Faculty members on sabbatical leave and those on other leaves with salary, continue their participation in all of the benefit programs of the College at a level based upon their annual contracted salary. For purposes of medical and dental insurance and educational benefits, these faculty members are treated in the same manner as full-time active faculty.

###### **4.4.1.2. SERVICES AND FACILITIES**

Faculty members on sabbatical leaves and those on other leaves with salary may retain their offices and retain access to supporting services (administrative assistant, telephone, duplicating, etc.) with the understanding that consideration is given to those who replace them in their teaching.

##### **4.4.2. LONG-TERM LEAVES WITHOUT SALARY**

###### **4.4.2.1. BENEFITS**

Faculty members who are on long-term leaves without salary for professional growth, research activities, or for health or personal reasons, are normally not eligible for continuation of benefits.

###### **4.4.2.2. SERVICES AND FACILITIES**

Faculty members on leave without salary may negotiate with their Division Director and the Provost on the services and facilities that will be available to them.

#### **4.5. CONDITIONS OF EMPLOYMENT**

##### **4.5.1. TEACHING LOAD**

4.5.1.1. The normal course load for faculty is 18 load credits per year, which is roughly equivalent to 3 courses per semester. The Associate Provost, after consultation with the division through its director, determines the actual number of courses, credit hours, amount of studio, laboratory, or classroom time, and class size requirements for faculty. The Associate Provost tries to ensure that faculty teaching loads are distributed as evenly as possible.

4.5.1.2. The teaching loads of faculty members are reduced in various circumstances.

Although these reductions are stated in terms of courses, they are interpreted in the same way as the basic requirement. Division Directors receive a one course reduction each semester. Sources outside the College and the College Faculty Development Program may also fund reduction in teaching load. It is the responsibility of the division to integrate load reductions into its program. Other faculty members are not expected to carry additional teaching responsibilities to accommodate load reductions.

#### **4.5.2. TRAVEL POLICY: PROFESSIONAL CONFERENCES**

See Travel Policy, Section 2: *Professional Conference and Meeting Expense*, located in the Saint Mary's College Employee Handbook.

#### **4.5.3. TRAVEL REIMBURSEMENT POLICY**

Questions regarding policy guidelines on the use of College vehicles on College business should be directed to the Purchasing Department.

#### **4.5.4. TRAVEL POLICY: SUPPLEMENTARY**

In addition to funds for travel to professional conferences, additional funds may be available for other types of faculty travel. The arrangements for traveling and the rules for spending these funds are the same as for professional travel, except that the "Travel Request Form" is submitted to the administrative officer from whose budget the travel is paid.

##### **4.5.4.1. INSTRUCTION-RELATED TRAVEL**

Faculty members may also take students on trips which are part of courses or which are of educational benefit to the students. The College may subsidize the faculty member's expenses in these cases. The College may also subsidize the expense of faculty members when College courses must be taught off-campus (e.g., in hospitals) or when field work must be supervised (e.g., practice teaching). Such expenses are included in a department's budget.

##### **4.5.4.2. FACULTY RECRUITMENT**

Faculty may also travel to recruit new faculty, to represent the College at meetings of educational organizations, to speak to chapters of the Alumnae Association, or to aid the College's development effort. The expense of such travel is covered through the budget of the administrative office involved: in the first two cases by the Provost Office, in the third through the Alumnae Office, in the last by the Development Office.

#### **4.5.5. FACULTY OFFICES**

The College strives to provide each full-time faculty member with a private office. Part-time faculty members often share offices with each other. Each office is equipped with a computer,

desk, telephone, and chair. Additional equipment such as desks, lamps, bulletin boards, blackboards, and bookcases are sometimes available. Faculty members consult their Division Director to obtain the furniture and equipment they need.

#### **4.5.6. STAFF OR ADMINISTRATIVE SERVICES**

Ordinarily, several departments share the services of one staff or administrative assistant. The departments which share a staff or administrative assistants work out a fair allocation of the assistant's time and a priority of the jobs to be done. Staff or administrative assistant duties can be found in their position descriptions housed in Human Resources.

#### **4.5.7. SUPPLIES AND SERVICES**

Each department maintains its own stock of supplies for academic and professional purposes. Provision for supplies is made through the department operating budget which is prepared by the department chair after consultation with the department members to anticipate expenses for the coming year. Budget expenditures are supervised by the department chair to ensure that the department stays within its overall budget and that each faculty member of the department has fair access to available supplies and services.

#### **4.5.8. MAIL SERVICE**

All faculty members are assigned a mailbox in the buildings in which their offices are located. Mail is distributed twice per day, Monday through Friday. Professional mail requiring postage is charged to department operating budgets. To facilitate this, all unstamped mail should have a department designation. Intercampus mail service to Notre Dame is provided at no charge.

#### **4.5.9. PRINTING SERVICE**

Because facilities for printing vary by department and building and because the policies respecting their use vary by budget and department and are subject to change, faculty members should consult their department chair about the use of those facilities.



#### **4.5.10. PROFESSIONAL LIABILITY COVERAGE**

Faculty are covered by the College's Liability Policy for errors or omissions, bodily injury, personal injury, or property damage for which they are held to be legally liable as a result of performance of their duties as officers of instruction. This coverage includes all teaching related activities as well as activities undertaken as a member of the Board of Trustees, of the College, Academic Leadership Council, College councils, or College committees.

In cases involving legal action, an attorney selected by the insurance company will represent the interests of the faculty member. The College is not responsible for legal action that may accrue from other professional activity; e.g., suits for plagiarism or harm caused in the course of personal research.

#### **4.5.11. LIBRARY PRIVILEGES**

Faculty members are granted extended borrowing privileges at the Cushwa-Leighton Library. Books and other library materials checked out by a faculty member must be returned or renewed annually at the time determined by the Circulation and Fulfillment Manager and at other times by the Manager's request. Such a request is made when someone else wishes to borrow the item, or when materials are required for inventory or other library purposes. A full description of current faculty privileges and library regulations may be found on the Library's web page.

Notre Dame faculty may use the library collection with the use of their faculty identification card. Scholars officially visiting the College enjoy the same privileges as regular faculty; an application for use of the library should be made to the Library Director.

Study carrels in the Library are available for assignment to faculty members engaged in research and writing, or on sabbatical. Assignments are generally made for one term or one year at a time, depending on the length of the research project or sabbatical leave. Faculty may contact the Library Director for information about availability of carrels.

Faculty may reserve a variety of meeting rooms for collaborative study, learning and meetings using Campus and Community Events' online reservation system.

Saint Mary's faculty members also enjoy borrowing privileges at the University of Notre Dame Hesburgh Libraries. Detailed information about using the collections at the Hesburgh Library can be obtained at its circulation desk.

Faculty at Saint Mary's have borrowing privileges at the other supported libraries of the Private Academic Library Network of Indiana (PALNI), which is accessible via the Cushwa-Leighton

Library's online catalog. Books may be requested from any other participating PALNI library and are usually delivered to campus in three to five days.

The use of local public libraries is based on residency.

## **4.6. GENERAL INFORMATION: FACILITIES, SERVICES, AND POLICIES**

### **4.6.1. ADOPTION ASSISTANCE**

4.6.1.1. ELIGIBILITY – Full-time faculty with one year of service are eligible for this benefit.

For the plan to pay benefits, the adopted child must be less than sixteen years of age when the petition for adoption is filed. If a petition for adoption is not filed on behalf of the child before age sixteen, the plan administrator, at his/her discretion may recognize other acts or proceedings before age 16 in connection with adoption instead of the requirement for a petition.

4.6.1.2. BENEFIT AMOUNT – The plan can reimburse up to \$2,000 in covered expenses for each adopted child. Reimbursement is received when the child has been lawfully placed in the home and appropriate documentation has been provided.

4.6.1.3. COVERED EXPENSES – following covered expenses are reimbursed by the plan if they are reasonably related to the adoption of the child:

1. medical, surgical, and hospitalization expenses related to the pregnancy of the natural mother of the child, or related to the birth of the child;
2. court fees;
3. expenses for legal services of a licensed attorney;
4. fees payable to a competent government agency for filing a legal document;
5. other legal expenses reasonably related to the adoption process;
6. fees paid to a child welfare, placement, or other agency authorized to assist in the adoption;
7. other expenses approved by the plan administrator.

4.6.1.4. EXPENSES NOT COVERED

1. expenses incurred before one is eligible for the plan;
2. expenses in excess of a reasonable amount;
3. amounts paid, directly or indirectly, to a person for the placement, adoption, or care of a child if the person may not lawfully receive such payment for services.

#### **4.6.2. ANGELA ATHLETIC & WELLNESS COMPLEX POLICIES**

Faculty have access to athletic venues for recreational use during regular operational hours. Facilities on campus also include outside tennis courts, elevated indoor track, and state-of-the-art fitness equipment. Additional fitness classes are available for a nominal fee. Visit the website for more information about membership and policies:

<https://www.saintmarys.edu/athletics/angela-athletic-wellness-complex>.

#### **4.6.3. BANKING**

Both 1st Source Bank and the Notre Dame Federal Credit Union have ATMs on campus. A branch of 1st Source Bank is located in the Student Center. Call a representative of either institution for account information and benefit of participation.

#### **4.6.4. BOOKSTORE AND 1844 CAFE**

The Saint Mary's College Shaheen Bookstore maintains school supplies, office, art and drawing supplies, cosmetics, magazines, cards, and textbooks. Faculty members are entitled to a 20% discount on most items. Textbooks are not discounted. In order to receive a discount, family members must be accompanied by the faculty member.

The 1844 Cafe stocks cold pop, munchies, candy and ice cream, and many other convenience items. Hours are posted in the Student Center entryway and at the stores. The Notre Dame Bookstore is also available to faculty members with Saint Mary's identification cards entitling them to a 20% discount on most items.

#### **4.6.5. CARD ACCESS SECURITY SYSTEM**

Many of the College's residential buildings also include teaching or administrative space. To enhance the safety afforded students in the residential areas, the College has an automated ID Card Access Security System. In general, access to certain areas of a building and access via the tunnel system between buildings is controlled by the ID Card Access Security System.

All students are issued a student ID card, which gives them access to various campus buildings. In addition, all full-time College employees (administrators, faculty, and staff) who have a job-related need to gain access frequently to restricted areas will also have access through their ID Card. Employees are cautioned to care for their ID Card responsibly and to notify Campus Safety immediately if their card is lost or stolen to ensure that residence halls remain safe.

#### **4.6.6. CHANGE IN PERSONNEL INFORMATION**

Faculty members are strongly encouraged to report to the Office of Human Resources changes in the information originally reported in their vitae. Changes of address, telephone number, marital status, or additional education should be reported.

#### **4.6.7. CHAPEL AND CHURCH FACILITIES**

Liturgies on Saint Mary's College campus are offered in several locations throughout the academic year.

4.6.7.1. Holy Cross Hall is located on the first floor of Holy Cross Hall and accommodates approximately 250.

4.6.7.2. Le Mans Hall Chapel is located in the center of the third floor. The three-story chapel accommodates 300 people.

4.6.7.3. The Church of Our Lady of Loretto is located on the southwest corner of the campus. It belongs to the Sisters of the Holy Cross. This church accommodates approximately 550.

Liturgy schedules are published each semester by the Center for Faith, Action, and Ministry (CFAM) and distributed to all departments. Specific scheduling questions should be directed to CFAM.

#### **4.6.8. CHILDREN OF FACULTY ON CAMPUS**

Because of potential safety hazards and the possible disruption of work, the children of faculty members must be supervised while on campus.

#### **4.6.9. COLLEGE PUBLICATIONS**

*The Observer*, which is published daily by the student community of Saint Mary's College and the University of Notre Dame, is available on campus and online. Faculty members also receive the *Alumnae Magazine*, and *Chimes*, an online publication of student and faculty members' literary work.

#### **4.6.10. COUNSELING SERVICES: COLLEGE ASSISTANCE PLAN**

The Saint Mary's College Employee Assistance Plan is a confidential, professional service, designed to help College faculty and staff in times of personal crisis. The program assists the

identification and treatment of problems, whether emotional, financial, legal, alcohol, drug, or family related. Once the problem has been identified, the person is referred to an appropriate program. The College Employee Assistance Plan is available to all full-time College faculty, staff, and their families. For further information on this program, contact the Office of Human Resources.

#### **4.6.11. CULTURAL EVENTS AND THE CULTURAL EVENTS CALENDAR**

A list of concerts, lectures, plays and other events which occur throughout the year is available on the Saint Mary's College website. Saint Mary's College sponsors an annual Performing Arts Series. Discounted tickets are available to the Saint Mary's Community. Tickets and detailed information relevant to these events can be obtained through the Box Office located in O'Laughlin Auditorium.

#### **4.6.12. DINING FACILITIES**

Faculty members are eligible to use the facilities of the Dining Hall, the 1844 Cafe in the Student Center, and Murphy's Cafe located in Angela Health and Wellness Complex. Discounted meal passes may be purchased at the Dining Hall, payable by debit or credit card. Single meals may also be purchased via debit or credit card (cash payments are not accepted). More information on the hours of operation and menu options are available to employees at the Noble Family Dining Hall website and via social media (Instagram: @campusdiningsmc; Facebook: Campus Dining at Saint Mary's College).

#### **4.6.13. EARLY CHILDHOOD DEVELOPMENT CENTER**

Children of the Saint Mary's College community, including faculty and staff members are eligible for enrollment in the Early Childhood Development Center (ECDC) on the campus of Saint Mary's College. During the academic year, children between the ages of three, four, and five years old are eligible to enroll in the ECDC program. The Center operates five days a week from 7:00 a.m. to 5:30 p.m. Breakfast, snacks, and a hot lunch are provided. A wide variety of part-time schedules are also available; tuition is determined by the schedule chosen. ECDC further provides practicum experiences for college students majoring in education, nursing, speech-language pathology, and psychology. Members of the teaching staff have undergraduate degrees and some have advanced schooling in the field. The Center also offers an eight/nine week summer day camp program for children between the ages of 3 and 9 years. Initial registration for the summer and fall is held early in the spring semester. Registration forms are available on the website in December for the upcoming summer and school year. More information can be obtained at the ECDC website at <https://ecdc.nd.edu/>.

The Early Childhood Development Center also offers programs at a facility on the campus of the University of Notre Dame. Please contact ECDC for further information.

#### **4.6.14. HEALTH AND COUNSELING SERVICES**

Access to Health and Counseling Services is limited to students.

#### **4.6.15. IDENTIFICATION CARDS**

Regular full-time and part-time Saint Mary's College faculty members are issued identification cards. These are useful in obtaining services at the College and are necessary for providing for the security of the work environment. The card should be carried by faculty members whenever they are on College property. All faculty members must return ID cards to the Human Resources Office when a faculty member's service with the College ends.

#### **4.6.16. KEYS**

A faculty member whose job requires keys to College buildings or equipment should keep these keys in a safe place at all times. If keys are lost or found, the department chair should be notified immediately. There is a key replacement fee. To protect the security of College equipment and insure the integrity of the lock system, keys should not be copied or loaned. If a key is lost or found, report it to your supervisor and to the Maintenance and Security Departments. All keys must be returned prior to final clearance from the College. There will be a charge for all lost keys not returned at termination. In the event that the loss of keys requires changing the locks of a building or a section of a building, the cost of the locks and new keys must be reimbursed to the College by the employee.

#### **4.6.17. LADIES OF NOTRE DAME AND SAINT MARY'S**

The Ladies of Notre Dame, Saint Mary's, and Holy Cross is a social organization for women affiliated with Saint Mary's College, the University of Notre Dame, and Holy Cross College. The group promotes the social and cultural welfare of its members, champions friendship with the SMC/ND/Holy Cross family, and encourages service to the tri-campus and the community at large, through a number of supportive programs. For more information, visit their [website](#).

#### **4.6.18. LOST AND FOUND ARTICLES**

Articles lost or found on the campus should be promptly reported to Campus Safety.

#### **4.6.19. MORRISSEY LOAN FUND**

The Morrissey Loan Fund advances up to \$3,500 to faculty members, staff, or students to meet unexpected or extraordinary needs. Further information on the Fund is available from the Controller in the **Department of Finance (finance@saintmarys.edu)**.

#### **4.6.20. MOTOR VEHICLES AND PARKING**

Faculty members may park in authorized parking areas after obtaining a Saint Mary's College

parking tag from Campus Safety. There is no charge for the tag.

#### **4.6.21. NOTARY SERVICES**

Faculty members are provided with notary services by various staff. The service is available during business hours, subject to other demands on personnel; there is no charge.

#### **4.6.22. REMEMBRANCES: ILLNESS OR DEATH**

As a general rule, in the event of the illness or death of a faculty member or staff employee of the College, only one remembrance is to be charged to College budget accounts. This program is administered through the Office of the President. Individuals receiving notification should promptly call the Office of the President where the appropriate arrangements will be made. When reporting, please indicate as much detail about the situation as possible, including hospital location, funeral arrangements, or requests for memorial gifts in lieu of flowers. Departments or offices are not to purchase flowers or memorial gifts from College department or office budget accounts. Individuals or groups may take up a collection for flowers or other gestures for friends and colleagues.

#### **4.6.23. SEXUAL HARASSMENT**

##### **4.6.23.1. POLICY**

Saint Mary's College will not tolerate sexual harassment of its students or employees, nor will Saint Mary's College tolerate unprofessional conduct which leads to sexual harassment.

Sexual harassment may be used to describe a wide range of behaviors. These behaviors are described in the Equal Employment Opportunity Commission Guidelines. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- 4.6.23.1.1. submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education,
- 4.6.23.1.2. submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting that individual, or
- 4.6.23.1.3. such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating an intimidating, hostile, or offensive employment, education, or living environment.

In determining what conduct constitutes sexual harassment, the question will be determined from the perspective of a reasonable person and position of the person

making the complaint.

Saint Mary's College has assigned to the Director of Human Resources the responsibility of addressing issues of harassment and providing advice and counsel to employees who believe they are the recipient of such behavior.

#### 4.6.23.2. NOTIFICATION AND INVESTIGATION

All faculty members, managers, and supervisors are responsible to immediately bring forth any complaint of harassment made by a student or employee, as well as any situation which they observe and believe may violate this policy. This information should be brought to the Director of Human Resources, Provost Office, or Vice President for Student Enrollment and Engagement.

Complaints will be immediately and fully investigated once reported. To the extent feasible, the investigation will protect the privacy interests of all affected parties.

No faculty member, employee, or student who makes a complaint in good faith or participates in an investigation in good faith shall suffer retaliation for being involved. Saint Mary's College will take the necessary action to assure that retaliation does not occur.

#### 4.6.23.3. REMEDY/CORRECTIVE ACTION

Any person who is found to have violated this policy shall be subject to prompt and appropriate disciplinary action up to and including termination, as determined by Saint Mary's College.

#### 4.6.23.4. BAD FAITH COMPLAINTS

This policy shall not be used to bring a complaint in bad faith. Disciplinary action shall be taken against any individual found to have brought a sexual harassment complaint in bad faith for an improper purpose.

#### 4.6.23.5. ROMANTIC AND/OR SEXUAL RELATIONSHIPS WITH STUDENTS POLICY

Romantic and/or sexual relationships between an employee and a student are relationships between individuals in inherently unequal positions. No employee shall engage in or solicit a romantic and/or sexual relationship (consensual or otherwise) with a student. Romantic and/or sexual relationships between a student and an employee are forbidden as unprofessional conduct and are in opposition to the Mission of the College. An "employee" includes any College staff, administrator, or faculty. A "student" includes any undergraduate or graduate student. The consensual nature such a relationship does not constitute a



defense to a complaint of sexual harassment, sexual assault, or related unprofessional conduct. This policy is not applicable in situations where the employee and the student are legally married.

Any violation of this policy may result in corrective action up to and including termination even for a first offense.

#### **4.6.24. GENERAL HARASSMENT POLICY**

##### **4.6.24.1. POLICY**

Saint Mary's is committed to a work and educational environment in which all individuals are treated with respect and dignity. Each individual has the right to work and study in an atmosphere that promotes equal opportunities and prohibits discriminatory practices, including harassment.

Saint Mary's College has developed this policy to ensure that all of its employees and students can work and study in an environment free from harassment, discrimination, and retaliation. Saint Mary's College will make every reasonable effort to ensure that all employees and students are familiar with these policies and aware that any complaint in violation of such policy will be investigated and resolved appropriately.

##### **4.6.24.2. EQUAL EMPLOYMENT OPPORTUNITY**

It is Saint Mary's College's policy to ensure equal employment and educational opportunity without unlawful discrimination or harassment on the basis of race, color, religion, gender, national origin, age, disability, or any other characteristic protected by law. Saint Mary's College prohibits any such discrimination or harassment. As part of our Catholic values, Saint Mary's College prohibits discrimination against an employee or student based on sexual or political orientation.

##### **4.6.24.3. DEFINITIONS OF HARASSMENT**

Sexual and gender harassment is prohibited and will be handled as discussed in the policy titled, "Sexual Harassment and Related Unprofessional Conduct."

Harassment on the basis of any other protected characteristic is also prohibited. Under this policy, verbal or physical conduct that denigrates or shows hostility or aversion toward an individual because of his/her race, color, religion, national origin, age, disability, or any other characteristic protected by law violates this policy. As well, harassment because of an individual's sexual or political orientation is prohibited. Harassing conduct includes, but is not limited to the following conduct which is based upon an individual's race, color, religion, national origin, age, disability, sexual or political orientation: epithets, slurs, or negative

stereotyping; threatening, intimidating, or hostile acts; denigrating jokes; and written or graphic material that denigrates or shows hostility or aversion and that is posted or circulated on campus.

#### 4.6.24.4. INDIVIDUALS AND CONDUCT COVERED

This policy applies to faculty and staff, whether related to conduct engaged in by students, employees, or by an outsider not directly connected to Saint Mary's College (such as an outside vendor).

#### 4.6.24.5. RESPONSIBILITIES OF FACULTY MEMBERS, MANAGERS, AND SUPERVISORS

All faculty members, managers, and supervisors are responsible to immediately bring forth any complaint of harassment made by a student or employee, as well as any situation which they observe and believe may violate this policy. This information should be brought to the Director of Human Resources, Provost Office, or Vice President for Student Affairs. Complaints will be immediately and fully investigated. To the extent feasible, the investigation will protect the privacy interests of all affected parties.

#### 4.6.24.6. REPORTING AND INCIDENT OF HARASSMENT, DISCRIMINATION, OR RETALIATION

Faculty members and employees who believe they are being subjected to harassment may, if they feel comfortable doing so, advise the offender that his or her behavior is offensive and request that it stop. If faculty members are not comfortable doing this, they are encouraged to immediately report the behavior to the Director of Human Resources or to the Provost Office. If any other employee is not comfortable doing this, they are encouraged to immediately report the behavior to the Director of Human Resources or a department manager. Saint Mary's College encourages prompt reporting of all perceived incidents of discrimination, harassment, or retaliation regardless of the offender's identity or position.

Saint Mary's College encourages the prompt reporting of complaints and concerns so that immediate and constructive action can be taken before relationships become irreparably strained. Although no reporting deadlines have been established, early reporting and intervention are the most effective methods of resolving offensive behavior.

Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy and will be subject to disciplinary action. Acts of retaliation should be reported immediately through the same channels as are identified above.

#### 4.6.24.7. RESOLUTION OF COMPLAINT

Appropriate corrective action , up to and including termination of employment, will be imposed if an investigation results in a finding the behavior prohibited by this policy has occurred.

False and malicious complaints of harassment, discrimination, or retaliation will not be tolerated: appropriate disciplinary action will be imposed.

#### **4.6.25. SUMMER CAMPS**

Saint Mary's offers various summer camp programs for children and adolescents, including both overnight and day options. For specific details on these programs, call the Office of Campus and Community Events.

### **4.7. PROCEDURES FOR AMENDING FACULTY PERSONNEL POLICIES**

The different parts of this section are under the jurisdiction of various administrative officers and off campus organizations. The Faculty Compensation Committee of the Academic Leadership Council is charged with responsibility for ensuring that the interests of the faculty members are represented and will be consulted when major changes in these personnel policies are being considered. The Director of Human Resources is responsible for keeping this section up to date.

**Saint Mary's College**  
**Academic Leadership Council**  
**By-Laws**

**Article 1: Name**

The name of this organization shall be the Academic Leadership Council (ALC) of Saint Mary's College.

**Article 2: Identity and Purpose**

*Section 1: Philosophy of Governance*

Saint Mary's College endorses the fundamental concept of shared governance through the inclusion of faculty and student participation in the Board of Trustees, the committees of the Board of Trustees, and the councils and committees of the College administration. The faculty endorse this concept and engage fully in the shared governance of the College, including, but not limited to, their participation in the ALC.

The faculty as a whole has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, selection of new faculty members, faculty tenure status and related matters, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision, lodged in the Board of Trustees and delegated by it to the President, is exercised according to the process outlined in the [Governance Manual](#).

The ALC serves as the voice through which the faculty initiates and amends academic policies and responds to educational issues. Consistent with Saint Mary's Core Value of Community, it:

- A. Promotes shared responsibility and ownership of decision making;
- B. Provides a forum to facilitate the free exchange of ideas among faculty members;
- C. Enables innovative collaboration between administration and faculty;
- D. Establishes efficient methods of communication and information sharing;
- E. Strengthens trust, transparency, and a sense of community; and
- F. Utilizes expertise of faculty in decision making regarding curriculum and faculty matters.

*Section 2: Responsibilities*

The ALC, or bodies to which it delegates its authority, has the primary responsibility to formulate, review, revise, and/or adopt for recommendation to the President, all academic policies having to do with the following matters:

- A. Curriculum and student learning;
- B. Aspects of student life which relate to the teaching and learning at the institution;
- C. Granting of degrees and setting of degree requirements;
- D. The facilitation of faculty development and ensuring equity and fairness in faculty promotion, tenure, and evaluation; and

- E. Shared governance.

### **Article 3: Membership**

#### *Section 1: Faculty Roles and Positions*

For the purpose of the ALC, the full faculty body is defined as professional librarians and all full and part time teaching faculty, both tenure track and non-tenure track, as well as faculty emeriti/ae.

The ALC represents the full faculty body, and the full faculty body is welcome to attend regularly scheduled meetings of the ALC, speak at meetings of the ALC, and suggest agenda topics to their representative or to the Executive Committee. Members of the full faculty body at the rank of instructor, professional specialist, teaching professors, professional librarians, assistant professors, associate professors, full professors, and full time visiting faculty are eligible to vote for representatives to the ALC and members of the Executive Committee. Current part time faculty who have taught at least 9 credit hours in the past 12 months may request voting status from the ALC's administrative assistant, after which they will also be eligible to vote for the standing representatives and members of the Executive Committee. Teaching faculty who also have administrative duties must maintain a 50% teaching load on an annual basis to be eligible to vote for ALC representatives and members of the Executive Committee.

The ALC will consist of thirteen elected faculty members (ten representatives and three officers of the Executive Committee), in addition to administrative appointees and three student representatives. All faculty members who have voting rights are eligible to stand for election as a representative of the ALC; tenured and tenure-track teaching faculty and professional librarians are eligible to stand for election to the Executive Committee.

The elected faculty representatives, appointed administrative members, and student representatives will be eligible to vote on all motions brought before the ALC. If a voting member has a potential conflict of interest regarding a motion brought forward for a vote, the Executive Committee should be made aware of this conflict and may ask the voting member to recuse him- or herself from voting. The Executive Committee officers and the President are not eligible to vote; the one exception is defined in Article 4, Section 6, in which the Senior Vice-Chair may become eligible to vote.

#### *Section 2: Executive Committee*

The Executive Committee will be elected by voting-eligible members of the faculty body. Each member will serve a staggered three-year term, and will begin as the Junior Vice-Chair, transition to the Senior Vice-Chair in the second year and serve as the Chair in the third year. The election for the new Junior Vice-Chair will be conducted by the Committee on Committees by the end of March each year.

#### *Responsibilities of the Executive Committee*

- A. As a team, the Executive Committee:
  - a. Regulates workflow of Council meetings;
  - b. Crafts the agenda for those meetings, in consultation with the President and/or the Provost;

- c. Assigns tasks to standing committees and oversees ad-hoc committees, as needed;
  - d. Meets with the President and/or Provost regularly and as needed and is the body authorized to provide a faculty voice to the administration and to the trustees when time-sensitive issues, in exceptional circumstances, must be addressed outside of the standard decision-making structures;
  - e. Is invested with the power to call for and administer faculty-wide votes on a topic;
  - f. Decides whether or not voting members might have a conflict of interest that would require them to recuse themselves during a vote; and
  - g. Serves on Board Committees, as needed.
- B. Chair
- a. Chairs meetings of the ALC;
  - b. Serves as a member of the President's cabinet, or other similarly designated body; and
  - c. Represents the faculty to outside constituencies.
- C. Senior Vice-Chair
- a. Fulfills all duties of the Chair in his or her absence;
  - b. Determines frequency of and establishes agendas for area meetings, as needed. Area meetings comprise meetings of ALC representatives appointed to committees in the following three groupings: curriculum, faculty concerns, and institutional (specified in Article 10).
  - c. Serves as chair for all curriculum, faculty concerns, and institutional area meetings, or designates an appropriate substitute chair; and
  - d. Assists the Chair, as needed.
- D. Junior Vice-Chair
- a. Circulates the agenda at least one week in advance of meetings;
  - b. Oversees the administrative assistant's collection and dissemination of meeting minutes;
  - c. Serves as liaison to the Governance Manual Committee; and
  - d. Serves as the Parliamentarian for the ALC.

*Section 3: Faculty representatives*

Ten faculty representatives will be elected to staggered 3-year terms, to be distributed as follows:

- A. Six At-Large representatives
- B. Two representatives for Non-Tenure Track / Part-Time faculty
- C. One representative for Pre-Tenure faculty
- D. One representative for faculty teaching in a Saint Mary's College graduate program

Elections for all representatives will be conducted by the Committee on Committees in March Elections.

At-large representatives will be faculty members who are eligible to vote as defined in Article 3, Section 1 and elected by all voting-eligible faculty. Non-Tenure Track / Part-Time representatives, Pre-Tenure representatives, and representatives for faculty teaching in the graduate programs will be voted upon by voting-eligible faculty members of those particular constituencies.

The Committee on Committees is tasked with ensuring that there is balanced disciplinary representation among the representatives serving on the ALC and that the nominees for the representative for faculty teaching in graduate programs themselves teach in a graduate program. Nominees for all representative positions are expected to compose a brief statement expressing their interest in serving on the ALC which will be distributed at least two weeks in advance of the election.

The Committee on Committees will also ensure that, when Pre-Tenure and Non-Tenure Track / Part-Time faculty representatives are up for elections, those constituencies are specifically encouraged to vote. The nominees for Pre-Tenure and Non-Tenure Track / Part-Time representatives would ideally be members of these respective groups to ensure authentic representation, but are not required to be so. It is expected that, in addition to their other duties, the representative for Pre-Tenure and Non-Tenure Track / Part-Time faculty will establish open channels of communication with the respective constituencies and advocate on their behalf.

#### *Responsibilities of Faculty Representatives*

- A. Each representative will be expected to:
  - a. Attend all general and special sessions of the ALC;
    - i. Failure or inability to attend more than half of general and special sessions may result in removal from the ALC, upon the recommendation of the Executive Committee and majority approval of the ALC. Special elections for a replacement will be held as soon as possible.
  - b. Welcome comments and solicit and receive feedback from the broader faculty body regarding matters pertinent to the ALC's charges;
  - c. Serve as a member of a committee of the ALC, to be determined by interest, consensus, and need after one is first elected to the ALC;
    - i. The Executive Committee will have the final say on the committee assignments of representatives.
    - ii. The representative is expected to attend all meetings of one's assigned committee regularly.
  - d. Provide regular reports to the ALC regarding the ongoing business of one's assigned committee (there may be ALC representatives without a committee);
  - e. Serve on Board committees, as assigned; and
  - f. Attend designated area meetings when they are called by the Senior Vice-Chair of the Executive Committee.

#### *Section 4: Administrative Appointees*

In addition to the President and Provost, the Dean of Academic Student Services and the Associate Provost and Dean of Faculty shall serve on the ALC. Except for the President, these appointees will be voting members of the ALC. The President may appoint additional *ex-officio* members to the ALC at his or her discretion.

#### *Section 5: Student Representatives*

The student representatives comprise the Student Government Association Vice President, a student elected among the student representatives on the Student Affairs Council, and a member of the Graduate Student Association. All student representatives are voting members.

### **Article 4: Meeting and Voting Procedures**

*Section 1:* The agendas for the ALC shall be set by the Chair of the Executive Committee with the consultation of the Executive Committee and the President or the Provost. The Chair of the Executive Committee leads meetings.

*Section 2:* The ALC, in its entirety, will have open general meetings, defined as a meeting of the entire ALC membership, at least once every month during the academic year. If the Provost and Chair of the Executive Committee deem it necessary, special meetings of the ALC may be called to address time-sensitive issues.

*Section 3:* All faculty members will have access to the agendas and minutes of the ALC at least one week before general meetings of the ALC. The minutes of all special meetings must be made accessible in a timely manner.

*Section 4:* All faculty members may attend and be recognized to speak on an equal basis with representatives in general meetings of the ALC. On rare occasions, and upon the request of a majority of voting members of the ALC, before or during a general meeting, the ALC will enter into a closed-door, deliberative session with only elected representatives and appointed administrative members present and participating.

*Section 5:* Except in exceptional circumstances (defined in Section 7 below), only voting members of the ALC may introduce motions, call for other formal action, or vote on issues brought before that body.

*Section 6:* In the unlikely event that votes are evenly divided on a motion, the ALC voting members must decide on whether or not to postpone the motion until a future meeting. A 2/3rds affirmative vote of those present is required to postpone the motion; if that threshold is not met, then the motion will be re-voted upon and the Senior Vice Chair becomes eligible to cast the tie-breaking vote.

*Section 7:* Exceptional circumstances that might circumvent the standard procedures for bringing a motion to the ALC or voting on those motions are:

- A. If members of the faculty body desire to hold a faculty-wide vote (comprising all voting-eligible faculty members, as defined in Article 3, Section 1), and if the Executive Committee is unwilling to support that vote, forty percent of



voting-eligible faculty members must signal their support in writing for holding a faculty-wide vote. Once this threshold is met, the faculty-wide vote must be administered by the Executive Committee and take place within 4 weeks.

- B. If representatives of the ALC desire to hold a faculty-wide vote on an issue affecting the entire faculty body, and if the Executive Committee is unwilling to support that vote, 2/3rds of the voting members of the ALC must support this motion.

A sixty percent affirmative vote of all voting-eligible faculty is required for passage of such a motion.

*Section 8:* All motions generally shall be voted upon in the same session in which they are brought forward. To postpone or table a vote on a motion, the body will follow the procedures outlined in Robert's Rules of Order (Section 14).

*Section 9:* Meetings of the full faculty body, organized by the Executive Committee, should be held at least twice per academic year. Meetings should provide updates regarding the recent and upcoming issues that the ALC has been / will be discussing, and the first of these meetings should also introduce representatives to the faculty body. Normally participation at these meetings is limited to faculty only, unless the Executive Committee decides otherwise.

*Section 10:* To encourage collaboration and information sharing between representatives who sit on related committees (those with an area focus on curricular, faculty, or institutional matters, respectively), area meetings of ALC representatives will take place on a regular basis. The ALC Executive Committee will determine both the frequency of such meetings and whether they are open to the faculty at large; the Senior Vice Chair of the ALC, or his or her designee, will chair all area meetings.

#### **Article 5: Procedural Rules for Meeting**

The ALC shall have the authority to establish its own rules and procedures and to implement the general principles established in the bylaws. Where no rules are specified, the ALC will adhere to standard parliamentary procedure as outlined in the most current edition of *Robert's Rules of Order*. The Junior Vice-Chair, as Parliamentarian, has the responsibility and authority to assure that proper procedures are followed and to rule on any challenges on procedural grounds.

#### **Article 6: Quorum**

A quorum at any regular or special meeting of the ALC will consist of two-thirds of the voting members of the ALC.

#### **Article 7: Ratification of Bylaws**

These bylaws shall become effective with ratification by an affirmative vote of sixty percent of the entire membership of the Faculty Assembly through a paper or electronic ballot, consistent with the procedures outlined in the Constitution of the Faculty Assembly, Article 11, and approval by the President and the Board of Trustees.

## **Article 8: Amendment of the Bylaws**

Amendments to these bylaws must first be approved by the ALC upon the motion of any representative. For substantive alteration to Articles 1-8, changes must be approved by a quorum of the voting members of the ALC and by sixty percent of all voting-eligible faculty members through a paper or electronic ballot. For substantive alteration to the remaining

Articles, changes must be approved by a quorum of the voting members of the ALC.

Non-substantive alterations are those which do not alter policy but instead involve an updating of terminology.

## **Article 9: ALC Committee Procedures**

*Section 1:* All committees are expected to meet as needed, as determined by the committee chair.

*Section 2:* Committee terms will normally be three years, staggered, unless otherwise specified.

*Section 3:* The chairperson of each committee shall be selected by consensus of committee members at the beginning of the academic year, unless otherwise stated in the committee charges. The ALC representative is not eligible to serve as Chair.

*Duties of the chairperson:*

- A. Convene meetings;
- B. Facilitate the identification of issues and concerns pertinent to their committee's charges;
- C. Set meeting agenda;
- D. Oversees distribution of committee minutes to the faculty; and
- E. Collaborate with the ALC representative to ensure effective mechanisms of communication are established between the committee and the ALC, related area committees, and the faculty.

*Section 4:* The ALC representative shall serve as a voting member of the committee of the ALC to which they are assigned.

*Section 5:* Each committee shall report regularly to the ALC, and the ALC representative shall be responsible for forwarding written motions from the committee to the full ALC for approval.

*Section 6:* Each committee shall keep minutes of their meetings and make these available to the faculty at large.

## **Article 10: Standing ALC Committees**

*Area: Curricular Committees*

## 1. Academic Standards Committee

- A. **MEMBERSHIP** The Academic Standards Committee consists of:
- a. The Dean for Student Academic Services, who serves as Chair;
  - b. The Executive Director for Retention Strategies;
  - c. The Vice President for Student Enrollment and Engagement (or designee);
  - d. Four elected faculty members; one each from 1. Division of Arts and Humanities  
2. Divisions of Interdisciplinary Studies; Performing Arts and Communication Studies; Library  
3. Divisions of Nursing Science, Social Work, and Gerontology, Business and Economics  
4. Divisions of Science, Technology, Engineering, and Mathematics; Applied Social Sciences;
  - e. ALC representative;
  - f. Two students selected according to the procedures outlined in the *Student Government Association Constitution*. Meetings, or parts of meetings, which relate to specific students are not open to student members; and
  - g. The Director of Academic Advising and Registrar and a Senior Adviser appointed by the Dean for Student Academic Services serve as *ex officio*, non-voting members.
- B. **RESPONSIBILITY** The Academic Standards Committee:
- a. Reviews and develops the criteria for acceptable and unacceptable student scholarship;
  - b. Reviews and develops policy for students' continuation in College; submits any recommendations to the ALC for approval;
  - c. Provides the mechanism for hearing cases of alleged violation of academic honesty policy through the creation of the Academic Hearing Board and the Academic Appellate Board;
  - d. Advises the appropriate academic officers on the individual student's continuation in College;
  - e. Studies and develops revisions of the academic policies of the College; submits any recommendations to the ALC for approval;
  - f. Ensures that the regulations in relevant sections of the *Bulletin* and other College manuals conform to the College policy;
  - g. Determines the student recipients of College-wide-academic honors and awards; and
  - h. Selects the recipient of the Saint Catherine Medal.
- C. **PROCEDURES** To hear cases involving alleged violations of academic honesty policy not resolved at a lower level, the Chair of the Committee is empowered to appoint representatives from the Committee to two separate boards. The first, the Academic Hearing Board, is composed of one faculty member, one student, and one academic administrator. This board serves as the first stage in a formal hearing process; it is to negotiate a resolution or make a judgment and recommendation relative to the case. The second board, the Academic Appellate Board, is composed of three committee representatives (one faculty, one student, one academic administrator). This Board

hears appeals or recommendations made by the Academic Hearing Board.

## 2. Committee on Academic Effectiveness

- A. **MEMBERSHIP** The Committee on Academic Effectiveness consists of:
- a. Associate Provost and Dean of Faculty or designee;
  - b. Three elected faculty representatives, one each from:
    - i. Divisions of Science, Technology, Engineering, and Mathematics; Applied Social Sciences.
    - ii. Divisions of Arts and Humanities; Performing Arts and Communication Studies; Library.
    - iii. Divisions of Interdisciplinary Studies; Nursing Science, Social Work and Gerontology; Business and Economics.
  - c. The ALC representative; and
  - d. *Ex officio*, non-voting members: Director of Institutional Research and Assessment, a representative from the Curriculum Committee, and other/s appointed by the Provost.
- B. **RESPONSIBILITY** The Committee on Academic Effectiveness:
- a. Conducts programmatic assessment of curriculum related to Academic majors and minors consistent with HLC guidelines and for the purpose of assuring academic excellence of all programs at the undergraduate and graduate levels;
  - b. Fosters College-wide discussion of assessment of student learning achievement;
  - c. Serves as an advisory committee regarding policies related to assessment;
  - d. Collaborates with the Office of Institutional Research and Assessment and other relevant committees on assessment projects, including those related to the accreditation; and
  - e. Reviews the College's curricular programs in accordance with the guidelines and procedures of the Quality Assurance Process on a periodic basis.

## 3. Curriculum Committee

- A. **MEMBERSHIP** The Curriculum Committee consists of:
- a. Associate Provost and Dean of Graduate Studies or designee
  - b. Five elected faculty representing each of the divisions;
  - c. One elected at-large faculty representative;
  - d. ALC representative;
  - e. Two student members are chosen according to the procedures outlined in the *Student Government Association Constitution*; and
  - f. The Dean of Student Academic Services or designee serves as an *ex officio*, non-voting member.

- B. **RESPONSIBILITY** The Curriculum Committee:
- a. Reviews and recommends to the ALC:
    - i. the addition or elimination of academic programs, degrees, and majors;
    - ii. proposed changes in the number, kind, or distribution of requirements in Major Programs;
    - iii. the general guidelines for Minor Programs;
    - iv. the addition of minors and the changes within minors which meet the general guidelines for Minor Programs.
  - b. Certify courses, sections, or non-course experiences that meet the relevant General Education Learning Outcomes;
  - c. Reviews and approves proposals for new courses;
  - d. Reviews and approves proposed changes in course offerings which affect the degree requirements of more than one department or the core curriculum of the College;
  - e. Designates two members to serve on the Online Academic Excellence Subcommittee; and
  - f. Ensures that the *Bulletin* and other relevant College manuals conform to College Policy.

#### 4. Graduate Program Committee

- A. **MEMBERSHIP** The Graduate Program Committee consists of:
- a. One faculty member from each graduate program proposed and /or offered by Saint Mary's College;
  - b. One member from the Graduate Student Association (when established);
  - c. ALC representative for faculty teaching in graduate programs;
  - d. One Library faculty; and
  - e. *Ex Officio* Non-Voting Members:
    - i. Provost's designee in charge of graduate programs, serves as chair of the committee and votes to break ties
    - ii. Director of Academic Advising and Registrar
    - iii. Assistant Registrar
    - iv. Director of Instructional Technology and Director of Distance Education
    - v. Director of Graduate Admissions
    - vi. Director of Financial Aid
- B. **RESPONSIBILITY** The Graduate Program Committee:
- a. Reviews and recommends to the ALC
    - i. new graduate degree programs, graduate certificate programs, and changes to graduate programs;
    - ii. policies regarding the delivery of a graduate program of study.
  - b. Reviews and approves proposed new graduate courses;
  - c. Designates two members to serve on the Online Academic Excellence

- Subcommittee; and
- d. Hears appeals and other relevant requests.

## 5. General Education Oversight Committee

- A. **MEMBERSHIP** The General Education Oversight Committee consists of:
  - a. Three elected faculty representatives, one each from:
    - i. Divisions of Science, Technology, Engineering, and Mathematics; Applied Social Sciences
    - ii. Divisions of Arts and Humanities; Performing Arts and Communication Studies; Library
    - iii. Divisions of Interdisciplinary Studies; Nursing Science; Social Work and Gerontology; Business and Economics
  - b. ALC representative
  - c. The following *ex officio* non-voting members:
    - i. the Student General Education Program Commissioner
    - ii. the Associate Provost and Dean of Faculty or designee
    - iii. the Dean of Student Academic Services
    - iv. a member of the Curriculum Committee
- B. **RESPONSIBILITY** The General Education Program Oversight Committee:
  - a. Implements an Assessment Plan for the General Education Program;
  - b. Regularly reviews the health, effectiveness, and sustainability of the General Education Program; and
  - c. Recommends changes in the General Education Program learning outcomes and program structure to the ALC.

### *Area: Faculty Committees*

## 6. Faculty Affairs, Inclusion and Retention (FAIR):

- A. **MEMBERSHIP** The FAIR Committee consists of:
  - a. Four elected faculty reps, one each from:
    - i. Division of Arts and Humanities
    - ii. Divisions of Interdisciplinary Studies; Performing Arts and Communication Studies; Library
    - iii. Divisions of Nursing Science, Social Work, and Gerontology, Business and Economics
    - iv. Divisions of Science, Technology, Engineering, and Mathematics; Applied Social Sciences
  - b. Executive Director of Inclusion and Equity; and
  - c. The ALC representative.
- B. **RESPONSIBILITY** The FAIR Committee:

- a. Considers and makes recommendations regarding policies and programs related to issues including, but not limited to: faculty diversity, inclusion, and equity; faculty hiring and retention; faculty morale; faculty mentoring; and procedures and criteria for determining faculty promotion, tenure and evaluation;
- b. Monitors and evaluates the effectiveness of teaching evaluations and makes recommendations to the Provost or other relevant parties;
- c. Facilitates mentoring programs, including, but not limited to: New Faculty, Pre-Tenure Faculty, and Faculty of Color Mentoring;
- d. Organizes New Faculty Orientation;
- e. Develops program and policies to promote faculty morale and retention and to promote diversity, inclusion, and equity in faculty;
- f. Addresses other issues charged to it by the ALC; and
- g. Designates one faculty committee member to serve on the Inclusion and Equity Advisory Council.

## 7. Faculty Compensation Committee

- A. **MEMBERSHIP** The Faculty Compensation Committee consists of:
  - a. Four voting faculty members, one to be elected from each of the following ranks: Professor, Associate Professor (or tenured librarian), and Assistant Professor (or untenured librarian); and the ALC representative (one of the Non-Tenure Track / Part-Time Representatives).
- B. **RESPONSIBILITY** The Faculty Compensation Committee:
  - a. Represents the faculty in all formal discussions concerning faculty compensation;
  - b. Prepares a report on the economic status of the faculty;
  - c. Makes annual recommendations for faculty compensation;
  - d. Designates at least one member to serve as faculty representatives on the Board Financial Stewardship Committee;
  - e. Designates two of its members to serve on the President's Budget Priorities Committee or similarly designated body;
  - f. Reviews projected budgets and compensation-related policies as needed to represent faculty as described in a-e.
- C. **SALARY PROCEDURES AND POLICIES**
  - a. **GENERAL PROCEDURES:** To assist the Administration in formulating its salary budget proposal, the Faculty Compensation Committee prepares a detailed report on the economic status of the faculty of all ranks and professional librarians. This report normally includes data reflecting the general pattern of the economic status of the profession, the relationship of the Saint Mary's faculty to the profession, and special economic consideration. The report concludes with a set of specific recommendations to the Administration. This report is presented to the faculty and ALC for its consideration. After

consultation with the Faculty Compensation Committee, the Administration designates portions of the increase in the faculty salary budget to such categories as cost of living, equity adjustment, academic rank differential, and merit. Preliminary budget parameters are presented to the Board of Trustees at its spring meeting. The salary portion of the College budget is approved by the Board of Trustees (or the Executive Committee) at its October meeting. Following preliminary approval of the College budget, the Provost and Senior Vice President for Academic Affairs informs the faculty of the percent being allocated for cost of living, merit, and other salary adjustment.

## 8. Faculty Development

- A. **MEMBERSHIP** The Faculty Development Committee consists of:
- a. The Associate Provost and Dean of Faculty or designee;
  - b. Three elected faculty, one each from:
    - i. Divisions of Science, Technology, Engineering, and Mathematics; Applied Social Sciences;
    - ii. Divisions of Arts and Humanities; Performing Arts and Communication Studies; Library; and
    - iii. Divisions of Interdisciplinary Studies; Nursing Science, Social Work and Gerontology, Business and Economics.
  - c. The ALC representative.
- B. **RESPONSIBILITY** The Faculty Development Committee:
- a. Considers and makes recommendations regarding all matters relating to the professional development of the faculty;
  - b. Determines criteria, solicits and reviews applications, and recommends recipients for teaching and research grants awarded by CFAI;
  - c. Reviews and evaluates Sabbatical applications;
  - d. Organizes Faculty Development Day in consultation with the Provost;
  - e. Promotes and supports scholarship through event organization, such as the Faculty Colloquium Series, and through coordination with Library/IT and Centers of Distinction; and
  - f. Establishes and oversees application process for competitive course releases intended to promote curricular and scholarly innovation and entrepreneurship.

*Area: Institutional Committees*

## 9. Committee on Committees

- A. **MEMBERSHIP** The Committee on Committees consists of:
- a. Four elected faculty, each representing different divisions (these elected faculty members will serve staggered, three-year terms, may not serve successive terms, and may not simultaneously be a member of the Executive Committee); and
  - b. The ALC representative.



B. **RESPONSIBILITY** The Committee on Committees:

- a. Prepares a slate of nominees for each election, with an eye to ensuring rotation on leadership positions, balanced disciplinary representation, and minimization of sabbatical disruptions, particularly for representatives of the ALC;
- b. Runs annual elections and others, as needed;
- c. Evaluates charges and the overall structure of committees;
- d. Advises on creation of ad-hoc committees;
- e. Recommends changes, creation or elimination of committees to the ALC; and
- f. Works in consultation with the Director of Diversity and Inclusion to ensure equity of labor and inclusivity in how service duties are partitioned among faculty.

C. **NOMINATION PROCEDURES**

- a. Elections for faculty representatives will be held according to the schedule defined in Article 3, Section 3. Thirty days in advance of the election, a call for candidates will be distributed to all voting-eligible faculty; at least two weeks in advance of the election, candidate statements including rank and discipline, shall be distributed to all voting-eligible faculty.
- b. Elections for all other committee positions will be held in April. Fifteen days before elections, the Faculty will be provided with a notice of the positions to be filled. A week in advance of the election, the slate will be publicly distributed to the members of the Faculty. Each candidate must have accepted the nomination before the slate is published. In April, the Committee on Committees formally presents the slate of candidates for the respective positions. Nominations from the floor are invited by the committee for each position to be filled and are accepted if the nominee agrees to the nomination.
- c. If an opening for a committee occurs outside of standard elections, the Faculty will be provided with a notice of the positions to be filled fifteen days in advance of the election. A week in advance of the election, the slate will be distributed to the members of the Faculty. Each candidate must have accepted the nomination before the slate is published. The Committee on Committees will formally present the slate of candidates for the respective positions. Nominations from the floor are invited by the committee for each position to be filled and are accepted if the nominee agrees to the nomination.
- d. The decision to vote online or in person shall be at the discretion of the Executive Committee, if both options are available. If the vote is to be taken online, provision must be made such that voting is anonymous, only voting-eligible faculty may vote, and each member may vote only once. If the vote is to be taken in person, provision must be made for absentee ballots. If online voting is feasible, it should be the preferred voting method.
- e. If online voting is implemented in the future for general elections, procedures for if, and how, to accept nominations from the floor must be determined.

*Area: Other Committees:*

## 1. Grievance Committee (Reports to the Executive Committee)

- A. **MEMBERSHIP** The Grievance Committee consists of:
- a. Five tenured members elected from the faculty. The Chair is elected by the members of the Committee. If one or more members are unable to participate in the hearing of a case, substitute members for the hearing of that case are selected according to the substitution rule delineated in the section on general considerations.
- B. **RESPONSIBILITY** The Grievance Committee
- a. Serves as a Hearing Committee in cases involving dismissal for serious cause;
  - b. Acts as a Grievance Committee, in this capacity the committee;
    - i. Publishes formal procedures for the conduct of its business;
    - ii. Decides, after the aggrieved party has filed a written petition, whether the case merits a detailed investigation;
    - iii. Acts as a mediating and investigating committee in all ordinary cases in which a faculty member alleges a grievance. A grievance is a harm incurred by a faculty member as a result of a decision improperly taken by or on behalf of the College, or as a result of unprofessional or improper conduct of one or more representatives of the College. Examples of ordinary cases of grievance include but are not limited to decision taken in such matters as salaries, assignment of teaching duties, assignment of space or other facilities, academic freedom and responsibility, and violations of the College's commitment to the Equal Opportunity Act;
    - iv. Acts as a mediating and investigating committee in matters involving an allegation of violation of academic freedom;
    - v. Acts as an investigating committee in matters arising out of a decision on the non-renewal of the contract of a non-tenured faculty member or on the granting of promotion or tenure where the grievance involves allegations of procedural irregularities or lack of adequate consideration;
    - vi. Decides the schedule of priority at times when more than one petition or case is before the committee;
    - vii. Keeps written records of the handling of each grievance petition;
    - viii. Presents to the Executive Committee of the ALC at the end of each academic year a report indicating the number, kinds, and disposition of cases that the committee dealt with; ordinarily, the report does not indicate specific details of the cases;
    - ix. Informs the Executive Committee of the ALC of any breakdown in cooperative relations between the Grievance Committee and any member of the College community which prevents the proper handling of a grievance petition;
    - x. Informs faculty members whose petitions for a hearing have been denied by the committee or who, as a party to a grievance, are dissatisfied with the findings of the committee that they may, after

seeking the advice of the Executive Committee, bring the matter to the faculty for action by that body. The committee may reply to charges that its findings are mistaken; and

- xi. Refrains from discussing any aspect of the case with anyone who is not directly involved in the grievance proceedings for that case.

**C. PROCEDURE**

- a. The procedures of the Grievance Committee are an adaptation of the procedures and policies of the American Association of University Professors described in the most recent versions of their statements: 'Statements on Procedural Standards in the Renewal or Non-renewal of Faculty Appointments,' 'Statement on Procedural Standards in Faculty Dismissal Proceedings,' and 'Recommended Institutional Regulations on Academic Freedom and Tenure.'

- b. General Grievance Procedure: Ordinary Cases

- i. Filing of the Grievance Petition

If faculty members feel that they have cause for grievance in any matter other than dismissal for serious cause or cases involving allegations of procedural irregularity or lack of adequate consideration in the nonrenewal of a faculty member's contract, or cases involving tenure or promotion decisions, they may petition the Grievance Committee in writing for consideration. (Procedures for the excluded grievances are described in a subsequent section.) The petition must set forth in detail the nature of the grievance, state against whom the grievance is directed, and specify the nature of the remedy sought. It must contain any factual or other data which the petitioner deems pertinent to the case. It must also include a statement releasing the faculty member's right of confidentiality to whatever records the College has which are pertinent to the conduct of the investigation. It is important to emphasize that this release cannot abrogate the confidentiality of other individuals or committees. The written petition must be received within thirty working days of the date on which the petitioner became aware that the situation was one that constituted a grievance.

- ii. Notification and Written Assurance

Upon receipt of the grievance petition, the Grievance Committee will send written notification to the party against whom the grievance is directed that a grievance has been filed. In addition, the committee will seek written assurance from both parties that they have attempted to work the matter out between themselves. The parties will be allowed five working days to submit such written assurances to the committee.

- iii. Preliminary Investigation

After selection of substitute members (if necessary), the Grievance Committee will conduct a preliminary investigation of the petition. This investigation will involve interviews with the parties as well as the examination of pertinent written records. The committee will decide

whether or not the facts merit the initiation of formal proceedings and will notify the petitioner in writing of its decision within 15 working days of the date on which the written petition is received.

iv. Preliminary Investigation Results

- a) If the committee rejects the case, and if the petitioner accepts the committee's decision, the case will be closed.
- b) If the committee rejects the case, the petitioner who disagrees with the decision may re-submit the petition within ten working days of the date that the committee's written rejection is received. In re-submitting a petition, the petitioner must indicate the reasons for resubmission.
- c) If the committee rejects the petition a second time, the case is to be considered closed unless the petitioner, having first sought the advice of the Executive Committee of the ALC, brings the petition to the floor of the ALC at the next possible meeting.
- d) If the committee decides to hear the case, it must, before initiating the formal proceedings, attempt to informally mediate the grievance.

v. Mediating Efforts

Prior to the initiation of formal proceedings, the committee is to take no more than ten working days to settle the matter informally, working with both parties, singly or together, until either a settlement is reached or until it is clear that no settlement is possible by proceeding informally. At the end of this period, the committee must specify in writing, to the parties, the situation as it then exists. If a settlement has been reached, its precise character must be specified in writing and the letter signed by all parties involved.

vi. Formal Proceedings

- a) First, immediately upon its decision to hold formal hearings, the committee shall request statements about what occurred or is occurring and why, as well as relevant documents such as relevant contracts, memoranda, letters, etc.
- b) Second, after notifying parties and witnesses, the committee shall, within fifteen working days of the decision to hold a formal hearing, hold closed hearings in which every party must present its case in the presence of the other. A faculty member who is one of the parties to a grievance may bring another member of the Saint Mary's faculty to act as an advisor during the hearings.
- c) During the hearings:
  - i.) The chair of the committee will be vested with

the power to call meetings to order and to excuse parties whose presence compromises confidentiality or whose behavior is incompatible with the judicious hearing of the case.

- ii.) Each side shall present its case to the best of its abilities, including witnesses and documents; members of the committee are allowed to interrupt with questions upon receiving the permission of the chair.
- iii.) Each side will be allowed to question witnesses and to reply to arguments and evidence. With permission of the chair, members of the committee may interrupt to ask questions.

vii. Committee on Recommendations

Following the formal proceedings, the committee will then retire to make its recommendation, which it will report in writing to each party of the grievance within fifteen working days after the close of the hearings. If a recommendation to the President or the ALC is warranted, the committee must make its findings known to either of them in special written report.

c. Special Case Grievance Procedures: Procedural Irregularities or Lack of Adequate Consideration in Non-Renewal of a Non-Tenured Member's Contract or in Tenure and Promotion Decision.

- i. In general, the procedures in such cases shall be the same as those described under General Grievance Procedures: Ordinary Cases, with the following exceptions:

ii. General Procedure

The committee shall base its recommendation only on whether or not the procedural irregularities or lack of adequate consideration were of such a kind or degree to have damaged the petitioner's opportunity to be rehired, promoted, or tenured.

iii. Definition of Adequate Consideration

Lack of adequate consideration does not mean that the Grievance Committee can substitute its judgment for that of the appropriate decision-making body on the merits of whether the petitioner should be reappointed, promoted, or granted tenure. As presented in various *AAUP Policy Documents and Reports*, the term "adequate consideration" refers primarily to procedural rather than substantive issues, and addresses questions such as: Was the decision conscientiously arrived at? Was all the available evidence bearing on the relevant performance of the petitioner sought out and considered? Was there adequate deliberation by the decision-making body over the import of the evidence in terms of the relevant standards of the institution? Were irrelevant and improper standards excluded from consideration? Was the decision a bona fide exercise of

- professional judgment?
- iv. Limits of Committee Responsibilities  
The committee's recommendation in such cases shall be either that the petitioner's case be reheard or that it not be reheard.
  - v. Recommendation  
The committee shall set forth its recommendations and the reasons for them in writing to the parties, and, if necessary, to the President.
- d. Special Case Grievance Procedures: Dismissal for Serious Cause
- i. The procedures utilized by the Grievance Committee acting as a Hearing Committee in cases involving dismissal for serious cause are delineated in the Governance Manual, Faculty Policies and Procedures.
- e. General Considerations
- i. Working Days Defined  
"Working days" refers to those days of the year when the College is in session; it excludes weekends and vacations. At times when more than one case is current, parties to the grievance must bear in mind that the "working days" limits, set forth above, are subject to the committee's need to set its own schedule of priorities. Where such accommodations are necessary, the Chair of the Grievance Committee must write a letter to all parties explaining the delay and setting forth a new timeline.
  - ii. Except as a master copy, all files pertinent to a particular grievance case must be destroyed 180 working days after the final disposition of the case. Materials which have been received from the faculty member and those obtained from College files are to be returned to those from whom they were received rather than destroyed. The master copy should remain in the Human Resources Office for a period of not less than seven years, after which the master copy should be destroyed.
  - iii. Substitution Rule  
Any member of the Grievance Committee who, as a matter of conscience, feels that an objective judgment is impossible in a particular case must request that a substitute be appointed for that case by the Executive Committee of the ALC. Substitutes are to be selected from the group of past members of the Grievance Committee on a last served-first chosen basis until a committee of five impartial members is constructed.
- f. Special Consideration  
When the President is involved in a grievance matter, a final decision by the President which is contrary to the recommendations of the Grievance Committee should be made only in exceptional circumstances and for reasons to be communicated to that committee.

