UNIVERSITY FACULTY HANDBOOK

Western University of Health Sciences

Implementation and Effective Date: July 1, 2026

Western University of Health Sciences is a graduate university of health sciences that educates health professionals to practice and teach with excellence and compassion. Within an academic-centered environment, the University encourages lifelong learning, supports faculty and student scholarly activities, provides patient care in support of clinical training, and enhances the quality of life in the region through community service.

The University supports nationally recognized standards of shared governance, as well as the role that faculty play in the planning and decision-making processes which are outlined in this Handbook. Faculty are delegated defined levels of responsibility and authority through shared governance in various aspects of academic, personnel, and administrative decision-making areas. All decisions made must align with, and decision makers must respect, institutional and programmatic accreditation requirements and legal and regulatory compliance; budgetary implications must be balanced with financial resources.

The right to amend this handbook belongs to the parties that govern the University: The board of trustees, the administration, and the faculty. All changes must be processed in accordance with the shared governance policies and procedures contained within this document before they can be considered as binding.

Approved by the President and the Board of Trustees February 8, 2022

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SECTION I:
SHARED GOVERNANCE, FACULTY RIGHTS AND RESPONSIBILITIES

A. Shared Governance

The practice of shared governance at WesternU[1] is understood in the context of the fundamental mission and values of the University. The board of trustees, administration, and faculty at WesternU attest to their unifying and unwavering dedication to the well-being and excellence of the university, and most importantly to the shared obligation and responsibility of all university actors to provide high-quality educational experiences to the university's students. The rationale for shared governance is that it is crucial to the achievement of excellence in university education and research.

Governance functions with policies, processes, and structures that are known to all constituencies; are orderly and predictable; and are neutral or free from bias. Accountability results from the enactment of these shared policies, processes, and structures.

Healthy shared governance is a balance between maximum participation and timeliness in decision-making, along with clear identification of accountability. The key to achieving healthy and genuine shared governance is broad and continual communication among all parties with the mutual intention of serving the common goals of all stakeholders.

Collaboration among and joint decision making by the stakeholders are foundational for the success of an organization. While the Board of Trustees is the legal fiduciary of the University, it recognizes that decisions and policies are best made when there is significant contribution from those with expertise and those who will carry out the decision or policy. Therefore, the Board delegates varying degrees of decision-making authority. All decisions made must align with, and decision makers must respect, institutional and programmatic accreditation requirements and legal and regulatory compliance; budgetary implications must be balanced with financial resources.

1. **Academic matters:**
   - Academic Program Standards: The faculty hold predominant responsibility for academic standards and policies. At the College[2] level, these standards and policies and significant changes thereto are developed by the College faculty before undergoing further review and approval by the College Dean, by the Academic Senate and by the Provost.
   - University-wide Academic Policies and Procedure: The academic senate, through its committees, reviews all policies and procedures related to the quality of programs and curricula in the University and across Colleges. This includes, but is not limited to, Interprofessional Education (IPE), admission policies and processes, faculty/student ratio,

[1] Western University of Health Sciences is referred to as WesternU and University in this document.
[2] Colleges refers to the eight colleges of WesternU.

evidence-based practice issues, program reviews and assessment, provision of clinical training, financial aid, commencement exercises, and curriculum reports from all the colleges.

- Admission Requirements: College faculty establish admission requirements.
- Graduation Requirements: College faculty determine when requirements for graduation have been met.
- Program-level curricular decisions, including the approval of individual courses and program requirements: College faculty are responsible for establishing, expanding, and revising curriculum (both classroom and clinical), as well as determining subject matter, methods of instruction, grading/evaluation, research, and those aspects of student life that relate to the educational process. Any differences between College and University standards and policies are approved by the academic senate.
- New Program Development: Proposals for new degree programs require the approval of the sponsoring college faculty who develop such programs, the academic senate, and the Provost.
- Teaching assignments of individual faculty members: Teaching assignments are made jointly by individual faculty and College administration through yearly faculty workload agreements, which become part of the faculty contract.
- University Program Review and Accreditation: University program reviews and accreditation reports are reviewed by the academic senate and the Provost. The academic senate can make recommendations to the programs reviewed, to the Provost, or both.
- Intellectual property including course-related copyright: Faculty work with the administration to develop institutional policies for intellectual property through transparent and accountable processes.
- Research: Individual: Faculty have predominant authority to pursue their research interests as is expected under principles of academic freedom.
- Research: Support of Faculty: The administration and faculty work together on research-related matters that require faculty participation, both to establish policies related to research such as laboratory space allocation, salary recovery, indirect cost recovery, internal research funding, and animal care, and in the alteration of research space, budgets, and other research commitments under those policies
- Research: Institutional Matters: In institutional strategic planning, setting institutional goals, and establishing priorities for the University research enterprise, the faculty participate as they do in University-wide strategic planning generally. Faculty serve on study committees and receive drafts of documents; final plans are reviewed by the academic senate. For allocation of resources for research, faculty participate as they do in Institutional academic budgetary planning. At the college level, faculty participate similarly. The administration retains primary authority in approval of external funding requests including commitments of research space and equipment.
- Research: Regulatory Compliance/Affairs: The administration retains authority for regulatory compliance.

2. Personnel matters:

- Tenure-track and full-time non-tenure-track faculty: Searches, evaluation for reappointment prior to the tenure decision, setting standards for promotion and tenure, and non-renewal of contract are matters of joint authority. In the review of faculty for promotion at the Department or College level, the faculty voice is primary. For promotion and tenure recommendations by the Dean and decisions by the Provost, and when required by University policy, the president and the Board of Trustees, administrative authority is primary.
- Part-time faculty: Searches, reappointment, and evaluation for part-time faculty members (such as adjunct faculty), and courtesy appointments of University-level administrators as adjunct faculty are reviewed by the College promotion and tenure committee or similar committee for new appointments and approved by the College Dean.
- Faculty grievance: The faculty role in grievance procedures is defined in the *Grievance Procedures* section of this Handbook.
- Faculty salary policies: Faculty advise College and University offices to assure salary equity with current data from peer institutions stratified by academic/professional rank and disciplines.

3. Administrative matters:

- Allocation of faculty positions to Departments or programs: Faculty determine the need to deliver program content and work with the administration to apportion appropriate budgets to meet this need.
- Institutional policies concerning online learning: Faculty work with the administration to establish institutional policies regarding non-program-level online learning, including continuing education.
- Decisions about support services including HR, IT, Facilities and Buildings (e.g., demolitions, new construction, renovations): Faculty provide advice and information relative to institutional support service decisions that affect their academic roles, duties, and responsibilities.
- Institutional academic budgetary planning: Faculty influence budget actions that affect the faculty's academic roles, duties, and responsibilities. Faculty are included on University-level committees charged with review and recommendation regarding budgets, capital programs, and facilities.
- Administrative Evaluations (President, Vice Presidents, Deans, Chairs and Directors): Faculty participate in the evaluation of administrators' performance in consonance with the administrative scope of the position (for example, the Department faculty for a Department Chair, the University faculty for a Vice President) and receive a summary of outcomes including a statement of actions taken as a result of the review.
- Institutional strategic and capital programs planning: In the setting of University strategic plans, annual budgets, and facilities and capital programs, mutual decision making is achieved through frequent communication during the development phase. Faculty do not formally approve the documents, but they are consulted and heard throughout the development process. Communication and explanation constitute integral parts of the

process. College and sub-unit plans are developed with faculty following the customary procedures in the various Colleges. Faculty participate in the development of the University-wide strategic plan through faculty membership on study committees, the publication of drafts inviting comment, and ultimate recommendation of the plan by the academic senate.

- Selection of University-level administrators (president, vice president, Provost, and Deans): Administrators are selected for appointment according to University procedures that include national searches. Faculty participate in administrative searches as committee members. National searches for these positions are recommended.
- Selection of College-level administrators (e.g., Vice Deans, Associate Deans, Department Chairs or Heads, Directors): These administrators are selected for appointment according to the procedures of each College but must include direct involvement of College faculty.
- Selection of interim University-level administrators: For interim University-level administrators, the Academic Senate provides its opinion to the president or Board of Trustees, as appropriate.
- Selection of interim Department Chairs or Heads: For interim Chairs, the Department faculty provide their opinion to the Dean.
- Institutional non-academic budgetary planning: In the event of an unexpected, significant change to budgeted expenditures, immediate capital plans, or facilities support, the most cognizant senior administrative officer meets with the academic senate to explain the circumstances, answer questions, and receive comments, whenever practicable, before final decisions are made.

B. Definition of Faculty

All persons who have been appointed as regular, auxiliary, or emeritus faculty on a full or part-time basis, with or without compensation, are members of the faculty. Administrators whose functions are in part academic may be appointed to the Faculty by the Provost and the appropriate Dean.

C. Principles of Academic Freedom

WesternU adheres to the American Association of University Professors' statement on Freedom and Responsibility (1940, 1970 and 1990). These statements and the First Amendment to the Constitution of the United States define the parameters of academic freedom in the WesternU community and are summarized below.

1. The faculty member is entitled to full freedom in research and in the publication of the results subject to performance of his/her other academic duties, but research for pecuniary return should be based upon University policy.

2. Faculty are entitled to freedom in the classroom in discussing their subjects, relevant to the curriculum, and must exercise professional judgment in selecting the material they wish to use.

3. The WesternU faculty member is a member of a learned profession and an academic member of an educational institution. When the faculty member speaks or writes as an individual, he/she is free from institutional censorship or discipline and must avoid identification of WesternU with his/her words or acts as an individual. As a person of learning, the faculty member must remember that the public may judge the profession and WesternU by his/her utterances. Hence, he/she should at all times endeavor to be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should avoid indication that they are speaking for the institution unless he/she has been so designated.

Academic freedom applies to the activities of the academic community – students, faculty, administrators, trustees, and invited guests of the institution – that are closely related to or impact upon the educational, scholarly, and research purposes of WesternU. Academic freedom is not applicable to every activity, and without accountability it can be barren and unproductive. Faculty responsibilities extend beyond the classroom to include extracurricular associations with students and other professional activities. Members of each respective health care and scientific profession should have a strong sense of the special obligations that attach to their calling. They should recognize their responsibility to serve others and not be limited to pursuit of self-interest. This general aspiration cannot be achieved by edict – moral integrity and dedication to the welfare of others cannot be legislated. Nevertheless, a public statement of good practices concerning ethical and professional responsibility can enlighten newcomers and remind experienced faculty about the basic ethical and professional tenets of their profession.

D. Principles of Professional Conduct

All WesternU faculty are expected to uphold the highest standards for professional conduct and ethical behavior. Faculty are expected to treat everyone in the work environment, including colleagues, learners, clinical and research team members, staff, patients and visitors with courtesy, respect and dignity. Faculty are responsible for cultivating a respectful and inclusive work environment, for modeling professional conduct, and for responding to unprofessional behavior on the part of others. All faculty are expected to adhere to applicable WesternU policies and procedures.

Unprofessional behavior includes that which is disruptive, intimidating, threatening, violent, inappropriate, illegal or in violation of WesternU policy. To foster a just and safe community, unprofessional behavior will be addressed with interventions aimed at promoting insight, accountability, and appropriate changes in behavior. Unprofessional behavior may result in sanctions, up to and including the initiation of termination proceedings.

Faculty are expected to exhibit professional behavior at all times. Consensual relationships between students, colleagues, and faculty cannot be completely prohibited; however, the

University strongly discourages such activities, for a variety of reasons. First, sexual harassment is a violation of federal law. Additionally, even though a relationship may appear to be consensual, the power difference between faculty and students make it difficult for the student to refuse sexual advances, even though the faculty member may feel that their attitude is reciprocated. Second, such a relationship between a faculty member and the student can cause the faculty member to act more favorably towards a particular student, resulting in an unequal treatment of students in a class. This can occur even if the student is not in a course the faculty member is teaching, as the faculty member can be called on for opinion in disciplinary actions or other types of recommendation. Faculty should not be involved in the evaluation of a student or colleague with whom they have an intimate social relationship. Third, faculty have a position in relation to student that makes them fiduciaries under the law; they are to use their authority to benefit the student, not to benefit themselves. It can be argued that any apparently consensual relationship between a faculty member and student is a violation of trust between that faculty member and that student. Despite these arguments, any such consensual relationships are beyond the ability of the University to completely control; however, the University policy is to protect the student, and therefore relationships between faculty members and student shall not be sanctioned by the University. If there are negative consequences, the faculty involved shall bear personal responsibility for the consequences, and the University will assume no liability for the outcome.

Within the limits set forth above, the faculty member is accountable to his/her colleagues and Dean for his/her performance of these duties.

SECTION II:
FACULTY EMPLOYMENT POLICIES AND PROCEDURES

A. Appointment of the Faculty

Non-Discrimination, Anti-Harassment, and Non-Retaliation and Equal Employment Opportunity

WesternU adheres to the fundamental principles of nondiscrimination and accommodation in all of its practices and academic programs as set forth in applicable federal and state regulations.

1. Faculty Selection Process

The appropriate Dean will appoint a Search Committee which will, whenever possible, be composed of members of the Academic or Clinical discipline to which the new faculty member will be appointed and/or members of appropriate related fields. The Search Committee will consider each applicant according to his/her professional merit and, at all times, adhere to the stated University policy of nondiscrimination. Candidates may be invited to the University for a personal interview. The Search Committee should notify other members of the Faculty and the administration of such visits by the candidates. The candidate should have the opportunity to meet with as many faculty members as possible. Student input may be considered but is not mandatory.

Documentation of each applicant should be kept on file by the Search Committee until after an appointment is made. Hired applicants' files shall be sealed and retained by the Office of Human Resources for the duration of their appointment and will form the basis of the faculty member's personnel file.

2. Recommendation

The Search Committee will recommend the acceptable candidate(s) to the appropriate Department or College administrator as determined by individual Colleges and then to the College Dean. Ultimate approval rests with the Provost.

B. Classification of Appointment

As used in these rules, the term "faculty" shall include persons appointed by the Provost with regular, auxiliary, and emeritus faculty titles on full- or part-time appointments, with or without salary.

1. Regular Faculty: Persons with the titles of Professor, Associate Professor, Assistant Professor, and Instructor who serve on full- or part-time appointments with salary. Regular faculty appointments may be tenure-track or non-tenure track as indicated in the initial employment contract.
    a. Tenure Track: Full-time, contracted faculty positions in which faculty are expected to devote their complete attention and energies in carrying out the full range of their faculty roles in teaching, scholarly activity and service.
    b. Non-tenure Track: There are two types of non-tenure track appointments:
        1. Part-time: Annually contracted appointments made for specific administrative, clinical or teaching responsibilities with less than full-time (40 hours per week) devoted to these faculty duties.
        2. Full-time faculty appointments that are designated a non-tenure track.

2. Auxiliary Faculty: Persons with adjunct titles, clinical titles, or visiting titles. The titles of Adjunct/Visiting/Research/Clinical Professor, Adjunct/Visiting/Research/Clinical Associate Professor, Adjunct/Visiting/Research/ Clinical Assistant Professor, and Adjunct/Visiting/Research/Clinical Instructor shall be used to confer faculty status on individuals who have credentials comparable to regular faculty, who provide significant service to the instructional and/or research programs of the University and who need a faculty title to perform that service. Significant service would include teaching the equivalent of one or more courses, advising students, and serving as a co-investigator on a research project. Such individuals may be either non-University employees or University employees compensated from a non-instructional budget.
    a. Visiting: Full-time appointments reserved for individuals meeting the qualifications of a regular faculty appointment, but who are usually retained at other educational institutions, and are currently employed by the University on a term contract.
    b. Research Faculty: Full-time appointments reserved for individuals meeting the qualifications of a regular faculty appointment whose primary duties are extensively involved in the conduct of research, with limited involvement in teaching and service functions, and are currently employed by the University on a term contract.
    c. Adjunct Faculty: Short-term (less than one year or less than 10 hours per week) contracted or volunteer faculty appointments reserved for individuals who have a regular faculty appointment at another University or in another College of Western University, or who otherwise serve in the capacity of faculty members as lecturers or course instructors on a part-time or irregular basis or who otherwise do not meet the criteria for a regular, part-time faculty appointment.

d. Clinical Faculty: Volunteer or non-volunteer (compensated from non-instructional budget) faculty appointments for licensed clinicians whose faculty role is to serve as preceptors/clinical supervisors for students participating in clinical education experiences or providing service in hospitals, private clinical practices, or other settings as are appropriate for their profession/specialty.

3. Emeritus: Persons with the title of Associate Professor Emeritus/a or Professor Emeritus/a as granted by the Board of Trustees for faculty who have retired from regular faculty service at age 62 years or greater with at least 10 years full time service at WesternU as a member of the regular faculty and having attained the academic rank of Associate Professor or Professor. Full-time service includes sabbaticals but excludes other leaves of absence in determining emeritus eligibility.

C. Terms of Appointment

The academic year is ordinarily a 12-month period, from July 1 to June 30. The initial contract for full-time faculty members at the rank of Instructor or Assistant Professor ordinarily will be for a period not to exceed one academic year. Subsequent contracts for non-tenured (both non-tenure track and tenure track) regular faculty positions with the University with the rank of Instructor or Assistant Professor will ordinarily be for a period of one academic year. Once promoted to the rank of Associate Professor at WesternU, a nontenure track faculty member will be granted a contract of up to three academic years. Once promoted to the rank of full Professor at WesternU, non-tenure track faculty members will be granted a contract of up to five academic years. The Dean and Provost make final the final determination regarding the contract term.

If the non-tenure track faculty member is hired at the rank of Associate or full Professor, the Dean, with the approval of the Provost, may grant him/her an initial contract of up to three academic years, or up to five academic years, respectively. Subsequent contracts for non-tenure track faculty who are promoted or hired at the Associate or full Professor rank will be for periods of up to three or five academic years, respectively as determined by the Dean and the Provost.

If a faculty member is hired on tenure track at the rank of Associate or full Professor, he/she will receive yearly renewable contracts subject to the results of the annual review, which may include an interim review, of the faculty member's progress toward tenure, until tenure is awarded, as described under Institutional Promotion and Tenure Policy (Section II, Part M).

For regular faculty with less than one year of service, notice of non-renewal must be made in writing to the faculty member by March 1 of the contract year. For a regular faculty member employed under a one-year contract with greater than one year but less than three years of service, the notice of non-renewal must be made by December 1 of the contract year. For regular faculty members employed on a one-year contract who have completed three years

of service, the notice of non-renewal will be in the form of a one-year terminal contract, with notice being given not later than the end of the term of the contract. For a regular faculty member with a multi-year contract, the notice of non-renewal will be given not less than one-year prior to the end of the term of the contract.

If a regular faculty member holds appointments in more than one College, any notice of non-renewal will be given by the Dean of the "Home College," and shall be effective to serve as notice of non-renewal of the faculty member's contract in each College in which the faculty member holds an appointment.

The above provisions are intended to apply to full-time regular faculty members, as opposed to part-time and auxiliary faculty members. Further, the University specifically reserves the right to hire faculty on such other terms as the University may deem appropriate at certain times. If the written employment contract differs from the provisions of the Faculty Handbook, the faculty member will be required to sign a statement indicating that he/she understands these differences.

D. Compensation and Benefits

1. Salary Adjustment

Each year, as part of the general University budgeting process, every regular faculty member may be considered for an annual salary adjustment. Salaries must be commensurate with faculty rank, responsibilities, and performance record. When salary inequities exist, salary adjustments may be made by the appropriate Dean in consultation with the other administrative officers. Recommendations for a change in faculty salary shall be based on parity considerations, a change in duties or responsibilities, and/or merit. Salary adjustments based on parity or changes in responsibilities may be recommended by the appropriate Dean. Merit salary increases shall be based on a faculty member's record of performance in teaching, scholarly activities, and professional service (as documented by the faculty member's annual performance evaluation and other information) and shall be made by the appropriate Dean in consultation with other administrative officers.

2. Fringe Benefits

Fringe benefits for full time faculty include but are not limited to health care coverage, retirement benefits, life insurance coverage, and a tuition remission program. Further information related to available benefits can be obtained from the Human Resources Office/Employee Handbook. In consideration of ongoing changes in applicable federal and governmental regulations and the needs of the University to retain necessary operational flexibility in the administration of policies and procedures, the University reserves the right to change or revise policies, procedures, and benefits without notice, whenever the University determines that such action is warranted.

3. Professional Development

Each full-time faculty member is allowed a minimum of $2,500.00 toward the expenses of attendance at scientific meetings or conferences, or other professional development activities or expenses that will improve his/her effectiveness as an educator or scholar at WesternU. Preference for full funding will be given to those presenting papers. Attendance at such meetings does not count as vacation time. Approval of the appropriate Dean is required for these expenses.

E. Vacation

All full-time regular faculty receive 26 working days of vacation time per year with pay. The appropriate Dean or supervisor must approve the time period allotted for vacation time. Attendance at professional meetings or assignments as approved by the Dean or supervisor will not be included as vacation time.

The regular faculty are entitled to all of the holidays included in the academic calendar. A holiday occurring during a faculty member's vacation period shall not be considered a vacation day. A faculty member is entitled to earned vacation time at the termination of service. - See Section III, Parts E and H. for specific coverage.

Cap—Faculty members are subject to a maximum of 48 vacation days. When that point is reached, vacation accrual ceases until the faculty member takes time off to reduce accrued vacation to below the cap. At that time, additional accrual will be allowed, but only up to the cap of 48 days.

For additional information, please see the Employee Handbook.

F. Sick Leave

All full-time regular faculty of the University shall be eligible to receive and accumulate sick leave with pay. Full-time regular faculty shall accumulate sick time with pay at the rate of one day for every employment month or fraction thereof. Part-time regular faculty who work at least half-time earn a prorated amount of sick time based on their regularly scheduled number of hours worked. Part-time faculty working less than one-half time shall not be eligible to receive sick time with pay. Sick leave benefits may be integrated with State Disability benefits if provided by the state of residence.

Sick Leave may be accumulated to a maximum of 30 work days with less than five years of employment and up to 60 days maximum with five years or more employment.

The faculty member may use sick leave when he/she is ill or injured or for caring for family members. Family members are generally defined as spouse, domestic partner, parent (biological, foster, adoptive, stepparent or legal guardian) or child (biological, foster, adopted, stepchild, legal ward or child being raised by the faculty member). Please refer to the definition of "Family Members" in the University's Sick Time policy.

A faculty member may be excused for up to three days, with pay, to attend a funeral in the case of a death in the immediate family.

In the event of death or serious illness requiring greater than three days' leave, the faculty member shall have the option to use sick time and/or vacation time.

Faculty members who are absent from work due to their own illness or that of a family member for 5 consecutive days or more must contact the Office of Human Resources to find out if they qualify for a medical leave.

The faculty member is required to notify the appropriate Dean (or designee) as soon as possible if ill or unable to work for any reason. A doctor's note may be required to return to work. Failure to report and/or keep the appropriate Dean (or designee) advised may be the basis for disciplinary action including suspension or dismissal.

Accumulated sick leave is not paid upon termination of employment.

G. Leave of Absence

Please refer to the Employee Handbook for further information regarding the following leaves of absences:

- Bereavement Leave
- Military Leave
- Family and Medical Leave Policies

1. Jury Duty - A faculty member who is served notice of jury duty will perform such jury duty without loss of pay or status **(maximum of 10 days).** Such time spent on jury duty shall be considered as time worked in computing seniority, eligibility for salary increase, and experience with the institution. The faculty member will, in conjunction with the appropriate Dean, make arrangements for his/her responsibilities to be met. The appropriate Dean may request proof of call to jury duty. If possible, faculty members are encouraged to request a delay of jury duty to a time when their teaching schedules would better permit such service.

2. Leave of Absence Without Pay – A full time regular faculty member, upon written application to and upon written approval by the Provost, may be granted a continuous leave of absence without pay for a period of time not to exceed one year. The Provost,

at his/her discretion, may require the written approval of the appropriate Dean before accepting the application of a faculty member for a leave of absence without pay. The Provost shall determine if the purpose for which such a leave is requested is proper and within sound administrative policy.

This leave is not to be used as a substitute for, in lieu of, or otherwise based upon other applicable leaves available to the faculty member under current University policies such as bereavement leave, military leave, or appropriate state or federal protected leaves (i.e., Family Medical Leave Act, Americans with Disabilities Act, etc.). The faculty member should consult with the Office of Human Resources regarding these leaves before applying for a leave of absence without pay.

At the expiration of the leave of absence without pay, the employee shall be reinstated without loss of any rights unless the position is no longer available due to a reduction in staffing caused by a curtailment of funds or a reduced workload. Tenured faculty and those on a multi-year contract where the term of the contract extends beyond the expiration of the leave of absence without pay must be rehired if the position is still intact.

Arrangements for continued insurance coverage, at the faculty member's expense, may be made with Human Resources. Failure of the faculty member to report promptly at the expiration date of a leave of absence without pay, except for satisfactory reasons submitted at least 30 days in advance to the Provost, shall be cause for termination of employment by the University.

3. Scholarly Leave/Sabbatical Leave - A regular faculty member becomes eligible for a scholarly leave of absence after six years of full-time employment. Scholarly leaves of absence are an investment in a faculty member's professional growth leading to an increased capacity for quality teaching, scholarship or service to the University. Scholarly leaves may also be provided in appropriate circumstances for projects of direct benefit to the institution and for public or private service outside the institution. While eligibility for a sabbatical/scholarly leave occurs every six years for full-time regular faculty, the award of a sabbatical/scholarly leave is based upon the merits of the activities proposed to be accomplished during that leave, its importance to the development of the faculty member, and to advancing the mission of the faculty member's College and the University. Years of service beyond the six-year requirement cannot be counted toward qualification for subsequent sabbaticals.

A faculty member should apply for leave by October 1st of the year prior to the academic year in which the leave is requested so that arrangements can be made to cover his/her responsibilities and assignments. Application for a scholarly leave will be made in writing to the appropriate Dean as well as the Promotion and Tenure Committee of the College,

or an ad hoc faculty committee assembled for this purpose. The application should include an explanation of the scholarly pursuit and evidence of its value to the institution, as well as a discussion of the results of any previous sabbatical leave granted to the applicant. Upon satisfactory review by the appropriate College Committee and the Dean, the Dean will forward a recommendation to the Provost, who will in turn submit the application to the President for final approval. Following approval, a contract covering the scholarly leave will be issued to the faculty member specifying date of leave, date of return, salary during that period, and how that faculty member will share their new information with the faculty. In the event that sabbatical leave cannot be granted for the period of time requested by the faculty member, it is expected that a new timeline will be proposed, no later than two years after the original request. If the subject/goals of the sabbatical change, the request needs to be resubmitted.

Faculty members who are granted scholarly/sabbatical leave are expected to return and work for at least a one-year service. Upon return from the scholarly leave of absence, the recipient of a sabbatical leave must present a 500-1000 word summary of the outcomes of the sabbatical along with any supporting documentation (e.g., articles produced and published) to their Dean, and/or agree with the Dean on any other dissemination activities to be undertaken. The faculty member also has the obligation to share the results of that leave with the University community. The manner and extent of this obligation shall be determined by the VP for Research and Biotechnology or Provost as appropriate and communicated to the faculty member as part of the approval of the scholarly/sabbatical leave.

The University retains the right to grant scholarly/sabbatical leaves to administrators possessing regular faculty rights when it deems this important to advance the development of that academic administrator with faculty credentials, or to help them transition back into a regular faculty member. Priority is given to regular faculty members, and these administrators are not in competition with them for sabbatical leave.

The University will pay the faculty member on scholarly leave 100% of the faculty member’s salary for a six month leave or 50% of the faculty member’s salary for a one year leave.

When the faculty member is on scholarly leave with partial or full pay, the University will continue to accord him/her full fringe benefits. In case of a six month leave that is extended to one year, the faculty member will not receive any additional pay, but will continue to receive full fringe benefits, provided the faculty member continues to contribute toward medical and dental premiums.

H. Resignation

If a member of the faculty wishes to terminate an existing appointment, or to decline renewal, notice should be given in writing at the earliest possible time. It is customary to provide written notice to the Dean or Supervisor at least 90 days prior to leaving.

I. Retirement

Faculty members of the University may voluntarily retire at any age. Age is not a reason for termination or non-renewal of employment or mandatory retirement. Emeritus status may be granted upon retirement (see Appendix III).

J. Dismissal

1. Adequate cause for dismissal

The following are considered adequate causes for dismissal of a regular faculty member before the end of his/her contract or after tenure.

a. Demonstrated incompetence or lack of integrity in the performance of professional duties or substantial and recurring neglect of duties.
b. Personal conduct that substantially impairs the individual's fulfillment of institutional responsibilities.
c. Financial exigency including abandonment of a program, Department of instruction, or position of appointment. In such a case, the position will not be filled for a period of three years unless the released faculty member has been offered reappointment and given a reasonable time to accept or decline it. The faculty member will be re-hired at least the same rank and salary as when released.

2. Dismissal Procedures

The following procedure should be followed if a regular faculty member is to be dismissed prior to the end of his/her contract or after being granted tenure. A decision to not renew a contract at the end of its term shall not be considered a "dismissal".

For those individuals with tenure, the Dean will provide the Promotion and Tenure Committee with a statement setting forth the substantial evidence that supports the possible dismissal of the faculty member. The Promotion and Tenure Committee shall review the evidence presented and, within 30 days, provide the Dean with its evaluation and/or recommendation as to whether the evidence presented supports dismissal of the faculty. Submission to the Promotion and Tenure Committee is not required for faculty members who do not hold tenure.

The Dean will inform the individual, in writing, of his/her possible dismissal and of the cause for dismissal. Substantial evidence of adequate cause (see above) must also be presented in writing. The final dismissal decision will be rendered by the Dean.

A faculty member may exercise his/her right to file a grievance following a dismissal decision as outlined in the "Grievance Procedure" in Appendix II. If the faculty member decides to file a grievance, the formal grievance procedure should skip Step One (Dean Review) and start with Step Two (Grievance Committee Review), to allow the faculty member to initiate and complete the grievance process within the 120 day period.

For non-tenured regular faculty, in the event of faculty termination prior to the end of a contract period, the faculty member will normally be provided no less than 120 days to clear out assigned university space. Additionally, email use will normally continue during this 120 day period. WesternU retains the right to deviate from this practice as appropriate for safety reasons or for its orderly operation.

K. Personnel File

1. The official personnel files for the University are maintained in the Human Resources Department.

   Employee personnel records are considered confidential and access to such records is restricted. Copies of documents are provided to the faculty member upon request.

   The University maintains files of current and former employees consistent with its own needs and in order to comply with legal requirements. Access to such files is limited to the individual employee and to members of management with a legitimate need for such information.

   The College Dean or Office of Academic Affairs may retain other files and records.

2. Faculty members have a responsibility to keep their personnel records up-to-date and are to notify the Human Resources Department in writing of any changes in the following:
   a. Name
   b. Address
   c. Telephone number
   d. Marital status (for benefits and tax withholding purposes only)
   e. Number of dependents (for insurance purposes)
   f. Beneficiary designations for any benefit plan
   g. Persons to be notified in case of emergency
   h. Any additional relevant information

3. Faculty members wishing to review their personnel files may do so by submitting a Personnel File Inspection Request form. An appointment will be made during normal working hours. Files will be reviewed in the Human Resources Department. Human Resources may choose to have a representative present during the review of the file.

   A faculty member may take notes related to documents in the personnel file and/or request copies of document in the file (copy charges may apply), and/or use a personal device to obtain digital copies of the documents (e.g. a mobile phone); however, no alteration of records is permitted, nor can a document be added to or removed from the file at the time of the employee's review.

4. Information about current or former employees is given to persons outside the University only with the written authorization of the employee, except when the information is legally required and requested by proper legal authorities.

L. Institutional Faculty Workload Policy

1. Introduction

   Faculty workload should reflect the purposes of the institution and the talents of faculty, including sufficient time for professional development and renewal. Faculty workload combines teaching, scholarship and service. This unity of components is meant to represent the seamless garment of academic life, and it defines the typical scholarly performance and career. All these are vital components to the work of faculty and ideally reinforce each other to the benefit of the students and institution (AAUP, 2006)

2. Principles

   The administration of Western University of Health Sciences acknowledges faculty time and talent as its most important resources. It will therefore strive to ensure that an environment exists that facilitates quality work, preserves academic freedom, is sensitive to the changing needs of individuals, fosters teamwork, and commits to the continuous development of faculty talent. The workload for each faculty member is negotiated, as appropriate for the academic unit, with the Department Chair, Dean or Unit Head at the time of hire. The letter of offer may contain the specific workload percentages for teaching, research/scholarship, University service, and clinical service as negotiated for the individual. Workload percentages may be subsequently renegotiated on an annual basis, but all workload percentages must be contained in the faculty member's annual contract. Every regular faculty will be directly involved in annual workload planning with the responsible supervisor.

It is assumed that each budgetary unit has a clear and well understood concept of a full workload (i.e., full-time work) for each of the positions in its budget. It is understood that assignments of duties and responsibilities in addition to the full load (i.e., overload assignments) are sometimes necessary in order to meet unforeseen contingencies, provide flexibility, meet student demand, and permit the completion of research projects, for example. Overload assignments should be renegotiated (distribution of efforts) if they occur for one semester or more. Overload assignments should not be used when it would be more appropriate to create a new position.

In assigning teaching load, several factors should be considered, such as nature of the discipline, mode and level of instruction, class size, development of new courses or lectures, evaluation procedures (grading/examinations), coordination of course/system/modules, off-campus teaching and supervision and student advisement/counseling. Teaching assignments must also take into consideration available support services and time engaged in all other assignments.

Scholarship includes research, publications and other endeavors that are peer-reviewed and non-peer reviewed and which lead to significant advances in new information and knowledge. These endeavors may be conducted in many different environments, including the research laboratory, the classroom, and the patient care setting. Special emphasis is placed upon publication of the results of faculty scholarship in the accepted literature of the field. All regular faculty members are expected to participate in scholarly activities consistent with their career goals. Scholarship workload must take into consideration the amount of time designated to the faculty for such activity as well as institutional resources, including intramural funds, technical assistance, supplies and laboratory space.

In conjunction with teaching and scholarship, faculty participation in service activities within and outside the University constitute a core responsibility. Service to community groups, and to local, state, national, and international governmental or non-governmental groups not only provides these organizations with faculty expertise but also helps to fulfill the University's mission of service. Faculty service on appropriate unit and University committees and participation in administrative tasks are essential to the effective functioning of the University, as is the mentoring of junior faculty colleagues. Leadership of professional organizations and participation in other professional activities such as reviewing works submitted to professional journals or conferences are also important to the mission of the University, as well as to the advancement of one's profession or discipline.

3. Procedures

Each College shall, in consultation with its regular faculty, develop and implement faculty workload guidelines consistent with the University’s mission, philosophy, and the strategic

plan. Each faculty workload guideline will be based upon the previously described University policy. Such a guideline shall serve as the basis of agreement between faculty members and their respective Dean, Chairperson, or Unit Head. Each faculty member's duties, objectives, and assignments for the academic year will be defined within the scope of the University's faculty workload policy. The time devoted to teaching, professional development, research, scholarly activity, University service and clinical service will be determined jointly by the appropriate Dean, Chairperson, or Unit Head in consultation with the faculty member. Faculty members may petition the appropriate Dean, within the guidelines of the University faculty workload policy, for release-time from other academic duties to devote more time to research or other academic pursuits. Similarly, appropriate release-time may be allocated to faculty members who require additional time to prepare and participate in other teaching programs, to engage in patient care activities and/or to participate in continuing education programs. Each Dean must determine the appropriateness of individual requests relative to the reapportioned workload that would be placed on other faculty members and the obligations of the program.

A faculty member may accept outside employment that is not detrimental to his/her professional status or the performance of his/her professional responsibilities at the University. This right is accompanied by the obligation that such outside employment not be allowed to interfere with his/her obligations to the University. The designation of "exempt" already makes the determination that the faculty decides what they must do to fulfill a 100% faculty appointment. The University must be the main concern of their workload. Beyond this, refer to individual faculty contracts for more specific obligations.

A faculty member may accept short-term lectureships in his/her area of expertise on or off campus. The request to be a guest lecturer must be made in advance to the appropriate supervisor. Because the University recognizes the importance of continuing scholarly activities, a faculty member has the right to participate in projects at other institutions. The appropriate Dean must approve the time spent away from the campus for such activities. These activities must not interfere with the academic program of the institution.

All full-time, on-campus faculty members are responsible for informing the appropriate Dean and/or designee when they will be away from campus for significant periods of time during the academic day.

M. Institutional Promotion and Tenure Policy

1. Introduction

   This document sets forth the core standards, criteria and procedural guidelines to be used at WesternU for: 1) the appointment of new faculty to the non-tenure/tenure tracks or appointment with tenure, 2) interim and final reviews toward the recommendation of faculty for promotion and/or tenure, and 3) post-tenure/post-promotion review of

faculty. Each of the Colleges will determine the specific criteria and procedural guidelines that shall conform to the core standards contained herein and shall be conducted in accordance with the policies of WesternU. In the case that any provision of the College criteria and procedures contradict those contained herein, these standards will prevail.

2. Scope

This pertains to Faculty hired after July 1, 2018. Faculty members hired prior to July 1, 2018 may elect to undergo the review process as stated below, or refer to Appendix IV.

3. Description of Professional Development

a. Faculty Appointments

I. Tenure Track

Tenure-Track full time regular voting faculty members at WesternU shall follow a professional development program which leads to the attainment of a continuous appointment, or tenure. Tenure with all its attendant privileges represents the most significant commitment the University can make to a faculty member; hence, the criteria for tenure consideration include high standards for scholarly, teaching and service activities. Service encompasses clinical, administrative, professional, College and WesternU service. Criteria and procedural guidelines for promotion and/or tenure of tenure track faculty are detailed in each individual College's guidelines. In addition to fulfilling the expectations noted above, all appointees are expected to demonstrate professionalism as defined below.

II. Non-tenure Track

a) Regular voting faculty members at WesternU will follow a professional development program that is evaluated on a predetermined schedule for promotion and continual review, but does not lead to tenure. Additionally, as a means of assuring continual growth and development, performance of non-tenure track faculty will be evaluated on a yearly basis via the annual faculty evaluation and development process. In addition to fulfilling the expectations noted above, all appointees are expected to demonstrate professionalism as defined below.

b) Auxiliary faculty will follow a program for professional development with no restrictive time frame. In addition to fulfilling the expectations noted above, all appointees are expected to demonstrate professionalism as defined below.

b. Initial Appointment

At the time of the initial appointment, all negotiations will be made regarding the College of primary appointment, initial rank/track, credit for time in rank at other institutions, time remaining until eligibility for the next step in promotion/tenure, and tenure status. Consideration will be given to the faculty member's prior academic rank and tenure status, level of prior achievements, and promise of future achievements. All consideration of prior academic rank and experience toward promotion/tenure and rank and appointment must be included in the initial letter of appointment.

c. Transfer Between Non-tenure track and Tenure Track Appointments

A faculty member who wishes to transfer from a tenure track to a non-tenure track appointment or from a non-tenure to a tenure track appointment may submit such a request in writing to the Promotion & Tenure Committee (P&T) in his/her College. The College P&T will then make a recommendation to the Dean. A decision will be made within 3 months of submitting the request, and will be communicated by the Dean to the Provost, faculty member and the P&T Committee in writing. A maximum of two years obtained under the non-tenure track option may be applied to the tenure track probationary period.

The request to apply years served on the non-tenure track to the probationary period for tenure must be made along with the request to transfer to the tenure track. Otherwise, the probationary period for tenure consideration will begin with the date of the new appointment. A faculty member may request to transfer from one track to another only one time during his/her WesternU employment. Final approval of the aforementioned requests will be made by the Provost.

4. Definition of Ranks

a. Instructor

The rank of Instructor should be used for a salaried faculty member who contributes to the teaching mission of the College.

b. Assistant Professor

For appointment to the rank of Assistant Professor, the faculty member shall hold a doctoral degree, a professional degree, or equivalent degree in his or her discipline and show promise in the areas of teaching, scholarship and service (including clinical, administrative, professional, College and WesternU service, where applicable).

c. Associate Professor

For promotion or appointment to the rank of Associate Professor with or without tenure, the faculty member will be evaluated in teaching, scholarship and service. To receive the rank of Associate Professor-with tenure, the faculty member must have

satisfied the criteria for the rank of Assistant Professor, document a sustained record of accomplishment in all areas, and demonstrate excellence in teaching and scholarship with quality participation in service appropriate to rank. If tenure is to be granted at the time of appointment, the College P&T committee must review the appointment dossier and provide a written recommendation to the Dean and Provost. To receive the rank of Associate Professor without tenure, the faculty member must have satisfied the criteria for the rank of Assistant Professor, document sustained record of accomplishment in all areas, and demonstrate excellence in teaching with high standards in either scholarship and/or service.

d. Professor

For promotion or appointment to the rank of Professor with or without tenure, the faculty member will be evaluated in teaching, scholarship and service. Expectations for service at this rank are higher than those of the Associate rank. Demonstrated professional leadership is an expectation for promotion to the rank of Professor. To receive the rank of Professor-with tenure, the faculty member must have satisfied the criteria for the rank of Associate Professor, document a sustained record of accomplishment in each area, demonstrate excellence in teaching and scholarship, with high standards in service and demonstrated leadership in his/her field. If tenure is to be granted at the time of appointment, the College P&T committee must review the appointment dossier and provide a written recommendation to the Dean and Provost. To receive the rank of Professor without tenure, the faculty member must meet the criteria for the rank of Associate Professor, document a sustained record of accomplishment in all areas, and demonstrate excellence in teaching and either scholarship or service, with high standards in the remaining categories including demonstrated leadership in his/her field.

5. Policies, Criteria, and Procedural Guidelines for Promotion, Interim Reviews, and Continual Review

Promotion is based on merit and is earned by achievement as evidenced by the faculty member's total contribution to the overall mission of the individual College and University. Tenure is granted based upon the expectation of sustained excellence and productivity. Promotion and tenure are ordinarily considered together. Under extraordinary circumstances, the Provost may treat them as separate issues, and in cases where promotion alone is awarded to a faculty member, the promise of eventual tenure is not implied by the promotion. The performance record of a faculty member being considered for promotion and/or tenure will be evaluated in the following areas: teaching, scholarship and service (including clinical, administrative, professional, College and WesternU service, where applicable). Individuals must simultaneously obtain or hold the academic rank of Associate Professor or higher to be awarded tenure. The awarding of tenure considers past academic contributions in all areas, professional achievements and evidence of a continued upward trajectory of professional development.

Achievements since hire at WesternU will carry more weight than those activities achieved prior to hire.

Individual faculty members may contribute in some areas more than others. Therefore, in evaluating the candidate's qualifications for promotion and/or tenure, reasonable flexibility shall be exercised at both the College and University levels.

a. Policies and Timeline for Promotion and/or Tenure

Applications for promotion and/or tenure must be submitted by a deadline established by the College P&T committee.

Time in rank. To apply for promotion from Assistant Professor to Associate Professor, the individual must have completed five years of service at the rank of Assistant Professor, unless credit was granted at the time of the initial appointment. Promotion would ordinarily occur at the end of the sixth year of service.

The probationary period for tenure track faculty hires is ordinarily 6 years. Tenure review occurs once an individual has completed five years of service at the rank of either Assistant or Associate Professor. Exceptions include credit granted in the letter of initial appointment, or if there has been an extension recommended by the College P&T committee and approved by the Dean and Provost. In these cases, the timing of the expected final review for tenure will be contained in the letter of appointment or document granting the extension.

Credit toward promotion/tenure based on prior service at other institutions is to be negotiated with the Dean at the time of initial appointment and must be included in the letter of appointment as noted above.

b. Policies for Exclusion of Time during the Probationary Period

All requests for exclusion of time during the probationary period must be made in writing to the College Dean and the Provost. Other documentation may be required by the WesternU Office of Human Resources, as described in the Employee Handbook. It is the obligation of the faculty member to be aware of and comply with those requirements, in addition to any additional requirement specified herein.

Expectations for productivity cannot be increased as a consequence of exclusion time granted under the terms of this section. A request to exclude time for any reason will not be granted after a non-renewal notice has been issued, nor will previously approved requests to exclude time from the promotion schedule in any way limit the University's right not to renew an employment contract.

Policies related to the Tenure Clock and Faculty Leave:

- Sick Leave/Emergency Leave – Tenure clock stops until return.
- Military Leave – Tenure clock stops until return.
- Leave of Absence without Pay – Tenure clock stops until return.
- Family and Medical Leave – Tenure clock stops until return.
- Scholarly Leave/Sabbatical Leave – This is faculty development and contributes to fulfilling requirements for tenure; Tenure clock continues.
- 100% Administrative Appointment – Tenure clock stops until return to faculty status.
- Less than 100% Administrative Appointment – Tenure clock continues.
- All of the policies related to the tenure clock shall apply to post-tenure review timelines as well.

The faculty member also may be granted an extension of the probationary period as detailed in the respective College guidelines.

c. Procedural Guidelines for Promotion and/or Tenure Review

The "Home College" is designated as the College where the majority appointment is held, based on contractual percent effort in the original letter of appointment. Subsidiary College appointments are those in which a faculty member has an FTE allocation, but which is less than that of the designated "Home College(s) must be included in all formal deliberations, written and verbal, regarding the candidate by the Home College Promotion and Tenure Committee. Subsidiary P&T member(s) will participate in all deliberations and access all materials utilized during that candidate's evaluation. Deans of all WesternU Colleges where a faculty member has an appointment will receive a copy of the P&T recommendation letter written by the Home College P&T Committee.

I. Interim Review

The purpose of the interim review is to help guide the faculty member on their progress towards promotion and/or tenure and provide guidance for continued professional growth and development. The Department Chair/immediate supervisor works with the P&T Committee to initiate the interim review. The faculty member submits an interim review dossier to the P&T committee by a deadline to be established by the College P&T Committee.

The interim review dossier, at a minimum, will consist of:

a) Current curriculum vitae.
b) A personal statement (maximum of 10 pages).
c) Portfolios in the areas of: teaching, scholarship, and service, including clinical, administrative, professional, College and WesternU service (where applicable).

d) Distribution of Effort (as coded by FTE assignment) as contained in all Annual Employment Agreements to date.

Colleges may require additional dossier elements consistent with their established peer review practices. The P&T Committee will evaluate the dossier for completeness. If the dossier is deemed to be incomplete, the P&T Committee will request that the faculty candidate provide further documentation to complete the dossier. Internal and external letters of recommendation will not be required for this interim evaluation process.

The College P&T Committee will provide a written interim review report including recommendations to the faculty member's immediate supervisor, the Dean and the reviewed faculty member. Tenure-track faculty have the right to be informed in writing of any deficits in their performance that would affect their candidacy for tenure. The faculty member's immediate supervisor, the Chair of the P&T Committee and the faculty member will meet jointly to review the written interim review report, by a deadline to be established by the College P&T committee. The interim review report will be added to the faculty member's personnel file.

II. Final Review

The purpose of the Final Review is to determine whether or not a faculty member is to be promoted or awarded tenure and provide guidance for continued professional growth and development. The Department Chair/immediate supervisor works with the P&T Committee to initiate the Final Review. The faculty member submits the final dossier in the format and medium established by WesternU and the home College to the College P&T Committee by a deadline to be established by the College P&T Committee. Following the final review, recommendations of the College P&T Committee are sent to the Provost and copied to the respective College Dean(s) and the candidate. The Dean will conduct a review which will include the candidate's dossier and P&T committee's recommendation letter. The Dean's recommendation will be forwarded to the Provost and copied to the P&T Committee Chair and candidate.

The P&T committee and Dean letters will be submitted to the Provost by March 1 of the year of the expected award. The Provost as Chief Academic Officer will consider the recommendations and make the final decision. If the candidate has met all deadlines, then the review must be completed within the same academic year as submitted. If promotion and/or tenure are awarded, the appointment at the new rank (if applicable) will be effective at the start of the following fiscal year. If tenure is granted, the faculty member will be issued a contract of continuous and indefinite duration subject to termination only for

adequate cause, as stipulated by the Faculty Handbook. If tenure is denied to a faculty member, the faculty member is ordinarily given a one-year terminal contract. If the Provost defers the tenure decision, written documentation to the candidate must specify the date for resubmission, and specific goals and criteria to be fulfilled prior to reconsideration for tenure.

The final review dossier, at a minimum, will consist of:

a) Current curriculum vitae.
b) A personal statement (maximum of 10 pages).
c) Portfolios in the areas of: teaching, scholarship, and service, including clinical, administrative, professional, College and WesternU service (where applicable).
d) Distribution of Effort (as coded by FTE assignment) as contained in all Annual Employment Agreements to date.
e) Four letters from external reviewers.
f) The interim review report.

Colleges may require additional dossier elements consistent with their established peer review practices.

The P&T Committee will evaluate the dossier for completeness. If the dossier is deemed to be incomplete, the P&T Committee will request that the faculty candidate provide further documentation to complete the dossier by a deadline to be established by the College P&T committee.

In addition to the list of external reviewers provided by the faculty candidate, the College P&T Committee must develop a separate list of external peer reviewers. Reviewers providing letters of recommendation must hold a rank that is equal to or higher than the rank that is being sought by the candidate. These reviewers must be capable of rendering an objective opinion regarding the candidate's merit for promotion. A minimum of four external letters of recommendation, with at least two selected from the P&T committee's list, will be required for inclusion in the candidate's dossier. The Chair of the P&T Committee will solicit letters of recommendation.

The Standards for Promotion & Tenure of tenure-track/tenured Faculty from the University and the candidate's College, the candidate's CV and the personal statement will be provided to the external reviewers. The faculty member's interim review report will NOT be included in the dossier accessible by the external reviewers. Each reviewer shall be instructed to base his/her recommendation on documented achievements and the written promotion criteria. These letters will remain confidential among the P&T Committee, the

Dean and the Provost or their designees only, and must not be shared with the candidate or any other faculty member. Committee discussions and deliberations must also remain confidential.

The candidate may provide additional updated information to the Chair of the P&T Committee after the initial submission of his/her dossier prior to its final review evaluation and recommendation. However, the acceptance of the updated information will depend on the review status at the time of submission as defined by and at the discretion of the College P&T Committee.

The P&T Committee will utilize information provided by the candidate in his/her CV, personal statement, and the dossier to assess for continual growth and efforts in improvement. All eligible members of the P&T Committee, except the Chair, are required to vote “in favor” or “not in favor” of the promotion and/or tenure according to their rank status and tenure position, and the vote must be conducted using a secret ballot. The Chair of the P&T Committee will only provide his/her vote should there be a tie in the voting of the committee members. For Colleges lacking three eligible faculty members available to vote on their College P&T committee, the College faculty will nominate and vote for a committee member from outside their College to serve on their College P&T committee.

At the completion of the final review, the College P&T Committee will prepare a written report, including a summary of the votes of the College P&T Committee, the Committee recommendations and a basis for those recommendations. The complete dossier, including the College P&T Committee written report, will be made available to the College Dean by a deadline to be established by the Dean. The Dean will submit his/her written recommendation to the Provost. All materials, including the P&T Committee written report containing the voting results and recommendations, the candidate’s dossier and the Dean’s written recommendation must be submitted to the Provost on or before March 1st for further action to occur.

The Provost’s approval is the final step in the process for promotion and/or tenure. If the promotion and/or tenure is denied, the reasons for the denial must be clearly communicated with the faculty member. If the faculty member feels that the promotion and/or tenure decision was unfairly determined, he/she has the right to an appeal through the Grievance Procedure as outlined in the University Faculty Handbook.

Upon completion of the promotion process and after a final decision has been made, a copy of the candidate's dossier will be archived electronically by the

Provost's office/WesternU. A copy of the Provost letter should be included in the faculty member's personnel file.

d. Definitions Relevant to Promotion and Tenure

I. Teaching

Teaching refers to the broad area of student-faculty interactions for educational purposes including, preceptorship and other practice-related teaching.

II. Scholarship

Scholarship refers to research, publications and other endeavors that are peer-reviewed and non-peer-reviewed and which lead to significant advances in new information and knowledge. These endeavors may be conducted in many different environments, including the research laboratory, the classroom, and the patient care setting. Special emphasis is placed upon publication of the results of faculty scholarship in the accepted literature of the field. All regular faculty members are expected to participate in scholarly activities consistent with their career goals.

III. Service

a) College/University Service

College Service refers to the efforts devoted to service on committees within individual Colleges, whether related to the candidate's primary appointment or service to another College.

University Service refers to efforts devoted to service on a University-wide committee and task force.

b) Clinical/Administrative Service

Clinical Service refers to efforts devoted to patient and/or population care, as well as consultations, and education to health care providers and patients.

Administrative Service refers to efforts devoted to the College or University in a capacity that impacts the governance of the College or University and is part of the job title and contract. Administrative positions would include Regional Coordinators, Directors, Department Chairs, Assistant/Associate Deans and/or any new position deemed "administrative" by the Dean.

c) Professional Service

Professional Service refers to the work that a faculty member performs on behalf of his/her scientific discipline, including but not limited to peer

review and leadership in professional organizations, and other applicable activity for the College, WesternU, non-WesternU institutions, and the public community.

IV. Professionalism

Professionalism refers to exemplary behavior relating to the performance of a faculty member's academic and clinical duties. The faculty member must conduct him/herself with appropriate discretion, adherence to applicable laws, WesternU policy and procedure, and responsibility for student and patient wellbeing in a manner consistent with accepted health professions and academic standards and norms. Faculty are expected to exhibit professionalism when interacting directly or indirectly with fellow faculty, as well as exhibiting ethical conduct in all scholarly endeavors.

Colleagues are those explicitly united in a common purpose and respecting each other's abilities to work toward that purpose. Professionalism connotes respect for one another's commitment to the common purpose and goals of WesternU, the College and the Department and ability to work toward it in a non-belligerent manner. Collegial professionalism generally includes, but is not limited to the following behaviors:

a) Collaborates with others
b) Fosters teamwork
c) Promotes rapport among colleagues

e. Procedural Guidelines for Post-Tenure Review

I. The primary goal of the post-tenure review process is to support professional renewal. Achieving tenure is the rigorous process by which the academic community acknowledges that a faculty member has a sustained record of high productivity in supporting the mission of the College and University.

Tenured faculty will continue to participate in their annual review process. All continuously tenured faculty members hired after July 1, 1998 will undergo automatic post-tenure reviews every six years following the date of initial tenure. Faculty members with joint administrative and faculty positions are required to undergo post-tenure review for the academic portion of their appointment pursuant to tenure clock guidelines. The post-tenure review process should be designed to advance faculty development and growth. Once tenure has been granted, the normal presumption is that it will continue. Guidelines described under "Institutional Tenure Policy Statement" in Appendix IV shall also apply.

For cause, as described in the University Faculty Handbook, the faculty member's Department Supervisor or Dean may initiate a formal post-tenure review prior to the scheduled post-tenure review. The College P &T Committee will meet and evaluate the merits of the request. If the request has merit, the College P&T Committee will initiate a post-tenure review. The clear intention of this review is for the faculty member to regain a position of strength within her or his Department.

II. The post-tenure review process will be initiated in the sixth year and every sixth year following to evaluate performance in the same areas as stated for the awarding of tenure.

a) The faculty member will provide evidence of continued excellence in teaching, scholarship and service and continued professional growth. This evidence shall, at minimum, include current curriculum vitae, a personal statement (maximum of 10 pages), portfolios in the areas of teaching, scholarship, and service (clinical, administrative, professional, College and WesternU service where applicable).

   The evaluation shall be weighted by the College P&T Committee according to the contractual distribution of effort as measured by faculty time equivalent (FTE). The Committee will consider distribution of effort (as codified by FTE) as contained in all Annual Employment Agreements up to the review date, as well as Annual Faculty Evaluations and/or development documents of all years of employment.

b) The faculty member will comply with the stated goals and mission of the College, the program to which he/she is appointed and the University.

c) In the event that the post-tenure review is favorable to the faculty member, a report of such will be forwarded to the Dean, the faculty member and the Provost.

d) In the event that the post-tenure review is not favorable to the faculty member, the College P&T Committee will submit a report to the Dean and the Provost outlining recommendations for actions that the faculty member should take to remediate his/her performance. The College P&T Committee, the Dean, and the Provost will devise a plan of remediation, with a specified time period for completion, in consultation with the faculty member and his/her Supervisor. The remediation process will be directed toward the growth and development of the faculty member.

e) Following the specified time period, the College P&T Committee will evaluate the faculty member's progress toward achieving the goals specified in the remediation plan. If the College P&T Committee finds that remediation has been unsuccessful, it will make recommendations to the Dean and Provost as described under "Institutional Tenure Policy

Statement" in Appendix IV. Final approval of these recommendations resides with the Provost.

SECTION III:
FACULTY PARTICIPATION IN THE GOVERNANCE OF THE UNIVERSITY

A. Academic Assembly

1. Purpose of the Academic Assembly

   The Academic Assembly is a forum for faculty voice and deliberations. It serves to specifically determine positions on issues directly related to faculty status, responsibilities and welfare. In discharging this function, the Academic Assembly has the authority to make studies, reports, and recommendations on all matters that have a significant bearing on the work of the Faculty. The Academic Assembly and/or Academic Senate may meet during the academic year with the President of the University and other appropriate University administrators.

2. Definition of a Voting Member of the Academic Assembly

   A voting member of the Academic Assembly is any faculty member, employed at least 50% of full-time work, and who performs administrative academic duties less than 50% of his/her contractual time. Academic duties include any combination of teaching, research, scholarly activities, clinical responsibilities and/or service. This person would not have the authority to overturn a decision made by faculty, be able to reject a faculty recommendation, or have exclusive and final authority for decisions of hiring, promotion, tenure, or dismissal of faculty. Administrators, such as members of the Board of Trustees, the President, Vice Presidents, and Deans are excluded from voting membership in the Academic Assembly. Associate Deans, Assistant Deans, and Department Chairs or other faculty who assume administrative duties in excess of 50% could be included as voting members upon submission of a request to be approved by the Academic Senate. Approval would remain in effect as long as their position status remains the same as on the date of their request. If the decision of the Academic Senate is negative, the voting request may be appealed to the Academic Assembly (Appendix I, Article III, Section IX).

3. Meetings of the Academic Assembly

   a. All personnel with a faculty appointment have the right to attend Academic Assembly meetings.
   b. When issues requiring a vote are presented at an Academic Assembly meeting, non-voting members may be excused or asked to sit separately to facilitate the conduct of business.

c. Academic Assembly meetings are called and conducted by the Chair of the Academic Senate. If there is no Chair, then the meetings will be conducted by the Vice-Chair or as otherwise determined the Senate. Agenda items may be submitted in advance by any faculty member to the individual initiating the meeting. The Academic Assembly shall meet a minimum of twice per academic year.
d. All Chairpersons (or their designees) of University committees report at least annually at an Academic Assembly meeting.
e. A quorum for meetings of the Academic Assembly is the equivalent of 15% of the voting faculty.

B. Academic Senate

The Academic Senate is a representative committee of the Academic Assembly. In discharging this function, the Academic Senate has the authority to conduct studies, make reports and recommendations on all matters which have a significant bearing on the work of this faculty. The Academic Senate represents a channel of communication between the Academic Assembly and administration of the University.

1. Members and officers of the Academic Senate are elected by the Academic Assembly in accordance with the rules and regulations set forth in the Constitution and By-Laws of the Academic Assembly and the Academic Senate (Appendix I, Articles I and II).

2. The Academic Senate will hold a minimum of eight meetings per academic year on an established monthly schedule, August through May. Special meetings of the Academic Senate may be called at the request of any faculty member. Approved minutes of each meeting are made available to the faculty and all administrative officers of the University. Any faculty member may submit agenda items to the Chair of the Academic Senate for consideration by the Academic Senate.

C. Standing Committees of the Academic Assembly

1. Voting members of the committees should be faculty members who are members of the Academic Assembly.

2. Every voting faculty member is expected to share in the functioning of the University by serving on an appropriate number of University committees. Interested part-time faculty members are encouraged to be non-voting participants in the deliberation of “open” committees of the University (see C.3).

3. No faculty member shall serve on more than four standing committees in any academic year. Ex officio membership on committees is excluded from these stipulations.

4. Each committee should report its activities and the status of projects and assignments during the Academic Assembly meeting when appropriate.

5. All committee meetings are open to all faculty members except the Institutional Animal Care and Use Committee, the Institutional Review Board for the Protection of Human Subjects, and the Grievance Committee. The Chair of each open committee will notify the Faculty of meeting times.

6. If a faculty member is needed to serve on more than 4 committees, those of the University or College, or if a committee demands an excessively high work load, then an appropriate amount of "release time" from other responsibilities should be given.

7. A person is classified as "ex officio" when his/her membership on a committee is by virtue of their position with the University or by special appointment. Ex officio members will be voting members unless otherwise determined by the committee

8. If a committee member is unable to complete their term of office, then another person will be chosen by the Dean of the respective College in consultation with the Chair of the Academic Senate, once notified by the Chair of the committee to fulfill the term. The process for replacing members unable to complete their term of office will not apply to the Institutional Review Board, Institutional Biosafety Committee, Institutional Animal Care and Use Committee, Grievance Committee, and the "at-large" members of the Research Committee. Thus, if a member of the Institutional Review Board, Institutional Biosafety Committee, or Institutional Animal Care and Use Committee is unable to complete their term, another person will be chosen by the Vice President for Research and Biotechnology once notified by the Chair of the committee to fulfill the term. As for the Grievance Committee, and the "at-large" members of the Research Committee, the Senate Vice-Chair will hold elections to replace members that are unable to complete their term.

9. It is the responsibility of committee members to actively participate in the committees that they have been elected or assigned to. Members who are unable to participate in committee meetings need to be replaced by another person to fulfill their position, either by appointment or College election. Attendance of meetings should be part of the minutes from each of the meetings. In cases where there is an inability of any College to participate in committee meetings, for example due to excessive work load or lack of sufficient faculty, then that unfilled position will not be counted towards a quorum.

10. Committees

a. **Animal Care and Use Committee, Institutional**

WesternU recognizes the importance of the use of animals in teaching and research programs. Animals are vital both for understanding basic biological processes and in developing diagnostic, therapeutic, and preventive approaches for human and animal diseases. The Institutional Animal Care and Use Committee (IACUC) oversees the care, treatment and housing of animals used in teaching and research by University faculty and staff to ensure that such use is justifiable and is performed according to all applicable federal and state regulations and guidelines. The IACUC also reviews all construction and renovation plans to animal housing facilities prior to the implementation of the plans. Additional details on committee guidelines and responsibilities can be found on the regulatory affairs website: Animal Care and Use Committee

b. Assessment and Program Review Committee

The Assessment and Program Review Committee is responsible for developing and monitoring WesternU's assessment and program review processes. The Committee serves a valuable role by overseeing these two ongoing quality assurance initiatives to help programs reflect on and improve their effectiveness.

Membership: The voting membership of the Committee shall consist of one faculty member or one professional staff from each College for their expertise in assessment and/or program review, appointed by the Dean in consultation with the Chair of the Academic Senate. Each member shall serve a three-year term, and may be reappointed. The Committee will also have a representative from the Academic Senate, appointed by the Chair of the Academic Senate, and who is preferably a member of the Academic Standards and Policy Committee.

The committee will also comprise representatives from the Offices of Academic and Student Affairs. These ex officio members are appointed by the Provost. Other ex officio members are appointed under the discretion of the Chair of the Academic Senate in consultation with the Committee's Chair. The voting privileges of ex officio members will be determined by the Committee.

The Director of Institutional Research and Effectiveness will serve as a permanent ex officio member of the committee.

The Committee elects its Chairperson at the beginning of the academic year for a two-year term, and the Chair calls meetings. The committee meets a total of ten times each calendar year. With the exception of December and one summer month, meetings are held on a monthly basis.

Duties: The committee's responsibilities are divided into two separate, but related areas: Program Review and Institutional Assessment of Student Learning Outcomes. Specific duties include:

Program Review:

- Develop and continually monitor University's Program Review Guidelines
- Develop supporting documentation (templates, forms, standards, etc.) for Program Review process
- Advise programs with planning and execution of review process

Institutional Assessment:

- Develop guidelines for University's assessment of the institutional learning outcomes.
- Review annual program assessment reports and provide feedback to programs.

Committee Members:

- Attend committee meetings
- Participate and contribute to subcommittee activities
- Act as liaison between committee and College/unit to facilitate completion of assessment and program review reports.

Reporting Responsibilities:

- Report regularly with the Chief Academic Officer to discuss substantive issues under consideration by the committee.
- Submit annual assessment reports and committee feedback for annual assessment reports to the Chief Academic Officer.
- Communicate and report to the Academic Standards and Policy Committee, the Academic Senate, and at least annually to the Academic Assembly.

c. **Awards Committee**

The WesternU Awards Committee sets policy related to awards and honors to students and determines the recipients of all University-wide awards and honors granted to students at WesternU.

The University Awards Committee is appointed by the Provost and consists of at least one full-time faculty member from each College on campus. The Provost and the Vice President of University Student Affairs are voting ex officio members. The term of office is one year.

In addition to the University Awards Committee, each program or College has an Awards Committee to recommend individual students to the University Awards

Committee for awards and honors. The College Awards Committee may also make recommendations to the University Awards Committee in matters of policy on awards and honors and on development of new awards.

Each College Awards Committee is made up of faculty members from that program and should be representative of that program's faculty. Each College Awards Committee Chairperson will serve on the University Awards Committee.

d. **Commencement Committee**

This Committee and its Chairperson are appointed by the President. It consists of the Provost (or his/her appointee), the Dean (or designee) or degree-granting Program Chair of each College, the Associate Dean of Academic Affairs (COMP) the Vice President of University Student Affairs, the Director of Public Relations, the Director of Events and Programs, the Marshal, and the President of the Student Government Association (or designee). The term of office is one year. The purpose of the Committee is to plan and, in some areas, implement the University's graduation ceremony and related events. The Committee submits to the President the results of its deliberations for his/her consideration and approval.

e. **Dual Use of Research of Concern Committee**

Dual use research of concern (DURC) is a subset of dual use research defined as: "life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, materiel, or national security." WesternU established the DURC committee. Faculty play an integral role in this regulatory committee. Additional details on committee guidelines and responsibilities can be found on the regulatory affairs website: Research Committees

f. **Financial Aid Committee**

The WesternU Financial Aid Committee advises the Director of Financial Aid on financial aid matters. It proposes and reviews policies and procedures regarding Federal programs and reviews and makes recommendations to the Administration on student financial aid grievances.

The University Financial Aid Committee consists of at least one full-time faculty member elected at large, from each College on campus. The term of office for faculty members is three years with staggered terms. The Vice President of University Student Affairs is a voting ex officio member. The Director of Financial Aid is a non-voting ex officio member. The Committee elects its Chairperson annually from the Financial Aid Committee faculty members.

g. **Grievance Committee**

The Grievance Committee consists of five full-time faculty members elected at large. The following faculty ranks should be represented: Assistant professor, Associate Professor, and full Professor, at least two of which will have tenure. In the event that each faculty rank cannot be represented, a follow up election to select a member at large, open to any regular faculty rank, will be conducted. The Committee elects the Chair and Secretary from among its members. The term of office is for three years. The terms will be staggered to provide continuity. However, under no circumstances shall Committee membership expire during consideration of a grievance.

The Grievance Committee meets when there is a grievance as well as to conduct other Committee business. The procedures are detailed in Appendix II of this Handbook.

h. **Institutional Biosafety Committee (IBC)**

The Institutional Biosafety Committee was established under the provisions of the NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules to create and implement policies that provide for the safe conduct of recombinant DNA research and to ensure compliance with the NIH Guidelines. In addition, the IBC will 1) oversee research involving infectious agents and toxic biological molecules, 2) review research protocols from grant applications submitted to extramural funding agencies to confirm that experiments will be conducted safely and in compliance with the NIH Guidelines, 3) review prior to their implementation any University constructions plans that include laboratory space requiring a biosafety level designation of BSL-2 or higher, and 4) advise the University concerning biosafety policies for students, employees, and faculty.

Faculty play an integral role in WesternU's Institutional Biosafety committee.

Additional details on committee guidelines and responsibilities can be found on the regulatory affairs website: Biosafety

i. **Institutional Review Board for the Protection of Human Subjects (IRB)**

The Institutional Review Board (IRB) is established in accordance with federal law to ensure that human subjects participating in research activities conducted at, and/or sponsored by, the Western University of Health Sciences or its auxiliaries are protected from undue risks and deprivation of personal rights and dignity. Committee structure, actions and procedures of the IRB are governed by the Policy Manual of the Institutional Review Board for the Protection of Human Subjects found on the regulatory affairs website: Institutional Review Board

j. **Library Committee**

The purposes of the University Library Committee are 1) to provide faculty and student representation in library related matters, 2) to act as a liaison between the Executive Director of Harriet K. & Philip Pumerantz Library and the use community, 3) to advise the University community on matters related to biomedical information resources, and 4) to advise the Executive Director on general policies and library needs in view of the academic programs.

The voting membership of the Committee shall consist of one faculty member from each College. A branch campus as defined in Appendix I, Article I shall be afforded one voting faculty member as a representative on the committee, who will be elected by members of the Academic Assembly on its campus. Members of the Academic Assembly of the branch campus will not participate in electing committee members of the main campus. Each faculty member will serve a two-year term, and may be re-elected. Each program and branch campus will elect one student to serve as a non-voting member of the Library Committee. Student members will serve one-year terms, and may be re-elected. Each program may also elect an alternate student member to provide representation when the student member cannot attend. Student members and alternate student members must remain in good academic standing.

The Chair will be elected for a one-year term by the voting members. The Chair will 1) run committee meetings according to parliamentary procedures, 2) vote to break ties, and 3) make an annual report of committee work to the Academic Senate. The Library's Administrative Associate will send a copy of approved minutes to the Provost.

The University Library Committee shall meet bi-monthly, unless special sessions are needed. Special sessions may be called by the Chair in consultation with the Executive Director.

The Executive Director will 1) serve as an ex-officio member of the committee, 2) inform and advise the committee as to the functioning of the library, and 3) function independently in the day-to-day operations of the library.

k. **Radiation Safety Committee**

The Radiation Safety Committee (RSC) is established pursuant to Title 17 of the California Code of Regulations and must consist of "…at least three members which must evaluate all proposals for, and maintain surveillance over, all uses of radioactive material. Details on committee responsibilities and structure can be found on the regulatory affairs website: Radiation Safety

I. **Research Committee**

The University Research Committee is a standing committee and shall conduct business that advocates on behalf of the faculty with regards to the research enterprise at Western University of Health Sciences. In order to conduct business, the committee defines a quorum as the Chair plus five (5) voting members. The University Research Committee consists of 12 faculty members that represent the various Colleges. Each College will elect one faculty member during the normal annual election process to serve as the representative. In addition, the committee has three at large members elected by the full faculty. In the event that all College representatives have similar research methodologies, then the ballot committee will give preference to those at large nominees whose research methodologies are in other areas from those of the College representatives. In addition, non-voting members will include the Vice President for Research and Biotechnology and an individual representing Grants and Contracts Services. The Committee elects its own Chairperson annually at the beginning of the academic year, and the Chair will call meetings as needed, but a minimum of four times.

Responsibilities

The responsibilities of the University Research Committee shall include, but not be limited to creating an environment that fosters collaboration of research among faculty and students, reviewing intramural research proposals and funding mechanisms for faculty and students, identifying mentoring opportunities for faculty and students that advance programs of study, contributing expertise to the development, implementation, and monitoring of the University's research strategic directions, communicating decisions affecting the research enterprise to the Academic Support Service and Planning Committee and the Chair of the Academic Senate, and participating in budgetary processes affecting the research enterprise.

Procedures

I. Create a collaborative research environment:

The Committee will actively foster the collegial advancement of research-related activities within and between Colleges that result in sustained growth, innovation, discovery, and dissemination of the University's research enterprise.

II. Develop mentoring opportunities:

The Committee will develop policies and coordinate research activities that complement research expertise in junior faculty and students. The Committee will coordinate in consultation with the Vice President for Research & Biotechnology seminars, workshops, and other similar short courses that position the University in a strategic position to increase grant awards.

III. Oversee intramural grant awards:

The Committee will oversee intramural awards for faculty and student research activities. The Committee will develop policies and procedures for the award mechanism, review the grant applications and make award recommendations to the Vice President for Research & Biotechnology.

IV. Align activities with University research strategic initiative(s):

The Committee will contribute to the University's strategic plan as needed, review and contribute to developing policies that will describe and direct research resource allocations, and coordinate lectures from nationally and internationally distinguished lecturers.

V. Collaborate with administration:

The Committee will liaise with University administration through the Academic Support Services and Planning Committee and the Academic Senate to advocate for research strategic initiatives that accurately reflect the capabilities of the research enterprise. The Committee may assume responsibility for identifying and periodically communicating summary information to University administration and faculty at large on the status of all research enterprise efforts.

m. **Ad Hoc Committees**

Ad hoc Committees may be appointed at any time by the Academic Senate, the Provost, or the President of the University. These Committees are for specified purposes and will report to the appointing body or officer and be dissolved on completion of assignments.

D. Standing Committees of the Academic Senate

1. University Faculty Affairs Committee:

a. Membership: The Committee comprises at least 6 senators, appointed by the Chair of the Academic Senate, and their term will run concurrently with their senate membership. New members are appointed to the Committee as vacancies arise. The Provost shall appoint a designee from the Provost's professional staff to serve as an ex officio, non-voting member. Other ex officio members are appointed under the discretion of the Chair of the Academic Senate in consultation with the Committee's Chair. The voting privileges of any such other ex officio members will be determined by the Committee at the beginning of each academic year. The Committee elects its Chairperson annually at the beginning of the academic year for a one-year term, and the Chair calls monthly meetings. The Committee shall also elect a Vice-Chair

annually at the beginning of the academic year, who will preside over meetings in the absence of the Chair, assist in conducting Committee business, and serve as a representative and spokesperson for the committee when and if asked by the Chair. To maintain committee membership for the following year, a member will have attended a minimum of 60% of meetings during the year.

b. Responsibilities: The Committee is responsible for defining the roles and responsibilities of, as well as the rights, privileges, and benefits that accrue to members of the University faculty. The committee is responsible for revising the faculty handbook as needed, proposing, developing and reviewing policies that affect faculty, reviewing Promotion and Tenure (P&T) policy and procedures and making recommendations on P&T matters and decisions, reviewing and approving College faculty guidelines, and/or bylaws to ensure they are consistent with the university faculty handbook, participating in new and expanded program review processes, instituting University wide faculty awards, and providing guidance to the Center for Academic and Professional Excellence (CAPE). The procedures are detailed below.

c. Procedures:
    I. Faculty Roles, Rights and Responsibilities: The Committee is responsible for ensuring policies that describe faculty involvement, expectations, evaluations and support system for accomplishing the related teaching, research and service contract obligations are reasonable and in agreement with academic freedom. The Committee is responsible for educating faculty on faculty and shared governance, as well as on their roles, rights and responsibilities, as described in the Faculty Handbook.
    II. Faculty Handbook: As its guardian, the Committee undertakes periodic revisions of the Faculty Handbook, in compliance with Policy and Procedure for Revisions of the Faculty Handbook. The Committee reviews and makes revisions to strengthen faculty and shared governance, including those pertaining to University Colleges and Departments as per the changing academic climate, in consultation/ discussion with the faculty at large. The Committee also reviews and approves College faculty guidelines, and any proposed amendments to them. In the event that policies, procedures and bylaws in the individual College are found to be in conflict with the University Faculty Handbook, provisions of the University Faculty Handbook will prevail.
    III. Policies: The Committee actively engages with the faculty and acts as liaison with the administration/board to develop policies including but not limited to faculty recruitment, faculty salary, retirement, severance and benefits. The Committee interacts with and provides advice to P&T Committees of

various Colleges and is responsible for reviewing and approving their P&T policies, as well as developing, and implementing standardized P&T policies and procedures to ensure University-wide consistency. Furthermore, the Committee may review dossiers and make recommendations to the Provost regarding P&T matters and decisions, upon request.

IV. Awards: The Committee makes decisions on University level faculty awards for scholarship, teaching and service. The Committee develops policies and procedures for the award mechanism, reviews the nomination material of the candidates, and makes recommendations to the Provost for awards.

V. Faculty Development: The Committee liaises with administration to allocate sufficient funds, and with the individual Colleges to identify faculty development and growth opportunities that the faculty can be informed of or provided. The Committee will serve as advisory to CAPE, periodically review its existing policies, and will recommend faculty development and growth activities.

2. Academic Standards and Policy Committee:

a. Membership: The Committee comprises 6 senators, appointed by the Chair of the Academic Senate, and their term will run concurrently with their Senate membership. New members are appointed to the Committee as vacancies arise. The Provost shall appoint a designee from the Provost's professional staff to serve as an ex officio, nonvoting member. Other ex officio members are appointed under the discretion of the Chair of the Academic Senate in consultation with the Committee's Chair. The voting privileges of any such other ex officio members will be determined by the Committee at the beginning of each academic year. The Committee elects its Chairperson annually at the beginning of the academic year for a one-year term, and the Chair calls monthly meetings. The committee shall also elect a Vice-Chair annually at the beginning of the academic year, who will preside over meetings in the absence of the Chair, assist in conducting Committee business, and serve as a representative and spokesperson for the Committee when and if asked by the Chair. To maintain Committee membership for the following year, a member will have to have attended a minimum of 60% of meetings during the year.

b. Responsibilities: The Committee reviews and defines quality of curricula and academic programs within the University and across Colleges. The Committee also reviews academic policies and recommends changes to establish standards across Colleges as needed. The Committee discusses academic issues whenever brought to its attention by members of the faculty or those arising during the faculty assembly meetings. The procedures to accomplish these tasks are detailed in Section III.

c. Procedures:

I. Academic Standards: The committee reviews compliance with approved College and University policies. Requests from Colleges or programs for deviation from established policy will be reviewed and discussed by the Committee which will communicate their recommendation to the requesting College and Provost. The Provost and the Academic Senate will then take action. The Committee also monitors and directs action as needed for existing policies.

II. Program Review: The Committee reviews the final report, action plans, and results of the internal program review for academic programs. The Committee reviews accreditation reports and recommendations for programs. This will be done in collaboration with the Office of Institutional Research and Effectiveness. Upon completion of the review, the Committee provides a summary and evaluation to the Provost.

III. New or Expanded Program Review: The Committee participates in the review of proposed new or expanded programs by Colleges or the University as directed by the Academic Senate Chair. This review follows established guidelines for new or expanded programs.

IV. The Committee will review all policies and procedures related to the quality of programs and curricula within the University (e.g., Interprofessional Education [IPE]), and across Colleges and determine if appropriate feedback is required to either establish a new policy or revise an existing policy. This includes, but is not limited to, admission policies and processes, faculty-student ratio, evidence-based practice issues, and other polices related to faculty and programs.

V. The Committee receives and reviews reports from all the Colleges' Curriculum Committees and the University Assessment and Program Review Committee and makes recommendations as appropriate.

The Assessment and Program Review Committee, Awards Committee, Financial Aid Committee, and Humanism in Health Sciences Committee provide annual reports to the Academic Standards and Policy Committee.

3. Academic Support Services and Planning Committee:

a. Membership: The Committee comprises at least 6 senators, appointed by the Chair of the Academic Senate, and their term will run concurrently with their Senate membership. New members are appointed to the Committee as vacancies arise. The Provost shall appoint a designee from the Provost's professional staff to serve as an ex officio, non-voting member. Other ex officio members are appointed under the discretion of the Chair of the Academic Senate in consultation with the Committee's Chair. The voting privileges of any such other ex officio members will be determined

by the Committee at the beginning of each academic year. The Committee elects its Chairperson annually at the beginning of the academic year for a one-year term, and the Chair calls monthly meetings. The Committee shall also elect a Vice-Chair annually at the beginning of the academic year, who will preside over meetings in the absence of the Chair, assist in conducting Committee business, and serve as a representative and spokesperson for the Committee when and if asked by the Chair. To maintain Committee membership for the following year, a member will have attended a minimum of 60% of meetings during the year.

b. Responsibilities: The Committee is responsible for periodically reviewing existing policies and providing guidance, as a representative body of the Academic Senate, and faculty input to Information Technology, Library, Research, Human Resources, Facilities and other co-curricular and support-services Departments. The Committee is also responsible for reviewing and approving co-curricular policies that impact quality of curriculum and the ability of the faculty to perform their duties. The Committee is also responsible for participating in program review processes, as well as that of all cocurricular and support-services Departments. The Committee shall participate in University strategic planning and other planning processes within the various support services units. Finally, the Committee shall serve as the primary channel of communication between support service units and the Academic Senate. The procedures are detailed in Section III.

c. Procedures:
    I. Co-Curricular Departments and Programs: The Committee is responsible for periodically reviewing existing policies, providing guidance and faculty input to Information Technology (IT), Library, Research, Facilities and other co-curricular and support-services Departments, in particular those aspects needed by faculty to deliver a quality curriculum, and successfully perform their related teaching, research and service obligations.
    II. Program Review: The Committee participates and makes recommendations in new and expanded program development and review processes by Colleges or the University, in matters that include but are not limited to the availability of teaching/research space and facilities, faculty office space, as well as adequacy of IT, library and other co-curricular resources. The Committee also participates in reviewing and providing feedback on self-study or program review documents for all co-curricular Departments, and provide input on how they can work together more effectively and meet the needs of the University.
    III. Policies: The Committee actively engages with the faculty and acts as liaison with the administration/board to develop and revise policies including but not limited to the quality of the co-curricular programs and support services,

research infrastructure, Intellectual Property issues, faculty research space allocation, and faculty incentive programs.

IV. Planning: The Committee actively participates and makes recommendations on strategic planning, planning processes within the support services units and other academic planning endeavors on campus in matters which impact the faculty, and the quality of the curriculum, and student education. The Committee also liaises with the administration and provide input into the University's operating budget to ensure the allocation of sufficient funds and resources in areas including but are not limited to the intramural research programs, research space, faculty travel allowance, faculty and student IT needs, library, and facilities.

The Library Committee and the University Research Committee shall report to the Academic Support Services and Planning Committee to facilitate communication between Faculty serving on these committees and the Academic Senate/Assembly.

Section IV
Policy and Procedures for Revisions of Sections I-IV

Sections I through IV are considered to be part of the contractual agreement between the University and the Faculty. No unilateral changes may be made in these sections except at the end of a contractual period. The Academic Senate and the University Faculty Affairs Committee will have the authority to recommend changes to these sections after members of the Academic Senate discuss these changes with the faculty at large. Changes will be forwarded to the Academic Senate for final approval. From there, the document is sent to the administration (Provost, Deans and University General Counsel) for review/comment, and from there to the Board of Trustees Academic Affairs Committee for Committee approval. The Academic Senate will present the amendments to the President and the Board of Trustees for final approval. Amendments to the Constitution or the Bylaws of the Academic Assembly require approval of the Academic Assembly, as described under Appendix I, Article IV.

Changes to the grammar, spelling, formatting and/or administrative "title" changes of the Faculty Handbook can be made by the University Faculty Affairs Committee without being brought before the entire Academic Senate or Academic Assembly for a vote, as applicable and as per the "Policy and Procedures for Revisions of Sections I-IV" (described above) provided that these changes do not affect the underlying meaning. The University Faculty Affairs Committee will communicate any such changes to the Academic Senate and the Academic Assembly.

APPENDICES

APPENDIX I	Constitution and Bylaws of the Academic Senate/Academic Assembly
APPENDIX II	Grievance Procedure
APPENDIX III	Other Faculty Policies & Procedures
APPENDIX IV	Research Policies & Procedures
APPENDIX V	Historical Promotion and Tenure Information – Pre July 2018*

APPENDIX I: Constitution & Bylaws of the Academic Senate

INTRODUCTION

The Academic Senate is a representative Committee of the Academic Assembly. In discharging this function through following Robert's Rules of Order Newly Revised, the Academic Senate has the authority to conduct studies, make reports and recommendations on all matters that have a significant bearing on the work of this faculty. The Academic Senate is a channel of communication between the Academic Assembly and the University administration and has specified duties through charges to the Senate and its committees.

ARTICLE I - Senators

The Academic Senate consists of members elected by secret ballot. These members are elected from the existing Colleges based on the number of faculty members in those Colleges. The number of faculty for each college, as reported to the Board of Trustees in the Fall, shall be divided by 20, and any number, rounding to the nearest whole number, shall be the total number of Senators representing the college if and only if the number is greater than two. All colleges will have at least two senators. For branch campuses, defined below, additional sites, and colleges with multiple professions, the expectation is that the distribution of Senators will match the distribution of faculty. However, colleges shall handle such matters internally. The Faculty will elect new members to the Academic Senate each year in order to satisfy the above formula and conditions. The term of office will be three years with staggered terms. Any member of the Academic Senate may be re-elected. Each College will also elect to a three-year term one alternate member to the Academic Senate who will attend meetings and serve in the absence of one of the College's senators. In case no faculty member runs for election, the Dean will appoint one for up to a three-year term in consultation with the Chair of the Academic Senate.

A branch campus defined as per the US Department of Education, i.e., a physical facility greater than 25 miles from the main campus at which greater than 50% of the curriculum of one or more programs of the University are offered.

ARTICLE II - Officers

The Senate elects a Vice-Chair of the Senate from the Senate, or if there are no candidates from the Academic Assembly. The Vice-Chair will assume the Chair duties if the Chair is not present at a meeting, and once the Chair completes their two-year term. Although the Chair is non-voting, the expectation is that the Chair will be from a Small College at least two-thirds of the time.

Additionally, the three Senate Committees detailed below shall be chaired by a faculty member from a Small College at least two-thirds of the time. Such strategies ensure proportional representation while preserving the voice of Small Colleges.

Normally, the Chair is a non-voting member of the Senate; however, in instances of a tie vote the Chair will vote to break the tie.

Definitions

Small College – a college that only has two senators
Large College – a college that has more than two senators

A. Duties of the Officers

1. The Academic Senate Chair shall:

a. Call and chair all Academic Assembly meetings.
b. Call and chair all Academic Senate meetings.
c. Act as the channel of communication between the faculty and the administration of the University.
d. Appoint members to the Faculty Handbook Revision Committee.
e. Keep all financial reports and documents concerning faculty matters.
f. Develop and circulate agendas for Academic Senate and Academic Assembly meetings.

2. The Academic Senate Vice-Chair shall:

a. Represent the Chair where necessary and perform his/her functions in his/her absence.
b. Serve as secretary of all Academic Assembly and Senate meetings. He/she will maintain the minutes of those meetings, and when approved, distribute those minutes to all faculty.
c. Be responsible for administering annual elections to the various faculty elected committees of the University and to the Academic Senate

B. Election of the Officers

The election of the Vice Chair of the Academic Senate will be held at the beginning of the academic year. The successful candidate will be the one who receives the majority of votes cast by members of the Academic Senate, even when the nominees are members of the Academic Assembly as described above, and will serve a two-year term as Vice Chair. Term of office will commence the day after he/she is elected.

ARTICLE III - <u>Organization and Procedures</u>

The specific responsibilities of the entire Academic Senate are to participate in the new and expanded program review processes, provide members to University

committees to enable shared governance, revise the University Faculty Handbook, and provide quarterly reports to the Board of Trustees.

Section I: The officers, as elected representatives of the Faculty, act as the channel of communication between the faculty and administration of the University. The officers can make only those recommendations on behalf of the Faculty which the Academic Assembly has expressly authorized.

Section II: Meetings of the Academic Senate are open to all faculty members. The Chair of the Academic Senate accepts agenda items from any faculty member for consideration by the Academic Senate.

Section III: The Academic Senate is responsible for administering annual elections to the various faculty elected committees of the University and to the Academic Senate. Ordinarily, elections of faculty members are held in May and the tenure of service begins July 1 and terminates June 30th, in the last year of their term.

The Vice Chair is responsible for soliciting and receiving nominations to elected committees and the Academic Senate. Each full-time faculty member must be given adequate opportunity to nominate himself/herself to any committee, based on the restrictions listed in Section IV, C, #4. The Vice Chair prepares, distributes, collects, and tallies the ballots. After receiving the results from the Vice Chair, the Chair of the Academic Senate will immediately inform the Faculty and Administration of the results. In the event that a faculty member is elected and/or appointed to more than the allowed number of committees (main Section III, C , #3), the Chair of the Academic Senate will allow the faculty member to choose the committee upon which he/she wishes to serve. The committee(s) not chosen by that faculty member will be filled (a) in the case of elected committees, by the person receiving the next highest number of votes or (b) in the case of appointed committees, by appointment of another faculty member by the appropriate administrator. In the event the voting results in a tie, a run-off vote will be held.

The ballots of all elections are maintained by the Chair of the Academic Senate for a period of one year.

Section IV: Standing and special committees of the Academic Senate are formed as determined by the Academic Senate. These committees and their members shall be included in the University Committee listing.

Section V: The Academic Senate will hold a minimum of eight meetings per academic calendar year on an established monthly schedule, August through May. Special meetings of the Academic Senate may be called at the request of any faculty member. Approved minutes of each meeting will be made available to the faculty and all administrative officers of the University. Any faculty member may submit agenda items to the Chair of the Academic Senate

for consideration by the Academic Senate.

Section VI: An annual function of the Academic Senate is to update and revise the Faculty Handbook. This may be done by the Academic Senate and/or by the University Faculty Affairs Committee. Revisions must be approved by the President and the Board of Trustees.

Section VII: The Chair of the Academic Senate will be invited to meetings of the Board of Trustees.

Section VIII: In the event that a faculty member vacates an elected committee before his/her term of service has expired, the Chair of the Academic Senate, in consultation with the President or Provost or appropriate administrator, will appoint a replacement to complete the year.

Section IX: The Academic Senate has the authority to decide who is eligible for faculty voting privileges. Consideration for faculty voting privileges may be requested by those individuals who hold an administrative position following the above criteria in Section III, A, 2. If the request is denied by the Academic Senate, the individual may then appeal the decision to the Academic Assembly.

ARTICLE IV - Amendments

Section I: Amendments to the constitution of the Academic Assembly may be proposed by a simple majority of the voting faculty or the elected representatives of the Academic Senate. The proposed amendment will be distributed to the members of the Academic Senate. The Academic Senate will review the amendment and present it to the Academic Assembly for final action.

Section II: Amendments to the constitution require a two-thirds majority vote cast by all voting members of the Academic Assembly.

ARTICLE V - Bylaws

Section I: The Academic Senate adopts such bylaws as it considers necessary to conduct its business.

Section II: The bylaws may be adopted or amended by a two-thirds vote of the Academic Senate at any regular meeting, provided that the proposed bylaws or amendments have been submitted in writing at a prior meeting.

ASSEMBLY/SENATE BYLAWS

Rule 1: Parliamentary Procedure

Meetings of the Academic Assembly/ Senate shall be conducted according to Robert's Rules of Order, newly revised, in all cases to which they are applicable and in which they are not inconsistent with the constitution and bylaws of the Academic Assembly/Academic Senate.

Rule 2: Quorum

Except as otherwise provided for in the constitution, a simple majority of the Academic Senate constitutes a quorum, and 15% of the voting faculty of the Academic Assembly constitutes a quorum. Only members present are eligible to vote at any Academic Assembly/Academic Senate meeting. In the absence of a quorum, proceedings may continue only on the condition that 1) all relevant material is posted on a site available to all faculty, 2) proceedings can be recorded for view for members who cannot attend, and 3) a discussion forum is made available at least one week prior to the meeting, and faculty are made aware of it in time to proceed. In this event, the meeting may proceed and a secure, anonymous electronic voting system may be used to tally the results and relay them to administration and the Board of Trustees. Since all voting members of the Academic Assembly will have the opportunity to participate in votes taken electronically, a quorum will be assumed.

Rule 3: The officers of the Academic Senate should request to meet with the President of the University as needed during the academic year to maintain good communication.

Rule 4: The Academic Senate may, on its own initiative or at the request of a faculty member, refer any matter to a committee of the Academic Senate and require a report thereon which shall be transmitted to the Academic Assembly/Academic Senate.

APPENDIX II: Grievance Procedures

SECTION 1. Basis for a Grievance: A grievance proceeding may be called by a faculty member (i.e. referred to below as the grievant) under the following circumstances:

1. If the individual feels that his/her promotion or tenure has been unfairly handled, withheld or withdrawn.

2. If the individual feels he/she has been dismissed without adequate cause.

3. If the individual feels he/she has been dealt with unjustly in relation to an administrative decision.

This Procedure DOES NOT APPLY to complaints involving allegations of discrimination and/or harassment, or concerns/issues of an interpersonal nature between or amongst faculty members. Please contact Human Resources for the applicable policies/procedures regarding such issues. Human Resources

Parties: The parties to a grievance are the faculty member that initiates the grievance (i.e. grievant) and the decision-maker(s) that are actively involved for the contested decision or action.

SECTION 2. Informal Resolution: Before filing a formal grievance, a faculty member should seek to resolve the dispute by discussing it informally with the person(s) who made the disputed action/decision or actively participated in it, or who has authority to provide redress. However, this is not required. If the issue is not resolved to the satisfaction of the individual faculty, then the faculty member may begin the formal grievance process below. Additionally, in the event that the decision-maker is the Dean, the faculty member may opt to initiate a formal grievance process in lieu of informal resolution.

SECTION 3. Formal Grievance Procedure: Both the grievant and the respondent(s) shall abide by all the procedures set forth within, and shall participate in good faith and respect the confidentiality of this process. Any communication concerning this process shall be limited to the involved parties and any others for whom information is strictly necessary for the legitimate facilitation and effectuation of the process.

Step One (Dean Review): The first step in the formal grievance process is for the faculty member (i.e. grievant) to notify, in writing, the appropriate Dean within sixty (60 days) of the date that the grievant first knew or could reasonably have been expected to know, on the

basis of documentation or otherwise if there is no documentation, of the decision or action that gave rise to the grievance. Step One is subject to the following:

a. This notice, should outline the faculty member's concern in accordance with Section 1, clearly identify the decision-maker(s) of concern (i.e. respondent), and outline any informal efforts to resolve the concern and/or detail any specific requested redress.
b. The Dean has twenty (20) working days to respond.
c. The grievant has one hundred and eighty (180) working days to call for a Grievance Committee meeting following the receipt of the Dean's response.
d. The grievant may withdraw the grievance at any time during this process.

Step Two (Grievance Committee Review): The grievant must request review by the Grievance Committee within one hundred and eighty (180) working days of the receipt of the Dean's response, in accordance with the sub-sections below. There may be extenuating circumstances under which this timeline cannot be met (due to illness or other extended leave issues) and in those circumstances, with supporting evidence, the faculty will be given an opportunity for an extended timeline. At no time will there be less than one hundred and eighty (180) working days for the grievant to request a grievance committee review. Step Two is subject to the following:

a. The grievant will initiate Step Two of the grievance procedure by writing to the Chair of the Grievance Committee, specifically describing the basis of the appeal in accordance with Section 1. Basis for a Grievance, describing any efforts to resolve the dispute, and provide any supporting documents (including the submission of the Dean's level grievance and response, if applicable).
b. The Chair will submit a copy of the grievance to grievant's immediate supervisor, the appropriate Dean and to the Provost.
c. In no case will a request by a grievant for a Grievance Committee meeting be denied provided that the applicable procedures have been met. The final decision as to whether these procedures have been followed rests with the Grievance Committee.
d. The Grievance Committee meeting shall be called no later than ten (10) working days after the request has been filed. Generally, all proceedings will be conducted within sixty (60) to ninety (90) working days of the first meeting unless the grievance committee and the grievant agree to an extension.
e. If the committee calls any parties including the grievant they must also call the parties who are the subject of the grievance. The faculty member's immediate supervisor and/or decision-maker(s) of concern, the appropriate Dean and the Provost or their designee shall be given no less than five (5) working days' notice of the meeting, and shall be entitled to present evidence at the meeting(s).
f. Notwithstanding the foregoing, the meeting may be postponed upon agreement of scheduled dates/times of all affected parties.

g. The Grievance Committee meetings will be closed to all individuals who are not directly concerned with the case.
h. The grievant may withdraw the grievance at any time during this process.
i. Committee Eligibility: Any member of the Grievance Committee who is a party to the matter being disputed by the grievant and/or otherwise closely associated with the grievant (i.e. by relation, personal friendship, or mentor/mentee relationship, etc.) will be recused from participating in the grievance proceeding. This includes members of the Promotion and Tenure Committee in the case of dispute of procedures relating to promotion and/or tenure in their College. Before each grievance, the Chair will ensure in writing that each Committee member is conflict free subject to sub section 3,2i and other applicable University conflict of interest policies. If a member of the Grievance Committee, including the Chair, is recused, the Chair of the Committee, in consultation with the Academic Senate Chair and the grievant, will appoint another faculty member (alternate member) to substitute for him/her for this specific grievance.
j. Purpose/Scope of Committee Review: The Committee shall serve as an impartial and neutral advisory body and will review and assess the submitted grievance, according to basis of the grievance and the application of the University/College policies and procedures.
k. The Committee will hear all arguments presented. The grievant may provide any documentation that he/she feels is appropriate to his/her case. Moreover, the Committee has the right to request any documentation and/or conduct an appropriate investigation.
l. Recommendations of the Committee: The Committee will reach a majority decision within 10 working days of the end of the proceedings and will provide their recommendation to the Provost. Possible decisions may include (a.) sustaining the original administrative decision/action, (b.) sustaining the grievant's appeal and/or requested redress (if stated) and/or (c.) sustaining the grievant's appeal and/or recommending redress (or alternative to the requested redress). If the Grievance Committee decides that there is adequate evidence against the faculty member supporting the basis of the decision/action, but that a less severe action would be more appropriate, they may include that recommendation in their report to the Provost. For grievances involving dismissals, a written report of the Committee's recommendations will be submitted to the Provost. For grievances involving matters other than dismissal, a written report of the Committee's recommendations will be submitted to the immediate supervisor, appropriate Dean and the Provost. A copy of the report will be forwarded to the grievant and the respondent(s) and placed in the grievant's Human Resources personnel file.
m. Provost's Decision: The Provost shall decide the grievance within fifteen (15) working days, which can be extended after notice to all parties, taking into consideration the recommendation of the Grievance Committee and other factors that the Provost may deem appropriate and/or relevant to the matter. If the recommendations of the

Committee are not accepted by the Provost, then the grievant, the Chair of the Grievance Committee, and the appropriate Dean will be notified with an explanation in writing.

n. Recordkeeping: During a grievance procedure, the minutes, approved by the Committee, of all grievance proceedings and Grievance Committee meetings, along with pertinent documentation will be maintained by the Chair of the Grievance Committee. After the conclusion of the grievance hearing, the approved minutes of all grievance proceedings, along with pertinent documentation will be forwarded to and maintained by the Provost.

Step Three (Appeal Rights to the President): In the event the grievant is dissatisfied with the Step Two decision, the grievant may appeal, in writing, to the President. The President will review the proceedings based on fairness, application of policy, and rules. A written decision will be issued to the grievant within forty-five (45) working days. The grievant may withdraw the grievance at any time during this process.

Step Four (Appeal Rights to the Board of Trustees): If the grievant is dissatisfied with the Step Three outcome, the grievant may appeal, in writing, to the Board of Trustees. The Board of Trustees will review the proceedings based on fairness, application of policy, and rules. A written decision will be issued to the grievant in sixty (60) working days of receiving the appeal. The grievant may withdraw the grievance at any time during this process.

APPENDIX III: Other Faculty Policies & Procedures

Emeritus/a Status

A sense of continuity is very important to an educational institution. One important element of that continuity is the participation of retired faculty members in the life of the University. They provide a source of wisdom about the experiences that led to the present, and this becomes one element in determining the future direction of the University. Western University of Health Sciences promotes participation of its retired faculty members by granting the title of Emeritus/a Professor to those retired faculty members who have distinguished themselves in service to the University.

Emeritus/a status may be granted to regular faculty, at a Professor or Associate Professor level upon retirement at age 62 or greater, with at least 10 years of full-time service at WesternU. The Emeritus/a status will be granted by the University's Board of Trustees upon recommendation of the President. Nominations for Emeritus/a status should be made to the President by the Provost. Upon retirement eligible faculty may submit their request for Emeritus status to the Provost.

Emeriti are faculty members in every respect, except for the change in salary and in certain fringe benefits, the obligation to perform duties, and the right to vote in committee meetings, Departmental meetings or faculty meetings. They may hold a part-time position after retirement, but not a full-time one. This could include, but is not limited to, the administration of grants, healthcare practices at University-operated medical centers, etc. They continue to have access to research, library, and other WesternU facilities on a space-available basis. Emeriti may take an active role in the service and committee functions of their discipline, and University. WesternU encourages the voluntary continued participation of Emeriti in the activities of the academic community.

Emeritus/a Professors are encouraged to take part in University life by receiving certain privileges from the University. These are as follows:

a. Campus e-mail accounts continue to be available to Emeriti.
b. A list of Emeriti and their mailing addresses is maintained in the University Academic Affairs Office and in the Human Resources Office.
c. Emeriti will receive campus publications by campus e-mail.
d. Emeriti who have campus e-mail will receive full distribution of notices.
e. Ordinary office material and supplies are available under the same issuing procedures applicable to other members of the discipline and will be charged to the appropriate Departmental budget.
f. Emeriti are encouraged to march in academic processions.

g. Faculty postage may be used for professional mail. Expenses for same will be charged to the appropriate Departmental budget.
h. Office space for Emeriti is provided on a space-available basis.
i. Campus parking permits are available to Emeriti without charge on a space-available basis.
j. Any discounts available to other members of the faculty and staff through various WesternU agencies are available to Emeriti.
k. Emeriti are included in appropriate University and discipline faculty-staff functions.
l. The Academic Senate is encouraged to ask Emeriti to serve as non-voting members of faculty committees. Emeriti are invited to let the Academic Senate know of their interest in being named to a faculty committee.
m. Emeriti Professors who have participated in the group health insurance plan for at least 10 years will be eligible for the following additional benefits:

    The University will reimburse the Emeritus/a Professor $100 per month toward the purchase of a health or life insurance plan. This amount is subject to change at the University's discretion.

APPENDIX IV: Research Integrity

A. Research Misconduct[3]

1. It is the policy of Western University of Health Sciences that any member of the WesternU community who is engaged in the conduct of research, regardless of source of funding, shall adhere at all times to professional standards of honesty and integrity in the design, implementation, and reporting of all research endeavors. Violations of this policy will result in disciplinary action up to and including termination of employment.

2. The University defines Research misconduct (formerly called scientific misconduct) as a narrowly defined set of actions that call into question the scientific integrity of a body of work, including but not limited to the following: fabrication, falsification or plagiarism in proposing, performing or reviewing research, or in reporting research results; Willfully inappropriately assigning authorship on scholarly publications; or other practices that seriously deviate from those that are commonly accepted within the scientific community. Research misconduct does not include honest error or differences of opinion.

3. The University furthermore encourages and expects that anyone who becomes aware of any actions by individuals engaged in conduct as defined by number two above shall report such deviations to the proper authority. This report shall be in writing and signed and should contain at minimum a complete statement of the situation and parties involved in the alleged research misconduct. The proper authority, in this and subsequent paragraphs, shall be the appropriate Academic Dean or their designee. Should an accusation of research misconduct involve any of the Deans, the proper authority to receive this report shall be the Vice President for Research and Biotechnology. To the extent possible, the confidentiality of the reporting party will be maintained and in no case will retaliation for reporting be tolerated.

4. It is the responsibility of the official of the College receiving a written allegation of research misconduct to initiate an initial inquiry into the facts related to the accusation. The purpose of this initial inquiry is to make a determination of whether the reported incident merits a formal investigation. Based upon the specific nature of the accusation, the responsible official may engage additional personnel in the

[3] Protocol based upon Department of Health and Human Services, Office of Research Integrity

conduct of this initial inquiry, while making every effort to minimize the number of individuals involved in the inquiry. A formal decision on the results of the inquiry, either exonerating the accused or recommending a formal investigation, shall be made within 60 days of the date of receipt of the accusation. The named researcher(s) may append a formal response to the allegation, decision or procedure at his or her discretion. A copy of the results of the initial inquiry shall be sent to the named researcher and to the Vice President for Research and Biotechnology. The named officials and all parties participating in this inquiry shall at all times maintain the confidentiality of the proceedings.

5. If, during the process of the inquiry, the investigating official determines that the accusation is either frivolous or fraudulent, disciplinary action may be taken against the accuser.

6. Should the result of the initial inquiry indicate that the accusation merits a formal investigation, the investigating official shall request in writing to the Vice President for Research and Biotechnology the initiation of such an investigation within 25 days of the termination of the initial inquiry. Notice of the investigation will be sent to the named researcher. The investigating official, in conjunction with the Vice President for Research and Biotechnology, shall convene a panel of University investigators, taking care to select investigators with no real or apparent conflict of interest and who have sufficient expertise to allow a thorough and authoritative examination of the evidence. It is the responsibility of the Vice President for Research and Biotechnology to inform the appropriate funding agency that an investigation is being conducted and to report the results of this investigation, if required. If; during the conduct of the inquiry or investigation, it is determined that (a) there is an immediate health hazard involved, (b) there is an immediate need to protect the funds or equipment provided by the funding agency, (c) there is an immediate need to protect the interests of the parties involved in the allegations, (d) a public report of the incident is apparent, or (e) a reasonable suspicion of a criminal violation is apparent; the Vice President for Research and Biotechnology shall immediately notify the funding agency of the current status of the inquiry or investigation to allow the funding agency to protect its interest in the research and the inquiry or investigation. The administration of the University reserves the right, at any time, to halt the conduct of the research project or relieve the named researcher of his or her responsibilities.

7. A formal report of the investigation shall be prepared by the investigating panel and submitted to the Vice President for Research and Biotechnology. Prior to the submission of this report, the investigating panel shall provide a draft of the sections involving the parties in the accusations to permit them to prepare written responses to the panel's findings. Based upon the findings of the investigating panel and the

responses of the involved parties, the Vice President for Research and Biotechnology shall decide on an appropriate disciplinary action, if warranted, to be administered by the Provost. The named researcher has the right to appeal any actions taken through the University's regular grievance process.

8. A formal report of the results of the investigation shall be made to the funding agency within 120 days of the initiation of a formal investigation by the Vice President for Research and Biotechnology. All official records of the conduct of an inquiry or investigation shall be retained by the Vice President for Research and Biotechnology for a period of no less than 10 years.

B. Western University of Health Sciences Sponsored Project Financial Conflict of Interest Disclosure

Link to policy: Financial Conflicts of Interest in Research
Conflict of Interest Disclosure Form

APPENDIX V: Historical Promotion and Tenure Information

THIS POLICY PERTAINS TO FACULTY HIRED BEFORE JULY 1, 2018

Institutional Tenure Policy Statement

A. Introduction

Western University of Health Sciences has both tenure track and non-tenure track options. This Institutional Tenure Policy applies only to regular faculty who hold tenured or tenure track appointments.

Tenure, with its promise of continuous and indefinite employment, represents the highest commitment of an institution to a faculty member. The award of tenure signifies the institution's recognition of an individual's past accomplishments as well as the potential of continued professional growth. Thus, awarding tenure to a faculty member also indicates the institution's commitment to participate in the professional growth and development of that individual as a valued contributor to the institutional mission. Tenure is also designed to attract and retain faculty of the highest quality for the academic programs of the institution. In the case that any provision of the individual College criteria and procedures contradict those contained herein, these standards will prevail.
Because of the level of institutional commitment, tenure also implies a responsibility on the part of the faculty member, namely, that the faculty member be committed to his or her own professional development and continued high achievement and competency in his or her field. The intent of periodic post-tenure reviews is to ensure that competency and professional development are continually being pursued.

B. Policy/Procedures

1. Peer review is the purview of the Faculty. The regular faculty of each College will establish criteria and procedures for the attainment of tenure, the evaluation of promotion, and post-tenure review. These criteria and procedures must be included in the College guidelines and approved by the College's Dean, the University Faculty Affairs Committee of the Academic Senate, and the Provost. Each College is required to establish a P&T Committee to oversee the process of faculty evaluation for the attainment of tenure, promotion and post-tenure review. Membership on the Committee will be restricted to faculty from the rank of Associate Professor and higher.

2. Faculty may be appointed in one or more colleges of WesternU. The “Home College” is designated as the College where the majority appointment is held, based on contractual percent effort in the original letter of appointment. Subsidiary College appointments are those in which a faculty member has an FTE allocation, but which is less than that of the designated “Home College”. If the joint appointment is 50:50, then the faculty member, Dean and Provost will decide on which College will serve as the “Home College”.
3. In the case of faculty members who have a subsidiary appointment(s) exceeding 10% (each), at least one member of the Promotion and Tenure Committee of each subsidiary College(s) must be included in all formal deliberations, written and verbal, regarding the candidate by the home College Promotion and Tenure Committee. Subsidiary P&T member(s) will participate in all deliberations and access all materials utilized during the candidate’s evaluation. Deans of all WesternU Colleges where a faculty member has an appointment will receive a copy of the P&T recommendation letter written by the Home College P&T Committee.
4. Any evaluation process should have as its ultimate goal the growth and development of the individual faculty member. Transparency is necessary to maintain trust. Therefore, written documents created during the tenure, promotion and post tenure review process, except confidential evaluations and other materials agreed to by all parties in advance as confidential, will be made available to the candidate in a timely manner. The letter of recommendation sent by the P&T Committee to the Home College Dean and other College Deans where a faculty member has an appointment is not considered confidential.
5. In the event that the promotion, tenure and post tenure review procedures in the individual College are found to be in conflict with the University Faculty Handbook, provisions of the University Faculty Handbook will prevail.
6. Until tenure is awarded, tenure track faculty will be granted yearly renewable contracts subject to the results of the annual review, which may include an interim review, of the faculty member’s progress toward tenure.

The following pertain to faculty hired on or after July 1, 1998.

7. Only faculty at the level of Assistant Professor and above who are full time at WesternU are eligible to apply for tenure.
8. Normally, the probation period for tenure is six (6) years. Credit toward tenure can be awarded for prior relevant academic experience at other institutions. Criteria for awarding credit toward tenure shall be established by the faculty of each College. These criteria must be approved by the College’s Dean and the Provost.
9. Prior to attaining tenure, annual evaluations of tenure-track faculty should include a review of the faculty member’s progress toward achieving tenure.
10. If tenure is granted, the faculty member will be issued a contract of continuous and indefinite duration subject to termination only for adequate cause, as stipulated by

the Faculty Handbook (see Section III, Part J, "Adequate Cause for Dismissal") and defined by each College.

11. If tenure is denied to a faculty member, the faculty member is ordinarily given a one-year terminal contract. If the Provost defers the tenure decision, written documentation to the candidate must specify the date for resubmission and specific goals and criteria to be fulfilled prior to reconsideration for tenure.
12. All tenured faculty members will undergo post-tenure reviews per the criterion-based review process developed by their respective Colleges. The post-tenure review period must not exceed six years except by special permission of the Dean and Provost, and should be designed to advance faculty development and growth.
13. Faculty members hired prior to July 1, 1998, may elect to undergo the post- tenure review process as stated above.
14. In the event that the post-tenure review is not favorable to the faculty member, the Faculty Evaluation Committee (FEC)/Promotion and Tenure (PT) Committee will include a report outlining recommendations for actions that he/she should take to remediate his/her performance.

    A plan of remediation, with a specified time period for completion (of no more than two years) will be devised by the FEC/PT Committee in consultation with the faculty member and his/her Dean. The remediation process will be directed toward the growth and development of the faculty member.
15. Following the specified time period, the FEC/PT Committee will evaluate the faculty member's progress toward achieving the goals specified in the remediation plan. If the FEC/PT Committee finds that remediation has been unsuccessful, the Committee must recommend one of the following: (1) termination of continuous employment subject to demonstrating adequate cause as stipulated by the Faculty Handbook and defined by each College, or (2) the transferal of the faculty member to a non-tenured status.
16. A faculty member who has been denied tenure, or whose continuous appointment has been terminated after review, may appeal that decision using the grievance procedure outlined in Appendix II (above).
17. Policies related to the Tenure Clock and Faculty Leave:
    - Sick Leave/Emergency Leave – Tenure clock stops until return.
    - Military Leave – Tenure clock stops until return.
    - Leave of Absence without Pay – Tenure clock stops until return.
    - Family and Medical Leave – Tenure clock stops until return.
    - Scholarly Leave/Sabbatical Leave – this is faculty development and contributes to fulfilling requirements for tenure; Tenure clock continues.
    - 100% Administrative Appointment – Tenure clock stops until return to faculty status.
    - Less than 100% Administrative Appointment – Tenure clock continues.

- All of the policies related to the tenure clock shall apply to post-tenure review timelines as well.