



**ROOSEVELT  
UNIVERSITY**

Handbook of the  
University Faculty

## Table of Contents

<b>Part I: The University Faculty</b> .....	2
<i>Section A: Membership of the University Faculty</i> .....	2
<i>Section B: Duties of the University Faculty</i> .....	2
<i>Section C: Appointment Procedures</i> .....	7
<i>Section D: Leaves</i> .....	10
<i>Section E: Separation from Employment</i> [pending review of the Senate Executive Committee]	
<b>Part II: Officers of the University Faculty</b> .....	16
<i>Section A: Leaders of the University</i> .....	16
<i>Section B: Academic Leaders</i> .....	17
<i>Section C: Leaders of Academic Units within a College</i> .....	20
<i>Section D: Evaluations of Officers of the University Faculty</i> .....	21
<b>Part III: Legislative Bodies</b> .....	22
<i>Section A: The University Senate</i> .....	22
<i>Section B: Committees of the University Senate</i> .....	23
<i>Section C: Faculty Members of the Board of Trustees</i> .....	25
<i>Section D: Committees of the University</i> .....	25
<i>Section E: The College Councils</i> .....	29
<b>Part IV: Grievance Procedures</b> .....	31
<i>Section A: Purpose</i> .....	31
<i>Section B: Applicability of Grievance Procedure</i> .....	31
<i>Section C: Grievances: Informal Process</i> .....	33
<i>Section D: Grievances: Formal Process</i> .....	36
<i>Section E: Grievance Appeal Procedure Applicable to Dismissals for Cause</i> .....	38
<i>Section F: Modifications of Procedures or Timelines</i> .....	42
<b>Part V: Reappointment, Tenure and Promotion</b> .....	43
<i>Section A: Standards for Reappointment, Tenure and Promotion</i> .....	43
<i>Section B: Procedures for Reappointment, Tenure and Promotion</i> .....	44
<i>Section C: Reappointment, Tenure and Promotion Timeline</i> .....	45
<u>Part 1</u> : for Non-Tenure-Track appointments including Instructors, Lecturers, Senior Lecturers and clinical faculty standing for Reappointment.....	46
<u>Part 2</u> : for Tenure-Track appointments including Assistant, Associate, and Full Professors standing for Reappointment.....	50
<u>Part 3</u> : for Tenure-Track appointments including Assistant, Associate, and Full Professors standing for Reappointment.....	55
<u>Part 4</u> : for tenured Associate Professors standing for Promotion to Full Professor.....	61
<b>Part VI: University Policies and Procedures</b> .....	66
<b>Part VII: Amendments to the Handbook of the University Faculty</b> .....	67

## PART I: THE UNIVERSITY FACULTY

### SECTION A Membership of the University Faculty

The membership of the University Faculty shall consist of three groups:

1. Tenured faculty.
2. Tenure-Track faculty.
3. Non-Tenure-Track faculty (excluding adjunct faculty).

### SECTION B Duties of the University Faculty

*For tenured or tenure-track faculty:* Usual job responsibilities include teaching (60 percent), scholarship (20 percent), and service (20 percent). The mix of these responsibilities may vary depending upon individual circumstances; however, the expected teaching portion is equivalent to 18 semester hours per academic year. Special consideration for calculating teaching loads apply to programs utilizing laboratory, clinical, field study, or applied performance study by students. At the recommendation of the dean and with the approval of the provost and executive vice president (provost/EVP), percentages and ratios can vary based on the needs of the College and/or the University. Any variations from these standard percentages or ratios, or any special assignments intended to be treated as a significant part of a faculty member's core job responsibilities (e.g., work as a program director) shall be set forth in a faculty member's initial appointment letter or in subsequent letters executed by the provost/EVP.

*For non-tenure-track faculty, including visiting faculty:* Usual job responsibilities include teaching (80 percent) and service (20 percent). The ratio of these responsibilities may vary depending upon individual circumstances; however, the expected teaching portion is equivalent to 24 semester hours per academic year. Any variations from these standard percentages or ratios, or any special assignments intended to be treated as a significant part of a faculty member's core job responsibilities (e.g., work as a program director) shall be set forth in a faculty member's initial appointment letter or subsequent salary or reappointment letters executed by the provost/EVP.

#### **Teaching**

University Faculty accept as a primary career obligation the dissemination of knowledge and the nurturing of a spirit of inquiry throughout the community. University Faculty demonstrate a high overall level of teaching effectiveness and sufficient rigor with appropriate weight given to

performance in each of the various forms of teaching that are important to the respective programs of their colleges. Command of the subject, clarity in communication, and sensitivity to the needs of students are indispensable assets of effective teachers. University Faculty must possess to a high degree both the skills required to transmit the content of their disciplines and the capacity to motivate an active pursuit of new knowledge or insight among students. Such skills and capacities spring from the same abilities that lead to successful scholarly inquiry.

#### Academic Teaching Year

The academic teaching year for faculty begins on the 15th day of August and ends on the 15<sup>th</sup> day of May. It is the responsibility of each faculty member to be available for all appropriate University duties during the academic year. Colleges and programs may adopt alternate Academic calendars to meet the curricular needs and those calendars may supersede the “usual” academic teaching year.

#### Overload Teaching

Overload teaching should be kept within reasonable limits in order that proper attention may be given to all classes and to other required duties, including research, service, and creative work. In order to focus on scholarship, faculty should generally refrain from overload teaching. Compensation is provided for overload teaching.

#### Summer Teaching Load

Generally, no University Faculty member may teach more than two courses in any combination of summer terms, except in colleges and/or programs where the summer is part of an organized year-long academic calendar.

University Faculty teaching summer courses are expected to advise students or provide other forms of University service during the summer as approved by the dean of the college. A minimum of 20 hours of advising or service are expected for each course taught.

#### Load Reduction

Load reductions may be authorized for specified research projects; special service; or for performance of administrative functions such as chairmanships, advising, or program direction. Load reduction may be granted only by the provost/EVP, on recommendation of the leader of the academic unit and college dean.

### Absences From Classes

If it is absolutely necessary to miss a class session, the instructor must contact the Department Chair and arrange for a substitute or a make-up session.

1. In the event of an unexpected absence, the faculty member should visit the following webpage in order to notify the Department Chair:  
<http://www.roosevelt.edu/Provost/InfoForFaculty.aspx>
2. In the event of an expected absence other than for religious observances, other members of the academic unit or an acceptable outside substitute must be secured to meet classes. It is the instructor's responsibility to arrange for such a substitute. In the event an instructor experiences an extended illness requiring a long-term substitute, the University will pay the substitute's compensation for a period up to one semester. Substitutes may only be compensated by the University and may not receive direct or indirect compensation from individual faculty members. Arrangements and compensation must be recommended by the college dean and approved by the provost/EVP.
3. Instructors who are absent for religious observances must clearly inform their classes ahead of time, must include the planned absence on the syllabus, and must notify the program head prior to the date of expected absence. Instructors absent for religious observances must also arrange for a substitute, reschedule the class at a suitable time, or make special assignments for the time missed.

### Syllabi

A course syllabus is required for all University courses (see <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx> for template) and should set forth, as accurately as possible, the materials and subjects to be covered during the course, the grading protocols for the course, and the attendance expectations for the course. Preparation of accurate and substantive syllabi is an important responsibility of University faculty. The syllabus is an important source of information for students regarding course expectations and University policies. Any significant changes to a syllabus, once a course or semester begins, must be cleared with the dean or department chair before being implemented, in order to ensure that prerequisites and student expectations are being properly met.

### Independent Study

Independent Study is a 1 to 6 semester hour course which is proposed by a well-prepared student who wishes to pursue a specific advanced scholarly topic that is not available as an existing, catalog course. The student must submit a written proposal, endorsed by a faculty sponsor, for approval by the dean. This type of study is largely the responsibility of the initiating student, and overseen by the faculty sponsor. Full-time faculty members are not compensated for overseeing an Independent Study. Generally, part-time faculty/adjuncts do not supervise Independent Study courses.

### Course-by-Arrangement

A course-by-arrangement is a required course listed in the University Course Catalog that is taken outside of the scheduled class by an individual student or a small group of students due to extraordinary circumstances. University Faculty are compensated for a Course-by-Arrangement at the same level as the highest RAFO (Roosevelt Adjunct Faculty Organization) rate. Extraordinary circumstances include:

1. Cancellation due to low enrollment of a regularly scheduled upper division or graduate level class that must be completed by the student in that semester for timely progress towards degree completion.
2. No other course can reasonably be substituted.
3. A course, not offered in a particular semester, needed by a student for graduation when there is a valid, documented reason the student did not take the course when last offered. Conflicts with personal or work schedules do not constitute a valid reason to have failed to take a regularly scheduled course.

### **Scholarship**

All tenured and tenure-track University Faculty shall contribute actively to the intellectual growth and development of knowledge and the dissemination of that knowledge. Tenured and tenure-track University Faculty are expected --and all University Faculty are encouraged -- to develop research projects and disseminate research findings (*e.g.* basic and applied research, pedagogical research, clinical research, patient-oriented, and creative work) through presentations, publications, and performance. Individual Colleges may develop and implement more detailed expectations for scholarship and research projects appropriate to specific disciplines. See college specific criteria:

- College of Arts and Sciences:  
<http://www.roosevelt.edu/CAS/Faculty.aspx>
- Heller College of Business [website URL forthcoming]
- College of Education [website URL forthcoming]
- Evelyn T. Stone College of Professional Studies [website URL forthcoming]
- Chicago College of Performing Arts [website URL forthcoming]
- College of Pharmacy [website URL forthcoming]

## Service

University Faculty have mission-driven service obligations that go beyond research, scholarship, creative expression or teaching, particularly in college, departmental and university governance. In some circumstances (for instance, where a faculty member serves as a dean or program director), a faculty member's service obligations may constitute the majority of his or her responsibilities to the University. In some disciplines, also of great import is service through university outreach including professional service to the university, the community, as well as contributions to professional and learned societies. The expectation is that University Faculty will assume a fair share of service work and will perform it satisfactorily. Individual colleges or programs may adopt more specific requirements or expectations regarding the extent and significance of required service.

## General

### Presence at the University and Faculty Office Hours

A University Faculty's primary professional responsibility is to the University. University Faculty are expected to spend *at the University* (or in teaching at approved sites) a minimum of twenty-five hours per week distributed over three or more days for teaching, advising students, and rendering service to the University, including at least three hours per week of office hours. For the convenience of students, office hours must be noted with specificity on the course syllabi, posted on the University directory, and provided to the department chair's office.

### Attendance at Commencements and Convocation

University Faculty are expected to attend commencements and convocations. The academic attire for holders of degrees is to be worn. The University will purchase standard attire for each attendee. For those who wish to purchase attire of different quality or style, the University provides a cost sharing arrangement through the provost/EVP's Office.

### FAR (Faculty Activity Report)

All University Faculty members are required to submit a Faculty Activity Report (FAR) during the spring term reflecting on and reporting their activities for the year with regard to teaching/advising, scholarship, and service. The FAR is an ongoing process for goal setting, self-evaluation, and annual departmental and College performance evaluation. The FAR should reflect the full range of a faculty member's activities on behalf of the University, including administrative assignments performed on behalf of an individual program or College or the University as a whole.

## SECTION C Appointment Procedures

### **Initial Appointment**

A critical task of the faculty is the recruitment, hiring, and development of new University Faculty members. These individuals create the core of the academic community who will teach, lead, and inspire the student body and their colleagues. To accomplish this task it is the work of the Academic Unit, dean, and provost/EVP to conduct thorough and rigorous searches, which yield outstanding members of the community.

The Academic Unit and the dean will confer on academic needs and strategic direction of the Unit. The dean then takes the recommendation of the departments in his/her college to the provost/EVP for consideration. The provost/EVP considers the recommendations of all college deans and approves the annual University Faculty recruitment plan based on budget allocations and the strategic goals of the University.

Academic Units shall recruit, interview, and assess candidates. Normally three candidates are brought to campus and are interviewed by the Academic Unit, the dean, and the Office of the Provost and Executive Vice President. The search committee reports their findings to the dean. The dean gives his/her recommendation to the provost/EVP and he/she gives final approval for hiring. Only the provost/EVP or designee is authorized to issue offer or appointment letters to perspective faculty or visiting faculty; all terms and conditions of employment must be set forth in the provost/EVP's letter and may not be modified or supplemented by the individual program, department, or college.

Detailed processes for the recruitment and hiring of faculty can be found at <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx>.

Initial appointments for tenure-track faculty are normally four academic years. If reappointed, faculty members are normally provided three-year academic appointment. Non-tenure-track faculty normally receive entry level appointments for an initial term of three academic years. If reappointed, a non-tenure-track faculty member would normally receive a contract of from three to five academic years. There is no limit to the number of times an individual non-tenure-track faculty member may be reappointed.

### **Joint Appointments**

On the recommendation of the appropriate Academic Unit heads, deans, and the provost/EVP, the president may authorize the appointment of a University Faculty member to more than one Academic Unit and/or College. The appointment by the president will stipulate the title to be held by the faculty member, the Academic Unit and/or college which will have primary control over the faculty member's duties, and in which the faculty member is to hold voting rights.

### **Joint Administrative and Faculty Appointments**

The Board or President may appoint an administrator or University Faculty member to a joint administrative and faculty appointment. Depending upon the nature of the administrative appointment, such an appointment may carry with it a partial or complete remission in teaching duties, with faculty rank and tenure status retained, while the faculty member serves as an administrator. Such an appointment may also carry with it an option on the part of the administrator to return to the faculty if he or she is removed from the administrative position for any reason other than gross misconduct.

The specific terms of a joint appointment, including any right to return to the faculty upon removal from the administrative position, will be detailed in an appointment letter issued by the University at the beginning of the administrative appointment. Circumstances in which administrators on a joint appointment are removed for gross misconduct are further addressed in the dismissal provisions set forth in Section E, Separation Procedures, below.

### **Compensation**

Annual compensation (salary and benefits) is indicated in contracts or in salary increase letters. Individual salary information is not disclosed to

other University employees except on the explicit permission of the individuals to whom the salaries are paid and for ordinary business operations.

### **Work Outside the University**

A University Faculty member's primary professional responsibility is to the University. No outside commitment of time (including but not limited to self-employment, consulting or employment in a second job) that precludes a person from being available for University assignments will be permitted. It is the prerogative of the University (through the appropriate dean) to determine whether outside commitments will be approved or not.

Written approval for any outside employment (which does not include charitable work or personal commitments) must be received annually from the appropriate dean. Any questions as to whether a particular outside commitment requires prior approval should be addressed to the appropriate dean. Failure to obtain or to abide by the limitations of such written approvals constitutes employment misconduct by faculty members and may result in discipline, up to and including dismissal from employment.

The following standards govern the approval of outside employment:

1. Outside work should be consistent and compatible with the academic training and prestige of the academic profession.
2. No outside employment shall be competitive with any academic program of the University; this precludes outside employment with any other post-secondary academic institution or entity that operates programs similar to or competitive with those of the University. In addition, no outside employment shall utilize the premises of the University.
3. There shall be no implication that the University sponsors a faculty member's outside activity.
4. Outside work does not justify any employee's spending less time on campus than is required and does not excuse neglect of any University obligation normally expected of the employee, including office hours, committee work, registration assignments, etc. Failure to meet these core University obligations may justify immediate revocation of any prior written approval of outside employment.

5. Generally, outside work requiring more than an average of 12 hours per week shall be presumed to impinge on the employee's obligations to his/her primary position with the University, and approval for such work will not be granted.
6. Any outside work that conflicts or interferes with scheduled classes or other University commitments will not be allowed.
7. In accepting outside employment, University Faculty must avoid conflicts of personal interest with the interests of the University or with those of an outside agency sponsoring research or other work in which the faculty member is engaged. (see Conflict of Interest Policy in Section C). Outside employment that threatens to create such a conflict or even the appearance of impropriety will not be approved. In addition, where conflicts or possible conflicts develop as a result of new grants or opportunities undertaken by the University, written approval may be rescinded for outside employment that has been previously approved.

### **Visiting Professorships and Faculty Exchanges**

The University looks with favor upon faculty exchanges and visiting professorships. Proposals for visiting professorships and exchanges are processed in the same way as new appointments. In the case of exchanges, the negotiations are ordinarily carried on by the leader of the Academic Unit or the person who wishes to participate in the exchange, with full consultation of the dean and other concerned parties and approval of the provost/EVP before any agreements are made.

Visiting faculty may be hired on a one-year basis to fill a critical vacant full-time faculty position or to bring special expertise or distinction to the University. Offer and appointment letters for visiting professors or faculty exchanges may only be issued by the provost/EVP and may not be modified or supplemented by individual programs, departments, or colleges.

### **SECTION D Leaves**

Roosevelt University makes provisions for leaves in the following categories: University sponsored research; professional leaves; personal leaves; and medical leaves. With the exception of medical leaves, faculty

may apply for research, professional and personal leaves no more often than every three years.

### **University Research Leaves**

If approved by the Board of Trustees, the University Research and Professional Improvement Leave Committee is convened by the provost/EVP will invite applications for research and professional improvement leaves. Research leaves are granted by the president on the recommendation of the provost/EVP who is advised by the University Research and Professional Improvement Leave Committee.

Research leaves are available to any full-time member of the faculty with two or more years of service. Faculty on research leave receive salary and regular benefits for one semester. Priority is given to applications from tenure-track faculty.

Normally a leave of absence will not be granted to more than one person from any one academic unit in any given semester.

Recipients of both research and professional improvement leaves are required to execute agreements, prior to commencing leave, whereby they agree to return to Roosevelt University for at least one year following the leave or, if not, repay the University for the full cost of compensation (including benefits) paid to the faculty member during the leave. When leaves are available, full details and criteria for applications will be sent to all eligible faculty by the Office of the Provost/EVP.

### **Professional Leave**

Upon the recommendation of the college dean, the provost/EVP may grant a leave with up to full compensation for a period not exceeding one academic year to a full-time member of the faculty or *if* such applicant has been awarded a professional grant, award, or fellowship (e.g., Fulbright, Guggenheim) from a nationally recognized foundation or government agency.

Recipients of professional leaves are required to execute agreements, prior to commencing leave, whereby they agree to return to Roosevelt University for one academic year following completion of the leave or, if not, repay the University for the full cost of compensation (including benefits) paid to the faculty member during the leave period.

Other professional leaves may be granted, normally without compensation, upon the recommendation of the college dean and only as approved by the provost/EVP.

### **Personal Leave**

The provost/EVP, upon the recommendation the dean of a college, may grant a leave without pay to members of the faculty for a period not exceeding one academic year. Such personal leave may be granted if the following conditions are met:

1. The applicant applies in writing and such application has the approval of the chair and the appropriate dean.
2. The college dean and department chair states in his/her approval that it is possible to operate the academic unit at the usual standard or level during the period of the applicant's absence.

Normally a personal leave will not be granted to more than one faculty member in any one academic unit in any given semester.

Roosevelt University's medical benefits will be available to persons on personal leave under the same terms and conditions available to faculty on active duty.

### **Medical Leave**

For medical leave policies, please see the Human Resources policies on Sick Leave, Time-Off/Leaves of Absence, and the Family and Medical Leave Act policy.

### **Retirement**

Because the University must plan for coverage of coursework, administrative functions, and other faculty responsibilities, faculty members are urged to communicate retirement intentions to their college dean one year in advance of the expected retirement date. Faculty should contact Human Resources for retirement details, which can be found on <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx>. Tenure terminates as of the date of retirement.

The University's current benefits plan includes in its medical insurance program any retired faculty member who, at the time of retirement from all full-time employment, has served as a full-time member of the

University Faculty for a minimum of five consecutive years. The retiree, however, must reimburse the University for the cost of the premiums. The University reserves the right to modify benefits plans going forward, consistent with applicable law.

### **Emeriti Status: Faculty**

1. Emeriti status is granted, at the discretion of the University and upon recommendation of the college dean and provost/EVP, to those who have contributed measurably to Roosevelt University. It is honorific and intended to recognize career contributions to the University and its well-being.
2. Those eligible are University Faculty members who have served 10 years or more at Roosevelt University. Upon recommendation of the provost/EVP, the president may make exceptions to this rule.
3. Rank will be the same as held by the faculty member during employment at Roosevelt (*e.g.* associate professor emeritus/emerita).
4. Emeriti status begins immediately upon retirement and entitles the honoree to continued library access and Roosevelt email. At the discretion of the academic unit, emeriti faculty members may be invited to participate in college committee work (with the exception of committees that make personnel recommendations and curricular decisions), to advise students, to supervise graduate theses, to serve on thesis committees, and to participate in curriculum development. Emeriti status does not entitle the recipient to space, personnel, or equipment unless such a request is submitted and approved by the college dean and provost/EVP.
5. Professors emeriti will be invited to participate in or attend major University ceremonies or events including convocation and commencement.
6. Professors emeriti, but not their families, are eligible to enroll in courses tuition free at Roosevelt University.
7. Professors emeriti may teach and will be compensated at the highest RAFO rate.

### **Academic Personnel File**

The academic personnel file will be maintained in the Office of Human Resources. Materials in the file at the time of initial appointment include: University application form, academic unit recommendation, complete transcript, letters of reference. The faculty member should have access to

all parts of this file except designated confidential external letters of recommendation deposited in the file for use in the promotion and tenure process (which are normally kept for five years after the tenure and promotion process). Other documentation relating to the faculty member's employment with the University and decisions made by the University regarding faculty compensation, advancement, and renewal will also be included. To review his/her personnel file, a faculty member should contact the Office of Human Resources.

### **Indemnification**

Roosevelt University's current policy regarding indemnification of its employees is set forth below:

BE IT HEREBY RESOLVED, that Roosevelt University shall indemnify any person who was or is a party or is threatened to be made a party to any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative (other than an action against said person by Roosevelt University) by reason of the fact that he/she is or was a trustee or employee of Roosevelt University. The indemnification shall be against expenses (including attorneys' fees), judgments, fines and amounts paid in settlement actually and reasonably believed to be in or not opposed to the best interests of Roosevelt University. With respect to any criminal action or proceeding, indemnification will be made provided said person had no reasonable cause to believe his conduct was unlawful. The termination of any action, suit or proceeding by judgment, order, settlement, conviction, or upon a plea of *nolo contendere* or its equivalent, shall not, of itself, create a presumption that the person did not act in good faith and in a manner which he/she reasonably believed to be in or not opposed to the best interests of Roosevelt University, and, with respect to any criminal action or proceeding, had no reasonable cause to believe that his/her conduct was unlawful.

No one shall be indemnified under this resolution for any issue or action in which he/she shall have been adjudged to be liable for misconduct in the performance of his/her duty to Roosevelt University. The determination as to whether such person shall have been adjudged to be liable for misconduct shall be made by the president of the University except in instances involving the president or a member or members of the Board of Trustees. Judgment of misconduct by the president or by a trustee or trustees of the University, if alleged, shall be made by the Board of Trustees by a majority vote of trustees who are not parties to such action. If misconduct of the entire Board acting collectively is alleged, the determination of an independent legal counsel appointed by the president

and the chairman of the board will be requested. The determination of whether a person has been adjudged to be liable for misconduct in the performance of his/her duty to Roosevelt University will not be limited to strict rules of construction but such determination will apply liberal rules of construction so as to do substantial justice.

Attorneys' fees and expenses incurred in defending a civil or criminal action suit or proceeding will be paid by Roosevelt University and said attorneys' fees and expenses may be paid by Roosevelt University in advance of the final disposition of such action, suit or proceeding as authorized by the Board of Trustees in the specific case upon receipt of an undertaking by or on behalf of the director, officer, employee or agent to repay such amount if it shall ultimately be determined that he/she is not entitled to be indemnified by the University as authorized in this resolution. However, no attorney's fees or expenses will be reimbursed unless the attorney to be retained has been approved in advance of incurring any fees by the president for faculty, administrator, or employee indemnification, or by the chairman of the Board of Trustees for the president or board member indemnification.

The indemnification provided by this resolution shall not be deemed exclusive of any other rights to which those seeking indemnification may be entitled under any by-law, agreement, vote of disinterested trustees or otherwise, both as to actions in his/her official capacity and as to action in another capacity while holding such office, and shall continue as to a person who has ceased to be a trustee or employee of the University and shall inure to the benefit of the heirs, executors and administrators of such a person.

#### SECTION E Separation Procedures

[pending review by the Senate Executive Committee – will be available for review shortly]

## PART II: OFFICERS OF THE UNIVERSITY FACULTY

### SECTION A Leaders of the University: the President, the Provosts

#### **The President**

The president shall be the principal executive officer of the University and shall in general supervise and control all of the business and affairs of the University. He or she shall be a voting *ex-officio* member of the Board of Trustees, an officer of the Board of Trustees, and chief administrative officer of the University.

The president shall be the head of all sections of the University, exercising such supervision and direction as will promote their efficiency and effectiveness, in fulfillment of the University's mission; shall be responsible for the discipline of the University; shall be a voting *ex-officio* member of the University Senate and of the various college councils; shall be the official medium of communication between the faculty and the Board of Trustees, and between the students and the Board of Trustees, except as herein otherwise provided; and shall be responsible for carrying out all measures officially agreed upon by the Board of Trustees.

The Board of Trustees conducts the search for the President. There will be tenured faculty members and representatives from the staff and student body on the search committee.

#### **The Provost and Executive Vice President**

The provost/EVP shall be the chief operating officer and chief academic officer of the University after the president. In the temporary or short-term absence of the president, the provost/EVP shall perform the duties of the president, and when so acting, shall have all the powers of and be subject to all the restrictions placed upon the president. The provost/EVP is appointed by the president upon the recommendation of the relevant University search committee.

The search committee shall consist of:

- 2 tenured faculty members from the College of Arts and Sciences, and 1 tenured faculty member from each of the remaining colleges, all elected by college councils
- 2 faculty members and a dean chosen by the president
- 2 students, one elected by the Student Government Association of the Chicago campus and one elected by the Student Government Association of the Schaumburg campus

- 2 Administrative Assembly members (1 appointed by the president and 1 elected by the Administrative Assembly)
- 1 Board of Trustees member appointed by the president

### **The Schaumburg Campus Provost**

The Schaumburg Campus provost provides leadership, experience, energy and intellectual vision to advance the mission and institutional commitment to Roosevelt University's Schaumburg Campus in service to the Northwest suburbs and beyond. The position is responsible for establishing strategic alliances and partnerships with key individuals, municipalities, community colleges, organizations and corporations; improving linkages between the University and the community connections of the faculty and staff; and strengthening outreach to and programs for distinctive ethnic and cultural communities. The Schaumburg Campus provost creates a distinctive and fiscally stable campus in collaboration with the entire University community.

The search committee shall consist of:

- 2 tenured faculty members from the College of Arts and Sciences, and 1 tenured faculty member from each of the remaining colleges, all elected by college councils
- 2 faculty members and a dean chosen by the president
- 2 students, one elected by the Student Government Association of the Chicago campus and one elected by the Student Government Association of the Schaumburg campus
- 2 Administrative Assembly members (1 appointed by the president and 1 elected by the Administrative Assembly)
- 1 Board of Trustees member appointed by the president

## SECTION B Academic Leaders

### **The College Deans**

College deans are the chief academic, fiscal, administrative, and fundraising officers of the colleges they serve. They shall provide leadership in the maintenance and improvement of educational standards and practices within their respective spheres by working with faculty to create an environment of intellectual excellence.

They shall implement and carry out such academic and administrative policies as are determined by the Board of Trustees, president, provost/EVP, Schaumburg Campus provost, University Senate, their colleges, and their academic units.

All college deans serve as members of the Deans Council and report directly to the provost/EVP.

Responsibilities of the college deans include, but are not limited to:

- Serving all students at the highest possible levels and supporting excellence in every program.
- Recruiting and retaining appropriate students.
- Promoting excellence and diversity in recruiting and retaining faculty and staff.
- Assuring fiscal responsibility and accountability.
- Serving as spokesperson and advocate for their colleges and programs both inside and outside the college.
- Raising funds for the continued growth and excellence of their colleges and programs.

All college deans are appointed by the president upon the recommendation of the provost/EVP and the search committee.

The search committee for a college dean will consist of:

- 4 faculty members from the Executive Committee of the college chosen by the Executive Committee
- 1 faculty member from outside the college appointed by the provost/EVP
- 1 representative from the student body of the college chosen by the provost/EVP
- 1 associate/assistant dean of the college elected by the College Council
- 1 college dean chosen by the provost/EVP

#### **Vice Provost for Faculty and Academic Administration**

The vice provost for faculty and academic administration supports the mission and goals of the University through his/her work with the provosts and college deans. The vice provost works to build and ensure academic excellence through operationalizing the policies and directives of the Board of Trustees, president, provost/EVP, Schaumburg Campus provost, college deans, and University Senate.

The vice provost and his/her staff oversee the recruitment of full-time faculty, the reappointment, tenure, and promotion processes, the adjunct (part-time) faculty union (RAFO), student grievances, efficient and effective course scheduling, the Honors Program, all research and grant

activities, the Center for Teaching and Learning, the undergraduate and graduate curriculum, summer session, program review, accreditation and assessment activities, retention initiatives, and new University Faculty and new adjunct (part-time) faculty orientation.

The vice provost reports directly to the provost/EVP and those reporting to him/her include, but are not limited to the associate provost for undergraduate studies and director of the Center for Teaching and Learning, and the associate provost for research and graduate studies.

The search committee for the vice provost for faculty and academic administration shall consist of:

- 2 University Faculty members from the College of Arts and Sciences and 1 University Faculty member from each of the other colleges, all elected by their respective College Councils
- 1 college dean appointed by the provost/EVP
- 1 associate dean appointed by the provost/EVP

#### **The Associate Provost for Undergraduate Studies and Director of the Center for Teaching and Learning**

The associate provost for undergraduate studies and director of the Center for Teaching and Learning works with faculty and administrators to support the university's mission through support for activities that enhance faculty members' teaching skills and awareness of best practices and innovation in university teaching. Additionally, the associate provost for undergraduate studies oversees undergraduate programming, the Undergraduate Council and the Committee on Academic and Student Life, as well as the Academic Advising and Assessment Center.

- All University Faculty members of the Senate Executive Committee
- 1 college dean and 1 associate dean from a different college appointed by the provost/EVP

#### **The Associate Provost for Research and Graduate Studies**

The associate provost for research and graduate studies works with faculty and administrators to increase external support for research, education, and other sponsored activities; promote interdisciplinary research; and enhance faculty development. Additionally, the vice provost for research and dean of graduate studies oversees graduate programming, the Graduate Council, graduate assistantships and scholarships, theses and dissertations, and student academic standing.

The search committee for the vice provost for research and dean of graduate studies shall consist of:

- All University Faculty members of the Senate Executive Committee
- 1 college dean and 1 associate dean from a different college appointed by the provost/EVP

## SECTION C Leaders of Academic Units within a College

### Academic Unit Management

The leaders of academic units must be University Faculty and may include but are not limited to associate deans, department chairs, and program directors. These academic leaders are appointed by the provost/EVP upon the recommendation of the college dean and the University Faculty of the academic unit.

The leaders of academic units shall implement and carry out such academic duties and policies as are determined by the dean of the college, University Senate, by their college council, and by the University Faculty of their academic units, and such administrative duties as are assigned to them. Leaders of an academic unit normally receive an adjustment in teaching load and/or compensation.

### **Associate Deans**

Working with the Dean and faculty, associate deans provide academic, student affairs, and operational leadership. In addition, they execute policies, procedures, and practices of the colleges by establishing and sustaining functional relationships across the university in the academic and administrative interests of the college.

### **Department Chairs**

Department chairs will provide leadership in the improvement of educational standards and practices within their respective disciplines. Duties include but are not limited to: scheduling classes; overseeing and mentoring faculty of the department; overseeing curriculum; proper expenditure of budget; student advising; and other duties pertaining to the discipline/s; hiring of adjunct faculty; supervision of teaching; and graduate admission.

### Appointment of Leaders of Academic Units

Associate deans shall be recommended by the dean of the college and appointed by and serve at the pleasure of the provost/EVP.

Department chairs, program directors, coordinators, and heads are appointed by and serve at the pleasure of the dean of the college.

Searches for academic leaders may be internal or external. External searches require the approval of the provost/EVP and will adhere to normal search guidelines.

For internal searches, the dean shall notify the full-time voting members of an academic unit in which the position of leader is to be filled and ask for nominations. The dean of the college shall poll the full-time voting members of the academic unit by secret ballot on these nominations.

In case the dean of the college wishes to appoint someone to be leader who has not received a majority of the votes cast by full-time members, the dean shall discuss their choice with the academic unit before making the appointment.

Leaders of an academic unit normally receive an adjustment in teaching load and/or compensation.

#### SECTION D Evaluations of Officers of the University Faculty

The president, the provost/EVP, the Schaumburg Campus provost, college deans, and the vice provost for faculty and academic administration shall be subject to evaluation at the midpoint of each contract. The evaluations shall be developed and overseen by the Senate Executive Committee and administered by the provost/EVP's office.

In the case of evaluation of the president, the Chairman of the Board of Trustees or his/her designate will report to the Executive Committee of the Senate on how results were utilized. The president or the provost/EVP shall discuss with the Senate Executive Committee and report to the Senate how the results were utilized for all others evaluated.

## PART III: LEGISLATIVE BODIES

### SECTION A The University Senate

*Authority, duties, and responsibilities of the University Senate, see Article III, Legislative Bodies, Section A, University Senate, in the Constitution of the University Faculty.*

#### University Senate Schedule

Regular meetings of the University Senate will be normally held on the third Friday of the month from September to April when the University is in session. The dates, times and locations of these meetings shall be determined a year in advance, with the announcements made each September for the meetings in the next academic year. The Executive Committee of the University Senate may, by giving one week's advance written notice to all members, move the date of any given meeting forward or back as many as seven days. The chair of the Senate, in consultation with the Executive Committee, shall prepare the agenda for University Senate meetings and circulate the proposed agenda a week prior to meetings. The chair of the Senate may revise the agenda if new business of importance arises during the said week; and the University Senate may, by consent or majority vote, change the agenda, but in every case the agenda shall include the item of "new business."

Other meetings of the University Senate may be called by the president, by the provost/EVP, by the Executive Committee of the University Senate, or upon petition of one-fourth of the membership of the entire University Senate addressed to one of these three.

Notices of special meetings of the University Senate must be emailed to all members so that the notices will be received one week before the meeting is to be held.

#### Quorum

At regular meetings of the University Senate a quorum shall consist of any number who are present. At special meetings a quorum shall consist of sixty per cent of the full-time voting members.

#### Determination of Composition of the University Senate

The University Senate shall consist of:

- Twenty percent of the full-time-equivalent faculty distributed proportionally among the colleges (each college shall have a minimum of one elected faculty member);

- One adjunct faculty member from each college elected by the adjunct faculty of that college;
- *Ex-officio* members with vote (president, provost/EVP, Schaumburg Campus provost, college deans, vice provost for faculty and academic administration, University librarian, associate provost for undergraduate studies and director of the center for teaching and learning, associate provost for research and graduate studies);
- Four members of the Administrative Assembly with each campus represented;
- One student elected by the respective Student Government Associations of each campus.

Other members of the University community may participate in Senate meetings, but they shall not have the right to vote.

Using faculty census data from the Fall semester of the academic year in which the election takes place, the Senate Executive Committee shall calculate, using the following formula (exclusive of independent studies and CBAs, the number of sections taught divided by six; in addition, in CCPA, where appropriate, the number of lessons taught divided by 18), the number of senators that each college is to elect. The Senate Executive Committee shall notify the college deans and the college council chairs of the numbers no later than February 1 of the academic year in which the election takes place. The colleges elect their senators in the spring.

## SECTION B Committees of the University Senate

Committees of the University Senate are defined as those committees that are elected by the University Senate. All committees of the University Senate must have as members at least one University Faculty member from each college. Other committees shall be elected by the Senate as needed.

### Executive Committee

The Executive Committee shall be the principal committee serving the University Senate. It shall investigate, deliberate, and recommend on all questions referred to it by the University Senate. The Executive Committee also may initiate and execute research into issues of interest to the University Faculty.

The Executive Committee shall consist of the following senators (each college must be represented by an elected University Faculty member):

- President, *voting ex-officio*;
- Provost/EVP, *voting ex-officio*;

- Schaumburg Campus Provost, *voting ex-officio*;
- Chair of the Senate;
- Vice Chair of the Senate;
- Secretary of the Senate;
- One member of the University Senate from each college elected by the University Senate;
- One adjunct faculty member;
- One Administrative Assembly member.

Executive Committee members shall be elected for two-year terms at the first regular meeting of each two-year term of the Senate.

#### The Faculty Issues Committee

The Faculty Issues Committee shall investigate, deliberate, and recommend on all questions concerning faculty that are:

- Referred to it by the Senate Executive Committee, or
- Referred to it directly by the Senate (a simple majority vote of senators), or
- Taken up on its own by a simple majority vote of the Faculty Issues Committee members.

In all cases the Faculty Issues Committee shall report back to the Senate Executive Committee on its recommendation(s) on each issue.

The Committee will consist of one university faculty member from each college and include the Chair of the Senate as a non-voting *ex-officio* member. The Committee members shall be elected for two-year terms at the first regular meeting of each two-year term of the Senate.

#### The Faculty Advisory Board on Retrenchment

The Senate shall elect a Faculty Advisory Board on Retrenchment upon the declaration of the president of a financial exigency. This committee will advise the president regarding general budgetary and programmatic considerations if, for reasons of financial exigency, the president (i) orders reductions in the number of faculty members, programs or academic divisions, or (ii) discontinues particular curricula leading to a degree. The President, provost/EVP, or other appropriate designee may also consult with this Board prior to terminating faculty employment consequent to financial exigency.

The Faculty Advisory Board on Retrenchment shall consist of nine tenured University Faculty members. All colleges must be represented.

#### Vacancies

When any elective office of the University Senate is declared vacant because of a member no longer being a member of the faculty or being unable to serve to the end of his/her term of office, an election to replace that member will be held. The same applies for faculty membership of the Board of Trustees.

### Section C Faculty Members of the Board of Trustees

The University Senate shall at its last regular meeting of the academic year elect two members of the faculty to the Board of Trustees for two successive years, and for each third year one member of the faculty to the Board of Trustees for terms of three years each, those elected taking office beginning with the next following annual meeting of the Board in place of those faculty trustees whose terms have expired.

In these elections there shall be open nominations and a secret ballot. The secretary of the University Senate shall, within five days after the election, inform the secretary of the Board of Trustees of the result of the election.

Per the Bylaws of Roosevelt University (Board of Trustees), "faculty members who hold administrative positions and thus serve at the pleasure of the President or the provost/EVP, are not eligible for election."

### Section D Committees of the University

Committees of the University are defined as those committees whose membership is elected wholly or in part from bodies other than the University Senate, such as college councils. Of these committees, the Undergraduate Council, the Graduate Council, and the Planning and Budget Committee report to the Senate.

#### The Undergraduate Council

The Undergraduate Council shall review and approve all new undergraduate majors, minors, concentrations, programs of study, certificates, and other programs. The Undergraduate Council also shall review and approve changes to requirements and other revisions to existing programs that affect more than one college. All other changes to undergraduate curricula shall be announced to the Undergraduate Council

for information purposes. Decisions of the Undergraduate Council require affirmation by vote at the University Senate.

Each College Council shall elect one tenured or tenure-track university faculty member for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following the spring election. *Ex-officio* members of the Council are the provost/EVP, the vice provost for faculty and academic administration (Council administrative liaison) and each college dean. The college dean may delegate his/her council authority and voting rights to an associate dean. The university librarian, the registrar, and director of advising shall be administrative resource persons for the Council. The Council shall elect a chair and a secretary at its first meeting of the academic year. The Council shall meet once each semester at the call of the vice provost for faculty and academic administration.

#### The Graduate Council

The Graduate Council shall review and approve all new graduate majors, certificates, and other programs as well as changes to requirements and other revisions to existing programs. Decisions of the Graduate Council require affirmation by vote of the University Senate.

Each College Council shall elect one tenured or tenure-track university faculty member for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following the spring election. *Ex-officio* members of the Council are the provost/EVP, the vice provost of research and dean of graduate studies (Council administrative liaison), and each college dean. The college dean may delegate his/her council authority and voting rights to an associate dean. The associate graduate dean, the university librarian, and the registrar shall serve as administrative resource persons for the Council. The Committee shall elect a chair and a secretary at its first meeting of the academic year. The Committee shall meet once each semester at the call of the vice provost of research and dean of graduate studies.

#### The Faculty Tenure Review Committee

Any faculty member denied indefinite tenure may petition the Faculty Tenure Review Committee for review subject to procedures in this Handbook.

The Faculty Tenure Review Committee shall consist of one tenured university faculty member from each college. Members are elected by the College Councils for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following

the spring election. Members cannot be anyone who holds an administrative position (e.g., president, provost/EVP, college dean, or associate dean) or any department chair.

For Faculty Tenure Review Committee policies and procedures please see Part V (Reappointment, Tenure, and Promotion) of this Handbook.

#### The Planning and Budget Committee

The University shall have in place processes and procedures that aid the institution in constructing a sound and strategic plan and budget. To that end, the president shall convene the Planning and Budget Committee. This committee works with the president, the provost/EVP, the senior vice president for finance & administration and chief financial officer (SVP/CFO), and the Schaumburg Campus provost to create the annual budget and to assure long-term strategic planning. The proposed annual budget is presented to the Board of Trustees for their evaluation, revisions, and ultimate approval.

The Planning and Budget Committee shall consist of two University Faculty members from each college and one member of the Administrative Assembly. University Faculty members are elected by the college councils for a two-year term during the spring semester of even numbered years. The Administrative Assembly member is elected by the Administrative Assembly for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following the spring election. The president, provost/EVP, SVP/CFO, and the Schaumburg Campus provost are *ex-officio* voting members. The provost/EVP and SVP/CFO are the co-chairs of the Committee.

#### The Research and Professional Improvement Leave Committee

When proposed by the Planning and Budget Committee and authorized by the Board of Trustees, the provost/EVP will convene the Research and Professional Leave Committee and invite applications for research leaves and summer research grants. The Committee will review all applicants and make recommendations for such leaves to the provost/EVP.

The Research and Professional Improvement Leave Committee shall consist of one research/professionally active tenured university faculty member from each college. Members are elected by the College Councils for a one-year term during the spring semester.

#### University Assessment Steering Committee (UASC)

The mission of the University Assessment Steering Committee (UASC) is to promote excellence throughout Roosevelt University academic and

non-academic units through the development of a faculty and staff led holistic assessment framework. The primary function of the UASC shall be to advise, support and oversee student-centered learning assessment processes. The overarching goal of the UASC is to create a culture of data-driven, continuous improvement and institutional effectiveness.

Membership of the UASC: The provost/EVP and Schaumburg Campus provost shall be *ex-officio* voting members. The committee shall be co-chaired by the associate provost for institutional research, assessment and accreditation and the associate provost for undergraduate studies and director, Center for Teaching and Learning. Each college shall have one representative on the committee chosen by the dean of the respective college. Additional members of the committee shall include the vice provost for faculty and academic administration, the associate provost for research and graduate studies, the associate vice president for student services, and the director of distance learning and instructional design.

#### Institutional Review Board (IRB)

The University shall have a university-wide Institutional Review Board (IRB) to review all university-affiliated research, in compliance with a regulations of the U.S. Department of Health and Human Services (45 CFR 46).

Members of the IRB shall be appointed by the president, upon recommendation of the provost/EVP, in consultation with the associate provost for research and graduate studies. Members will have backgrounds that allow them to conduct complete and adequate review of research activities commonly conducted at the University. The IRB shall be sufficiently qualified through the experience and expertise of its members, and the diversity of the members, including consideration of race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human research subjects.

The IRB will have at least five members, including:

- At least one member whose primary concerns are in scientific areas;
- At least one member whose primary concerns are in nonscientific areas;
- At least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution.

### Institutional Animal Care and Use Committee (IACUC)

The president shall appoint an Institutional Animal Care and Use Committee (IACUC), qualified through the experience and expertise of its members, to oversee the institution's animal utilization program, facilities, and procedures. The IACUC reports directly to the provost/EVP. The IACUC is also in charge of reviewing concerns involving the care and use of animals at the University and for making recommendations to the provost/EVP regarding any aspect of the University's animal utilization program, facilities or personnel training.

The IACUC Guidebook states the criteria for the Committee. The committee shall consist of not fewer than 5 members, 2 members of the University's science department, and shall include at least:

- one faculty member practicing scientist experienced in research involving animals;
- one Doctor of Veterinary Medicine, with training or experience in laboratory animal science and medicine, who has direct or delegated program authority and responsibility for activities involving animals at the institution (see IV.A.1.c.);
- one member whose primary concerns are in a nonscientific area (for example, ethicist, lawyer, member of the clergy); and
- one individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution.

An individual who meets the requirements of more than one of the categories detailed in IV.A.3.b.(1)-(4) of the IACUC Policy may fulfill more than one requirement. However, no committee may consist of less than five members. The administrative liaison shall be the associate provost for research and graduate studies.

See <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx> for policies and procedures.

### SECTION E The College Councils

Each college shall have a college council. The voting members shall be the college deans, the University Faculty of that college, and one adjunct faculty member, as well as voting *ex-officio* members, the president, provost/EVP, and Schaumburg Campus provost. Other college staff members may participate in council meetings, but they shall not have the right to vote.

It shall be the duty of each college council to determine policies with regard to college academic matters, including the objectives and content of particular curricula, the improvement of instruction, requirements for degrees and certificates, and other issues that affect the quality and community of the college that are not in contradiction with the Constitution of the University Faculty or with University policies.

Each college council shall elect a chair, vice chair, and secretary for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following the spring election.

## PART IV: Grievance Procedure

### SECTION A Purpose

In any large organization, differences of opinion are to be expected from time to time. Where opinions differ within the campus community on matters of appropriate policy, including curriculum and programmatic decisions or matters of educational mission, such disputes are properly settled through the University's governance structure. The University Bylaws, Constitution, and Faculty Handbook set forth a structure for resolution of policy issues within the University.

Complaints or grievances about University employment decisions regarding individual faculty -- or disputes involving faculty members within the campus community -- are properly addressed by faculty members using the following grievance procedures. These mechanisms are intended to provide an orderly way of resolving serious differences of opinion regarding faculty duties and the application of policies and contracts to the faculty.

### SECTION B Applicability of Grievance Resolution and Appeal Procedures; General Provisions

#### Clause 1

The grievance and grievance appeal processes that follow are generally available for use by any member(s) of the University faculty (other than adjunct faculty, who are member of the RAFO bargaining unit with grievance procedures set forth in the applicable collective bargaining agreement). Grievances filed by faculty members between different campus constituencies may be better handled using other informal campus dispute resolutions. The Provost/EVP or designee shall notify the grievant and other involved parties if other procedures will be used.

#### Clause 2

Where a faculty member grieves the result of a formal employment action by the University regarding the terms and conditions of the faculty member's employment (such as decisions about reappointment, tenure, promotion, discipline, termination, dismissal, or individual salary/benefits levels), the grievance constitutes an appeal that should be addressed using the Grievance Appeal procedures set forth in Sections D and E below. Grievances that do *not* involve formal employment actions (such as disputes within departments or between faculty members) shall be addressed using the resolution process set forth in Section C below. Grievances raising issues of unlawful discrimination, harassment,

retaliation, or any violation of law will require prior investigation before the grievance process can be commenced.

### Clause 3

Grievances should be filed with the Office of the President. Upon the filing of a grievance, the Provost/EVP or designee shall notify the grievant whether the grievance shall proceed under the Section C, D, or E grievance provisions.

### Clause 4

Grievance appeals challenging a formal employment action should be filed no later than 14 calendar days after the faculty member receives notice of the employment action being challenged; other grievances should be filed no later than six months after the conduct challenged. Notwithstanding these time limitations, allegations of discrimination, harassment, or retaliation falling outside these deadlines may be filed with the Human Resources office or as otherwise provided in the University's EEO policies, and will be investigated by the University consistent with the applicable EEO policy.

### Clause 5

While a grievance or grievance appeal is in progress, all concerned have an obligation to refrain from inciting others to partisanship. It is improper for parties to a grievance to communicate on the subject of the grievance with persons hearing or about to hear the grievance, except by written statements which are also communicated to all other parties to the grievance.

### Clause 6

Persons not named in a grievance may join in it as parties if, in the judgment of the Hearing Officer or committee charged with hearing the grievance at that stage, good cause is shown for the person to be joined as a party. The President or Provost/EVP may consolidate multiple grievances or appeals for hearing, where such matters involve the same parties and substantially same facts or issues.

### Clause 7

Once a grievance or appeal has been resolved and closed, the Provost/EVP or President will report generally to the University Senate about the resolution of the grievance but shall limit discussion of details in the interests of preserving confidentiality. Documentation reviewed or produced during grievances and appeals shall be maintained by the University as confidential and reviewed internally only on a need-to-know basis.

#### Clause 8

Any recorded or written verbatim reports of in-person hearings shall be filed with the President's office promptly after they are prepared. Any written recommendations or resolutions generated during a grievance process shall be filed with the President's office and served upon the parties as soon as possible after the conclusion of the particular proceeding at issue. Parties shall have the right to hear or review any recording or verbatim report of a hearing; but, except by agreement of all parties and the University, copies of such recordings or verbatim reports shall not circulate and shall be maintained within the President's office on a strictly confidential basis.

#### Clause 9

Where any party pursues an action in an external court or agency while a grievance or appeal remains pending, the University reserves the right, at the discretion of the President, to terminate an ongoing grievance or grievance appeal. Where a grievance or appeal is terminated on this basis, the President shall notify the parties in writing of the reason for the termination.

### SECTION C Grievances: Informal Discussion and Hearing

#### Clause 1

A faculty member initiates this grievance procedure by filing a written grievance with the Dean of the faculty member's college or with the Office of the Provost/EVP. The written grievance should detail (a) the conduct or employment action being challenged, (b) the date(s) of the action being challenged, (c) the University representative(s) or committee whose conduct or decision is the subject of the challenge, (d) the reason why the grievant challenges the particular conduct or decision (*e.g.*, the policy or practice that has, in the judgment of the grievant, been violated), and (e) the remedy sought.

#### Clause 2

Any grievance subject to Section C shall begin with an informal discussion intended to resolve the dispute in a collegial manner. Depending on the relationship between the parties involved, informal discussions may be conducted by the department chair (faculty – faculty disagreements within a department or other administrative unit), the dean of the college involved (faculty – faculty and faculty – chair disagreements within the college), the University Faculty Personnel Committee (UFPC) (faculty – faculty disagreements between individuals in different colleges), a designee of the Provost/EVP (faculty – dean disagreements, faculty –

administrator disagreements), or the president (faculty – provost disagreements). Where, in a particular circumstance, questions arise as to which administrator or committee should conduct an informal discussion, the Provost/EVP or designee will make a determination and notify the parties.

#### Clause 3

At the time the Provost/EVP or designee acknowledges the filing of the grievance as an initial matter, the Provost/EVP shall also provide a copy of the grievance to the individual or office that is the subject of the grievance. The Provost/EVP's communication shall identify the University official or committee chair who will be conducting the informal discussion.

#### Clause 4

The official or the chair of the UFPC charged with conducting the informal discussion shall notify the parties of the date, time and place for the informal discussion and shall act as chair of the discussion. Discussion under this provision shall be informal, and the parties involved may file with the chair of the discussion and each other their own record of the discussion; but the only resulting record that is mandatory is a report by the chair about the discussion. This report shall indicate that a discussion was held, identify the parties present, and provide an opinion as to whether or not a serious disagreement still exists. That report shall be filed with the Provost/EVP, with a copy provided to the parties.

#### Clause 5

If the grievance has not been resolved by the informal discussion, any of the parties to the grievance may make a written request for a hearing, which should be filed with the Office of the Provost/EVP no later than five business days after the date of the informal discussion. The request for hearing shall identify the reason why a further hearing is sought and attach a copy of the grievance as originally filed. Hearings will typically be held before the same University official who conducted the informal discussion. However, the party requesting a hearing may include, as part of the request, a request to assign the hearing to another University official for good cause. On its own initiative, the University may also decide to reassign the matter. Upon receipt of a request for hearing under Section C, the Provost/EVP or designee will serve upon all parties a copy of the request for hearing and notify the parties of any reassignment.

#### Clause 6

The official or committee chair identified to conduct the hearing will notify the parties (at least one calendar week in advance) of the date, time, and place of the hearing. That officer will arrange for the taking of a recorded

or written verbatim report of the hearing. The hearing must be held within 21 calendar days after the request for a hearing is filed under Clause 5, unless this deadline is extended by the Provost/EVP or President for good cause.

#### Clause 7

Depending upon the circumstances and timing of the grievance, the hearing officer or chair has the discretion to conduct a Section C hearing in person, by telephone conference or video conference or (with both parties' consent) solely through written submissions. No party shall have the right to be represented by legal counsel at a Section C hearing, which is not a legal proceeding nor subject to the rules of evidence nor of court or agency procedure. The parties' requests to produce and question witnesses shall be granted if the witnesses at issue are likely to offer direct and useful information. The hearing officer or chair, however, has the discretion to limit the number of witnesses or the extent of questioning to obtain information that is direct and useful (as well as to prevent repetition, harassment or intimidation). Parties may choose to present information from individual witnesses through submission of written statements rather than live testimony. The hearing officer may permit the parties directly to question witnesses or may opt instead to perform the direct questioning of some or all witnesses.

#### Clause 8

Following the hearing, the hearing officer shall prepare a written finding of facts and recommended resolution, with a copy forwarded to each party and to the Provost/EVP. If a grievance is found to be substantiated, the hearing officer's resolution may include recommended sanctions or remediation; any correction ultimately assessed must reflect the seriousness of the violation or deficiency identified. Sanctions that may be recommended include the following, as well as those enumerated in Part I.E.IV.a above:

- a. Written reprimand.
- b. Probation (not exceeding one year) to which reasonable provisions may be attached.
- c. Suspension with pay (not exceeding one semester).
- d. Suspension without pay (not exceeding one year).
- e. Restitution (payment for property damages, services lost, *etc.*).
- f. Reassignment of duties.
- g. Dismissal

#### Clause 9

If one or more of the parties to a Section C grievance hearing is not willing to accept the recommended resolution of the Hearing Officer, that party has the right to appeal the recommended resolution to the Provost/EVP, provided that this written appeal is filed with the Provost/EVP's office within seven calendar days after the party receives the recommended resolution. The Provost/EVP has the discretion to conduct a hearing or resolve the appeal through written submissions (provided that each party is permitted one written statement and the opportunity to respond to any new material or arguments set forth in the opposing party's submissions). The Provost/EVP's decision upon a Section C appeal is final and shall be communicated to the parties in writing. In the event a Section C hearing or Provost/EVP's appeal determination raises issues of potential faculty dismissal for cause, however, the Provost/EVP shall so notify the faculty member at issue and shall proceed to implement the process set forth in Part I.E.IV governing potential dismissals for cause.

#### Clause 10

Where a faculty does not appeal a hearing officer resolution recommending remediation or discipline, the Provost/EVP shall meet with the faculty member to discuss the hearing officer's recommendation and assess any appropriate remediation or discipline. The Provost/EVP may also meet with other parties to the grievance, even where an appeal is not taken under clause 9 above, for purposes of following up on the hearing officer's recommendation.

#### Clause 11

A grievance procedure under this section, including the informal and hearing processes, should be completed and a recommendation provided to the Provost/EVP within 45 calendar days after the written grievance is first filed (unless this time period is modified by the President).

### SECTION D Grievance Appeal Procedure for Employment Actions Other than Dismissal

#### Clause 1

Faculty members seeking to challenge a formal employment action other than a notice of dismissal for cause (*e.g.*, a decision regarding reappointment, promotion, termination, tenure, or individual salary or benefits) may appeal such determinations using this Section D appeal process. Notices of dismissal are appealed using Section E below. Section D grievance appeals will be heard by a panel of the Senate Executive Committee ("SEC") and by the President, who is the final decision-maker on appeals under Section D. The Provost/EVP or designee shall serve as

the party representative on behalf of the University and shall not serve as a decision-maker during a Section D appeal.

#### Clause 2

An appeal of a formal employment action under Section D should be filed in writing with the President within 14 calendar days of the faculty member's formal notification of the employment action at issue. A written appeal under Section D should detail the action being challenged, the reasons why the appellant believes the action should be overturned or modified, the remedy sought, and any other information pertinent to the appeal.

#### Clause 3

Upon the filing of a Section D appeal, the President will acknowledge the appeal, notifying the parties of the appeal and serving copies of the appeal upon the parties and SEC. Thereafter, the SEC shall select a panel of \_\_\_ (odd number) faculty members (not including members of the administration, faculty previously involved in the employment action at issue, or faculty conflicted out of the appeal). This panel shall sit as the ad hoc panel for purposes of the particular grievance appeal and shall select a member of the panel to serve as chair during the appeal.

#### Clause 4

Neither the SEC panel nor the President is required to conduct an in-person hearing on a grievance appeal under this Section. Rather, and in their discretion, they may render an opinion based upon the previous record (including documentation previously generated or considered during the decision at issue), *provided that* each party to the appeal is accorded the right to file one written statement, including new evidence or statements from new witnesses, and to receive and reply to any written submission filed by the other party. If there is to be an in-person hearing on appeal, the parties shall be given at least one week's notice of the date, time, and place of the hearing, and the hearing should be conducted pursuant to the same procedures and parameters set forth in Part IV.C Clause 7 above. All parties filing a grievance appeal, and all parties against whom a grievance appeal has been filed, shall have the right to attend and to be heard at all in-person grievance appeal hearings.

#### Clause 5

With respect to any in-person appeal hearing, the parties may bring one person to serve as an advisor/support person, but this advisor/support person may not question witnesses or directly address the SEC or President during any hearing; nor may a law professor, J.D., or practicing lawyer serve as an advisor/support person.

#### Clause 6

The SEC panel should meet in executive session to consider the testimony and written submissions, following any hearing, and should prepare a written resolution on appeal. This resolution will be provided to all parties and filed with the President.

#### Clause 7

If any party to the grievance appeal process does not accept the resolution of the SEC panel on appeal, a written request for further appeal may be filed with the President within seven (7) calendar days after the party receives the SEC's resolution. The President will then conduct a further appeal, which may involve consideration of written submissions or in-person testimony as set forth in Clause 4 above. The President shall issue a written decision on appeal, which constitutes the final resolution of a Section D appeal. If no appeal is taken to the President from a resolution of the SEC panel, the formal employment action under review shall take effect on the eighth calendar day following the date the faculty member receives notice of the SEC resolution. A grievance appeal under this section should be completed within 60 calendar days after the notice of appeal is first filed (unless this time period is modified by the President).

### SECTION E Grievance Appeal Procedure Applicable to Dismissals for Cause

#### Clause 1

A faculty member who receives a notice of dismissal for cause pursuant to Part I.E.IV of this Handbook has a right to appeal that notice pursuant to the provisions of this Section E by filing a written notice of appeal with the President's office within 14 calendar days after the faculty member receives a notice of dismissal. The notice of appeal shall set forth the employment action(s) being appealed (including any related administrative leave or suspension), the reasons why the faculty member believes the action(s) should be overturned or modified, the remedy sought, and any other information pertinent to the appeal. In appeals of dismissal notices under this Section, the Provost/EVP or designee shall serve as the party representative on behalf of the University and shall not serve as a decision-maker during the appeal process.

#### Clause 2

Upon receipt of the notice of appeal, the President shall notify the Senate Executive Committee ("SEC") and Provost/EVP of the filing of the appeal and provide them with copies of the appeal. Dismissal appeals under this Section will be heard by a faculty Hearing Board, with an additional appeal available to the President, who shall serve as the final decision-maker

(unless the Board of Trustees exercises its discretion to entertain a further appeal pursuant to Clause 13 below).

### Clause 3

Promptly upon the filing of a dismissal appeal, the President, in consultation with the SEC, shall appoint a Hearing Board composed of \_\_\_ (odd number) faculty members (not including members of the administration, faculty previously involved in the employment actions at issue, or faculty conflicted out of the appeal). Those selected shall serve as an ad hoc Hearing Board for purposes of hearing the dismissal appeal. The President shall also designate a member of the board to serve as chair for purposes of the dismissal appeal.

### Clause 4

The Hearing Board shall conduct an in-person hearing in all dismissal appeals, except where an in-person hearing before the Hearing Board is specifically waived by both the faculty member and the Provost/EVP. The President need not conduct an in-person appeal hearing under this Section but may, in the President's discretion, render a final decision based upon the previous record (including documentation previously generated or considered on appeal or in connection with issuance of the dismissal notice), *provided that* each party to the appeal before the President is accorded the right to file one written statement, including new evidence or statements from new witnesses, and to receive and reply to any written submission filed by the other party.

### Clause 5

Prior to any in-person hearing, the parties shall be afforded at least one week's notice of the date, time, and place of the hearing, and the faculty member shall be provided a copy of the dismissal notice and of the notice of appeal. If the Hearing Board believes that a more detailed statement of the issues for consideration is appropriate, it may request that the Provost/EVP to provide a more specific statement of the reasons for dismissal in advance of the hearing.

### Clause 6

Both parties to a dismissal proceeding have a right to attend and be heard at all in-person appeal hearings. During any such hearing, each party may be accompanied by an advisor/support person, who may confer privately with the party during the hearing but may not directly address the Hearing Board or President or directly question witnesses. Parties may use any person including law professors, J.D.s, or practicing lawyers as support persons for dismissal appeal hearings, provided that they afford the

opposing party and Hearing Board at least five calendar days' notice of any intent to do so.

#### Clause 7

Prior to the hearing, the Hearing Board may conduct preliminary meetings, either in executive session or involving both parties, to discuss plans for the hearing, witnesses to be identified and secured for testimony, documentation to be provided, and written statements also to be provided to the Board. The Board may communicate with the parties through e-mail as well. The Board may set forth reasonable rules and limitations governing the conduct of the hearing, production of witnesses and documentation, cooperation, and other requirements deemed appropriate to facilitate a full and fair internal appeal.

#### Clause 8

Prior to the hearing, the Hearing Board or parties may also seek production of documents from the faculty member or the University, which shall be produced for review under appropriate confidentiality commitments. No party is required to produce privileged documentation or material protected from production by federal, state, or local laws. Furthermore, the Hearing Board may limit production of documents to protect against harassment, intimidation, invasion of privacy, or production of irrelevant or inflammatory material.

#### Clause 9

All parties shall have the right to call witnesses or present written information from witnesses (at the party's option), subject to the Board's discretion to limit witness testimony in order to ensure that the information adduced at the hearing is direct and relevant and that the witness testimony is not repetitive, harassing, or intimidating. The parties have the right to question the relevance or propriety of information presented. During the hearing, the Board may allow direct questioning of witnesses by the parties or may instead opt to question the witnesses itself. The Board may also allow witnesses to appear by telephone, video conference, or closed-circuit TV rather than in person or may accept testimony in writing rather than through the personal appearance of witnesses. An electronic recording or verbatim report shall be made of any in-person hearing under Section E.

#### Clause 10

A dismissal appeal hearing is not a legal proceeding but an internal academic proceeding, and the Hearing Board shall not be bound by rules of evidence or by procedures applicable in courts or agencies. The Board should determine whether, more likely than not, the faculty member has

engaged in conduct or exhibited deficient job performance such that dismissal is appropriate, in light of the policies of the University and generally accepted academic standards.

#### Clause 11

Promptly upon conclusion of any in-person hearing or Board consideration of written submissions, the Hearing Board should meet in executive session to consider the testimony and written submissions, reach a resolution by majority vote, and prepare a written resolution to be transmitted to the parties and filed with the President. If the Hearing Board determines that misconduct or deficient job performance has occurred but that a lesser sanction than dismissal is appropriate, it may so note in the resolution.

#### Clause 12

If one or both parties to the Hearing Board appeal do not accept the resolution of the Hearing Board, a written request for further appeal before the President may be filed with the President within seven (7) calendar days after the party receives a copy of the Hearing Board's resolution. The President may then conduct a further appeal, which may (in the President's discretion) include review of documentation or a hearing (as set forth in Clause 4 above). The President shall issue a written decision resolving the appeal, which shall constitute the final determination in a dismissal proceeding (absent further Board review under Clause 13 below). If no appeal has been taken under this clause from a resolution of the Hearing Board panel, the Hearing Board's resolution shall take effect on the eighth calendar day following the date the faculty member receives notice of the Hearing Board resolution. A grievance appeal under this section, up to and including resolution by the President, should be completed within 60 calendar days after the notice of appeal is first filed (unless this time period is modified by the President).

#### Clause 13

Following the President's decision upon appeal, either party may seek an appeal before the University's Board of Trustees by filing a request for review with the President's office, for transmittal to the Board, within five calendar days of receipt of the President's decision. The Board of Trustees need not agree to hear such an appeal. If it so agrees, it is not bound by any of the procedural requirements set forth elsewhere in Part IV; rather, the Board may exercise its discretion to (i) resolve the appeal by review of the record; (ii) obtain additional written submissions from the parties, the President, or the Hearing Board; or (iii) request appearance by the parties or the President before the Board or a Board Committee. The Board's review shall be limited to determining whether the University has complied

with applicable policies and procedures in processing the dismissal at issue. If, on appeal, the Board ultimately reverses or modifies the decision of the President, the matter shall be returned to the President for further proceedings consistent with Board directions. If the Board affirms the President's decision, the decision shall take effect immediately upon Board action.

## SECTION F Modification of Procedures or Timelines

### Clause 1

The grievance and appeal procedures referenced above are intended to ensure that decisions are fairly and properly rendered and that faculty members obtain a full and fair appeal of decisions with which they disagree. Depending upon the timing of a particular dispute, however, a faculty committee or selected decision-makers might be unavailable to take action during summer or break periods. Or, in exceptional circumstances (such as where new allegations require investigation or where participants become disqualified during a process), a stay of proceedings or adjustment of the applicable procedures may be necessary to ensure a full and fair internal process.

### Clause 2

In such exceptional circumstances, the President or designee may, for good cause and upon written notice to the parties, modify the deadlines or grievance procedures above. The President or designee shall first consult with the Provost/EVP and SEC and shall then provide written notification of any such modification to the Provost/EVP; the affected college, department, and faculty member; and the SEC. Such written notification shall identify the particular exceptional circumstances that require modification, shall set forth the modification, and shall apply only to the particular grievance or appeal that necessitates the modification. Action by the President under this Section shall not serve as a general modification of the grievance procedures in Part I.F above.

## **PART V: Reappointment, Tenure and Promotion (RTP)**

### SECTION A Standards for RTP

#### **Standards**

Each faculty member is expected to demonstrate excellence in teaching, productive scholarship, and valuable service to Roosevelt University and the larger academic and professional communities. Evidence of these accomplishments is documented and gathered according to the following procedures.

Each college shall be responsible for devising formal standards for the evaluation of teaching, scholarship, and service that will apply within the college. Standards approved by the dean and the college's Executive Committee shall be forwarded to the UFPC and for recommendation to the provost/EVP for final approval and general conformity with the standards specified above.

#### **Teaching**

Excellence in teaching is the most crucial component in the criteria for reappointment, tenure and promotion. This includes excellence in individual teaching skill and also excellence in working collaboratively with other professional colleagues, both in classroom activities and in the design and implementation of programs or curricula.

#### **Scholarship**

Productive scholarly, professional, and creative activities are crucial components in the criteria for reappointment, tenure, and promotion. See college specific criteria:

- College of Arts and Sciences:  
<http://www.roosevelt.edu/CAS/Faculty.aspx>
- Heller College of Business [website URL forthcoming]
- College of Education [website URL forthcoming]
- Evelyn T. Stone College of Professional Studies [website URL forthcoming]
- Chicago College of Performing Arts [website URL forthcoming]
- College of Pharmacy [website URL forthcoming]

#### **Service**

Valuable service is also an important component in the criteria for reappointment, tenure and promotion. It can be divided into two categories: service to the Roosevelt community and service to the larger academic and metropolitan community. Service activities may include

appointment, election, and participation in University committees and other designated University activities; or, in some circumstances, service can include a significant percentage of one's responsibilities to the University (where, for instance, a faculty member serves as a program director or department chair). Where a faculty member's service responsibilities are expected to constitute a substantial percentage of his or her employment obligations, the faculty member's appointment letter shall so reflect. Service to the larger academic and metropolitan community may include appointment, election, and participation in learned societies and professional organizations; consultation to one's field or community; participation in community and civic affairs.

## SECTION B Procedures for RTP

### **General Information and Principles**

This document contains the timeline and procedures for RTP at Roosevelt University.

### **Timeline**

Normally, the timeline for RTP contained herein will be followed. Upon approval of the provost/EVP some adjustments to this timeline may be made. If dates in the timeline fall during a weekend or holiday, the next business day will become the deadline.

### **Eligibility principles for professors voting on RTP**

- Only tenured faculty members may vote on the RTP of faculty.
- Only tenured full professors may vote on promotion from associate professor to full professor at the Peer Review Committee (PRC) level.
- Only tenured associate and full professors may vote on tenure for associate professors standing for tenure only.
- Only tenured associate and full professors may vote on tenure and promotion from assistant professor to associate professor or for reappointment of non-tenure-track faculty.
- Those voting must vote only once and at the lowest level of eligibility.

### **Announcement of Candidates standing for RTP**

This announcement is normally made by the provost/EVP during the December meeting of the University Senate preceding the academic year in which Candidates will stand for RTP. By the end of the fall semester this list is posted on the Intranet.

■ **Reappointment/Tenure/Promotion Timeline** ■

**Part 1**

(for Non-Tenure-Track appointments including Instructors, Lecturers, Senior Lecturers and clinical faculty standing for Reappointment)

*Page 46*

**Part 2**

(for Tenure-Track appointments including Assistant, Associate, and Full Professors standing for Reappointment)

*Page 50*

**Part 3**

(for Tenure-Track appointments including Assistant, Associate, and Full Professors standing for Reappointment)

*Page 55*

**Part 4**

(for tenured Associate Professors standing for Promotion to Full Professor)

*Page 61*

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**Part 1**  
**(for Non-Tenure-Track appointments including Instructors, Lecturers, Senior Lecturers and clinical faculty standing for Reappointment)**

**By May 1 – Meeting with Department Chair**

The Candidate and Department Chair (the Dean and/or his/her delegate may also attend and participate in this meeting) meet to review the entire reappointment process and procedures.

In the event that the Department Chair is untenured, is the Candidate him or herself, or is in some other way not appropriate to oversee the reappointment process for the Candidate (or if there is no department in place at the time of the reappointment), the Dean will confer with the tenured members of the department or unit before appointing a Chair Designate from the department or unit. The Chair Designate must be a tenured, associate or Full Professor.

**By October 15 – Peer Review Committee (PRC) identified**

The Dean identifies a PRC consisting of all tenured members of the Candidate's department or unit (see eligibility of voting members above). The Department Chair or Chair Designate is not a member of the PRC. If there are fewer than three tenured members in a given department or unit, or if a College has no departmental structure, the Dean will select three eligible faculty from the College to serve on the PRC.

**By November 15 – Candidate dossiers due**

The Candidate submits a dossier to the Dean's Office for review by all involved in the RTP process. Once the dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion (except in exceptional circumstances in which, as noted below, issues may arise during the reappointment evaluation process requiring modification of timelines or procedures by the provost/EVP to ensure a complete and fair evaluation).

**The final dossier should include:**

1. An updated vita, including and identifying the following information, as applicable (see specific criteria established by each college):
  - a. Biographical and educational data.
  - b. Courses taught in each semester (include year).
  - c. Advising responsibilities.
  - d. Service, including administrative and leadership responsibilities.
  - e. Honors.
  - f. Research and grants.
  - g. Publications.
  - h. Presentations.
  - i. Creative or professional work.

2. Evidence of teaching and advising:
  - a. Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
  - b. All student evaluations of faculty.
  - c. All peer evaluations and/or observations.
  - d. Representative syllabi.
3. Evidence of service:
  - a. Participation in academic unit, college and university activities and committees; holding office on these committees.
  - b. Participation in learned societies and professional organizations; holding office in these organizations (indicate local, regional, or national).
  - c. Consulting to the field and the community (indicate local, regional, or national).
  - d. Participation in community and civic affairs.
  - e. Service as a program director, department chair, or in another administrative leadership role (where applicable)

**By December 15 – Peer Review Committee (PRC) votes**

The PRC reviews the dossier, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against reappointment for the Candidate by secret ballot.

The PRC:

- tallies the vote;
- prepares a letter describing the strengths and weaknesses of the Candidate with regard to teaching and service, in the context of the standards and criteria established by the University and the College and the specific responsibilities assigned to the faculty member by the University;
- communicates the vote to the Candidate, Department Chair or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier.

By December 26 the Candidate may respond in writing to the PRC report. The letter is to be addressed to the Department Chair or Chair Designate. The Candidate's response will be included in the dossier.

**By January 2 – Department Chair writes letter of recommendation**

The tenured Department Chair or Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate, including but not limited to consideration of the Candidate's dossier.

The letter:

- discusses the Candidate's performance in the areas of teaching, advising, and service;
- assesses the Candidate's strengths and weaknesses in light of his/her performance as related to the standards and criteria established by the College and the specific responsibilities assigned to the faculty member by the University;
- recommends for or against reappointment.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate and is added to the Candidate's dossier.

### **By February 1 – College Executive Committee (CEC) votes**

The CEC reviews the dossier, including the PRC's letter and vote, and the Department Chair's or Chair Designate's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against reappointment of the Candidate by secret ballot.

The Chair of the CEC prepares a letter addressed to the Dean, with a copy to the Candidate, reporting the vote of the CEC and briefly explaining the reasons for the CEC's vote. This letter is added to the Candidate's dossier.

If a member of the CEC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the CEC (or designee, where an issue is raised about the Chair's ability to vote) may act to recuse a member of the CEC after consulting with the rest of the committee.

By February 10 the Candidate may respond in writing to the CEC letter. The letter is to be addressed to the Dean. The Candidate's response will be included in the dossier.

### **By February 15 – Dean writes letter of recommendation**

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, regarding the Candidate's request for reappointment with a recommendation for or against. This recommendation is addressed to the Provost, with copy to the Candidate, and is added to the Candidate's dossier. The Dean sends this letter and the complete dossier to the Office of the Provost/EVP.

### **By March 15 – Provost/EVP informs Candidates of reappointment decision**

The Provost/EVP reviews the Candidate's dossier, and based on the documents presented and the recommendations of the PRC, Department Chair or Chair Designate,

CEC, and Dean, makes a decision on behalf of the University whether to grant or decline reappointment.

The Provost/EVP shall inform the Candidate in writing of the decision regarding reappointment.

The Provost/EVP will announce the names of those reappointed at the Senate meeting immediately following April 21.

In exceptional circumstances, issues or complaints may arise after a reappointment process has begun that may require supplementation of the dossier, stay of the reappointment proceedings, or modification of the timelines or procedures set forth in this section. Such modifications may be made in order to ensure a complete and fair reappointment process, in which matters or issues are properly addressed, with a candidate afforded an opportunity to address concerns, before a reappointment decision is made. Where the Provost/EVP concludes that exceptional circumstances require modification of the above timelines or procedures, the Provost may modify the applicable timelines or procedures accordingly, with written notification and explanation to be afforded to the Candidate, the College at issue, and the University Senate.

**Part 2**  
**(for Tenure-Track appointments including Assistant, Associate, and Full Professors  
standing for Reappointment)**

**By May 1 – Meeting with Department Chair**

The Candidate and Department Chair (the Dean and/or his/her delegate may also attend and participate in this meeting) meet to review the entire reappointment process and procedures.

In the event that the Department Chair is untenured, is the Candidate him or herself, or is in some other way not appropriate to oversee the reappointment process for the Candidate (or if there is no department in place at the time of reappointment), the Dean will confer with the tenured members of the department or unit before appointing a Chair Designate from the department or unit. The Chair Designate must be a tenured associate or Full Professor.

**By October 15 – Peer Review Committee (PRC) identified**

The Dean identifies a PRC consisting of all tenured members of the Candidate's department or unit (see eligibility of voting members above). The Department Chair or Chair Designate is not a member of the PRC. If there are fewer than three tenured members in a given department or unit, or if a College has no departmental structure, the Dean will select three eligible faculty from the College to serve on the PRC.

**By November 15 – Candidate dossiers due**

The Candidate submits a dossier to the Dean's Office for review by all involved in the RTP process. Once the dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion (except in exceptional circumstances in which, as noted below, issues may arise during the reappointment evaluation process requiring modification of timelines or procedures by the Provost-EVP to ensure a complete and fair evaluation).

**The final dossier should include some or all of the following information** (see specific criteria established by each College.)

1. An updated vita, including and identifying the following information, as applicable:
  - a. Biographical and educational data.
  - b. Courses taught in each semester (include year).
  - c. Advising responsibilities.
  - d. Service, including administrative and leadership responsibilities.
  - e. Honors.
  - f. Research and grants.
  - g. Publications.
  - h. Presentations.

- i. Creative or professional work.
- 2. Evidence of teaching and advising:
  - a. Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
  - b. All student evaluations of faculty.
  - c. All peer evaluations and/or observations.
  - d. Representative syllabi.
- 3. Evidence of scholarship/professional and creative work, including the following, as applicable:
  - a. Statement of scholarly, professional, and performance goals, activities and future plans as they relate to the Roosevelt University mission.
  - b. Publications (including all manuscripts). Place an asterisk in front of articles that are refereed.
  - c. Books.
  - d. Presentations.
  - e. Performances and compositions.
  - f. Exhibitions.
  - g. Publication awards, reviews of books and/or performances.
  - h. Grant proposals.
- 4. Evidence of service:
  - a. Participation in academic unit, college and university activities and committees; holding office on these committees.
  - b. Participation in learned societies and professional organizations; holding office in these organizations (indicate local, regional, or national).
  - c. Consulting to the field and the community (indicate local, regional, or national).
  - d. Participation in community and civic affairs.
  - e. Service as a program director, department chair, or in another administrative leadership role (where applicable)

**By December 15 – Peer Review Committee (PRC) votes**

The PRC reviews the dossier, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against reappointment for the Candidate by secret ballot.

The PRC:

- tallies the vote;
- prepares a letter describing the strengths and weaknesses of the Candidate with regard to teaching, scholarship/professional and creative work, and service in the context of the standards and criteria established by the University and the College and the specific responsibilities assigned to the faculty member by the University (the letter should note any weakness that may jeopardize the Candidate's receiving tenure in the future);

- communicates the vote to the Candidate, Department Chair or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier and the dossier returned to the Office of the Dean.

By December 22 the Candidate may respond in writing to the PRC report. The letter is to be addressed to the Department Chair or Chair Designate. The Candidate's response will be included in the dossier.

**By January 2 – Department Chair writes letter of recommendation**

The tenured Department Chair or Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate, including but not limited to consideration of the Candidate's dossier.

The letter:

- discusses the Candidate's performance in the areas of teaching/advising, scholarship/creative work, and service;
- assesses the Candidate's strengths and weaknesses in light of their performance as related to the standards and criteria established by the college and the specific responsibilities assigned to the candidate by the University;
- recommends for or against reappointment.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate, and added to the Candidate's dossier.

**By February 1 – College Executive Committee (CEC) votes**

The CEC reviews the dossier, including the PRC's letter and vote, and the Department Chair's or Chair Designate's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against reappointment of the Candidate by secret ballot.

The Chair of the CEC prepares a letter on the CEC's vote addressed to the Dean, with a copy to the Candidate, reporting the vote of the CEC and briefly explaining the reasons for the CEC's vote. This letter is added to the Candidate's dossier.

If a member of the CEC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the CEC (or designee, where an issue is raised about the Chair's ability to vote) may act to recuse a member of the CEC upon majority vote of the remainder of the committee.

By February 10 the Candidate may respond in writing to the CEC letter. The letter is to be addressed to the Dean. The Candidate's response will be included in the dossier.

**By February 15 – Dean writes letter of recommendation**

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, regarding the Candidate's request for reappointment with a recommendation for or against. This recommendation is addressed to the provost/EVP, with copy to the Candidate, and is added to the Candidate's dossier. The Dean sends this letter and the complete dossier to the Office of the provost/EVP.

**By March 15 – University Faculty Personnel Committee (UFPC) votes**

The UFPC reviews the dossier, including the PRC's letter and vote, Department Chair's or Chair Designate's letter, the CEC's letter, and the Dean's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against reappointment for the Candidate by secret ballot.

The UFPC also discusses the process for the Candidate to determine if procedures were followed and if the criteria established by the individual colleges and/or departments have been met. A letter noting the UFPC's vote for or against reappointment and findings is provided in writing to the Candidate and his/her Dean. This letter is added to the Candidate's dossier.

If a member of the UFPC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the UFPC (or designate, where an issue is raised about the Chair's own ability to vote) may act to recuse a member of the UFPC after consulting with the rest of the committee.

By March 25, the Candidate may respond in writing to the UFPC's report and ask for reconsideration of the findings. The Candidate's request for reconsideration will be included in the dossier.

By April 1, the UFPC reconvenes if a request for reconsideration is received from the candidate. The UFPC will consider the request, vote again, and report the result in writing to the Candidate with a copy to the Provost/EVP. This vote upon a request for reconsideration shall be final and not subject to further reconsideration requests.

**By April 7 – Provost/EVP makes recommendation to President**

The Provost/EVP reviews the Candidate's request for reappointment, -- including the complete dossier, the documents presented and the recommendations of the PRC, Department Chair, CEC, Dean, and UFPC -- and makes a written recommendation to the President.

The President reviews the Candidate's complete dossier, including the documents presented and the recommendations of the PRC, Department Chair, CEC, Dean, UFPC, and Provost/EVP, and makes his/her final decision regarding reappointment.

**By April 21 – Provost/EVP informs Candidates of reappointment decision**

The Provost/EVP writes a letter to the Candidate informing him/her of the President's decision.

The Provost/EVP will announce the names of those reappointed at the Senate meeting immediately following this date.

In exceptional circumstances, issues or complaints may arise after a reappointment process has begun that may require supplementation of the dossier, stay of the reappointment proceedings, or modification of the timelines or procedures set forth in this section). Such modifications may be made in order to ensure a complete and fair reappointment process, in which matters or issues are properly addressed, with a candidate afforded an opportunity to address concerns, before a reappointment decision is made. Where the Provost/EVP concludes that exceptional circumstances require modification of the above timelines or procedures, the Provost may modify the applicable timelines or procedures accordingly, with written notification and explanation to be afforded to the Candidate, the College at issue, and the University Senate.

**Part 3**  
**(for Tenure-Track appointments of Assistant Professors standing for Tenure and  
Promotion or Associate or Full Professors standing for Tenure)**

Tenure at Roosevelt University may only be granted through affirmative decision of the University, following full consideration by faculty committees and using the process set forth below.

**By February 1 – Meeting with Department Chair**

The Candidate and Department Chair (the Dean and/or his/her delegate may also attend and participate in this meeting) meet to review the entire tenure and promotion process and procedures (or tenure process and procedures for Associate Professors standing for tenure alone), including but not limited to the need to submit a list of names of external reviewers by May 1 and to prepare the preliminary dossier by August 1.

In the event that the Department Chair is untenured, is the Candidate him or herself, or is in some other way not appropriate to oversee the tenure and promotion process for the Candidate (or if there is no department in place at the time of reappointment), the Dean will confer with the tenured members of the department or unit before appointing a Chair Designate from the department or unit. The Chair Designate must be a tenured associate or Full Professor.

**By May 1 – Confidential external reviewers**

The Candidate, in consultation with the Department Chair or Chair Designate, develops a list of “arm’s-length” experts to serve as confidential external reviewers. An arm’s-length reviewer must be an expert in the Candidate’s discipline with no conflicting relationship. Conflicting relationships include dissertation advisor, collaborator (co-author or joint researcher), students, relatives, and those involved, currently or any time in the past, in romantic relationships. The list is normally six or more persons, long enough to maximize the possibility that a minimum of at least three external letters are ultimately received. The list of external reviewers must be approved by the Dean or can be created in conjunction with the Dean. If issues or concerns arise subsequently about the independence of a particular external reviewer, the Dean has the discretion to eliminate external reviewers from the list of potential reviewers or to remove external review letters from the dossier; in this event, the Dean will so notify the Candidate and the appropriate Committee(s).

**By June 30 – Contacting external reviewers**

The Department Chair, Chair Designate or Dean contacts individuals on the list of external reviewers to determine their willingness to serve as an external reviewer (see Example A).

**By August 1 – Submission of preliminary dossier**

The Candidate for tenure and promotion (or for the Associate Professor standing for tenure alone) submits his/her preliminary dossier (curriculum vitae, examples of scholarship/professional and creative work, and other relevant materials) to the Department Chair, Chair Designate, or Dean.

**By August 15 – Preliminary dossier sent to external reviewers**

The Department Chair, Chair Designate or Dean sends the preliminary dossier and a request for a confidential letter of recommendation to the final list of external reviewers. The letters submitted by external reviewers must be addressed to the Dean and normally received by November 1, but no later than November 15. The Department Chair, Chair Designate or Dean monitors the informal replies of the external reviewers in order to ensure that a minimum of three have accepted the invitation to review the Candidate and that the responsive letters are submitted by external reviewers who meet the standards for independence set forth above.

**By October 15 – Peer Review Committee (PRC) identified**

The Dean identifies a PRC consisting of all tenured members of the Candidate's department or unit (see eligibility of voting members above). The Department Chair or Chair Designate is not a member of the PRC. If there are fewer than three tenured members in a given department or unit, or if a College has no departmental structure, the Dean will select three eligible faculty from the College to serve on the PRC.

**By November 1 – External review letters due**

The Dean's Office stamps all external review letters received "Confidential" and places them in the Candidate's dossier once each is received. These letters may not be reviewed by the Candidate.

**By November 15 – Candidate dossiers due**

The Candidate submits a final dossier to the Dean's Office for review by all involved in the RTP process. Once the final dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion (except in exceptional circumstances in which, as noted below, issues arise during the reappointment evaluation process requiring modification of timelines or procedures by the Provost-EVP to ensure a complete and fair evaluation).

**The final dossier should include** some or all of the following information (see specific criteria established by each College.)

1. An updated vita, including and identifying the following information, as applicable:
  - a. Biographical and educational data.
  - b. Courses taught in each semester (include year).

- c. Advising responsibilities.
  - d. Service, including administrative and leadership responsibilities.
  - e. Honors.
  - f. Research and grants.
  - g. Publications.
  - h. Presentations.
  - i. Creative or professional work.
2. Evidence of teaching and advising:
    - a. Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
    - b. All student evaluations of faculty.
    - c. All peer evaluations and/or observations.
    - d. Representative syllabi.
  3. Evidence of scholarship/professional and creative work, including the following, as applicable:
    - a. Statement of scholarly, professional, and performance goals, activities and future plans as they relate to the Roosevelt University mission.
    - b. Publications (including all manuscripts). Place an asterisk in front of articles that are refereed.
    - c. Books.
    - d. Presentations.
    - e. Performances and compositions.
    - f. Exhibitions.
    - g. Publication awards, reviews of books and/or performances.
    - h. Grant proposals.
  4. Evidence of service:
    - a. Participation in academic unit, college and university activities and committees; holding office on these committees.
    - b. Participation in learned societies and professional organizations; holding office in these organizations (indicate local, regional, or national).
    - c. Consulting to the field and the community (indicate local, regional, or national).
    - d. Participation in community and civic affairs.
    - e. Service as a program director, department chair, or in another administrative leadership role (where applicable).

**By December 15 – Peer Review Committee (PRC) votes**

The PRC reviews the dossier, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against tenure and/or promotion for the Candidate by secret ballot.

The PRC:

- tallies the vote;

- writes a letter describing the strengths and weaknesses of the Candidate with regard to teaching, scholarship/professional and creative work, and service in the context of the standards and criteria established by the University and the College and the specific responsibilities assigned to the Candidate by the University;
- communicates the vote to the Candidate, Department Chair or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier and the dossier returned to the Office of the Dean.

By December 26 the Candidate may respond in writing to the PRC report. The letter is to be addressed to the Department Chair or Chair Designate. The Candidate's response will be included in the dossier.

**By January 2 – Department Chair writes letter of recommendation**

The tenured Department Chair or Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate.

The letter:

- discusses the Candidate's performance in the areas of teaching/advising, scholarship/professional and creative work, and service;
- assesses the Candidate's strengths, weaknesses, and overall performance in light of the standards and criteria established by the college and information set forth in the Candidate's dossier;
- recommends for or against tenure and/or promotion.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate, and is added to the Candidate's dossier.

**By February 1 – College Executive Committee (CEC) votes**

The CEC reviews the dossier, including the PRC's letter and vote, and the Department Chair's or Chair Designate's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against tenure and/or promotion of the Candidate by secret ballot.

The Chair of the CEC prepares a letter on the CEC's vote addressed to the Dean, with a copy to the Candidate, reporting the vote of the CEC. This letter is added to the Candidate's dossier.

If a member of the CEC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the CEC (or designate, where

an issue is raised about the Chair's own ability to vote) may act to recuse a member of the CEC, after consulting with the rest of the committee.

By February 10 the Candidate may respond in writing to the CEC letter. The letter is to be addressed to the Dean. The Candidate's response will be included in the dossier.

#### **By February 15 – Dean writes letter of recommendation**

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, regarding the Candidate's request for tenure or promotion, with a recommendation for or against. This recommendation is addressed to the Provost/EVP, with a copy to the Candidate, and is added to the Candidate's dossier. The Dean sends this letter and the complete dossier to the Office of the Provost/EVP.

#### **By March 15 – University Faculty Personnel Committee (UFPC) votes**

The UFPC reviews the dossier, including the PRC's letter and vote, Department Chair's or Chair Designate's letter, CEC's letter, and Dean's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against tenure and/or promotion of the Candidate by secret ballot.

The UFPC also discusses the process for the Candidate to determine if procedures were followed and if the criteria established by the individual colleges and/or departments have been met. A letter noting the UFPC's vote for or against tenure and/or promotion and findings is provided to the Candidate and his/her Dean. This letter is added to the Candidate's dossier and the dossier is returned to the Office of the Provost/EVP.

If a member of the UFPC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the UFPC (or designate, where an issue is raised about the Chair's own ability to vote) may act to recuse a member of the UFPC after consulting with the rest of the committee.

By March 25, the Candidate may respond in writing to the UFPC's report and ask for reconsideration of the findings. The Candidate's request for reconsideration will be included in the dossier.

By April 1, the UFPC reconvenes if a request for reconsideration from the Candidate is received. The UFPC will consider the request, vote again, and report the result in writing to the Candidate with a copy to the provost/EVP. This vote upon a request for reconsideration shall be final and not subject to further reconsideration requests.

### **By April 7 – Provost/EVP makes recommendation to President**

The Provost/EVP reviews the Candidate's request for tenure or promotion – including the complete dossier, including the documents presented and the recommendations of the PRC, Department Chair, CEC, Dean, and UFPC -- and makes a written recommendation to the President.

The President reviews the Candidate's complete dossier, including the documents presented and the recommendations of the PRC, Department Chair, CEC, Dean, UFPC, and Provost/EVP, and makes his/her final decision regarding tenure and/or promotion.

### **By April 21 – Provost/EVP informs Candidates of tenure or promotion decision**

The Provost/EVP writes a letter to the Candidate informing him/her of the decision.

The Provost/EVP will announce the names of those promoted to Associate Professor and/or tenured at the Senate meeting immediately following this date.

### **Retention of Confidential Letters**

Confidential letters concerning faculty reappointment, promotion, and tenure will be removed from the faculty member's reappointment, promotion, and/or tenure file after final decisions have been made by the president and communicated to the faculty member. These letters will be retained in the faculty member's personnel file in the Office of Human Resources for three years; after that time, the letters may, at the discretion of the University, be destroyed.

In exceptional circumstances, issues or complaints may arise after a reappointment process has begun that may require supplementation of the dossier, stay of the reappointment proceedings, or modification of the timelines or procedures set forth in this section). Such modifications may be made in order to ensure a complete and fair reappointment process, in which matters or issues are properly addressed, with a candidate afforded an opportunity to address concerns, before a reappointment decision is made. Where the Provost/EVP concludes that exceptional circumstances require modification of the above timelines or procedures, the Provost may modify the applicable timelines or procedures accordingly, with written notification and explanation to be afforded to the Candidate, the College at issue, and the University Senate.

**Part 4**  
**(for tenured Associate Professors standing for Promotion to Full Professor)**

**By April 1 – Meeting with the Dean**

The Candidates for promotion to Full Professor should self-identify him/herself to the Dean and meet to review the entire promotion process and procedures, including but not limited to the need to submit a list of names of external reviewers by May 1 and to prepare the preliminary dossier by August 1.

**By May 1 – Confidential external reviewers**

The Candidate, in consultation with the Department Chair or Chair Designate (Chair Designate must be a tenured, Full Professor), develops a list of “arm’s-length” experts with the rank of Full Professor or equivalent to serve as confidential external reviewers. An arm’s-length reviewer must be an expert in the Candidate’s discipline with no conflicting relationship, such as, dissertation advisor, collaborator (co-author or joint researcher), students, relatives, and those involved in romantic relationships. The list is normally six or more persons, long enough to maximize the possibility a minimum of at least three external letters are ultimately received. The list of external reviewers must be approved by the Dean or can be created in conjunction with the Dean.

**By June 30 – Contacting external reviewers**

The Department Chair, Chair Designate or Dean contacts individuals on the list of external reviewers to determine their willingness to serve as an external reviewer (see Example A attached).

**By August 1 – Submission of preliminary dossier**

The Candidate for promotion to Full Professor submits his/her preliminary dossier (curriculum vitae, examples of scholarship/professional and creative work, and other relevant materials) to the Department Chair, Chair Designate or Dean.

**By August 15 – Preliminary dossier sent to external reviewers**

The Department Chair, Chair Designate or Dean sends the preliminary dossier and a request for a confidential letter of recommendation to the final list of external reviewers. The letters must be addressed to the Dean and normally received by November 1, but no later than November 15. The Department Chair, Chair Designate or Dean monitors the informal replies of the external reviewers in order to ensure that a minimum of three have accepted the invitation to review the Candidate.

**By October 15 – Peer Review Committee (PRC) selected**

The Dean identifies a PRC consisting of all tenured Full Professors of the Candidate’s department or unit (see eligibility of voting members above). The Department Chair or

Chair Designate is not a member of the PRC. If there are fewer than three tenured Full Professors in a given department or unit, or if a College has no departmental structure, the Dean will select three eligible faculty from the College to serve on the PRC.

**By November 1 – External review letters due**

The Dean's Office stamps all external review letters received "Confidential" and places them in the Candidate's dossier once each is received.

**By November 15 – Candidate dossiers due**

The Candidate submits a final dossier to the Dean's Office for review by all involved in the RTP process. Once the final dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion.

**The final dossier should include** (see Faculty Manual for criteria established by each College.)

1. An updated vita, including the following, as applicable:
  - a. Biographical and educational data.
  - b. Courses taught in each semester (include year).
  - c. Advising responsibilities.
  - d. Service.
  - e. Honors.
  - f. Research and grants.
  - g. Publications.
  - h. Presentations.
  - i. Creative or professional work.
2. Evidence of teaching and advising:
  - a. Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
  - b. All student evaluations of faculty.
  - c. All peer evaluations and/or observations.
  - d. Representative syllabi.
3. Evidence of scholarship/professional and creative work, including the following, as applicable:
  - a. Statement of scholarly, professional, and performance goals, activities and future plans as they relate to the Roosevelt University mission.
  - b. Publications (including all manuscripts). Place an asterisk in front of articles that are refereed.
  - c. Books.
  - d. Presentations.
  - e. Performances and compositions.
  - f. Exhibitions.
  - g. Publication awards, reviews of books and/or performances.

- h. Grant proposals.
4. Evidence of service:
  - a. Participation in academic unit, college and university activities and committees.
  - b. Participation in learned societies and professional organizations; holding office in these organizations (indicate local, regional, or national).
  - c. Consulting to the field and the community (indicate local, regional, or national).
  - d. Participation in community and civic affairs.

#### **By December 15 – Peer Review Committee (PRC) votes**

The PRC reviews the dossier, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against promotion of the Candidate by secret ballot.

The PRC:

- tallies the vote;
- writes a letter describing the strengths and weaknesses of the Candidate with regard to teaching, scholarship/professional and creative work, and service in the context of the standards and criteria established by the University and the College;
- communicates the vote to the Candidate, Department Chair or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier.

By December 26 the Candidate may respond in writing to the PRC report. The letter is to be addressed to the Department Chair or Chair Designate. The Candidate's response will be included in the dossier.

#### **By January 2 – Department Chair writes letter of recommendation**

The tenured Department Chair or Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate.

The letter:

- discusses the Candidate's performance in the areas of teaching/advising, scholarship/professional and creative work, and service;
- assesses the Candidate's strengths and weaknesses in light of their performance as related to the standards and criteria established by the college;
- recommends for or against promotion.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate, and added to the Candidate's dossier.

#### **By February 1 – College Executive Committee (CEC) votes**

The CEC reviews the dossier, including the PRC's letter and vote, and the Department Chair's or Chair Designate's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against promotion of the Candidate by secret ballot.

The Chair of the CEC prepares a letter on the CEC's vote addressed to the Dean, reporting the vote of the CEC. This letter is added to the Candidate's dossier.

If a member of the CEC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate.

By February 10 the Candidate may respond in writing to the CEC letter. The letter is to be addressed to the Dean. The Candidate's response will be included in the dossier.

#### **By February 15 – Dean writes letter of recommendation**

The Dean of the College writes a letter of recommendation addressed to the Provost/EVP with a copy to the Candidate, and added to the Candidate's dossier, regarding the Candidate's promotion. This letter is added to the Candidate's dossier, and the Dean sends this letter and the complete dossier to the Office of the Provost/EVP.

#### **By March 15 – University Faculty Personnel Committee (UFPC) votes**

The UFPC reviews the dossier, including the PRC's letter and vote, Department Chair's or Chair Designate's letter, CEC's letter, and Dean's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against promotion for the Candidate by secret ballot.

The UFPC also discusses the process for the Candidate to determine if procedures were followed and if the criteria established by the individual colleges and/or departments have been met. A letter noting the UFPC's vote for or against promotion and findings is provided to the Candidate and his/her Dean. This letter is added to the Candidate's dossier.

If a member of the UFPC voted on a particular Candidate being evaluated at a previous stage in the process, faculty member must recuse him/herself from voting and leave the room during any discussion of the Candidate.

By March 25, the Candidate may respond in writing to the UFPC's report and appeal the findings. The Candidate's appeal will be included in the dossier.

By April 1, the UFPC reconvenes if an appeal from the candidate is received. The UFPC will consider the appeal, vote again, and this vote will be final. The vote will be reported in writing to the Candidate with a copy to the Provost/EVP.

**By April 7 – Provost/EVP makes recommendation to President**

The Provost/EVP reviews the Candidate's complete dossier, including the documents presented and the recommendations of the PRC, Department Chair, CEC, Dean, and UFPC, and makes a recommendation to the President.

The President reviews the Candidate's complete dossier, including the documents presented and the recommendations of the PRC, Department Chair, CEC, Dean, UFPC, and Provost/EVP, and makes his/her decision regarding promotion to Full Professor.

**By April 21 – Provost/EVP informs Candidates of reappointment decision**

The Provost/EVP writes a letter to the Candidate informing him/her of that decision.

The Provost/EVP will announce the names of those promoted to Full Professor at the Senate meeting immediately following this date.

**Retention of Confidential Letters**

Confidential letters concerning faculty reappointment, promotion, and tenure will be removed from the faculty member's reappointment, promotion, and/or tenure file after final decisions have been made by the president and communicated to the faculty member. These letters will be retained in the faculty member's personnel file in the Office of Human Resources for three years; after that time, the letters may be destroyed.

## PART VI: University Policies and Procedures

### SECTION A University Policies and Procedures

*From the faculty and staff page, select human resources, then current employees. You will be prompted to enter a username (RUSecure) and password (Letmein!).*

Accommodations of Persons with Disabilities:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/AccomodPersonDisability.aspx>

Anti Harassment:

<http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/AntiHarrassment.ashx>

Administrative handbook:

[http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/Administrative\\_Handbook.ashx](http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/Administrative_Handbook.ashx)

Confidentiality and FERPA:

<http://www.roosevelt.edu/Policies/FERPA.aspx>

Drug and alcohol free policy:

<http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/DrugAlcoholFree.ashx>

Equal Employment Opportunity:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/EEOPolicy.aspx>

Professional Code of Conduct:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/ProfessionalCodeofConduct.aspx>

Sexual Assault Policy:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/ProfessionalCodeofConduct/RUPolicySexualAssault.aspx>

Tuition Remission:

<http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/TuitionRemissionPolicy.ashx>

Workplace Threats and Violence:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/ProfessionalCodeofConduct/WorkplaceThreats.aspx>

## **PART VII: Amendments to the Handbook of the University Faculty**

When the Senate Executive Committee receives a proposal for a substantive change to the Handbook of the University Faculty or to any other document that affects the conditions of employment or the contractual rights and responsibilities of the University Faculty, the Senate Executive Committee shall adhere to the following procedure:

1. the University Faculty will be immediately informed in writing via email and/or other electronic means of the suggested change and the proposed change will be discussed at the next meeting of the University Senate;
2. the proposed change will be voted on at the meeting of the University Senate following the meeting at which the change is introduced and discussed;
3. any change that receives the majority vote of the University Senate will be recommended to the president for approval;
4. the Chair of the Senate Executive Committee will ensure that the changes that have been approved by the president are made to the appropriate document.

Changes brought to the Senate Executive Committee during the summer months will be placed on the Senate agenda in September.