



**Report from the FAS-SEAS Governance Committee:  
Analysis of Changes to the Faculty Handbook, 2021 – 2024,  
with Recommendations**

APPROVED by the FAS-SEAS Senate  
February 20, 2025

The Faculty Handbook is our employment contract. As such, it is important that we understand its terms and are up to date when changes are made. It is essential that changes are presented transparently, that the faculty—one party to the contract—be consulted before changes are made, and that the authority for changes be documented in each revision. This report will document and analyze how changes to the Handbook are presented and recommend procedures for enhancing the transparency and collaborative process for revisions.

[Archived digital versions](#) of the Handbook are available going back to the April 30, 2014 edition (although the July 1, 2023 version is missing). In 2018, Senator Mark Solomon and Senate chair Bill Nordhaus spoke with Jason Killheffer of the Provost’s office, who was then responsible for incorporating changes into each new edition. We argued strongly for greater transparency regarding changes, preferably with tracking of all changes and at least incorporating a detailed summary of significant changes. The Provost’s office has included a “Recent Updates” summary with each new edition of the Faculty Handbook beginning with the October 17, 2018 version but has not agreed to our other suggestions.

The purpose of the following analysis is to assess the accuracy and completeness of the Provost’s summaries of updates and to provide a basis for recommendations. We began by considering all of the Provost’s summaries that relate to the FAS (except for a few concerning very trivial matters) and identifying the relevant text in that version of the Handbook and in the previous version. These texts are provided side-by-side in Appendices A, B and C, along with the Provost’s summary, the location of the text in the

Handbooks, and the Senate’s commentary (if any) on the change or its reporting. We also highlight important aspects of the Handbook text that warrant particular focus. [Appendix A](#) includes our analysis of the Handbook issued on July 1, 2024; [Appendix B](#) includes our analysis of the Handbook issued on July 1, 2023; and [Appendix C](#) includes our analysis of one summary from the Handbook issued on October 1, 2021. Links are provided to the relevant pages in each Appendix.

It was reassuring that a substantial majority of the Provost’s summaries accurately capture the changes made. However, there were a number of summaries that were superficial, and, while technically accurate, failed to convey the significance of various changes. We also noted a number of changes that we deemed significant but for which the Provost did not provide summaries. These issues were more prevalent in the 2023 edition of the Handbook than in the 2024 edition.

**Provost summaries that were superficial or incomplete.** Here we provide some, but not all, of the instances in which we determined that the Provost’s summary failed to convey important aspects of the changes in the revised Handbook. A pattern emerged in which use of variants of the word “clarify” obscured what was actually a change in policy, rather than a revision to remove ambiguities.

- The Provost refers to a change in the 2023 Handbook by stating that “[The process was clarified for submitting a complaint in response to an action taken following a review regarding violations of the Faculty Standards of Conduct.](#)” We have two concerns with this summary. First the text in the Handbook really describes an appeals process (rather than a way to file a complaint) for faculty who have been sanctioned, and second, the text describes more than just a clarification as additional types of sanctions and grounds for appeal have been added.
- The Provost refers to a change in the 2023 Handbook by stating that “[Language was clarified regarding privileges available to emeriti and retired faculty.](#)” Rather than providing clarifications, the text describes significant changes to the benefits for retired faculty. No longer included as benefits are Parking, Fellowships in the Residential Colleges, free lunches in the Dining Halls, Gym access, and Yale Charge Accounts, although a provision for Yale email and login credentials has been added.
- The Provost refers to a change in the 2023 Handbook by stating that “[The policy on outside interests and employment was clarified. The policy on outside research activities was clarified.](#)” These statements are likely correct, but the text to which this summary refers spans seven pages, making it extremely difficult to verify.
- The Provost refers to a change in the 2021 Handbook by stating that “[Updated descriptions of benefits available to faculty to make consistent with descriptions in other University communications.](#)” This summary completely obscures the nature and the significance of the actual change, which is that Yale will no longer increase its core contribution to the Retirement Plan from 5% to 7.5% on income over a certain amount (\$168,600 in 2024). Following the logic of the Provost’s summary,

ANY change to a policy can be hidden by saying that the Handbook was changed “to make it consistent with descriptions in other University communications.”

### **Significant changes that were not accompanied by a summary from the Provost.**

During a non-systematic review of various sections of the Handbook, we observed a number of changes that were significant enough to have been included in a Provost summary but that weren't. Here we summarize two of these instances.

- Sections on [Yale's affirmative action programs](#) for employees and on the appointment of [Affirmative Action Deputies](#) were removed from the 2021 Handbook without explanation.
- A section on [leaves for part-time employees](#) was removed from the 2021 Handbook without explanation.

### **Documentation of changes to Faculty Handbooks at two other universities.**

An excellent example of a Faculty Handbook with tracking of changes is provided by the [University of Alabama](#). The tracked version of their handbook (there's also a clean version) identifies EVERY change, including trivial ones. Most changes are also accompanied by a comment in the margin addressing the purpose of the change. [Appendix D](#) presents a twelve-page section of the University of Alabama Handbook containing thirteen comments and thirteen changes (though some changes don't have corresponding comments, and vice versa.) This selection maintains a clean look despite having a higher density of changes than the rest of the Handbook. Overall, there are 73 comments in the 160-page document. [The strongest argument we can make for adopting a tracked-changes version of each new handbook is to compare the work involved in compiling this report \(particularly Appendices A and B\) with the simplicity and transparency of the tracked-changes version from the University of Alabama.](#)

The University of California at Berkeley takes a different approach to documenting changes to their Handbook. As shown in [Appendix E](#), their Handbook documents when and under what authority each section was adopted or changed. A summary of the changes is linked at the end of the document. Of course, this information could also be included in the comments accompanying a tracked-changes version.

### **Findings:**

Our analysis shows that while the Provost's summaries of changes to the Handbook are generally accurate and complete, many changes—including some that are quite important—are obscured by general language (“clarifications”) or not noted at all. Even if the consistency of the Provost's comments could be improved, many changes will be deemed minor and not be noted. In an employment contract, every word matters, including every “and,” “or,” and comma, and in a union context, all these changes would be tracked for the benefit of all parties. It is unfair to place the burden of finding changes on the faculty. As indicated by our analysis, this is not a trivial endeavor even when we know where to look for changes. Finding small but potentially meaningful changes throughout

the Handbook is a near impossible task. Direct comparison of pdf versions of the Handbook, or conversion of the pdfs to Word versions, introduces MANY thousands of errors and, even if it were not so error-prone, places the burden on the employee rather than on the employer. We presume that the Provost's office could readily create a tracked-changes version as a natural part of updating the Handbook.

**Recommendations:** Based on our analysis, we make the following recommendations for how changes to the Handbook are made and presented:

1. For historical and transparency purposes, digital versions of Handbooks preceding 2014 should be made available. The missing 2023 Handbook should be posted.
2. The Provost's office should continue to provide summaries of significant changes to each edition of the Handbook with particular attention to accuracy, clarity, and completeness. In this vein, the summary of the changes for the 2024 edition was more accurate and thorough than the one for the 2023 edition.
3. A tracked-changes version of each new edition should be posted alongside a clean-text version. This change would provide by far the greatest transparency so that all concerned can see that no errors were introduced accidentally, that all policies reflect everyone's understanding of what was to be changed, and that no changes were made surreptitiously. Tracking should apply even when multipage sections are added or entire paragraphs are re-written. We should expect no less for a legally-binding document. The strongest argument we can make for a tracked-changes version is to ask that readers simply take a look at the example in [Appendix D](#).
4. Tracked-changes versions of the Handbook should include comments in the margins indicating WHY each change was made, under what authority it was made, and what impact the change will have.
5. An indication of under what authority and after what consultation each change was made should be included, either as a comment in a tracked version (like the University of Alabama) or as a list at the beginning of each section (as at UC Berkeley). Changes can arise after a vote of the full faculty, via input from a Department, following recommendation by a faculty-administration committee, or by fiat from the administration or the Yale Corporation (which should be eliminated to the maximal extent, but at least documented if it occurs).

While the bulk of this report focuses on the mechanics of presenting updates to the handbook, we also considered the processes by which changes to the handbook are approved. As stated at the outset, changes to the Handbook must be made in consultation with the faculty. It is unconscionable that changes can be made to an employment contract without consulting the employees, who should have the right to review and negotiate their terms of employment. Toward introducing transparency into this process, we make the following two recommendations:

6. The FAS-SEAS Senate, as the elected body of the Faculty of FAS and SEAS, should appoint faculty representatives to the committee that approves changes to the Faculty Handbook.
7. Our understanding is that changes to the Faculty Handbook are approved by the Provost Steering Committee. The membership of this committee needs to be made public. It is not currently listed on the website of provostial committees (<https://provost.yale.edu/committees>).

**Appendices:**

[Appendix A: Comparison of the July 1, 2024 and July 1, 2023 Handbooks](#)

[Appendix B: Comparison of the July 1, 2023 and October 1, 2021 Handbooks](#)

[Appendix C: One Comparison of the October 1, 2021 and August 22, 2019 Handbooks](#)

[Appendix D: A selection from the University of Alabama Faculty Handbook with tracked changes.](#)

[Appendix E: UC Berkeley General University Policy Regarding Academic Appointees--The Faculty Code of Conduct.](#)

**FAS-SEAS Senate Governance Committee, 2024 – 2025**

- Michael Fischer
- Beverly Gage (Chair)
- Alessandro Gomez
- Valerie Horsley
- Mark Solomon
- Meg Urry
- Jing Yan
- Mimi Yiengpruksawan

## Appendix A

### Comparison of July 1, 2024 and July 1, 2023 Handbooks

<b>Provost's Office Summary of the Change</b>	
Section IV (C). Faculty of Arts and Sciences	
The name of the Theater and Performance Studies Program was revised to the Theater, Dance, and Performance Studies Program.	
July 1, 2024 version (p. 28)	July 1, 2023 version (p. 27)
Theater, <b>Dance</b> , and Performance Studies Program	Theater and Performance Studies Program
<b>FAS-SEAS Senate Analysis</b>	
No comments.	

**Provost's Office Summary of the Change**

Section IV (D). Faculty of Arts and Sciences

Policies on assignment to the Graduate School faculty were revised to clarify eligibility for automatic assignment and to reflect policies of the School of Public Health.

<b>July 1, 2024 version (p. 29)</b>	<b>July 1, 2023 version (p. 28)</b>
<p>Principal advisors of Ph.D. students must have assignments to the Graduate School of Arts and Sciences.</p> <p>Assignment to the Graduate School faculty is automatic for:</p> <ul style="list-style-type: none"> <li>• faculty appointed to the tenure-track ladder ranks (lecturer convertible, assistant professor, associate professor on term or with tenure, and professor) in one of the departments in the Faculty of Arts and Sciences, the School of Engineering and Applied Science, <b>the School of Public Health</b>, or in certain of the departments or sections of the School of Medicine.<sup>24</sup> The tenure track is called the “traditional track” in the Schools of Medicine, Nursing, and Public Health;</li> <li>• a faculty member appointed to a tenure-track rank in a professional school who holds a fully joint or secondary appointment in a department in the FAS or SEAS, or in a specified department in the School of Medicine. A fully joint or secondary appointment reflects the appointing department’s determination that a faculty member is fully qualified to teach and advise Ph.D. students in that department.</li> </ul> <p>Assignment to the Graduate School may be requested for:</p> <ul style="list-style-type: none"> <li>• tenure-track faculty in clinical departments in the School of Medicine;</li> <li>• tenure-track faculty in other professional schools, including those that have graduate programs leading to the Ph.D. degree: Architecture, Environment, Law, Management, and Nursing; and,</li> <li>• ladder faculty in tracks other than the tenure track.</li> </ul>	<p>Principal advisors of doctoral candidates must have assignments to the Graduate School of Arts and Sciences. An appointment to the ladder ranks (lecturer convertible, assistant professor, associate professor on term or with tenure, and professor) in one of the departments in the Faculty of Arts and Sciences or in certain of the departments or sections of the School of Medicine<sup>24</sup> simultaneously confers an assignment to the Graduate School faculty. Assignment to the Graduate School faculty is also simultaneously conferred when a member of the ladder faculty in a professional school is given a fully joint appointment in an FAS department or a fully joint appointment in one of the specified departments or sections in the School of Medicine. A fully joint appointment reflects the appointing department or section’s determination that a faculty member is fully qualified to teach and advise doctoral candidates in that department.</p> <p>For professional schools that have graduate programs leading to the Ph.D. degree (Architecture, Environment, Law, Management, Medicine, Nursing, and Public Health), the Dean of the Graduate School will make the final assignment.</p> <p>Faculty members in professional schools that do not have graduate programs leading to the Ph.D. may be assigned to the Graduate School with the approval of the Dean of the Graduate School. Requests for such assignments must be made by the chair of the faculty member’s home department and must be submitted by the home school’s dean to the Graduate School Dean’s Office. The request must be accompanied by the candidate’s vita, a statement from the faculty member’s dean</p>

<p>Requests for such assignments must be made by the chair of the faculty member's home department or their professional school's dean and must be submitted by the home school's dean to the Graduate School Dean's Office. The request must be accompanied by the candidate's vita, a statement from the faculty member's dean explaining the grounds for the assignment, and acknowledgment that the faculty member has been consulted in the process. The faculty member seeking the assignment and the dean of the school must agree to the financial arrangement in force in the student's graduate program. Decisions about faculty assignments to the Graduate School will normally be made twice annually by the Dean of the Graduate School or their designees.</p> <p>FN 24: Relevant departments and sections within the School of Medicine include: Biomedical Informatics and Data Science, Cellular and Molecular Physiology, Cell Biology, History of Medicine, Immunobiology, Microbial Pathogenesis, Molecular Biophysics &amp; Biochemistry (also FAS), Neuroscience, Pharmacology, Comparative Medicine, Genetics, and Pathology.</p>	<p>explaining the grounds for the assignment, and acknowledgment that the faculty member has been consulted in the process. The faculty member seeking the assignment and the dean of the school must agree to the financial arrangement in force in the student's graduate program.</p> <p>Decisions about faculty assignments to the Graduate School will normally be made twice annually by the Dean of the Graduate School or their designees.</p> <p>FN 24: Relevant departments and sections within the School of Medicine include: Biomedical Informatics and Data Science, Cellular and Molecular Physiology, Cell Biology, History of Medicine, Immunobiology, Microbial Pathogenesis, Molecular Biophysics &amp; Biochemistry (also FAS), Neuroscience, Pharmacology, Comparative Medicine, Genetics, and Pathology. Departments in the School of Public Health include: Biostatistics, Chronic Disease Epidemiology, Environmental Health Sciences, Epidemiology of Microbial Diseases, Health Policy and Management, and Social and Behavioral Sciences.</p>
<p style="text-align: center;"><b>FAS-SEAS Senate Analysis</b></p> <p>This significant re-write expands eligibility for appointment to the Graduate School and greatly simplifies the process for faculty in the School of Public Health. This policy continues the trend of providing Graduate School appointments to faculty in clinical departments but whose research is appropriate for graduate student thesis research. The greatly improved writing makes this policy more accessible.</p>	

**Provost's Office Summary of the Change**

Section IV (F) (1). Faculty of Arts and Sciences

The governance and voting policies for the Italian Studies Department were revised.

**July 1, 2024 version (p. 32)**

\*\* Within the FAS, faculty members holding secondary appointments in the following departments and programs may have the same voting privileges (including the privilege to vote on tenure appointments) as those with primary or fully joint appointments: African American Studies ... **Italian Studies** ... Theater, Dance and Performance Studies.

**July 1, 2023 version (p. 31)**

\*\* Within the FAS, faculty members holding secondary appointments in the following departments and programs may have the same voting privileges (including the privilege to vote on tenure appointments) as those with primary or fully joint appointments: African American Studies ... Theater and Performance Studies.

**FAS-SEAS Senate Analysis**

Implementation of a policy change initiated by the department.

**Provost's Office Summary of the Change**

Section V (B)(1). School of Engineering and Applied Science

- Applied and Computational Mathematics was added as a new department.
- The name of the Electrical Engineering Department was revised to Electrical and Computer Engineering.
- The Mechanical Engineering and Materials Science Department was reorganized as two separate departments: the Materials Science Department and the Mechanical Engineering Department.

**July 1, 2024 version (p. 51)**

The School of Engineering and Applied Science is organized into these departments: Applied and Computational Mathematics, Applied Physics, Biomedical Engineering, Chemical and Environmental Engineering, Computer Science, Electrical and Computer Engineering, Materials Science, and Mechanical Engineering.

**July 1, 2023 version (p. 50)**

The School of Engineering and Applied Science is organized into these departments: Applied Physics, Biomedical Engineering, Chemical and Environmental Engineering, Computer Science, Electrical Engineering, Mechanical Engineering and Materials Science.

**FAS-SEAS Senate Analysis**

Implementation of changes initiated at the departmental and School levels.

**Provost's Office Summary of the Change**

Section V (B)(3). School of Engineering and Applied Science

The Engineering Appointments Committee was established to oversee certain instructional and research appointments, and to include as a subcommittee the Teaching Resource Advisory Committee.

<b>July 1, 2024 version (p. 52)</b>	<b>July 1, 2023 version</b>
<p>The Engineering Committee on Appointments (EAC) advises the Dean on appointments and reappointments of non-ladder faculty including professors of the practice and senior fellows, and may advise on appointments and reappointments of senior research scientists. EAC includes the SEAS Dean, a full professor from each SEAS department as appointed by the SEAS Dean, and relevant deans of the SEAS Dean's Office. The committee chair is appointed by the SEAS Dean. The Teaching Resource Advisory Committee (TRAC) is a subcommittee of EAC. It advises the Dean on appointments and reappointments of non-ladder instructional faculty in the lecturer ranks. TRAC includes relevant Deans of the SEAS Dean's Office (one of whom serves as chair), and others as appointed by the SEAS Dean. When warranted, the committee can expand to include the Dean of the SEAS and other members of the Dean's Office.</p>	<p>The Teaching Resource Advisory Committee (TRAC) advises the Dean on appointments and reappointments of non-ladder instructional faculty. TRAC includes relevant Deans of the SEAS Dean's Office (one of whom serves as chair), and others as appointed by the SEAS Dean. When warranted, the committee can expand to include the Dean of the SEAS and other members of the Dean's office.</p>

**FAS-SEAS Senate Analysis**

Further implementation of changes initiated at the departmental and School levels.

**Provost's Office Summary of the Change**

Section V (C). School of Engineering and Applied Science

Policies on assignment to the Graduate School faculty were revised to clarify eligibility for automatic assignment and to reflect policies of the School of Public Health.

**July 1, 2024 version (pp. 52-3)**

See summary of Section IV (D) above  
(Appendix A, page 2).

**July 1, 2023 version (pp. 51-2)**

**FAS-SEAS Senate Analysis**

Clarifications resulting from the separation of SEAS from the FAS and of the School of Public Health from the School of Medicine.

**Provost's Office Summary of the Change**

Section V (H). School of Engineering and Applied Science

The title of Senior Fellow, which can be given to certain lecturers, was added.

<b>July 1, 2024 version (p. 68)</b>	<b>July 1, 2023 version</b>
<p><b>Senior Fellow.</b> Senior fellows must be distinguished practitioners who demonstrate eminence in the field, and sustained accomplishment and activity in broad fields of engineering and the applied sciences. They will typically hold national or international reputations for their innovative contributions to their practice, through professional leadership or other demonstrations of significant accomplishment. Exceptional contributions as a practitioner are the basis of evaluation.</p> <p>All senior fellows will be appointed at the rank of lecturer. Initial appointments as senior fellow may be part- or full-time for one semester, for one year, or for a period of up to three years. Reappointments may be granted for up to five years. Although appointments to this rank may be renewed, they carry no presumption of reappointment and no expectation of permanent employment by the University. Reappointment will depend on the continued need for the position, the availability of resources for the position, and the performance of the faculty member.</p>	

**FAS-SEAS Senate Analysis**

No comments.

**Provost's Office Summary of the Change**

Section XX (B)(4)(b). Leaves of Absence and Teaching Relief: University-Wide

The Senior Faculty Fellowship policy was revised to show that faculty who take this leave now receive full salary during the leave, and to define the schools in which it is not available.

**July 1, 2024 version (p. 154)**

A faculty member awarded a Senior Faculty Fellowship is granted a full year's leave **at full salary.**

**July 1, 2023 version (p. 143)**

A faculty member awarded a Senior Faculty Fellowship is granted a full year's leave. **The University will fund this leave at a level equal to the amount halfway between the base pay for the rank held and the individual's approved base salary.**

**FAS-SEAS Senate Analysis**

A long-overdue salary change to make taking a SFF more appealing.

**Provost's Office Summary of the Change**

Section XXI (B)(1). Faculty Compensation, Benefits, and Services

The policy was clarified regarding the maximum number of months in which summer salary may be earned for faculty on nine-month appointments.

**July 1, 2024 version (p. 162)**

The maximum monthly salary is one-ninth of the academic year salary, and the maximum amount of time for which full-time salary may normally be earned for work performed in the summer is determined by the funding source and the school's policy. Summer compensation may never exceed three months.

**July 1, 2023 version (p. 151)**

The maximum monthly salary is one-ninth of the academic year salary, and the maximum amount of time for which full-time salary may normally be earned for work performed in the summer is two and a half months.

**FAS-SEAS Senate Analysis**

The old policy capped the amount of summer support that could be charged to grants at 2.5 months to reflect the requirement of funding sources such as the NIH that NO non-grant work (including other grant writing or preparation for teaching) may be performed when 100% effort is devoted to grants. This change now allows faculty with 2.5 months of summer support from federal sources to charge the remaining 0.5 months of summer support to an unrestricted account. As such, this change will be of benefit to many faculty.

**Provost's Office Summary of the Change**

Section XXIV (F). Other University Policies Affecting Faculty

A reference to the university-wide Recording Policy was added, to prohibit surreptitious recording and to create standards regarding the recording of participants in activities on campus.

**July 1, 2024 version (p. 189)**

The purpose of this policy is to prohibit surreptitious recording and to create standards regarding the recording of participants in classes, university-related meetings, or university events. The policy is intended to foster a spirit of trust and promote the open exchange of viewpoints and ideas within the university community. The reason for the policy is the expectation that Yale community members will engage openly and forthrightly with other community members in the workplace and in educational settings. For the text of the policy and to ask questions, visit: <https://your.yale.edu/policies-procedures/policies/9001-recording-policy>.

**July 1, 2023 version**

**FAS-SEAS Senate Analysis**

This new policy seems designed to encourage free expression by all and to reduce the chance of retaliation.

## Appendix B

### Comparison of July 1, 2023 and October 1, 2021 Handbooks

<b>Provost's Office Summary of the Change</b>	
<p>Section I (C) Officers of the University</p> <p>The description of the Corporation (Yale's Board of Trustees) and listing of the Officers of the University were revised.</p>	
<p style="text-align: center;"><b>July 1, 2023 version (pp. 2-3)</b></p> <p>The Officers of the University are appointed by the Corporation. They are the President; Provost; <u>Senior Vice President for Operations</u>; <u>Senior Vice President for Institutional Affairs</u>, General Counsel, <u>and Senior Counselor to the President</u>; <u>Vice President for Alumni Affairs &amp; Development</u>, <u>Vice President for Communications</u>; <u>Vice President for Facilities &amp; Campus Development</u>; <u>Vice President for Finance &amp; Chief Financial Officer</u>; <u>Vice President for Information Technology &amp; Chief Information Officer</u>, Vice President for Human Resources, Secretary and Vice President for Student Life, and such others as the Corporation may designate...</p>	<p style="text-align: center;"><b>October 1, 2021 version (p. 3)</b></p> <p>The Officers of the University are appointed by the Corporation. They are the President, Provost, Vice President of the University, Vice President for Finance and Business Operations, Vice President for Development, Vice President and General Counsel, Vice President for New Haven and State Affairs and Campus Development, Vice President for Human Resources and Administration, Secretary and Vice President for Student Life and such others as the Corporation may designate...</p>
<p style="text-align: center;"><b>FAS-SEAS Senate Analysis</b></p> <p>Several new titles/positions (underlined) were created or separated from the original titles/positions.</p>	

**Provost's Office Summary of the Change**

Section II (A) University Policy on Academic Freedom and Freedom of Expression

Language was added regarding academic freedom in response to the recommendations of the [Gift Policy Review Committee](#), chaired by Julia Adams, Margaret H. Marshall Professor of Sociology.

The process for addressing complaints was clarified.

**July 1, 2023 version (p. 4)**

Academic freedom and the spirit of free intellectual inquiry are fundamental to Yale's mission. Faculty members who believe they have been improperly restrained in the exercise of their academic freedom may seek redress under the provisions of Sections III.L, III.M, or III.N of this Handbook, depending on the nature of the alleged infringement.

**October 1, 2021 version (p. 5)**

**FAS-SEAS Senate Analysis**

Academic freedom is emphasized. This statement is an important follow-up to a major incident involving perceived meddling in academic matters by a donor.

**Provost's Office Summary of the Change**

Section III (A) Equal Opportunity and Affirmative Action

Not included in the Provost's summary of recent updates.

**July 1, 2023 version (p. 7)**

**October 1, 2021 version (p. 8)**

Written affirmative action programs are maintained by the University for the employment of women, members of government-designated racial or ethnic minority groups, persons with disabilities, special disabled veterans, veterans of the Vietnam era, and other covered veterans. Copies of these programs are available for review in the Office of Institutional Equity and Accessibility.

**FAS-SEAS Senate Analysis**

This text was probably removed because of the Supreme Court cases, Students for Fair Admission v. Harvard and Students for Fair Admission v. the University of North Carolina, both of which were decided on June 29, 2023. The court ruled that affirmative action may not be used in making college admissions decisions. We are uncertain what effect the removal of this text will have on university employment outside of the student admissions context.

**Provost's Office Summary of the Change**

Section III (C) Recruitment and Approval Process for Faculty Appointments

Not included in the Provost's summary of recent updates.

**July 1, 2023 version (p. 8)**

**October 1, 2021 version (p.9)**

Affirmative Action Deputies are appointed in each of the professional schools, and individuals are asked to serve on search committees in the Faculty of Arts and Sciences, to assist search committees in their schools and departments with the recruitment of women and members of minority groups. More detailed information about appointments procedures can be found in memoranda prepared and distributed by the Provost and deans of the FAS and the professional schools.

**FAS-SEAS Senate Analysis**

This text was probably removed because of the Supreme Court cases, Students for Fair Admission v. Harvard and Students for Fair Admission v. the University of North Carolina, both of which were decided on June 29, 2023. The court ruled that affirmative action may not be used in making college admissions decisions. We are uncertain what effect the removal of this text will have on university employment outside of the student admissions context.

**Provost's Office Summary of the Change**

Section III (I) (4) Part-time Appointment to the Ladder Ranks of Assistant Professor, Associate Professor, and Professor – Leaves and Benefit

Not included in the Provost's summary of recent updates.

**July 1, 2023 version (p. 12)**

**October 1, 2021 version (p. 15)**

Persons holding part-time appointments (with proportional compensation) are eligible for most leaves available to full-time faculty members in those faculties in proportion to the percentage of time worked. For full information about leaves, consult the Office of the Provost. For information about benefits, consult the Benefits website.

**FAS-SEAS Senate Analysis**

This change appears to backtrack from recent advances in the benefits available to part-time and instructional faculty. The rationale is unclear.

**Provost's Office Summary of the Change**

Section III (K)(2) Faculty Appointment Procedures – Voting on Appointments and Promotions

The policy on faculty participation in faculty voting via audio-visual technology was revised to remove the stipulation that such is allowed only “in exigent circumstances.”

**July 1, 2023 version (pp. 14-15)**

For purposes of the foregoing, with prior permission of the relevant dean, a department, program, or school may treat as present a faculty member who participates in the discussion preceding a vote via two-way audiovisual technology enabling that faculty member to see and hear, and be seen and heard by, all other faculty members participating in the vote.

**October 1, 2021 version (p. 18)**

For purposes of the foregoing, **in exigent circumstances** and with prior permission of the relevant dean, a department, program, or school may treat as present a faculty member who participates in the discussion preceding a vote via two-way audiovisual technology enabling that faculty member to see and hear, and be seen and heard by, all other faculty members participating in the vote.

**FAS-SEAS Senate Analysis**

Despite this change, permission to allow faculty to vote while on Zoom appears difficult to obtain. Some departments have two-part promotion meetings, and only faculty present at both meetings are allowed to vote. Allowing voting while participating over Zoom would increase participation when faculty are otherwise unavailable.

**Provost's Office Summary of the Change**

Section III (M) Review Procedure for Complaints about Issues Other than Reappointment or Promotion.

The procedure for complaints about issues other than reappointment or promotion was clarified.

**July 1, 2023 version (p. 21)**

If the complaint is submitted to a committee for review, the Provost, at their discretion, may submit the complaint either to the Faculty Review Committee composed as described above or to an ad hoc panel of no fewer than three [members] who qualify for appointment to the Faculty Review Committee in accordance with Section III.L.b.

**October 1, 2021 version (p. 23)**

If the complaint is submitted to a committee for review, the Provost, at their discretion, may submit the complaint either to the Faculty Review Committee composed as described above or to an *ad hoc* panel of no fewer than three members appointed by the Provost.

**FAS-SEAS Senate Analysis**

This is a reasonable clarification.

**Provost's Office Summary of the Change**

Section III (N) Review Procedures for Complaints about Violations of the Faculty Standards of Conduct.

Not included in the Provost's summary of recent updates.

<b>July 1, 2023 version (p. 20)</b>	<b>October 1, 2021 version (p. 24)</b>
FN 14: If a complaint alleges discrimination on the basis of sex; sexual orientation, gender identity or expression; race; color, national or ethnic origin; religion; age; disability; or a status as a special disabled veteran, veteran of the Vietnam era, or other covered veteran, the Dean must notify the Office of Institutional Equity and <b>Accessibility (OIEA) which will assess the complaint and may conduct an investigation. If OIEA declines to conduct an investigation, the Dean may initiate a decanal process to review the complaint...</b>	FN 14: If a complaint alleges discrimination on the basis of sex; sexual orientation, gender identity or expression; race; color, national or ethnic origin; religion; age; disability; or a status as a special disabled veteran, veteran of the Vietnam era, or other covered veteran, the Dean must consult with the Office of Institutional Equity and Accessibility before starting a decanal process...

**FAS-SEAS Senate Analysis**

This is a reasonable change, but it is significant enough that it should have been highlighted in the summary of changes to the Handbook.

**Provost's Office Summary of the Change**

Section III (N) Review Procedures for Complaints about Violations of the Faculty Standards of Conduct.

The process was clarified for submitting a complaint in response to an action taken following a review regarding violations of the Faculty Standards of Conduct.

**July 1, 2023 version (p. 20)**

If a Dean imposes a sanction **or administrative leave** that the affected faculty member believes exceeds the Dean's inherent administrative authority, the faculty member may write a letter of complaint to the Provost within seven days after being informed of the action. If the Provost concludes that the action exceeded the Dean's authority, **including that the action was grossly disproportionate to the alleged behavior**, the Provost will return the matter to the Dean, who may impose a lesser sanction **or interim remedy** or request that the matter be referred for formal faculty review under the procedures described below.

**October 1, 2021 version (p. 24)**

**FN 15:** If a Dean imposes a sanction that the affected faculty member believes exceeds the Dean's inherent administrative authority, the faculty member may write a letter of complaint to the Provost within seven days after being informed of the sanction. If the Provost, **in the Provost's sole discretion**, concludes that the sanction exceeded the Dean's authority, the Provost will return the matter to the Dean, who may impose a lesser sanction or request that the matter be referred for formal faculty review under the procedures described below.

**FAS-SEAS Senate Analysis**

How faculty may respond to allegations of violations of the Faculty Standards of Conduct is a very important and sensitive topic. These changes explicitly add "administrative leave" to the list of sanctions, add the concept of interim remedies, and includes as a grounds for appeal that a sanction was "grossly disproportionate." Overall, these changes go in the right direction, but more protections for the accused are needed. It is also important that these procedures have been elevated from a footnote to the main text.

Although the Provost's summary refers to **submitting a complaint** in response to action taken, the text describes an appeals process, not a process for submitting a complaint. This is an important distinction as someone facing discipline needs to find relevant procedures easily. The Provost's summary would direct such persons in the wrong direction.

**Provost's Office Summary of the Change**

Section IV (K)(1)(a) Leaves -- FASTAP 2007 Leave Policy -- Assistant Professor Fellowships (FASTAP 2007)

Not included in the Provost's summary of recent updates.

**July 1, 2023 version (p. 47)**

Assistant professors who have had no leave of any kind while at Yale are eligible to hold Morse or Junior Faculty Fellowships in the second, third, or fourth year of teaching at that rank at Yale. The fellowships may be awarded to assistant professors who present, during the fall of the previous academic year, a research proposal that is approved by the department chair and the FAS Dean and, for faculty with fully joint appointments, the other relevant dean(s).

**October 1, 2021 version (p. 55)**

Assistant professors who have had no leave of any kind while at Yale are eligible to hold Morse or Junior Faculty Fellowships in the second, third, or fourth year of teaching at that rank at Yale. The fellowships may be awarded to assistant professors who present, during the fall of the previous academic year, a research proposal that is approved by the department chair and the FAS Dean.

**FAS-SEAS Senate Analysis**

Although it is reasonable for faculty with fully joint appointments to need approval from both of their cognizant Deans, this change should have been included in the Provost's summary of changes.

**Provost's Office Summary of the Change**

Section XVII (2021) XIX (2023) (D) Child-Rearing Leaves, Caregivers Leaves, and Parental Leave Policies

Policies on child-rearing leaves, caregivers' leaves, and parental leaves were revised to reflect the new Connecticut Paid Family and Medical Leave Act.

**July 1, 2023 version (p. 145)**

Yale supports faculty who need time away for child rearing, medical reasons, and caregiving through programs that offer leave or relief time with and without Yale compensation:

(a) With Yale compensation as described below:

- Teaching relief for child rearing for ladder and instructional faculty
- Parental leave for research faculty
- Short-term medical disability for all benefits-eligible faculty (see Section XXIII.F)
- (b) Without Yale compensation but potentially eligible for funding from Connecticut Paid Family Leave (PFML)
- Child-rearing leave
- Caregivers leave

**October 1, 2021 version (p. 136)**

**FAS-SEAS Senate Analysis**

We are pleased to see these new mandated policies included in the Handbook.

**Provost's Office Summary of the Change**

Section XVII (2021) XIX (2023) (D)(1) Child-Rearing Leaves, Caregivers Leaves, and Parental Leave Policies -- Federal and State of Connecticut Family and Medical Leaves

Policies on child-rearing leaves, caregivers' leaves, and parental leaves were revised to reflect the new Connecticut Paid Family and Medical Leave Act.

**July 1, 2023 version (pp. 145-6)**

**October 1, 2021 version (p. 136)**

**FAS-SEAS Senate Analysis**

The revised version details the procedure needed to participate in the Connecticut Paid Family and Medical Leave Act. The text is extensive in both the 2021 and the 2023 versions. We are pleased to see these new mandated policies included in the Handbook.

**Provost's Office Summary of the Change**

Section XVII (2021) XIX (2023) (D)(4) Child-Rearing Leaves, Caregivers Leaves, and Parental Leave Policies -- Teaching Relief for Child Rearing for Ladder and Non-Ladder Instructional Faculty

Policies on child-rearing leaves, caregivers' leaves, and parental leaves were revised to reflect the new Connecticut Paid Family and Medical Leave Act.

**July 1, 2023 version (pp. 146-7)**

A member of the faculty who becomes a parent of a newborn child or newly adopted under the age of six will be relieved of teaching duties, without loss of salary or benefits, for the whole of an academic semester occurring within the first year after the birth or adoption, for the purpose of providing substantial and sustained care for the child at least half- time during normal working hours.

**October 1, 2021 version (pp. 137-8)**

A full-time member of the ladder and non-ladder instructional faculty who becomes a parent of a newborn child or newly- adopted under the age of six will be relieved of teaching duties, with regular compensation and benefits, for the whole of an academic semester occurring within the first year after the birth or adoption, for the purpose of providing substantial and sustained care for the child at least half- time during normal working hours.

**FAS-SEAS Senate Analysis**

A small but important expansion of the leave policy with much simpler language. We are again pleased to see these new mandated policies included in the Handbook.

**Provost's Office Summary of the Change**

Section XVIII (D)(1)(i) (2021) XX (2023) (D)(1)(deleted) Fringe Benefits -- Benefits Available to Most Members of the Faculty – Completing University Retirement Plan Contributions

Benefits eligibility was clarified. The policy on the cessation of University contributions to retirement was eliminated.

**July 1, 2023 version (p. 147)**

**October 1, 2021 version (p. 146)**

Because the purpose of contributions to an individual's retirement plan is to provide for a comfortable retirement, continuation after that objective is achieved is not part of the retirement plan.

University contributions therefore cease after an individual can be expected to achieve a certain level of retirement income. This expected level is fixed as the time when the annuity that can be purchased with a participant's retirement account plus social security benefits, using a monitoring model described below, exceeds a targeted income replacement ratio that rises with service to a maximum of 70%.

The retirement plan bases the cessation of contributions on typical investment assumptions rather than on the success of an individual's particular investment strategy. Based on this investment experience, a calculation is made of the income replacement ratio that the "hypothetical individual" would achieve at Normal Retirement Age. The University ceases contributions when the participant's assumed account, plus social security benefits for those 65 or older, exceed the targeted income replacement ratio. In order to provide heightened assurance that the retirement objective has actually been met when University contributions end, they stop only after the formula has called for ending contributions in two successive years.

As an additional protective feature, if market conditions worsen so that, after contributions have been stopped, the participant's assumed

	account value plus any social security benefits is expected to be less than the targeted replacement ratio, then contributions will be restarted on the following July 1, assuming continued employment. For purposes of this calculation, the individual's account value will be adjusted for each year after the end of University contributions to reflect the receipt of retirement account yield.
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**FAS-SEAS Senate Analysis**

Though little known, the policy to terminate Yale's contributions to the retirement plan after certain targets were reached was felt by many to be unfair as it discriminated against long-serving members of the faculty, did not account for actual retirement plan performance, and did not provide the actual details of the calculation, which were opaque even to those who specifically asked about them. The policy was implemented when mandatory retirement was eliminated and was considered an inducement to retire. The elimination of this policy is in line with longer careers, provides a simpler system, and doesn't hide a policy behind difficult language.

**Provost's Office Summary of the Change**

Section XVIII (2021) XIX (2023) (E) Services for International Faculty and Research Staff

Not included in the Provost's summary of recent updates.

**July 1, 2023 version (p. 157)**

Removed.

**October 1, 2021 version (pp. 150-1)**

Sections listing VISA information and information on short-term visitors.

**FAS-SEAS Senate Analysis**

It is not clear why this text was removed.

**Provost's Office Summary of the Change**

XXI (Q) (2021) XXI (B) (2023) Emeritus/Emeriti Titles

Policies on emeritus/emmeriti titles were revised to reflect expansion of eligibility and clarification of the approval process.

**July 1, 2023 version (pp. 159-60)**

Faculty may be eligible for Emeritus/Emeriti titles when they retire or resign from Yale. The ranks eligible and the criteria for eligibility are as follows.

In the ladder ranks and professor in the practice: tenured faculty in all schools; professors in the practice in all schools; faculty at the rank of professor in the investigator, clinician-scientist, clinician educator-scholar, and academic clinician tracks in the School of Medicine; professors in the clinical track in the School of Nursing; and clinical professors in the School of Law may be eligible. To be eligible, a faculty member in one of these tracks and ranks must have reached age 55, must have held full-time faculty appointments at Yale for **at least the ten years immediately prior to the date of retirement or of entry into the Phased Retirement Plan for Ladder Faculty** (see Section XXI.D), and the combination of age plus years of full-time service as Yale faculty must equal at least 75. By the final semester of the individual's non-retired status, nominations for Emeritus status shall be submitted for approval to the faculty member's Dean, the Office of the Provost, and the Corporation.

**Considerations for approval include the faculty member's role as educator, scholar, and member of the Yale community as described in Section II.B.**

**October 1, 2021 version (p. 181)**

Emeritus/Emeriti titles are granted by vote of the Corporation to members of the teaching faculty in certain ranks when they retire or resign from Yale, provided that they meet specified criteria for age and length of service. The ranks eligible for Emeritus status are: tenured faculty in all schools; professors in the practice in all schools; professors in the investigator, clinician-scientist, and clinician-educator ranks in the School of Medicine; professors in the clinical track in the School of Nursing; clinical professors in the School of Law; and full-time adjunct professors in the Schools of Art, Drama, and Music. To be eligible, a faculty member must have reached age 55, held full-time faculty appointments **at Yale for at least ten years**, and the combination of age plus eligible years in rank must equal at least 75. Nominations for Emeritus status shall be submitted by a faculty member's Dean to the Office of the Provost by the final semester of the individual's non-retired status. Emeritus/Emeriti titles do not confer any academic appointment. They designate honorific status to which Yale attaches certain non-monetary administrative privileges, and **the title may be withdrawn by the Corporation upon recommendation of the President or Provost.**

In these non-ladder instructional and research ranks: professors adjunct, senior lecturers, senior lecturers II, senior lecturers III, senior critics, senior research scientists, and senior research scholars may be eligible. To be eligible, a faculty member in one of these ranks must have reached the age of 55, must have held full-time faculty appointments at Yale for at least the fifteen consecutive years immediately prior to the date of retirement, and the combination of age plus years of full-time service as Yale faculty must equal at least 75. To be granted Emeritus status, the nomination of a faculty member in one of these ranks must be voted on by the faculty of the department or professional school; if successful, the nomination must be approved by the Dean, by the Office of the Provost, and by the Corporation by the final semester of the individual's non-retired status. Considerations for approval include the faculty member's role as educator, scholar, and member of the Yale community as described in Section II.B.

**FAS-SEAS Senate Analysis**

Certain criteria for emeritus status have been added. There is now a requirement for continuous (rather than total) service on the faculty for ten years at the time of application. Consideration of one's role in the community, with reference to the Faculty Standards of Conduct, was added, presumably to allow the denial of emeritus status to those found to have committed major forms of misconduct. It is not clear why the provision allowing for the withdrawal of emeritus status by the Corporation was removed.

The second section represents an important addition of certain senior instructional faculty to the ranks of those eligible for emeritus status.

**Provost's Office Summary of the Change**

Section XIX (A)(2) (2021) XXI (C)(2) (2023) Privileges for Emeriti and Retired Faculty

Language was clarified regarding privileges available to emeriti and retired faculty.

**July 1, 2023 version (p. 160)**

Emeriti faculty retain a number of faculty privileges. They include the following:

**Library.** Stack, borrowing, and electronic resource privileges are the same as for non-retired faculty. For further information, contact the Privileges Office at Sterling Memorial Library.

**Yale email and login credentials.** Emeriti faculty retain their Yale email address and have access to the Yale electronic applications that are generally available to all faculty.

**Computers.** Upon retirement, emeriti faculty may keep for their own use computers that had been provided for them by the University prior to retirement. HIPAA-protected and other confidential information will be removed upon retirement.

**October 1, 2021 version (pp. 154-5)**

Retired faculty will retain a number of faculty privileges. They include the following:

**Library.** Stack and borrowing privileges are the same as for non-retired faculty. For further information, contact the Privileges Office at Sterling Memorial Library.

**Parking.** In general, parking spaces will be assigned to retired faculty with the same priority as those faculty held before retirement but at the lowest rate category. For further information, contact the Parking Office.

**Computers.** Retired faculty are entitled to keep for their own use computers provided for them by the University.

**Fellowships in the Residential Colleges.** "Emeritus Fellow" status is determined by the heads and fellowships of the colleges. For further information, contact the Council of the Heads of College.

**Dining Halls.** All Emeritus Fellows are provided free lunches Monday through Friday in any Residential College dining hall. Anyone connected with the University, including all retired faculty and their guests, may eat in any University dining hall and pay cash.

**Payne Whitney Gymnasium.** Rates and privileges are the same for retired faculty as for non-retired faculty. For further information, contact the Payne Whitney Gymnasium.

**Yale Charge Accounts.** Emeritus Fellows of Residential Colleges may have the same charging privileges as non-retired faculty.

**FAS-SEAS Senate Analysis**

Although stated as a clarification, the 2023 Handbook appears to remove some benefits awarded to faculty emeriti. Explicitly including email (which has been the practice already) is good, but it is unclear why benefits such as parking and access to the gym were removed.

**Provost's Office Summary of the Change**

Section XX (E) (2021) XXII (E) (2024) Outside Interests and Employment

The policy on outside interests and employment was clarified.  
The policy on outside research activities was clarified.

**July 1, 2023 version (pp. 170–176)**

**October 1, 2021 version (pp. 166–172)**

**FAS-SEAS Senate Analysis**

We have identified a number of small and apparently minor revisions within these long sections. However, we are unclear to what text the Provost's summary is referring specifically. These changes provide excellent examples of how narrowing down which subsections were modified and providing tracked changes would provide greater transparency and easier inspection of the changes.

## Appendix C

### Comparison of October 1, 2021 and August 22, 2019 Handbooks

<b>Provost's Office Summary of the Change</b>	
<p>Section XVIII (D)(1)(g) Fringe Benefits – Benefits Available to Most Members of the Faculty – Yale University Retirement Account Plan (YURAP).</p> <p>Updated descriptions of benefits available to faculty to make consistent with descriptions in other University communications.</p>	
<b>October 1, 2021 version (p. 146)</b>	<b>August 22, 2019 version (p. 145)</b>
<p><b>Eligibility to participate in the plan.</b> A faculty member with an appointment of at least half-time or greater is eligible to participate in YURAP. Upon hire, all faculty as defined by the Plan will be automatically enrolled in YURAP. Under YURAP's automatic enrollment feature, Yale will automatically reduce monthly salary by 5% and deposit that amount as a pre-tax employee contribution to YURAP. Yale will make a core contribution equal to 5% of salary and a University match equal to 5% of salary to the individual's YURAP account. Contributions and Yale's match will be invested with TIAA-CREF, and the individual may specify the investment funds into which they want contributions and Yale's match invested.</p>	<p><b>Eligibility to participate in the plan.</b> An eligible employee is an individual who has a faculty or senior research appointment of at least half-time or greater. Upon hire, all faculty as defined by the Plan will be automatically enrolled in YURAP. Under YURAP's automatic enrollment feature, Yale will automatically reduce monthly salary by 5% and deposit that amount as a pre-tax employee contribution to YURAP. Yale will make a core contribution equal to 5% of salary and a University match equal to 5% of salary to the individual's YURAP account. Contributions and Yale's match will be invested with TIAA-CREF, and the individual may specify the investment funds into which they want contributions and Yale's match invested.</p> <p>[...]</p> <p><b>Yale Contributions to YURAP.</b> The University provides a University core contribution in addition to a University match.</p> <ul style="list-style-type: none"> <li>i. For the first amount of base salary corresponding to the Social Security Wage Base that a faculty member earns in a fiscal year (from July 1 through June 30), the University core will consist of a plan contribution equal to 5% of earnings plus a dollar-for-dollar match for up to the first 5% that the individual contributes to the Plan.</li> </ul>

- ii. Once the faculty member earns over the Social Security Wage Base amount in a fiscal year, the University core contribution will increase to 7.5% of earnings, while the participant continues to receive a dollar-for-dollar match on contributions up to 5%.

**FAS-SEAS Senate Analysis**

This change no longer boosts Yale's contribution to a faculty member's retirement plan from 5% to 7.5% once the accumulated salary for that year exceeds a certain amount (\$168,600 in 2024).

The Provost's description of this change ("make consistent with descriptions in other University communications") may be technically correct, but it completely misses the main point of the change, which has concrete financial consequences.

This example argues strongly for tracked changes and for more detailed summaries of the updates.

## **Appendix D**

### **A selection from the University of Alabama Faculty Handbook with tracked changes.**

Please see the following eleven pages for an example of tracking in a faculty handbook.

The full Handbook can be found at:

<https://facultysenate.ua.edu/wp-content/uploads/sites/12/2024/02/ARCHIVED-2022-2023-Faculty-Handbook-Changes-Tracked.pdf>

This is an expired Faculty Handbook. Current version is located at:

<https://facultyhandbook.ua.edu/>

Note made by FS webmaster on 2/14/2024

Appendix D  
Page 2 of 13

# Faculty Handbook

Effective October 2022

Dr. James. T. Dalton, Vice President and Provost

THE UNIVERSITY OF  
**ALABAMA**<sup>®</sup> | *Office for*  
Academic Affairs

## Chapter 2: Faculty Personnel Policies

### I. Introduction

The accomplishments and reputation of The University of Alabama depend on the quality of its faculty and the record of teaching, creative scholarship, and service/academic citizenship that the faculty generates. The success of the faculty in its scholarly activities ultimately determines the caliber of the University's academic programs.

Given the faculty's central importance to the University's educational mission and given the University's steadfast commitment to academic excellence, it is incumbent upon the University leadership to promote and support an academic climate in which the faculty can be successful. It is incumbent upon faculty members to be active, consistent, and energetic contributors to the University's academic programs. In particular:

1. All faculty members with teaching responsibilities are expected to be effective teachers, to demonstrate a level of teaching performance commensurate with their rank and experience, and to make substantive contributions to the overall instructional effectiveness of the academic programs in which they have assigned duties.
2. All tenured and probationary faculty members and renewable contract faculty members with research responsibilities are expected to engage in an ongoing program of research, publication, creative activity, and scholarly effort that is appropriate to their appointment, discipline, and fields of specialization.
3. All faculty members are expected to engage in responsible service/academic citizenship activities appropriate to their appointment, rank, length of service, and discipline. External service/academic citizenship activities are those that extend the influence and expertise of the faculty to areas and populations external to the University. These activities may include, but are not limited to, education beyond the classroom, research partnerships and collaboration, professional leadership, community engagement, clinical service and training, and public/community leadership and consultation. The intent is to extend the knowledge and skills of the University faculty to the public in a manner that is mutually beneficial and that contributes to the University's tripartite mission, which includes service. Furthermore, internal service/academic citizenship are defined to include service to students and to the institution through effective governance. There is no presumption that service/academic citizenship are alternatives to 1. and 2. above. Flexibility in meeting the service/academic citizenship requirements of each department and division is critical, and consequently, individual responsibilities may vary from time to time.
4. All faculty are expected to behave collegially. Lack of collegiality is defined as the inability and/or unwillingness to work cooperatively and civilly with colleagues and University administration. This includes, but is not limited to, engaging in extremely disrespectful and grossly offensive remarks aimed at colleagues and administrators. This standard is consistent with the AAUP Statement on Professional Ethics ([Chapter 3, Section II](#)) and should not violate the principles of academic freedom, as defined in [Chapter 3, Section I](#).

From time to time, faculty members are assigned administrative ~~and/or service-related~~ duties beyond those required by responsible academic citizenship. In these cases, the extent of the faculty member's administrative and/or service-efforts should be appropriately documented as part of their FTE. It is important to note that the expectations for retention, tenure, and promotion are not diminished by additional effort devoted to such

~~administrative and/or service-related duties. the quantity of instructional effort and creative scholarship expected from individual faculty members may be reduced, and the assigned administrative and/or service duties may play a larger role in promotion or tenure decisions. The change in assignment and expectations should be documented. Except in rare cases, a~~ An individual cannot earn tenure or promotion primarily by performing in an administrative ~~or service~~ capacity as a faculty member (even though such performance is always considered in the award of salary increases). It is the policy of The University of Alabama to require evidence of academic merit as demonstrated by the individual's academic credentials, record of scholarly achievements, service, and instructional skills, before awarding tenure or promotion in academic rank.

**Commented [RL3]:** This change is to clarify that administrative or service duties do not provide an alternative route to tenure and/or promotion. The aim here is to protect assistant and associate professors from undue administrative burdens. Later sections clarify that assistant professors, and to a somewhat lesser degree associate professors, should not be asked to take on substantial administrative tasks.

In recognition of the extreme importance to the University of the academic credentials, academic achievements, and potential academic contributions of its faculty members, the University has established a set of criteria and standards to be observed in appointing new faculty, in promoting faculty members to higher academic rank, and in awarding tenure. These criteria and standards apply throughout the University except insofar as a department or academic division formally establishes higher or more detailed requirements and these receive appropriate administrative approval. All departments and academic divisions are encouraged to amplify the University criteria and standards for appointment, promotion, and tenure with more explicit and specific criteria that apply to their discipline or profession. These amplifications must in no way diminish or conflict with the University criteria and standards. ~~Divisional supplements must be approved by the Provost, department supplements, and they~~ must be approved by the academic dean and by the Provost ~~in the case of divisional supplements.~~ Copies of the current criteria, standards, and procedures for each unit and the University should be kept current and made available to faculty members at the time of initial appointment (start date for employment as a faculty member). Continuing faculty members should be notified of any changes.

**Commented [RL4]:** This change clarifies that approval process for department and college RTP guidelines.

In cases of tenure and promotion from assistant professor to associate professor, the departmental/college requirements at the time of the individual's initial appointment shall govern unless the faculty member chooses to be reviewed according to the updated requirements. In cases of promotion from associate professor to professor, requirements in effect at the time the individual applies for promotion shall govern. If and when requirements for promotion from associate professor to professor are changed, the new requirements will come into effect three years after the date of approval.

Some colleges or schools are divided into departments, while others have subdivisions called areas or programs. In what follows, the appropriate substitutions should be made for the words "chairperson" and "department," when applicable.

## II. Criteria and Standards for Appointments

Appointments to the faculty of The University of Alabama are based on the personnel requirements of the University's academic programs and on the goal of achieving and maintaining excellence in its teaching, research, and service/academic citizenship activities. Recruiting for faculty positions is conducted according to the University's Affirmative Action Plan and other approved administrative procedures established in the various administrative and academic units. It is a ~~Error! Hyperlink reference not valid. policy~~ of the University to involve faculty, students, and others as may be appropriate in the review of candidates for positions of academic and administrative leadership (see [Appendix A](#)).

**Commented [RL5]:** Removes unnecessary hyperlink to general UA policy page.

Faculty appointments fall in three broad categories: tenured/tenure-track, renewable contract and temporary. In the tenured/tenure-track category, those who have not been awarded tenure are considered probationary. Probationary faculty are employed with the understanding that performance that meets expectations (as defined by departmental, college, and university criteria) during a probationary period may result in the award

of tenure. Employment as a renewable contract or temporary faculty member conveys no right or expectation of continued employment beyond the period specified in the letter of appointment.

The University of Alabama has four ranks for faculty members: instructor (including senior instructor), assistant professor, associate professor, and professor. Rank depends on qualifications. Eligibility for promotion is limited to full-time and part-time regular faculty members. Titles for temporary appointments may be prefixed by the words Adjunct or Visiting.

**Commented [LR6]:** Edited to match page 20 (which adds part-time).

Candidates for appointment to the rank of associate professor or Professor in an academic area of specialization are expected to possess an appropriate terminal degree. Candidates for appointment to the rank of assistant professor normally are expected to have completed requirements for an appropriate terminal degree.

Faculty members with split or joint appointments should have one unit (typically a department) designated as their primary home unit. This is noted in their letter of appointment or their personnel file.

#### **A. Instructor**

A candidate for appointment to the rank of instructor must have an appropriate record of educational achievement, typically possessing a graduate degree or relevant experience or both and must have the potential to be an effective teacher. All Instructors are expected to demonstrate a high level of performance in the classroom, to contribute to instructional effectiveness in assigned courses, and to engage in service/academic citizenship. Instructors may hold temporary or renewable contract appointments, but they cannot be classified as tenured/tenure track. Instructors cannot be promoted to any rank other than senior instructor ([Chapter 2, Section IV, Subsection C](#)) and cannot be appointed to any professor rank (a tenured/tenure-track or renewable contract position) without having been selected through an open search.

#### **B. Tenured/Tenure-Track Professor Ranks**

##### **1. Tenured/Tenure-Track Assistant Professor**

Appointment to the position of tenured/tenure-track assistant professor is based on educational achievement and/or related professional experience and potential for outstanding instructional effectiveness and scholarly contributions appropriate to the discipline and field of specialization. The candidate normally should have completed a doctoral program or other terminal academic program appropriate to the discipline. There should be substantial evidence to indicate that the individual has the capabilities and competencies required for successful performance of all anticipated professional responsibilities.

An individual who has not completed requirements for a terminal degree may be offered an appointment as assistant professor. If the offer of appointment is made contingent upon completion of requirements for the degree, but the appointee fails to meet this contingency by the effective date of employment, the individual will be assigned the rank of instructor, and a revised appointment letter should be issued that specifies a period of time during which the individual is expected to complete requirements for the degree. If no period of time is specified, the period in rank as an instructor cannot exceed one academic year. Failure to complete all degree requirements will serve as cause for non-retention. If a decision is made to retain the individual, a new appointment at the rank of assistant professor will be offered as soon as requirements specified in the appointment letter are met.

For tenure-track assistant professors, the mandatory tenure decision time for an individual who

completes degree requirements after the effective date of employment may, by mutual agreement, be as late as the sixth academic year after the academic year during which requirements for the terminal degree are satisfied, even if this results in a probationary period of more than six years; the terms of any such agreement shall be specified in a new letter of appointment issued at the time degree requirements are met.

All tenure-track/tenured assistant professors are expected to maintain a good level of performance in the classroom and/or other appropriate instructional settings; to contribute to the overall instructional effectiveness of the academic programs in which they have assigned duties; to engage in an ongoing program of research, publication, creative activity, or scholarly efforts appropriate to their disciplines and fields of specialization; and to engage in service/academic citizenship appropriate to their areas and expertise.

### 2. **Tenured/Tenure-Track Associate Professor**

Appointment to the position of tenured/tenure-track associate professor is based upon a candidate's instructional effectiveness and record of scholarly contributions appropriate to the candidate's discipline and field of specialization; however, candidates who have no prior record at the rank of assistant professor may be appointed at the rank of associate professor provided they possess a combination of educational achievement, typically possessing a terminal degree, and professional contributions that give them the capabilities and competencies required for successful performance at the associate professor rank and also the professional stature commensurate with that rank.

All faculty members who hold the rank of associate professor are expected to approach a standard of outstanding performance in the classroom and/or other appropriate instructional settings; to make a strong contribution to the overall instructional quality of the academic programs in which they have assigned duties; to engage in an ongoing and substantive program of research, publication, creative activity, or scholarly efforts appropriate to their disciplines and fields of specialization; and to engage in service/academic citizenship appropriate to their areas and expertise.

### 3. **Tenured/Tenure-Track Professor**

Appointment to the position of tenured/tenure-track professor is based upon a candidate's instructional effectiveness and record of scholarly contributions appropriate to their discipline and field of specialization; however, candidates who have no prior record at the rank of associate professor may be appointed at the rank of professor provided they possess a combination of educational achievement, typically possessing a terminal degree, and professional contributions that give them the capabilities and competencies required for successful performance at the rank of professor and also the professional stature commensurate with that rank.

All faculty members who hold the rank of professor are expected to contribute to the leadership of academic programs; to maintain an outstanding level of effectiveness in the classroom and/or other appropriate instructional settings; to make a strong contribution to overall instructional quality; to engage in an ongoing and substantive program of research, publication, creative activity, or scholarly efforts appropriate to their disciplines and fields of specialization; and to engage in service/academic citizenship appropriate to their areas and expertise.

## **C. Renewable Contract Professor Ranks**

Academic units, e.g. ~~The University of Alabama School of Law~~, with accreditation requirements that

mandate deviations from the renewable-contract professor appointment, retention, and promotion policies contained in this *Faculty Handbook* can request that the Provost approve an alternate policy for that division. In those cases, the approved alternate appointment, retention, and promotion policies must be made public for all faculty members in the affected unit to review and consult.

**Commented [RL7]:** Removes example of the School of Law since other units (departmental and college-level) have similar accreditation requirements.

#### 1. Renewable Contract Assistant Professor

Appointment to the position of renewable contract assistant professor is based on educational achievement, related professional experience or clinical practice, and potential for outstanding instructional effectiveness and/or scholarly contributions appropriate to a candidate's disciplines and fields of specialization. The candidate normally should have completed a doctoral program or other terminal academic program appropriate to the discipline. There should be substantial evidence to indicate that the individual has the capabilities and competencies required for successful performance of all anticipated professional responsibilities.

An individual who has not completed requirements for a terminal degree may be offered an appointment as assistant professor. If the offer of appointment is made contingent upon completion of requirements for the degree but the appointee fails to meet this contingency by the effective date of employment, the individual will be assigned the rank of instructor, and a revised appointment letter should be issued that specifies a period of time during which the individual is expected to complete requirements for the degree. If no period of time is specified, the period in rank as an instructor cannot exceed one academic year. Failure to complete all degree requirements will serve as cause for non-retention at the end of the academic year. If a decision is made to retain the individual, a new appointment at the rank of assistant professor will be offered as soon as requirements specified to hold the rank of assistant professor are met.

All renewable contract assistant professors are expected to engage in service/academic citizenship appropriate to one's area and expertise. Additionally, they are expected to 1) maintain a good level of performance in the classroom and/or other appropriate instructional settings and to contribute to the overall instructional effectiveness of the academic programs in which they have assigned duties or 2) engage in an ongoing program of research, publication, creative activity, scholarly efforts, and/or clinical practice appropriate to their disciplines and fields of specialization. The relative weight of each area of activity should be specified in letters of appointment or other college-level documentation.

**Commented [LR8]:** Since this may vary across units and across faculty within units, this should be specified in writing.

#### 2. Renewable Contract Associate Professor

Appointment to the position of renewable contract associate professor is based upon a candidate's instructional effectiveness, record of scholarly contributions, and/or clinical practice appropriate to the discipline and field of specialization; however, candidates who have no prior record at the rank of assistant professor may be appointed at the rank of associate professor provided they possess a combination of educational achievement, typically possessing a terminal degree, and professional contributions that give them the capabilities and competencies required for successful performance at the associate professor rank and also the professional stature commensurate with that rank.

All renewable contract associate professors are expected to engage in service/academic citizenship appropriate to their areas and expertise. Additionally, they are expected to 1) approach a standard of outstanding performance in the classroom and/or other appropriate instructional settings and to make a strong contribution to the overall instructional quality of the

academic programs in which they have assigned duties or 2) to engage in an ongoing and substantive program of research, publication, creative activity, scholarly efforts, and/or clinical practice appropriate to their disciplines and fields of specialization. The relative weight of each area of activity should be specified in letters of appointment or other college-level documentation.

Commented [LR9]: See above.

### 3. Renewable Contract Professor

Appointment to the position of renewable contract professor is based upon a candidate's instructional effectiveness, record of scholarly contributions, and/or clinical practice appropriate to the discipline and field of specialization; however, candidates who have no prior record at the rank of associate professor may be appointed at the rank of professor provided they possess educational achievement, typically possessing a terminal degree, or professional contributions that give them the capabilities and competencies required for successful performance at the rank of professor and also the professional stature commensurate with that rank.

All renewable contract professors are expected to engage in service/academic citizenship appropriate to their areas and expertise. Additionally, they are expected to 1) contribute to the leadership of academic programs, maintain an outstanding level of effectiveness in the classroom and/or other appropriate instructional settings, and make a strong contribution to overall instructional quality or 2) engage in an ongoing and substantive program of research, publication, creative activity, scholarly efforts, and/or clinical practice appropriate to their disciplines and fields of specialization. The relative weight of each area of activity should be specified in letters of appointment or other college-level documentation.

Commented [LR10]: See above.

### D. Endowed Chairs and Professorships

Endowed chairs and professorships enhance the quality of programs in higher education through both the recognition and contributions of the chair holders and professors. The positions are among the highest and most prestigious appointments in academia, and they honor significant scholarly or creative achievement and academic excellence. Distinguished scholars who hold these positions make significant contributions to the research and teaching missions of the University. Moreover, they increase the visibility of the University and aid in attracting additional high-quality faculty, superior students, and external resources for research, instruction, and service. In cases where the endowed chair or professor is being considered for appointment with tenure, normal procedures for awarding tenure are followed in addition to the process outlined herein.

Board of Trustees Rule 508 ("Establishment of Academic Chairs, Professorships, and Endowed Lectureships and the Designation of Holders of Academic Chairs and Professorships") sets forth guidelines the University must follow for 1) obtaining approval of a new academic chair, endowed professorship, or endowed lectureship; 2) designating a holder of an academic chair or endowed professorship; 3) short-term appointments to endowed chairs, and 4) appointments to professorships. A professorship, academic chair, or endowed lectureship may not be officially recognized until first approved by The Board of Trustees.

The Board of Trustees allows the University to appoint endowed chairs with short-term appointments of less than 12 months. These must be made with prior approval by the Chancellor, following the procedures in Board of Trustees Rule 508. An annual report is presented to The Board of Trustees on the short-term appointments to endowed chairs for that academic year. Procedures described below do not apply to short-term appointments, but are applicable to appointments that exceed one year and may

include tenure or some other long-term commitments by the University.

**1. General Criteria for Appointments for Endowed Chairs and Professorships**

Criteria for appointments to endowed chairs and professorships must reflect the highest ideals of academic excellence and scholarly or creative achievement. While all appointments to these positions are made by The University of Alabama Board of Trustees, procedures for recruitment must be consistent with the University's Affirmative Action Plan, stipulations of the endowment, and other administrative procedures established in the various academic units. Involvement of the faculty, students, and others, as may be appropriate, is essential in the review and recommendation of candidates for endowed chairs and professorships.

In addition to criteria set forth in [Board of Trustees Rule 508](#), the following general criteria will be used in the review and recommendation of candidates for endowed chairs and professorships:

- a. Convincing evidence of outstanding teaching performance and effectiveness;
- b. An outstanding record of productive research, publication, creative activity, and scholarly achievement appropriate to the discipline and fields of specialization;
- c. Evidence of a continuing record of exemplary service/academic citizenship appropriate to the discipline or profession; and
- d. Evidence of achievement of a professional status at the national or international level that will enhance the stature of the University's faculty.

With respect to these criteria, each successful candidate should present a record sufficiently consistent in quantity and/or quality to warrant the expectation of continued performance and contributions at an outstanding level. Generally, specific qualifications required for particular endowed chairs or professorships will be based on these criteria. Position announcements will include specific qualifications, and these qualifications and those set forth in Board of Trustees Rule 508 will be employed by the search committee in the review and recommendation of candidates.

**2. Procedures for Recruitment of Candidates for Endowed Chairs**

Procedures for recruitment and recommendation of candidates for endowed chairs will conform to [Board of Trustees Rule 508](#), the Affirmative Action Plan of the University, and all prevailing federal and state regulatory requirements as well as stipulations of the endowment. While The University of Alabama Board of Trustees makes all appointments to endowed chairs, recommendations to the Board will be made only after considering 1) the evaluations and advice of the faculty of the department, school, or college, 2) consultation from outside peer reviewers, who may include but are not limited to those suggested by the candidates, and 3) the advice of a search committee, as described below:

- a. When a new endowed chair is established or when a vacancy occurs, the dean shall meet with the faculty of the academic unit before deciding on the nature of the search and the size and composition of a search committee. Faculty members from the academic unit will be appointed by the dean and will constitute a majority of the search committee. Other members of the search committee will be appointed by the dean in consultation with the Provost. Usually, the Provost will appoint a staff member from the Office for Academic Affairs to serve as a non-voting member on the search committee and to provide liaison and logistical support. Giving due regard to advice and concerns expressed by the faculty,

**Commented [RL11]:** Note that all of the changes below parallel changes made the sections on the selection of deans and department chairs later in this document.

the dean will designate a faculty member appointed from the academic unit to chair the search committee.

- b. The search committee, working in cooperation with the dean and the Office for Academic Affairs and with appropriate participation from constituent groups, shall announce and advertise the position in a manner appropriate to the nature of the search, and coordinate the review and evaluation of candidates for the position. The committee shall solicit, encourage, and provide for faculty participation and the participation of other constituent groups. ~~In order to ensure maintain confidentiality for the initial group of applicants, their application material will be made available only to members of the search committee. The members of the search committee will keep confidential the identities of the candidates in the initial candidate pool. Faculty should have ample opportunity to review the credentials of qualified candidates, provided that the search committee takes steps to protect the identity of candidates who request confidentiality during the initial screening process. On the basis of faculty evaluations and its own judgment, the search committee will provide the dean with a list of candidates to those deemed it deems to be best qualified for the position. The committee and the dean will select those finalists to be interviewed from this reduced the search committee's list of best qualified applicants. The committee will provide the dean a list of candidates they assess to be acceptable to be invited to campus for interview. From that list, the dean will select final candidates.~~ Interviews scheduled should allow for discussions with the President, the Provost, deans, chairpersons, search committee members, faculty, and, where appropriate to the nature of the search, with students, alumni, and others, including the Chancellor or designated representatives. Following these interviews, and other information gathering procedures appropriate to the nature of the search, every reasonable effort should be made to obtain the views of the faculty in the academic unit and appropriately interested constituent groups. The advice of the faculty may be determined by individual written evaluations, by an expression of faculty sentiment at a called faculty meeting, or by such other means as the search committee may consider appropriate. General support of the faculty in the academic unit normally will be necessary for further consideration of a candidate. In cases where the appointment includes the award of tenure, action by the tenured faculty in accordance with normal procedures in the academic unit is necessary before the dean makes a recommendation to the Provost and President.

- c. ~~It shall be the responsibility of the search committee to submit to the dean both a summary of evaluations and advice received from the faculty on each person interviewed and the search committee's own advice evaluation of whether each candidate is acceptable or unacceptable.~~ The dean should also receive and review outside peer reviews for candidates for endowed chair positions. The dean recommends a candidate to the Provost and President who, in turn, recommend the candidate to the Chancellor and The University of Alabama Board of Trustees. In the event the search committee and dean do not find a successful candidate for presentation to the Provost and President, the search process normally shall be continued until a candidate acceptable to the search committee, the dean, and the faculty is successfully recruited. Except in extraordinary circumstances, the Provost and President shall recommend to the Board the appointment of an endowed chair from those candidates who have general faculty support. If it should become necessary to reopen the search, the dean and the search committee may confer to establish further direction; if it appears desirable, a new search committee may be

**Commented [RL12]:** This language protects the identity of candidates early in the selection process so that (1) their current positions are not compromised and (2) highly desirable candidates are not given preemptive counter offers before the department/college has the opportunity to actively recruit them.

**Commented [RL13]:** These changes are at the recommendation of the Office of Counsel to specify the rolls of the search committee and dean.

**Commented [RL14]:** This is to standardize the form of "advice" that should come from each committee.

formed.

### 3. Procedures for Recruitment of Candidates for Endowed Professorships

Procedures for the recruitment of endowed professorships generally will follow those for the recruitment of endowed chairs. Procedures will conform to [Board of Trustees Rule 508](#), the Affirmative Action Plan of the University, and all prevailing federal and state regulatory requirements as well as the stipulations of the endowment. While The Board of Trustees of The University of Alabama makes all appointments to endowed professorships, recommendations to the Board will be made only after considering 1) the evaluations and advice of the faculty of the department, school, or college and 2) the advice of a search committee. Exceptions to the recruitment procedures for endowed chairs may occur under the circumstances described below. In some cases, income from the corpus for an endowed professorship may not be sufficient to justify a national or international search to fill a new or vacant position. In these cases, the dean may organize an internal search for candidates from within the department, school, or college. The dean will meet with faculty in the academic unit to determine the size and composition of the search committee. Faculty members from the academic unit will be appointed by the dean and will constitute a majority of the search committee. Other members may be appointed to the committee by the dean in consultation with the Provost. The dean may choose to chair the committee or may designate a faculty member appointed from the academic unit to chair the search committee. The responsibilities of the search committee and the procedures for recommendation of the candidate are similar to those for recruitment and recommendation of an endowed chair.

### 4. Terms of Appointment for Endowed Chairs and Professorships

Terms of appointment for endowed chairs and professorships are for five academic years unless an alternate term is specified in the initial letter of appointment to the endowed position. Individuals can be reappointed to these positions after the initial term. Evaluation and reappointment procedures are determined by each academic division and must be consistent with any stipulations contained in the memorandum of agreement establishing the endowed position. Deans of the academic unit in which the endowed positions are held make the final decision on reappointment for endowed professorships, while the dean recommends reappointment of endowed chairs to the Provost, who holds the final decision.

**Note:** Those with appointment letters written prior to the *Faculty Handbook* revision (Fall 2019) and silent on the term of appointment must undergo re-appointment review no later than 2023-2024.

### E. University Professorships

University professorships enhance the quality of programs in higher education through both the recognition and contributions of the professors. The University research professor positions recognize extraordinary, internationally recognized scholarly attainment in an individual field. The University teaching professor positions recognize extraordinary achievements within and outside the classroom in teaching and training in an individual field. By the nature of their appointment, these distinguished scholars and teachers make special contributions to the research, creative activity, and teaching missions of the home department, school, or college, and University. Moreover, they increase the visibility of the University and aid in attracting additional high-quality faculty, superior students, and external resources for research, instruction, and service. Appointments are expected to most often be made for an indefinite period; however, instances may exist where a limited term, with or without the

possibility of renewal, is desirable.

While The Board of Trustees of The University of Alabama makes all appointments to the University research professorships and the University teaching professorships, recommendations to the Board will be made by the President of the University and/or Provost only after considering the criteria in [Board of Trustees Rule 508](#), as described below.

1. Candidates for University research professorships and University teaching professorships are limited to faculty members with the rank of full professor at The University of Alabama.
2. The number of University research professorships will not exceed 5 percent of the number of faculty members with the rank of full professor at the University. The number of University teaching professorships will not exceed 5 percent of the number of faculty members with the rank of full professor at the University.
3. Nominations for University research professorships and University teaching professorships arise from the home college of the candidate. Nomination packets are to be forwarded by the respective dean to the Provost.
4. Nomination packets for University research professorships will consist of a) a letter from the dean describing the extraordinary attainments in the field by the candidate (three pages or less), b) a curriculum vitae limited to five pages, c) reprints of the most significant publications or examples of creative activity (maximum of six), and d) external letters from up to three outstanding scholars in the field who either (1) hold appointments at R1 universities or (2) have appointments at other types of universities but have demonstrably exceptional records of scholarship. These scholars are to be “arms-length” from the candidate. Former advisors, co-authors/co-editors, research collaborators, and former colleagues are excluded. The preponderance of letters should be from scholars of distinguished rank, named chairs, or similar titled professorships. When this is not possible or feasible, an explanation should be provided.
5. Nomination packets for University teaching professorships will consist of a) a letter from the dean describing the extraordinary attainments in the field by the candidate (three pages or less), b) a curriculum vitae limited to five pages, c) reprints of the most significant publications or examples of creative activity (maximum of six) if applicable, d) letters from up to three faculty members of the University, and e) letters from up to three former students describing the influence of the candidate on their lives and careers.

#### F. Temporary Ranks

Eligibility for appointment to a temporary rank normally requires professional preparation and experience comparable to that required for a regular faculty appointment at that academic rank. Temporary faculty members must have preparation and experience appropriate to the duties to be assigned.

Temporary appointees may be assigned to teach courses, conduct research, direct students, assist with research projects of students, direct field work of students, or provide consultation on research or instructional projects. Temporary appointments are for a predetermined period of time and convey no right or expectation of employment beyond the period specified in the letter of appointment. Temporary appointees are not eligible for promotion in rank but may apply for any other temporary faculty position, including upgraded positions they have previously held.

The recommendation to accord temporary full-time or part-time faculty appointments begins at the program level and is forwarded to the academic dean. Deans may make temporary part-time and full-

**Commented [RL15]:** Letter writers should come from universities that have the same or higher research expectations as UA, otherwise they may not be able to speak as effectively to how well the candidate meets/exceeds the research expectations at UA. Similar language has been added to the sections on the external letters for tenure and promotion.

time faculty appointments after receiving approval from the Provost.

The compensation for temporary appointees will depend on the type of service rendered and the rank of appointment. Unless authorized by the Provost, compensation for temporary appointees will not exceed the rates approved for regular members of the faculty.

#### **G. Joint Appointments**

Occasionally, reasons may exist for appointing a faculty member to more than one department or area. Recommendations and authorization for joint appointments follow the same policies and procedures that apply to appointments to individual departments or areas. Before approving a joint appointment, the Provost will ensure that there is agreement between and among all the authorities involved. This agreement shall include rank in each department or area and procedures for considering tenure and promotion and for assigning duties and compensation.

The faculty member on a joint appointment participates in formal votes on tenure and promotion only in the home unit as designated in their appointment letter or personnel file. For university- wide or college-wide votes, those on split appointment can only vote once.

#### **H. Adjunct and Visiting Professor Appointments**

Faculty members in performance of their duties at The University of Alabama may have collaborations with a faculty member(s) at other institutions where their joint activity would be enhanced if the faculty member(s) at the other institution could perform some activities at The University of Alabama. When these activities require the use of an office or other facilities or equipment at The University of Alabama, a temporary, formal affiliation with the University, such as an adjunct faculty appointment at the rank of instructor or assistant professor, associate professor, or professor, may be required.

1. Adjunct faculty appointments are normally made for a fixed period of at least one calendar year, may be renewed, and normally do not include salary from the University. The privileges associated with the adjunct position at The University should be clearly stated in the letter of appointment. Procedures for appointing and renewing adjunct faculty status are determined by the individual colleges.
2. Visiting faculty appointments are normally made for a period of less than one calendar year and normally do not include salary from the University. Visiting professor status must be sought by submitting the [Office for Academic Affairs Visiting Scholar Form](#).

#### **I. Non-Faculty Research Appointments**

Various research contracts, grants, and projects depend in part on the services of personnel whose primary commitment is to research rather than to a combination of teaching, research, and service appropriate for faculty status. Consequently, the University has established a category of research positions that are non-tenure-earning, non-faculty positions. The duration of appointments in these positions will be limited by the duration of the contracts, grants, and projects that fund the positions. While these positions are not faculty rank and therefore have no faculty rights under the *Faculty Handbook*, persons holding research positions have responsibilities dictated in this *Faculty Handbook* and are expected to abide by all applicable University policies.

## Appendix E

### **A selection from the University of California at Berkeley Faculty Handbook with documentation of historical changes to the document.**

General University Policy Regarding Academic Appointees—  
The Faculty Code of Conduct  
APM - 015

Please see the following eleven pages, especially the highlighted sections on  
Appendix E, pages 2 and 12.

This document may be found at:

[https://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-015.pdf](https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-015.pdf)

and additional sections of the Berkeley Handbook may be found at:

<https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/index.html>

## **General University Policy Regarding Academic Appointees: APM - 015 - The Faculty Code of Conduct**

This policy is the Faculty Code of Conduct as approved by the Assembly of the Academic Senate on June 15, 1971, and amended by the Assembly on May 30, 1974, and with amendments approved by the Assembly on March 9, 1983, May 6, 1986, May 7, 1992, October 31, 2001, May 28, 2003, June 12, 2013, and February 8, 2017 and by The Regents on July 18, 1986, May 15, 1987, June 19, 1992, November 15, 2001, July 17, 2003, July 18, 2013, and March 15, 2017. In addition, technical changes were made September 1, 1988, June 11, 2010, and September 23, 2020.

Additional policies regarding the scope and application of the Faculty Code of Conduct and the University's policies on faculty conduct and the administration of discipline are set forth in APM - 016, the University Policy on Faculty Conduct and the Administration of Discipline.

### **The Faculty Code of Conduct as Approved by the Assembly of the Academic Senate**

(Code of Professional Rights, Responsibilities,  
and Conduct of University Faculty, and  
University Disciplinary Procedures)

#### **Preamble**

The University seeks to provide and sustain an environment conducive to sharing, extending, and critically examining knowledge and values, and to furthering the search for wisdom. Effective performance of these central functions requires that faculty members be free within their respective fields of competence to pursue and teach the truth in accord with appropriate standards of scholarly inquiry.

The faculty's privileges and protections, including that of tenure, rest on the mutually supportive relationships between the faculty's special professional competence, its academic freedom, and the central functions of the University. These relationships are also the source of the professional responsibilities of faculty members.

It is the intent of the Faculty Code of Conduct to protect academic freedom, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the University as an institution of higher learning.

Part I of this Code sets forth the responsibility of the University to maintain conditions and rights supportive of the faculty's pursuit of the University's central functions.

Part II of this Code elaborates standards of professional conduct, derived from general professional consensus about the existence of certain precepts as basic to acceptable faculty behavior. Conduct which departs from these precepts is viewed by faculty as unacceptable because it is inconsistent with the mission of the University. The articulation of types of unacceptable faculty conduct is appropriate both to verify that a consensus about minimally acceptable standards in fact does exist and to give fair notice to all that departures from these minimal standards may give rise to disciplinary proceedings.

In Part II a clear distinction is made between statements of (1) ethical principles and (2) types of unacceptable behavior.

### **1. Ethical Principles**

These are drawn primarily from the 1966 *Statement on Professional Ethics* and subsequent revisions of June, 1987, issued by the American Association of University Professors. They comprise ethical prescriptions affirming the highest professional ideals. They are aspirational in character, and represent objectives toward which faculty members should strive. Behavior in accordance with these principles clearly precludes the application of a disciplinary sanction. These Ethical Principles are to be distinguished from *Types of Unacceptable Faculty Conduct* referred to in the following paragraph. The *Types of Unacceptable Faculty Conduct*, unlike the Ethical Principles, are mandatory in character, and state minimum levels of conduct below which a faculty member cannot fall without being subject to University discipline.

### **2. Types of Unacceptable Faculty Conduct**

Derived from the Ethical Principles, these statements specify examples of types of unacceptable faculty behavior which are subject to University discipline because, as stated in the introductory section to Part II, they are “not justified by the Ethical Principles” and they “significantly impair the University’s central functions as set forth in the Preamble.”

The Ethical Principles encompass major concerns traditionally and currently important to the profession. The examples of types of unacceptable faculty conduct set forth below are not exhaustive. It is expected that case adjudication, the lessons of experience and evolving standards of the profession will promote reasoned adaptation and change of this Code. Faculty may be subjected to disciplinary action under this Code for any type of conduct which, although not specifically enumerated herein, meets the standard for unacceptable faculty behavior set forth above. It should be noted, however, that no provision of the Code shall be construed as providing the basis for judging the propriety or impropriety of collective withholding of services by faculty. Rules and sanctions that presently exist to cover such actions derive from sources external to this Code.

Part III of this Code deals with the enforcement process applicable to unacceptable faculty behavior. That process must meet basic standards of fairness and must reflect significant faculty involvement. In order to guide each campus in the development of disciplinary procedures that comply with this policy and Senate Bylaws, Part III provides an outline of mandatory principles to which each Division must adhere and discretionary principles which are strongly recommended.

### **Part I – Professional Rights of Faculty**

In support of the University's central functions as an institution of higher learning, a major responsibility of the administration is to protect and encourage the faculty in its teaching, learning, research, and public service. The authority to discipline faculty members in appropriate cases derives from the shared recognition by the faculty and the administration that the purpose of discipline is to preserve conditions hospitable to these pursuits. Such conditions, as they relate to the faculty, include, for example:

1. free inquiry, and exchange of ideas;
2. the right to present controversial material relevant to a course of instruction;
3. enjoyment of constitutionally protected freedom of expression;
4. freedom to address any matter of institutional policy or action when acting as a member of the faculty whether or not as a member of an agency of institutional governance;
5. participation in the governance of the University, as provided in the Bylaws and Standing Orders of The Regents and the regulations of the University, including
  - (a) approval of course content and manner of instruction,
  - (b) establishment of requirements for matriculation and for degrees,
  - (c) appointment and promotion of faculty,
  - (d) selection of chairs of departments and certain academic administrators,
  - (e) discipline of members of the faculty, and the formulation of rules and procedures for discipline of students,
  - (f) establishment of norms for teaching responsibilities and for evaluation of both faculty and student achievement, and
  - (g) determination of the forms of departmental governance;
6. the right to be judged by one's colleagues, in accordance with fair procedures and due process, in matters of promotion, tenure, and discipline, solely on the basis of the faculty members' professional qualifications and professional conduct.

### **Part II – Professional Responsibilities, Ethical Principles, and Unacceptable Faculty Conduct**

This listing of faculty responsibilities, ethical principles, and types of unacceptable behavior is organized around the individual faculty member's relation to teaching and students, to scholarship, to the University,

to colleagues, and to the community. Since University discipline, as distinguished from other forms of reproof or administrative actions, should be reserved for faculty misconduct that is either serious in itself or is made serious through its repetition, or its consequences, the following general principle is intended to govern all instances of its application:

University discipline under this Code may be imposed on a faculty member only for conduct which is not justified by the ethical principles and which significantly impairs the University's central functions as set forth in the Preamble. To the extent that violations of University policies mentioned in the examples below are not also inconsistent with the ethical principles, these policy violations may not be independent grounds for imposing discipline as defined herein. The *Types of Unacceptable Conduct* listed below in Sections A through E are examples of types of conduct which meet the preceding standards and hence are presumptively subject to University discipline. Other types of serious misconduct, not specifically enumerated herein, may nonetheless be the basis for disciplinary action if they also meet the preceding standards.

#### A. Teaching and Students

**Ethical Principles.** "As teachers, the professors encourage the free pursuit of learning of their students. They hold before them the best scholarly standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom." (AAUP Statement, 1966; Revised, 1987)

The integrity of the faculty-student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. The pedagogical relationship between faculty member and student must be protected from influences or activities that can interfere with learning consistent with the goals and ideals of the University. Whenever a faculty member is responsible for academic supervision of a student, a personal relationship between them of a romantic or sexual nature, even if consensual, is inappropriate. Any such relationship jeopardizes the integrity of the educational process.

In this section, the term student refers to all individuals under the academic supervision of faculty.

**Types of unacceptable conduct:**

1. Failure to meet the responsibilities of instruction, including:
  - (a) arbitrary denial of access to instruction;
  - (b) significant intrusion of material unrelated to the course;
  - (c) significant failure to adhere, without legitimate reason, to the rules of the faculty in the conduct of courses, to meet class, to keep office hours, or to hold examinations as scheduled;
  - (d) evaluation of student work by criteria not directly reflective of course performance;
  - (e) undue and unexcused delay in evaluating student work.
2. Discrimination, including harassment, against a student on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.
3. Sexual violence and sexual harassment, as defined by University policy, of a student.
4. Violation of the University policy, including the pertinent guidelines, applying to nondiscrimination against students on the basis of disability.
5. Use of the position or powers of a faculty member to coerce the judgment or conscience of a student or to cause harm to a student for arbitrary or personal reasons.
6. Participating in or deliberately abetting disruption, interference, or intimidation in the classroom.
7. Entering into a romantic or sexual relationship with any student for whom a faculty member has, or should reasonably expect to have in the future<sup>1</sup>, academic responsibility (instructional, evaluative, or supervisory).

<sup>1</sup> A faculty member should reasonably expect to have in the future academic responsibility (instructional, evaluative, or supervisory) for (1) students whose academic program will require them to enroll in a course taught by the faculty member, (2) students known to the faculty member to have an interest in an academic area within the faculty member's academic expertise, or (3) any student for whom a faculty member must have academic responsibility (instructional, evaluative, or supervisory) in the pursuit of a degree.

8. Exercising academic responsibility (instructional, evaluative, or supervisory) for any student with whom a faculty member has a romantic or sexual relationship.

## B. Scholarship

**Ethical Principles.** “Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.” (AAUP Statement, 1966; Revised, 1987)

### **Types of unacceptable conduct:**

Violation of canons of intellectual honesty, such as research misconduct and/or intentional misappropriation of the writings, research, and findings of others.

## C. The University

**Ethical Principles.** “As a member of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of the work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.” (AAUP Statement, 1966; Revised, 1987)

### **Types of unacceptable conduct:**

1. Intentional disruption of functions or activities sponsored or authorized by the University.
2. Incitement of others to disobey University rules when such incitement constitutes a clear and present danger that violence or abuse against persons or property will occur or that the University’s central functions will be significantly impaired.
3. Unauthorized use of University resources or facilities on a significant scale for personal, commercial, political, or religious purposes.

4. Forcible detention, threats of physical harm to, or harassment of another member of the University community, that interferes with that person's performance of University activities.
5. Discrimination, including harassment, against University employees or individuals seeking employment; providing services pursuant to a contract; or applying for or engaged in an unpaid internship, volunteer capacity, or training program leading to employment on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.
6. Sexual violence and sexual harassment, as defined by University policy, of another member of the University community.
7. Violation of the University policy, including the pertinent guidelines, applying to nondiscrimination against employees on the basis of disability.
8. Serious violation of University policies governing the professional conduct of faculty, including but not limited to policies applying to research, outside professional activities, conflicts of commitment, clinical practices, violence in the workplace, and whistleblower protections.

#### D. Colleagues

**Ethical Principles.** "As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debts and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution." (AAUP Statement, 1966; Revised, 1987)

#### **Types of unacceptable conduct:**

1. Making evaluations of the professional competence of faculty members by criteria not directly reflective of professional performance.
2. Discrimination, including harassment, against faculty on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender

identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer- related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.

3. Sexual violence and sexual harassment, as defined by University policy, of another member of the University community.
4. Violation of the University policy, including the pertinent guidelines, applying to nondiscrimination against faculty on the basis of disability.
5. Breach of established rules governing confidentiality in personnel procedures.

#### E. **The Community**

**Ethical Principles.** “Faculty members have the same rights and obligations as all citizens. They are as free as other citizens to express their views and to participate in the political processes of the community. When they act or speak in their personal and private capacities, they should avoid deliberately creating the impression that they represent the University.” (U.C. Academic Council Statement, 1971)

#### **Types of unacceptable conduct:**

1. Intentional misrepresentation of personal views as a statement of position of the University or any of its agencies. (An institutional affiliation appended to a faculty member’s name in a public statement or appearance is permissible, if used solely for purposes of identification.)
2. Commission of a criminal act which has led to conviction in a court of law and which clearly demonstrates unfitness to continue as a member of the faculty.

### **Part III – Enforcement and Sanctions**

The Assembly of the Academic Senate recommends that each Division, in cooperation with the campus administration, develop and periodically re-examine procedures dealing with the investigation of allegations of faculty misconduct and the conduct of disciplinary proceedings.

Procedures shall be consistent with the Bylaws of the Academic Senate. Each Division should duly notify the University Committee on Rules and Jurisdiction and the University Committee on Privilege and Tenure of the procedures it has adopted and any subsequent changes therein. These Committees in turn are directed to report periodically to the Assembly of the Academic Senate on procedures

adopted by the Divisions and to recommend to the Assembly such action as they deem appropriate for assuring compliance with the Bylaws of the Academic Senate or the promotion of uniformity among Divisions to the extent to which it appears necessary and desirable.

- A. In the development of disciplinary procedures, each Division must adhere to the following principles:
1. No disciplinary sanction for professional misconduct shall be imposed by the administration except in accordance with specified campus procedures adopted after appropriate consultation with agencies of the Academic Senate, as prescribed in the introduction to this part of the Code. Systemwide procedures for the conduct of disciplinary hearings are set forth in Academic Senate Bylaw 336.
  2. No disciplinary sanction shall be imposed until after the faculty member has had an opportunity for a hearing before the Divisional Committee on Privilege and Tenure, subsequent to a filing of a charge by the appropriate administrative officer, as described in Academic Senate Bylaw 336.
  3. The Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when it is reported to any academic administrator at the level of department chair or above. Additionally, for an allegation of sexual violence or sexual harassment, the Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when the allegation is first reported to any academic administrator at the level of department chair or above or the campus Title IX Officer. The Chancellor must initiate related disciplinary action by delivering notice of proposed action to the respondent no later than three years after the Chancellor is deemed to have known about the alleged violation. There is no limit on the time within which a complainant may report an alleged violation.
  4. The Chancellor may not initiate notice of proposed disciplinary action unless there has been a finding of *probable cause*. The *probable cause* standard means that the facts as alleged in the complaint, if true, justify the imposition of discipline for a violation of the Faculty Code of Conduct and that the Chancellor is satisfied that the University can produce credible evidence to support the claim. In cases where the Chancellor wants a disciplinary action to proceed, the Divisional hearing committee must hold a hearing and make findings on the evidence presented unless the accused faculty member settles the matter with the Chancellor prior to the hearing or the accused faculty member explicitly waives the right to a hearing.
  5. The procedures adopted shall include designation of the following disciplinary sanctions authorized in the University Policy on Faculty Conduct and the Administration of Discipline, of which this Faculty Code of Conduct is an integral part: written censure, reduction in salary, demotion, suspension, denial or curtailment of emeritus status, and dismissal from the employ of the University. The Divisional Committee on Privilege and Tenure shall not recommend the imposition of a sanction more severe than that in the notice

of proposed disciplinary action. More than one disciplinary sanction may be imposed for a single act of misconduct, e.g. a letter of censure and a suspension.

- B. In the development of disciplinary procedures, it is recommended that each Division adhere to the following principles:
1. In order to facilitate the efficient and timely handling of disciplinary matters, it is recommended that procedures be developed that allow each Divisional Committee on Privilege and Tenure to sit in hearing panels smaller than the full committee.
  2. There should be an appropriate mechanism for consideration and investigation of allegations of misconduct received from members of the faculty, staff, students, the administration, and other members of the University community. Procedures should be developed which encourage a single formal investigation of the allegations leading to the proposed disciplinary action.
  3. Because it is desirable that the faculty meaningfully participate in its own self-discipline, and in order to provide the administration with faculty advice in the beginning stages of what may become formal disciplinary proceedings, appropriate procedures should be developed to involve the faculty in participating in the investigation of allegations of misconduct and/or in making recommendations to appropriate administrative officers whether a disciplinary charge should be filed. Divisions are encouraged to develop procedures to provide faculty investigators with training, consultation, or legal counsel to assist with the investigation of faculty disciplinary cases.
  4. There should be provision for early resolution of allegations of faculty misconduct before formal disciplinary proceedings are instituted. Procedures should be developed for mediation of cases where mediation is viewed as acceptable by the Chancellor and the faculty member accused of misconduct. Mediators should be trained in mediation, be regarded as neutral third parties and have experience in the University environment. In cases where a settlement resolving disciplinary charges is entered into after a matter has been referred to an Academic Senate committee, the Chancellor is encouraged to consult with the Chair of the Divisional Committee on Privilege and Tenure prior to finalizing the settlement.
  5. Appropriate precautions should be taken to safeguard the confidentiality of investigative and disciplinary proceedings. Procedures should be developed that allow information about an ongoing disciplinary proceeding, including information about the outcome, to be shared with complainant(s), to the extent allowable by State law and University policy.
  6. There should be provision, to the maximum feasible extent, for separating investigative and judicial functions. A faculty member who has participated in investigating an allegation of misconduct or in recommending that a charge should be filed should thereafter not participate, as a member of the Committee on Privilege and Tenure, in the hearing of that charge.

7. In the implementation of all procedures, specific provisions should be made for the time span within which certain actions may or must be taken. Every effort should be made to conform to reasonable, specified time frames. Ideally, a hearing should commence within 90 days of the date on which the accused faculty member has been notified of the intention to initiate a disciplinary proceeding. A faculty member who is entitled to a hearing should not be permitted thereafter to delay imposition of discipline by refusing to cooperate or being unavailable for a scheduled hearing. A hearing shall not be postponed because the faculty member is on leave or fails to appear.
8. There should be consideration of provision for the availability of removal or termination of a sanction, either automatically or by administrative discretion, in individual cases. The nature and circumstances of the offense should determine the severity and type of discipline.
9. Procedures should be developed for keeping records of disciplinary matters in a confidential manner and sharing such records with Senate and administrative officers with a need to know in accordance with State law and University policy.

#### **Revision History**

September 23, 2020:

- Technical revision to remove gendered language.

For details on prior revisions, please visit the [Academic Personnel and Programs website](#).