

Heidelberg University  
Faculty Manual

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## Section 1

### 1.0 History, Mission, General Organization and Governance

#### Preamble

This version of the Manual was created by the Faculty Manual Task Force (FMTF), a subcommittee of the Faculty Personnel Committee. FMTF began work on the Manual in 2006, with the intention of entirely rewriting the prior manual. The present manual was presented to the Faculty for approval in September, 2009, and to the Heidelberg Board of Trustees in February, 2010. It was initially implemented in September, 2010.

The Manual is organized into five sections, plus appendices. Section 1 provides an overview of the history, mission, organization and governance of the institution, including the Faculty Constitution. Section 2 deals with contractual relationships between faculty members and the University, including the rights and responsibilities of faculty, terms of appointment and continuing employment, tenure and promotion procedures, separation from the University, and grievance procedures. Sections 3, 4, and 5 primarily are informational, addressing academic and administrative policies of interest to the faculty.

University policies related to faculty might also appear in other campus publications, including the University Catalog, the Student Handbook, and various administrative memos. However, the Faculty Manual is a singularly important document, and should be regarded as the primary reference regarding the relationship between the University and individual faculty members. As such, Heidelberg University views it as an extension of the employment contract. To ensure that the Manual remains current, it is continually maintained, and revised when needed by the Faculty Personnel Committee.

#### 1.1 History

Heidelberg was founded in 1850 by members of the German Reformed Church who named the University after the Heidelberg Catechism of 1563. Seeking to minister to the German population of Ohio, the founders of the University established a church-affiliated institution staffed by a largely theologically trained faculty. Into the 1890s and beyond, the ideal of training Christian scholars persisted as the goal of a Heidelberg education. No laymen served as President of the University until after World War II. Heidelberg tenured faculty members were required to be members of a Christian faith until the early 1970s. Today, many of the staff and the students are not members of the United Church of Christ. This denomination was formed in 1957 by a merger of the Evangelical and Reformed Church with the Congregational Christian Churches. In becoming an independent, church-related, liberal arts educational institution, Heidelberg has interpreted the educated person to be an individual who can articulate the relationship between academic learning and learning for life.

## 1.2 Mission and Goals

(Adopted by Heidelberg University Board of Trustees, October 11, 2003)

### 1.2.1 Mission Statement

Heidelberg University is a community of learning that promotes and nurtures intellectual, personal and professional development, leading to a life of purpose with distinction.

### 1.2.2 Statement of Educational Philosophy and Values

Heidelberg University, in the Liberal Arts tradition, educates persons who can act effectively and with integrity in a world of change. It cherishes academic excellence, honors knowledge, encourages original research, and promotes a lifelong commitment to free inquiry. Heidelberg is dedicated to being a diverse community that challenges students to understand their cultural heritage and the contemporary world, to explore frontiers of knowledge, and to develop powers of mind and spirit. In keeping with its historic affiliation with the United Church of Christ, students, faculty, staff, and the Board of Trustees work together to understand and respect diverse cultures, religions, and lifestyles. Heidelberg University develops individuals with high moral and ethical standards who are productive in their life's work, engaged in their communities, and responsible citizens of the world.

### 1.2.3 Statement of Institutional Goals

*At the time of graduation, Heidelberg students will be capable of:*

1. Demonstrating the breadth of knowledge and creative and critical thinking skills to fully participate as citizens of the changing world;
2. Synthesizing theory, knowledge and experience related to their majors;
3. Demonstrating the writing and speaking skills to communicate effectively within their disciplines;
4. Demonstrating the quantitative and problem-solving skills sufficient for their disciplines and for functioning in an increasingly technical society;
5. Demonstrating an awareness of their own cultures and a sensitivity to and appreciation of other cultures;
6. Valuing the quest for purpose, integrity, and spiritual growth;
7. Demonstrating an engagement with Heidelberg University and the local community, as well as with the nation and the world.

*In the years following graduation, alumni will find that their experiences while at Heidelberg played an important role in:*

8. Shaping their understanding and appreciation of the world;
9. Developing the abilities and strength of character to achieve their personal goals;
10. Developing the capacity and willingness to contribute in a positive and constructive way to the communities in which they live and to Heidelberg University.

### 1.2.4 Accreditation and Affiliation

Heidelberg University has continuously been accredited by the North Central Association of Colleges and Secondary Schools since 1913 and was included on the Association's first published list of accredited institutions. North Central Association of Colleges and Secondary Schools is located at 30 North LaSalle Street, Suite 2400, Chicago, Illinois 60602-2504 and can be reached at (312) 263-0456, (800) 621- 7440 or by fax (312) 263-7462. The University is a full member of the National Association of Schools of Music and its requirements for entrance and graduation are in accordance with the published regulations of this accrediting agency. The University is recognized by the State Department of Education of Ohio and most other states. Information related to Title II compliance is available from the [office of the Vice President for Academic Affairs and Provost](#).

The University is an institutional member of the Council for Higher Education of the United Church of Christ, the American Association of Colleges for Teacher Education, the Ohio Foundation of Independent Colleges, Inc. (OFIC), the Council for Independent College, (CIC), [and](#) the Association of Independent Colleges and Universities in Ohio (AICUO). Heidelberg is recognized by the College Entrance Examination Board.

The University's Master of Arts Degree in Counseling is recognized and approved by the Ohio Board of Regents and the Ohio Counselor and Social Worker, and Marriage and Family Therapy Board. The Master of Music Education (MME) program is recognized by the Ohio Board of Regents and the National Association of Schools of Music. The Athletic Training Education Program is recognized by the Ohio Board of Regents and is accredited by the Commission on Accreditation of Athletic Training Education.

### 1.3 Institutional Governance

According to the Board of Trustees Bylaws (approved November, 2004 ), the University is governed by a self-perpetuating Board of Trustees consisting of between 20 and 32 members, in addition to the President of the University who is a full voting member. The President is elected by the Board and is the chief executive officer and administrative head of the institution, furnishing educational leadership and administrative direction for all University activities. The President retains ultimate responsibility for the University under the Board. The Provost of the University serves as the Provost of the University and chief academic officer of the institution. The General Faculty of Heidelberg University has principal responsibility for development of the academic policies of the University. The faculty helps develop long-range strategic planning for the University and advises the administration on matters concerning the general welfare of the institution. In addition to the President and Provost of the University, the administrative officers of the University include the Vice Presidents for Administration, Enrollment, Institutional Advancement, and Student Affairs. Full texts of the Charter, Amended Articles of Incorporation, *and* Bylaws and Standing Resolutions of the Board of Trustees are available through the Office of the President of the University. (See Appendix A for the Heidelberg University Organizational Chart.)

### 1.3.1 Board of Trustees

Article I of the Bylaws of the Heidelberg University Board of Trustees (November, 2004) describes the authority and responsibilities of the Board.

#### Article I. Board Authority and Responsibilities

Section 1. The Board of Trustees shall have and exercise those corporate powers prescribed by law. Its ultimate authority is affirmed through its general, academic, and financial policy-making functions and its responsibility for the financial health and welfare of the corporation. The Board of Trustees shall exercise ultimate institutional authority as set forth in these bylaws and in such other policy documents it deems to be appropriate. These bylaws and other board policies shall take precedence over all other institutional statements, documents, and policies.

Section 2. The Board of Trustees shall have the authority to carry out all lawful functions that are permitted by these bylaws or by the Articles of Incorporation. This authority, in consultation with the president, shall include but shall not be limited to these illustrative functions:

1. Determine and periodically review the mission and purposes of Heidelberg University.
2. Appoint the president, who shall be chief executive officer of Heidelberg University, and set appropriate conditions of employment, including compensation.
3. Establish the conditions of employment of other key institutional officers who serve at the pleasure of the president (in consultation with the board).
4. Support the president and assess his or her performance.
5. Review and approve proposed changes in the academic programs and other major enterprises of Heidelberg University consistent with the mission, plans, and financial resources of Heidelberg University.
6. Approve institutional policies that bear on faculty appointment, promotion, tenure, and dismissal as well as personnel or anti-discrimination policies for all categories of employees.
7. Approve the annual budget and annual tuition and fees, regularly monitor the financial condition of Heidelberg University, and establish policy guidelines that affect all institutional assets including investments and the physical plant.
8. Contribute financially to the fund-raising goals of Heidelberg University, participate actively in strategies to secure sources of support, and authorize University officers to accept gifts or bequests subject to board policy guidelines.
9. Authorize any need for debt financing and approve the securing of loans.
10. Authorize the construction of new buildings, capitalization of deferred maintenance backlogs, and major renovations of existing buildings.
11. Authorize the purchase, sale, and management of all land, buildings, or major equipment.
12. Approve policies that contribute to the best possible environment for students to learn and develop their abilities and that contribute to the best possible environment for

the faculty to teach, pursue their scholarship, and perform public service. These policies include the protection of academic freedom.

13. Approve all earned and honorary degrees through the faculty and president, as they shall recommend.

14. Serve actively as advocates for Heidelberg University in appropriate matters of public policy in consultation with the president and other responsible parties as the board shall determine.

15. Periodically undertake or authorize assessments of the performance of the board.

### 1.3.2 President

The President is elected by the Board of Trustees and is the chief executive officer and administrative head of the institution, furnishing educational leadership and administrative direction for all University activities. The President retains ultimate responsibility for the University under the Board. The President is a member of the Faculty, and an *ex officio* member of all Faculty committees.

### 1.3.3 Academic Governance

Academic governance of the University is a shared responsibility between the Provost of the University and the faculty. The Provost provides academic leadership to the institution. The faculty organizes itself, according to the Faculty Constitution.

#### 1.3.3.1 Academic Affairs

##### 1.3.3.1.1 Vice President for Academic Affairs and Provost of the University

The Provost of the University is appointed by the President. The Provost is a member of the General Faculty, and an *ex officio* member of all Faculty committees. The duties of the Provost include:

- Leading Academic Affairs both internally and externally
- Representing Academic Affairs on President's Cabinet and to the Board of Trustees
- Working with the President and other vice-presidents toward strategic goals, especially Academic Excellence
- Responsibility for hiring faculty
- Working with the Faculty Personnel Committee (FPC) on promotion, tenure, and termination decisions.
- Working with faculty committees to organize and govern the business of Academic Affairs, including curriculum, policies and procedures, and assessment of student learning
- Promoting innovative programs, pedagogy, curricula, and research
- Developing academic programs and collaborations with other institutions
- Overseeing the Faculty Evaluation and Annual Review processes
- Overseeing periodic departmental reviews

- Monitoring and insuring that accreditation requirements are met, where applicable
- Monitoring and insuring that assessment of student learning takes place
- Oversight of budgets for Academic Affairs
- Oversight of academic facilities and equipment such as classrooms, faculty offices, laboratories, the Library, and information technology
- Hearing appeals of student or faculty personnel issues.

#### 1.3.3.1.2 Deans

For vacant administrative positions in Academic Affairs, the Provost will either direct a search according to the procedures listed in the document, "Search Committee Procedures for Hiring Administrators", or the Provost may appoint an individual subject to approval by the President

The Dean of Graduate and Professional Studies and the Dean of Arts and Sciences will serve Academic Affairs and promote Academic Excellence by:

- Facilitating communication among Faculty, Department Chairs and Directors, Academic Cabinet, and Administration regarding academic policies, procedures, concerns
- Assisting in hiring procedures, orientation, and performance reviews for faculty, adjunct faculty, or related administrative/ staff positions
- Serving on faculty and institution committees, including Honors, Undergraduate Curriculum, and Graduate Educational Policies, and task forces
- Approving and overseeing academic budget concerns (such as adjunct and overload contracts, conference and travel requests from faculty); assisting with other budgetary requests
- Coordinating departmental schedules
- Assisting in recruitment efforts of the University and orientation of students
- Handling student academic concerns, such as grade appeals, scheduling issues, academic dishonesty cases, final exam changes, etc.
- Working with administration and Provost and Vice President for Academic Affairs to develop and support strategic initiatives and programs
- Working with external bodies to develop and maintain professional accreditation for respective programs
- Dean of Graduate and Professional Studies is responsible for physical plant and staff operations at Arrowhead.

#### 1.3.3.1.3 Department Chairs and Program Directors

The Provost works with the department to choose a Chair. Program Directors are appointed by the Provost.

The Chair/Director is available to other members of the department for advice and counsel. The Chair/Director shall be consulted first when disputes arise involving department members. The Chair/Director completes evaluations of faculty

members in the department as appropriate, counsels them on professional matters, and provides recommendations concerning sabbatical leaves and other personnel actions pertaining to members of the department.

The Chair/Director is responsible for overseeing the annual evaluation of the members of the department.

The Chair/Director arranges the departmental teaching schedule after consultation with members of the department and coordination with related departments, and in accordance with guidelines from the Provost and Registrar. The Chair submits required personnel forms for full-time positions and recommends appointment of part-time and adjunct faculty, as appropriate, to the Provost. The Chair coordinates appropriate academic matters with other Chair/Directors.

The Chair/Director is responsible, within the limit of the teaching capability in the department, for insuring that classes are conducted as scheduled. The classes of absent members of the department should be covered, preferably by another instructor or by prior arrangement for substitute work. Postponement of work to be accomplished at another time is an acceptable alternative only if more effective means of meeting the teaching obligation to the class cannot be developed.

Chair/Directors organize and conduct meetings of the departmental faculty. The need for meetings within a department will vary with the scope of activities and related matters. Each department should hold a department meeting of the faculty at least once each semester at a time when members of the department can be present for an uninterrupted meeting. At least once a year a meeting of the department faculty and the majors in the department should be held.

The Chair/Director is responsible for ensuring that the majors in the department are properly advised. The Chair attempts to bring the majors into departmental affairs and to arrange conditions which encourage the majors to consider the department as their academic home.

Chair/Directors are responsible for Program Reviews of the curriculum and for a continuing assessment of the curriculum. Objective data should be obtained whenever possible to assist in curriculum evaluation. Such data should be obtained from graduating majors, recent graduates, faculty members within the department, faculty members in related departments, and outside constituencies.

Chair/Directors, upon request by the Provost, will provide to the Provost an annual report for the department.

The Chair/Director, after consulting other members of the department, prepares an annual budget request for support of departmental activities in accordance with a timetable and procedure outlined by the Provost. The Chair administers the approved budget to fulfill departmental teaching responsibilities and activities

within limits of the approved budget.

The Chair/Director works with the Director of Library Services on library holdings, periodicals, and other material to support the department's teaching program.

The Chair/Director attends Chairs and Directors meetings, or arranges for coverage by colleagues.

1.3.3.2 Faculty Constitution

**CONSTITUTION OF THE  
GENERAL FACULTY OF  
HEIDELBERG UNIVERSITY  
Approved April 1, 2008**

**ARTICLE I – DEFINITION AND MEMBERSHIP**

Section 1. The General Faculty of Heidelberg University is a deliberative assembly. This Constitution comprises the policies and procedures the Faculty has selected to govern itself, and defines the membership, responsibilities, and operational components of the General Faculty. As rules of a deliberative assembly, the provisions of this Constitution do not address the employment relationship between the University and an individual member of the General Faculty, and do not extend, limit, interpret, or otherwise concern the employment contract.

Section 2. The membership of the General Faculty is defined as follows:

- (a) the President of the University;
- (b) the Vice President for Academic Affairs and Provost of the University—herein “the Provost;”
- (c) full-time employees of the University who hold the academic rank of Instructor, Assistant Professor, Associate Professor, Professor, or other academic ranks designated by the President and approved by the General Faculty;
- (d) full-time employees of the University who hold the title of Director of Library Services, Registrar, or other ranks or titles designated by the President and approved by the General Faculty;
- (e) one undergraduate student appointed by Student Senate; and
- (f) other persons contributing to the teaching and research missions of the college, for example, instructors with Significant Part-time contracts, who are appointed to the General Faculty on a term basis at the first regular meeting of the General Faculty each fall for that academic year.

Section 3. In the context of this Constitution and the *Heidelberg University Faculty Manual*, the term “Faculty member” is used to designate only a member of the General Faculty holding the academic rank of Instructor, Assistant Professor, Associate Professor, or Professor, or the administrative title of President of the University, and excludes other instructional staff. Further meaning and application of the term “instructional staff” is provided in the *Heidelberg University Faculty Manual*.

- Section 4. Non-voting administrative representatives to the General Faculty are defined as follows:
- (a) full-time employees of the University who do not hold the academic rank of Instructor, Assistant Professor, Associate Professor, or Professor but who hold the title of Vice President, Dean of Students or other administrative titles designated by the President and approved by the General Faculty.
- Section 5. Faculty members on leave retain all privileges of General Faculty membership and shall be included in the semiannual Secretary's Report to the General Faculty.
- Section 6. Only Faculty members as defined in Section 3 of this Article are eligible to be elected by the General Faculty as officers of the General Faculty as defined in Article IV, to be elected to General Faculty committees or task forces as defined in Article V, or to be elected by the General Faculty to University committees and councils as defined in the *Heidelberg University Faculty Manual*, Section 1.3.4.

## **ARTICLE II – DUTIES AND RESPONSIBILITIES**

- Section 1. The duties and responsibilities of the General Faculty of Heidelberg University shall be to establish and implement policies concerning the academic life of the University, to advise the Board of Trustees, the President, the Provost of the University, and others concerning the academic life and general welfare of the University, and to implement University objectives established in conjunction with the Board of Trustees, the President, and the Provost of the University.
- At the request of the General Faculty, the General Faculty's decisions and recommendations shall be reported by the Chairperson of the General Faculty to the Provost of the University the President or to the Board of Trustees through the President. Whatever action the Provost, the President, or the Board of Trustees takes with respect to such recommendations and decisions shall be promptly reported by the Chairperson of the General Faculty.
- Section 2. The General Faculty discharges its duties when assembled under the provisions of Article IV, through standing and ad hoc committees and task forces as provided in Article V, and through the various academic departments as provided in Article III.

### **ARTICLE III – ADMINISTRATIVE ORGANIZATION OF GENERAL FACULTY MEMBERS**

Section 1. Members of the General Faculty holding academic rank are organized into administrative schools and divisions. Each school or division is in turn organized into academic departments and programs. The academic divisions and departments of the University have academic functions under the provisions of this Constitution as well as administrative functions defined by their own internal policies, by the administrative policies of Heidelberg University specified in the Heidelberg University Faculty Manual and other documents, and by administrative policies established by the Provost of the University.

### **ARTICLE IV - OFFICERS AND MEETINGS**

Section 1. The position of Chairperson of the General Faculty is normally filled by succession of the Chairperson *pro tempore* as provided for in Article IV, Section 2. When necessary, the Faculty shall elect a Chairperson, at or before the first General Faculty meeting of the academic year or as necessary to fill the position. The term of office shall be for one year, beginning with the first day of the Fall semester.

The Chairperson of the General Faculty shall

- preside at all meetings of the General Faculty;
- be an *ex officio* non-voting member of all General Faculty committees except the Faculty Personnel Committee;
- call all meetings of the General Faculty, including special meetings, in accordance with Article IV Section 8;
- construct the agenda for all meetings of the General Faculty;
- distribute the agenda, receive and distribute the Secretary's minutes, receive and distribute minutes from Faculty committees and other relevant materials for all General Faculty meetings pursuant to Article IV Section 7 and Article V Section 9(d);
- receive any written proposal to amend the Constitution of the Faculty and distribute it to the General Faculty pursuant to Article VIII Section 1;
- at the request of the General Faculty, the Faculty's decisions and recommendations shall be reported by the Chairperson of the General Faculty to the Provost of the University, the President, or to the Board of Trustees through the President;
- on behalf of the General Faculty, seek reports from the Provost pursuant to Article IV Section 6;
- invite student members of General Faculty committees to hear and comment on their respective Committees' reports;

- invite other persons of the University community to address the General Faculty assembled; and
- perform other duties as the General Faculty shall so direct.

Section 2. The General Faculty shall elect a Chairperson *pro tempore*, at or before the first General Faculty meeting of the academic year or as necessary to fill the position. The Chairperson *pro tempore* shall preside at the General Faculty meetings in the absence of the Chairperson and on other occasions when it is necessary for the Chairperson to vacate the chair. The term of office shall be for one year, beginning with the first day of the Fall semester. The incumbent Chairperson *pro tempore* shall then become the Chairperson of the General Faculty in the following academic year.

Section 3. The General Faculty shall elect annually, at or before the first meeting of the academic year, a Secretary whose duties shall include

- recording minutes of all General Faculty meetings;
- keeping and making available for inspection the records of General Faculty bodies;
- maintaining a Faculty Register pursuant to Article VII Section 3; and
- such other duties as the General Faculty shall direct.

The Secretary shall seek administrative support for necessary clerical assistance in the discharge of his or her duties.

Section 4. The General Faculty shall elect annually, at or before the first meeting of the academic year, a Parliamentarian whose principal duty shall be to advise the presiding officer on procedure.

Section 5. The General Faculty shall elect, at or before the first meeting of the academic year, Faculty members to serve two-year terms as Faculty Advisory Representatives to the Board of Trustees of the University as follows: two Faculty members to the Academic Affairs Committee of the Board, initially one one-year and one two-year; and two Faculty members to the Enrollment Management and Student Affairs Committee of the Board, initially one one-year and one two-year. The reporting duties to the General Faculty by the Faculty Advisory Representatives to the Board shall be prescribed by the General Faculty, consistent with the policies of the Board of Trustees.

Section 6. The General Faculty shall seek a report from the Provost regarding the disposition of all matters brought to the Provost by the General Faculty according to the provisions of this Constitution.

Section 7. The General Faculty is in session from the first day of class in the Fall semester through the last day of the final examination period in the Spring semester, excluding those days when the University is not in session. The General Faculty shall establish a schedule of regular monthly meetings to be held at a designated

time during the academic year while the University is in session.

The Chairperson of the General Faculty shall notify members of the General Faculty in writing not less than 48 hours in advance of regular meetings. This notification shall include a list of the matters which may come before that meeting, as well as the minutes of the previous regular meeting and of any special or emergency meetings which may have intervened.

- Section 8. All meetings of the General Faculty are called by the Chairperson of the General Faculty. Special meetings may be directed by the Provost or by petition of at least ten members of the General Faculty. The petition shall be brought to the Chairperson of the General Faculty who will then call the special meeting. The Chairperson of the General Faculty shall notify members in writing not less than 48 hours in advance of special meetings. That notification shall include a complete list of the petitioners and a brief statement of the matters to be considered at the special meeting.

Meetings may be called under special conditions as defined by the Provost of the University with less than 48 hours notice.

- Section 9. At all meetings of the General Faculty a quorum shall be 40 percent of the current membership of the General Faculty.
- Section 10. At all meetings of the General Faculty passage of any motion shall require an affirmative vote of a majority of those members voting. An abstention from voting is not a vote. A record of the number of affirmative votes, negative votes, and abstentions from voting shall be kept for all motions with respect to which a division of the assembly has been requested.
- Section 11. At all meetings of the General Faculty a secret ballot shall be taken on any question at the request of any member of the General Faculty.
- Section 12. In the event of a vacancy of an elected officer of the General Faculty, an election shall be held at the next regular meeting of the General Faculty, to fill the unexpired term of the vacator.
- Section 13. The General Faculty aims to set the example of making its regular meetings open to observation by interested persons of the University community. Nonmembers may address the General Faculty assembled only upon request of a member in attendance or upon invitation of the Chairperson of the General Faculty. The right of participating in deliberation is reserved for members of the General Faculty and non-voting administrative representatives to the Faculty as defined in Article I, Section 4.

## ARTICLE V - FACULTY COMMITTEES

Section 1. General Faculty committees are either standing committees, or ad hoc committees and task forces. Standing committees are defined in their entirety through the provisions of this Constitution. Ad hoc General Faculty committees and task forces are defined, created, and dismissed by the General Faculty assembled or by standing committees of the General Faculty, according to the provisions of this Constitution. Both types of General Faculty committees are creatures of the General Faculty, i.e., the nature, composition, scope of duties and responsibilities, and internal function are controlled in their entirety by the General Faculty, subject to the provisions of this Constitution. The President and the Provost are *ex officio*, non-voting members of all General Faculty committees. The Chairperson of the General Faculty is an *ex officio*, non-voting member of all General Faculty committees except the General Faculty Personnel Committee.

Section 2. The standing committees of the **General** Faculty of the University shall be the

- (a) Academic Assessment Committee,
- (b) Community Engagement Committee,
- (c) Faculty Development Committee,
- (d) Faculty Personnel Committee,
- (e) Graduate Studies Committee,
- (f) Undergraduate Academic Policy Committee,
- (g) Undergraduate Curriculum Committee.

Section 3. Membership and charges of these standing committees shall be as follows:

- (a) Academic Assessment Committee (AAC)

Membership: Four Faculty members, one or two elected each year for three-year terms; and one undergraduate student appointed by the Student Senate for a term of one year. The individual charged by the Provost with coordinating assessment on campus is an *ex officio*, non-voting member of this committee.

Charges: AAC shall study and make recommendations concerning campus assessment policy and ensure implementation of assessment activities, including but not limited to

- periodically evaluating the University mission documents;
- periodically evaluating the general education learning outcomes;
- coordinating all academic assessment activities on campus with Academic Affairs and the Director of Institutional and Market Research;

- reviewing academic assessment data and making recommendations to the General Faculty.

(b) Community Engagement Committee (CEC)

**Membership:** Four Faculty members, one or two elected each year for two-year terms; one student appointed by Student Senate for a term of one year.

**Charges:** The Community Engagement Committee shall study and make recommendations to the General Faculty concerning facilities, resources and programs which contribute to the overall growth and development of the students including, but not limited to

- promoting volunteerism and citizenship among Heidelberg students in coordination with the Service Learning Coordinator of the Honors Program;
- coordinating, planning, promoting, and/or sponsoring events on campus that further the academic mission of the University;
- coordinating, planning, promoting, and/or sponsoring educational programs between the University and Tiffin-area organizations including but not limited to Tiffin University, Tiffin Public Schools, Tiffin Catholic Schools, Ritz Theater, and Tiffin-Seneca Public Library; and
- providing the appellate hearing body for student disciplinary cases.

(c) Faculty Development Committee (FDC)

**Membership:** Four Faculty members, one or two elected each year for a three-year term.

**Charges:** The Faculty Development Committee shall study and make recommendations to the General Faculty concerning overseeing and facilitating resources and programs, outside the scope of Faculty member evaluation, that promote a life of learning through growth and development of Faculty members in their instructional, scholarly, and institutional endeavors including, but not limited to

- gathering information on advances and new concepts in teaching, both on and off the campus, and organizing workshops, discussion groups, notices, and literature to help Faculty members keep abreast of such information;
- planning, implementing, and evaluating mentoring programs for new and continuing Faculty members;

- coordinating the selection of Aigler Summer Grant recipients in conjunction with Academic Affairs;
- establishing, maintaining, and supporting programs beyond sabbatical leaves, leaves of absence, and release time, that encourage professional activities, growth, and development;
- establishing and maintaining programs to promote and facilitate Faculty-member interaction and congeniality;
- maintaining a dialogue about educational resource development and allocation between the General Faculty, CNIT, Beeghly Library, Instructional Resource Center, Media Communication Center, Owen Academic and Career Support Center, Writing Center and Academic Affairs;

(d) Faculty Personnel Committee (FPC)

Membership: Four Faculty members consisting of three tenured full-professors and one tenured associate professor, with one elected each year for a four-year term. The committee member with the most consecutive years of service on this committee will be Chair.

Charges: The Faculty Personnel Committee shall study and make recommendations to the General Faculty, and where appropriate, on behalf of the General Faculty to the President and the Board of Trustees, on a wide range of Faculty-member employment and welfare issues including, but not limited to

- advising the President and Board of Trustees, through the Vice President for Academic Affairs, on the following matters, including but not limited to
  - promotion
  - tenure
  - initial appointment and re-appointment
  - release time
  - sabbatical leaves and leaves of absence
  - termination
  - other Faculty-member personnel matters determined by the President;
- conducting Faculty elections for standing committees, and of Faculty-member representatives to administrative committees;
- overseeing all Faculty-member evaluation procedures;
- updating the Faculty Manual; and
- studying and making recommendations to the Faculty regarding compensation, benefits, workload, intellectual property, and the teaching and research environment.

(e) Graduate Studies Committee (GSC)

Membership: One Faculty member with graduate teaching experience from each of the four graduate programs, one or two elected each year for terms of three years, and one graduate student appointed by the committee chairperson for a term of one year. The Registrar is an *ex officio*, non-voting member of this committee.

Charges: The Graduate Studies Committee shall study and make recommendations to the General Faculty concerning matters of graduate policy and curriculum including, but not limited to

- reviewing, approving and recommending changes in the graduate curriculum and academic programs;
- admissions, placement, scholarships, academic probation, suspension, dismissal, academic honesty, student appeals including grade appeals, and matters of student academic life;
- general matters of academic administrative policy including, but not limited to, the University graduate calendar, library policy, and honorary degrees; and
- any educational endeavors which will have a long- or short-range impact on graduate academic programs.

Coordination with Undergraduate Programs: The Graduate Studies Committee shall not propose any policy or curricular changes that will affect the policies or curriculum of the University's undergraduate programs without first consulting the Undergraduate Academic Policies Committee and/or the Undergraduate Curriculum Committee, as appropriate.

(f) Undergraduate Academic Policy Committee (UAPC)

Membership: Four Faculty members, one with tenure, one or two elected each year for terms of three years; and one undergraduate student appointed by the Student Senate for a term of one year. The Registrar is an *ex officio*, non-voting member of this committee.

Charges: The Undergraduate Academic Policy Committee shall study and make recommendations to the General Faculty concerning matters of undergraduate academic policy including, but not limited to

- admissions, placement, scholarships, academic probation, suspension, dismissal, academic honesty, student appeals including grade appeals, and matters of student academic life;

- general matters of academic administrative policy including, but not limited to, the University calendar, library policy, and honorary degrees; and
- any educational endeavors which will have an impact on long-or short-range academic policy of the University.

Coordination with Graduate Programs: The Undergraduate Academic Policy Committee shall not propose any policy or changes that will affect the policies of the University's graduate programs without first consulting the Graduate Studies Committee.

(g) Undergraduate Curriculum Committee (UCC)

Membership: Four undergraduate Faculty members, at least one of whom is tenured, one or two elected each year for terms of three years; and one undergraduate student appointed by the Student Senate for a term of one year. The Registrar is an *ex officio*, non-voting member of this committee.

Charges: The Undergraduate Curriculum Committee shall study and make recommendations to the General Faculty concerning matters of the undergraduate curriculum including, but not limited to

- the undergraduate general education curriculum, majors, minors, internships, externships, clerkships, practicums, service learning, and other academic programs; and
- any educational endeavors which will have a long- or short-range impact on undergraduate academic programs.

Coordination with Graduate Programs: The Undergraduate Curriculum Committee shall not propose any curricular changes that will affect the curriculum of the University's graduate programs without first consulting the Graduate Studies Committee.

Section 4. General Faculty elections to these standing committees shall take place annually, at the last General Faculty meeting of the academic year. New members are seated immediately following the election, unless provided for otherwise by the General Faculty.

Section 5. In the event of a vacancy of an elected Faculty member on any of these standing committees, an election shall be held no later than the next regular meeting of the General Faculty, to fill the unexpired term of the vacator. A committee member who seeks to resign from a committee assignment shall propose a motion, Request to be Excused from a Duty, to the Chairperson of the General Faculty prior to the next regular meeting of the General Faculty.

- Section 6. Each of these standing committees shall meet at least once a semester during the regular academic year.
- Section 7. Unless otherwise provided for in this Constitution, each of these standing committees has the duty to deliberate, and make a timely report on, matters within its charges raised by itself or
- (a) any member of the General Faculty,
  - (b) the General Faculty,
  - (c) any body defined within this Constitution.
- Section 8. Committees in addition to these standing committees may be established. The size, qualifications of members, and terms of office of members of such committees may be prescribed by:
- (a) the General Faculty, or
  - (b) any of the standing committees of the General Faculty.
- Section 9. Each of these standing committees, and each committee established pursuant to Section 8 of this Article shall
- (a) elect a chairperson at the beginning of each semester, unless another method of selecting a chairperson is provided by this Constitution or by a standing rule of the General Faculty;
  - (b) establish and make known to the General Faculty in written form the time and place of its regular meetings and the procedures for the conduct of its business pursuant to Article V, at the beginning of each semester;
  - (c) provide annual budget requests to the Provost in a timely manner, and expend any budgeted funds according to the direction of the General Faculty;
  - (d) record minutes of all matters which have come before the committee, all actions taken thereon, and all matters which are pending before it. All minutes not submitted since the last meeting of the General Faculty minutes shall be sent to the Chairperson of the General Faculty at least 48 hours before the next Faculty meeting; the Chairperson of the General Faculty will distribute them to the General Faculty; and
  - (e) submit all reports and vote documents for consideration by the Faculty to the Chairperson of the General Faculty, who shall distribute them to the Faculty at least 48 hours before the General Faculty Meeting at which they are to be considered. The Secretary of the General Faculty shall maintain a permanent file of such reports and vote documents.

## **ARTICLE VI -- PARLIAMENTARY AUTHORITY**

Section 1. The General Faculty and committees provided for in this Constitution shall be governed by the rules contained in this Constitution and any Bylaws enacted in accordance with this Constitution. Meetings of the General Faculty and of all the committees provided for in this Constitution shall be governed by the rules contained in the current edition of *Robert's Rules of Order, Newly Revised*, where those rules are consistent with this Constitution. The General Faculty may adopt special rules of order for itself and its committees as it sees fit. Those rules shall supersede any contrary rules of Robert but otherwise shall be consistent with the provisions of this Constitution.

## **ARTICLE VII – BYLAWS AND STANDING RULES**

Section 1. The General Faculty shall make bylaws and standing rules as may be necessary for the proper conduct and regulation of its business, provided those rules do not conflict with this Constitution. Such bylaws and rules shall be adopted or amended and become effective upon an affirmative vote of a majority of those present at a meeting of the General Faculty.

Section 2. Bylaws may be adopted or amended at a meeting of the General Faculty only when the proposal has been circulated to the General Faculty by the Secretary with the agenda for the meeting at which the vote is to be taken.

Section 3. All bylaws and standing rules shall be entered in a Faculty Register by the Secretary. The Secretary shall maintain and publish the Register in paper and electronic form in a manner and location determined by the General Faculty. The Register shall be available to the University community.

## **ARTICLE VIII -- AMENDING THE CONSTITUTION**

Section 1. The following procedure is the only method by which the Constitution of the General Faculty of Heidelberg University may be amended:

- (a) A written proposal to amend the Constitution of the General Faculty may originate as a petition signed by at least 25% of the membership of the General Faculty, or as a proposal from the Faculty Personnel Committee. In both cases, the amendment proposal shall be filed with the Secretary of the General Faculty.
- (b) The Chairperson shall distribute to the General Faculty this written proposal of amendment not more than ten calendar days after it has been filed with the Secretary.

- (c) The General Faculty shall vote on the proposed amendment at a meeting not less than four calendar days, nor more than sixty calendar days, from the time the proposal of amendment has been distributed to the General Faculty. The proposed amendment must be read at least two meetings before a vote is taken.
- (d) For an amendment to become effective it must receive an affirmative vote of two-thirds of all votes cast.
- (e) For purposes of amending the Constitution of the General Faculty, the following rules apply:
  - (i) in computing time, summer vacation and all other vacations during the academic year shall be excluded;
  - (ii) for the purpose of voting, absentee ballots shall not be counted.
- (f) When a motion to amend the Constitution of the General Faculty has received the necessary votes, it shall become effective immediately, unless the proposal itself otherwise provides.

#### **ARTICLE IX -- CONSTITUTIONAL REVIEW**

- Section 1. At intervals of five academic years, beginning in 2013, the Faculty shall convene a committee to review the Constitution and to recommend to the General Faculty such amendments as it may deem appropriate.
- Section 2. The provisions of this Constitution shall be consistent with the law, the University Charter and Articles of Incorporation, the Bylaws of the Board of Trustees, and other Board policies. Any provisions of this Constitution counter to applicable State or Federal Laws shall be null and void.

#### **ARTICLE X -- ENACTMENT**

- Section 1. The Constitution of the General Faculty of Heidelberg University shall become effective on April 29, 2008, following its approval by an affirmative vote of two-thirds of all the votes cast at a meeting for which due notice of the proposal has been given.

[End of the Faculty Constitution]

#### **Dates of Faculty Approval of Amendments on Second Reading:**

April 28, 2015 (changes throughout)  
November 3, 2015 (Art. IV, Sect. 13)

### 1.3.4 University Committees and Councils.

In addition to the elected committees described in the Faculty Constitution, University Committees and Councils consist of appointed members, or a combination of elected and appointed members.

#### 1.3.4.1 Academic Enhancement Committee

The Academic Enhancement Committee is open to any interested students, faculty, and staff. The purpose of the committee is to discuss, propose and effectuate ways to enhance the academic environment of the campus. Among other endeavors, the committee is responsible for presenting the open discussions/forums called Hot Topics, Academic Jeopardy, the Faculty Research Symposium, and the Student Research Conference.

#### 1.3.4.2 Calendar and Events Committee

The committee consists of representatives from Academic Affairs, Institutional Advancement, Athletics, Student Affairs, and Admission. The committee reviews and implements long-term calendar plans and schedules major campus events including Homecoming, Parents Weekend, and Holiday events.

#### 1.3.4.3 Disabilities Identification Team (DIT)

The Disabilities Identification Team consists of faculty members and staff appointed by the president on the basis of their expertise in matters related to physical, emotional, and learning disabilities and the Americans with Disabilities Act (ADA). The Director of the Academic Success Center, the Associate Dean for Student Affairs, the Vice President for Business Affairs are non-voting members of the committee.

The committee reviews all applications for disability accommodations by students. The DIT will ensure proper documentation to determine a disability, and contingent upon these reviews, determine and recommend appropriate accommodations. The DIT supports students with disabilities in acquiring the necessary diagnosis and documentation. The DIT periodically will review the provision of accommodations in order to ensure their appropriateness.

#### 1.3.4.4 Faculty Athletics Representative (FAR)

The FAR serves as the liaison between the faculty and the athletic department. The FAR certifies the academic eligibility of student athletes on team rosters, and serves as the faculty representative to the Ohio Athletic Conference and the NCAA. In addition, the FAR ensures that the institution establishes and maintains the appropriate balance between academics and intercollegiate athletics. The FAR is appointed by the President of the University.

#### 1.3.4.5 Faculty Marshal's Committee

The committee consists of three representatives appointed by the Provost from members of the faculty. The committee assists in the planning of campus ceremonies and members serve as marshals for faculty and students at those events.

#### 1.3.4.6 Honors Committee

The committee consists of three faculty members appointed by the Provost, and three honors students appointed by the faculty members of the committee. The Associate Dean of the Honors Program, the Faculty Coordinator of the Honors Program, and the Service Learning Coordinator are non-voting members of the committee. The committee oversees the University Honors Program.

#### 1.3.4.7 Institutional Review Board

The Board consists of six Faculty members, elected for 3-year terms. An appropriately qualified individual from outside the Heidelberg community is appointed by the Provost. The Institutional Review Board reviews and approves proposals for research which uses human subjects, and assures that the proposals comply with appropriate state and federal regulations.

#### 1.3.4.8 International Programs Advisory Council

The committee consists of faculty, staff, and students who are appointed on an annual basis by the President. The committee's charges include:

periodic review of the University's activities in the area of international programs  
promotion of international programs by facilitating and communicating the existence of such programs across the campus.

providing to the President of the University and to the Heidelberg community an annual comprehensive list of all international programs that have taken place on and off campus during the academic year.

#### 1.3.4.9 Science Day Committee

The Science Day Committee consists of three faculty members from the sciences, appointed annually by the Provost. The function of the committee is to coordinate and plan the annual Science Day and Scholarship Day for area middle school and high school students.

#### 1.3.4.10 Strategic Budgeting Committee

The Strategic Budgeting Committee consists of four members elected by the General Faculty, the Vice President for Administrative and Business Affairs, and other members appointed annually by the President from the faculty, staff, and administration. The committee assists in developing a budget for the following fiscal year and in developing future budgets and budgeting procedures.

#### 1.3.4.11 Strategic Planning Council

The council consists of six faculty members, four administrators, two students, and the strategic planning coordinator. All positions are appointed by the President, except for three of the faculty positions which are elected by the General Faculty. The President of the University is a non-voting member of the council.

The council's responsibilities include formulating a strategic plan for the University which is measurable and consistent with the institutional mission, and working to ensure that this plan is embraced by the university's major constituent groups, including faculty and staff, students, alumni, Trustees, and the local community. The council also develops measurable goals which flow from and help to realize the plan.

## 2.0 Contractual Relationships between the University and the Faculty.

Contractual relationships exist between individual faculty members and the University. The relationships described in this section pertain to the faculty as individuals, and not to the deliberative body known as the General Faculty.

### 2.1 Deliberative Body

The General Faculty (consisting of those designated in Article I, Section 2 of the Faculty Constitution) is a deliberative body with duties and responsibilities designated in Article II, Section 1 of the Faculty Constitution. Some members of the General Faculty do not hold ranked faculty status.

### 2.2 Definition of Faculty Status

The faculty of the University is composed of:

- (a) the President of the University
- (b) the Provost of the University
- (c) employees of the University who hold the academic rank of Instructor, Assistant Professor, Associate Professor, Professor, or other academic rank designated by the President and approved by the General Faculty.

#### 2.2.1 Ranked Full-time Faculty

Full-time Faculty hold the academic ranks of Instructor, Assistant Professor, Associate Professor, or Professor. Full-time appointments may be tenured, tenure-track, or non-tenure track, according to the contractual status with the University. In addition to teaching responsibilities, full-time Faculty participate in the governance of the University by serving on committees, hold voting rights on the General Faculty, serve as academic advisors, and perform other duties by agreement with the Provost of the University.

#### 2.2.2 Ranked Significant Part-Time Faculty

Significant Part-Time faculty positions are designated by the Provost's Office as having special significance to the academic program of the University. These positions have contractual responsibilities comprising more than one-half of a full academic teaching load. Significant part-time faculty are eligible for certain benefits, including participation in the employee health-care program. Significant part-time faculty are eligible to hold the academic rank of Instructor or Assistant Professor, subject to qualifications in Section 2.2.7 of the Faculty Manual. Significant Part-time Faculty are eligible to participate in University governance through committee service and may be granted voting rights in the General Faculty by vote of the Faculty.

#### 2.2.3 Adjunct Faculty

Adjunct Faculty are contracted to teach on a per-course basis, and normally teach less than a full annual teaching load. Adjunct Faculty are not considered to have faculty rank as designated in Section 2.2.7. Adjunct faculty are not eligible for University benefits.

#### 2.2.4 Emeritus/Emerita Faculty

Upon retirement or later, the title of Emeritus/Emerita Faculty may be conferred by recommendation of the Faculty Personnel Committee to the President and confirmation by the Board of Trustees. Request for appointment to Emeritus may be initiated by the Provost, the Chair/Director, or by individual Faculty members. The request must be accompanied by a Letter of Support addressing the Criteria for Personnel Action stated in Section 2.2.7. Appointment to Emeritus requires a minimum of 10 years service prior to retirement at Heidelberg, at the rank of Associate Professor or Professor.

Appointment to Emeritus Faculty may be at the rank of Emeritus Associate Professor or Emeritus Professor. Emeritus status confers certain privileges, including:

- (a) participation in the University email system;
- (b) use of library and campus facilities;
- (c) use of office and/or research space, upon availability and assignment by the Provost of the University.

#### 2.2.5 Administrators with Faculty Rank

The President of the University, the Provost of the University, and the Associate Vice-Presidents for Academic Affairs hold faculty rank, and are members of the Faculty. In addition, other employees with administrative appointments who demonstrate adequate professional credentials may be granted academic rank by action of the Faculty Personnel Committee and the President of the University.

#### 2.2.6 Special Academic Staff and Coaches

These positions may involve responsibilities including, but not limited to, athletics, athletic training, forensics/speech, music, or other designated positions which involve specialized work outside the classroom. These employees may be granted academic rank, depending upon the specific requirements of the position, and frequently combine classroom teaching with other designated work as part of the contractual arrangement with the University. These positions may be full-time or part-time.

#### 2.2.7 Criteria for Personnel Action

Criteria to be used at Heidelberg University for consideration of promotion, continuation, tenure, and other personnel actions are as follows. These criteria may be modified or superseded by a Memorandum of Understanding from the Provost in collaboration with FPC as specified in Section 2.2.9.2 of the Faculty Manual or by the University's adoption of requirements of an outside accrediting agency.

##### I. Teaching

- a. Basic Responsibilities Related to Teaching; all of the following:
  - i. distributing a course syllabus according to guidelines established by the University and the instructor's academic unit;
  - ii. conducting class during scheduled times;
  - iii. maintaining office hours and/or availability to students outside class;
  - iv. covering material consistent with the course description;
  - v. maintaining accurate records for student grading and attendance;

- vi. submitting in a timely manner grades and other student information required by administrative offices (e.g., Registrar's Office, Student Affairs, Owen Academic and Career Support Center);
  - vii. participating, when requested, in the University's assessment program;
  - viii. fulfilling faculty-mandated course components for courses in the general education program and courses fulfilling graduation requirements.
- b. Excellence in Teaching; indicators may include but are not limited to the following:
- i. clearly articulating and helping students to meet the learning outcomes described in the course syllabus;
  - ii. utilizing pedagogy matching best practices in one's discipline;
  - iii. employing imaginative, innovative pedagogy;
  - iv. expanding student exposure to new areas of study;
  - v. challenging students through intellectually stimulating course content and classroom practices.

## II. Professional Development and Activity

- a. Professional Development Related to Teaching; indicators may include but are not limited to the following:
- i. attending faculty workshop sessions on campus;
  - ii. participating in a peer mentoring program;
  - iii. participating in a classroom-observation program;
  - iv. attending conference programs or other professional activities related to teaching;
  - v. participating in off-campus workshops, courses, or training related to teaching;
  - vi. presenting at, organizing or leading any of the above.
- b. Professional Development and/or Activity Related to the Faculty Member's Academic Fields; indicators may include but are not limited to the following:
- i. publishing peer-reviewed books, book chapters, articles, creative works, text books, or other materials related to their academic fields;
  - ii. publishing non-refereed materials related to their academic fields;
  - iii. participating in professional performances, exhibits, presentations or similar activities related to their academic fields;
  - iv. engaging in research or creative production related to their academic fields;
  - v. engaging in programs of study aimed at improving knowledge in their academic fields;
  - vi. participating in professional organizations (committee membership, executive positions, review panels, etc.);
  - vii. submitting and/or obtaining grants to fund research or other professional activities.

### III. Participation in the Life of the University

- a. Basic Responsibilities Related to Participating in the Life of the University; all of the following:
  - i. making themselves available for teaching assignments, meetings, workshops and other activities on Monday through Friday of each week during the academic year when classes are in session;
  - ii. participating in the academic advising program or, for faculty members with predominantly graduate teaching responsibilities, participating in academic advising for their respective programs;
  - iii. attending Commencement and Convocation.
- b. Participation in the Shared Governance of the University; indicators may include but are not limited to the following:
  - i. attending meetings of the department, the division, and of the General Faculty;
  - ii. standing for election to and, if elected, serving on elected faculty committees and/or appointed committees and task forces, including search committees;
  - iii. standing for election to and, if elected, serving as Faculty Chair, Faculty Secretary, Parliamentarian, or Faculty Representative to the Board of Trustees.
- c. Attendance at academic, cultural, artistic and/or athletic events on campus.
- d. Service to the Faculty Member's Academic Unit (department, division, school, etc.); indicators may include but are not limited to the following:
  - i. guiding independent student work, including research;
  - ii. participating in programmatic assessments;
  - iii. writing and submitting reports to appropriate accrediting bodies;
  - iv. participating in recruitment and alumni-relations activities specific to the academic unit;
  - v. completing other duties appropriate to furthering the goals of the academic unit.
- e. Service to the University; indicators may include but are not limited to the following:
  - i. participating in Scholars Day and other recruitment events;
  - ii. advising student organizations;
  - iii. participating in Welcome Week activities;
  - iv. participating in or planning student-sponsored or University-sponsored events.
- f. Service to the Community Beyond the University; indicators may include but are not limited to the following:
  - i. incorporating service learning into coursework;
  - ii. participating in University-sponsored service opportunities;
  - iii. participating in community organizations;
  - iv. attending community events;
  - v. representing Heidelberg at community events.

#### IV. Professional and Ethical Relationships

Instructors must maintain professional and ethical relationships with students, Faculty colleagues and instructors, administrators, and staff members of the University. The University defines “professional and ethical relationships” in adopting the following Statement on Professional Ethics of the American Association of University Professors:

- a) 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.
- b) As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical 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 ensure 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.
- c) 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 debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
- d) As members 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 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.
- e) As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to

their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

The above list of Criteria for Personnel Action are considered as the responsibilities associated with instructional positions, as referenced in 2.9.2.

#### 2.2.8 Qualifications for Appointment to Rank

The following minimum academic requirements (in terms of graduate credit and time of service) shall be regarded as prerequisites for initial appointment to academic rank. The applicability of “equivalent professional experience” in this section is determined by the Provost in consultation with FPC on a case-by-case basis and may include non-academic experience at Heidelberg or elsewhere. Qualifications for promotion to rank are described in 2.2.9.

The prerequisite qualifications for appointment to the several academic ranks shall be as follows:

##### To rank of Instructor:

Minimum of a Master’s Degree in teaching area; completion of most or all of the requirements for the doctorate or equivalent; prior teaching experience highly desirable.

##### To rank of Assistant Professor:

Doctoral degree or terminal degree equivalent recognized by Heidelberg in the Faculty member’s teaching area, or twenty semester hours of graduate study beyond the Master’s degree in the teacher's major field and/or in fields which bear directly on the major field, to be completed either in a school or with a professional mentor/artist teacher. Successful teaching experience in higher education or equivalent professional experience is desirable.

##### To rank of Associate Professor:

Doctoral degree or terminal degree equivalent recognized by Heidelberg in the Faculty member’s teaching area; Evidence of outstanding achievement in teaching, service, and professional activity. A minimum of six years of full-time work at the rank of Assistant Professor, or equivalent professional experience is expected.

To rank of Professor:

Doctoral degree or terminal degree equivalent recognized by Heidelberg in the Faculty member's teaching area; Evidence of continuing excellence in teaching, service, and professional activity. A minimum of six years of full-time work at the rank of Associate Professor or equivalent professional experience is expected.

### 2.2.9 Qualifications for Promotion to Rank

The following minimum academic requirements (in terms of graduate credit and time of service) shall be regarded as prerequisites for serious consideration for promotion, but do not in themselves constitute an automatic claim to promotion. The applicability of "equivalent professional experience" in this section is determined by the Provost in consultation with FPC on a case-by-case basis and may include non-academic experience at Heidelberg or elsewhere. In determining eligibility for promotion of an instructor with Significant Part-Time status, the following equivalence will apply: no less than two years of Significant Part-Time work shall equal one year of full-time work, as determined by the Provost in consultation with FPC.

Outstanding achievement in teaching, service, and/or professional activity shall provide the basis for consideration for promotion. Additional criteria are listed in 2.2.7.

The prerequisite qualifications for promotion to the several academic ranks shall be as follows:

To rank of Assistant Professor:

Terminal degree or terminal degree equivalent recognized by Heidelberg in the Faculty member's teaching area, or twenty semester hours of graduate study beyond the Master's degree in the teacher's major field and/or in fields which bear directly on the major field, to be completed either in a school or with a professional mentor/artist teacher. Appropriate professional activity and a minimum of two years successful teaching experience or equivalent professional experience is required to apply.

To rank of Associate Professor:

Doctoral degree or terminal degree equivalent recognized by Heidelberg in the Faculty member's teaching area; Evidence of outstanding achievement in teaching, service, and professional activity. A minimum of six years of full-time work at the rank of Assistant Professor or equivalent professional experience is required to apply. For Faculty hired prior to July 2016, a minimum of four years teaching experience is required.

To rank of Professor:

Doctoral degree or terminal degree equivalent recognized by Heidelberg in the Faculty member's teaching area; Evidence of continuing excellence in teaching, service, and professional activity. A minimum of six years of full-time work at the rank of Associate Professor or equivalent professional experience is required to apply.

### 2.2.9.1 Requests for Promotion

After consultation between the Faculty member and the Chair/Director, requests for promotion are sent by the applicant to the Faculty Personnel Committee, with a Promotion Portfolio supporting the request.

#### 2.2.9.1.1 What the Promotion Portfolio Includes:

1. A Letter of Evaluation from the Chair/Director or appropriate administrator addressing teaching, scholarship and service, and including a detailed summary of input from tenured departmental Faculty. The Faculty member requests the Letter of Evaluation from the Chair/Director, and the Evaluation is forwarded directly to FPC by the Chair/Director.
2. Annual Faculty Evaluation Forms for years since last Tenure Progress Portfolio or appointment;
3. Summaries of the Faculty member's own developmental and evaluative use of Student Questionnaires and Course Comment Sheets.
4. Curriculum vitae
5. Statement of Teaching Philosophy
6. Letter(s) of Support from colleagues (optional).
7. Other materials as specified by FPC and the Provost.

Chair/Director's Letter of Evaluation for Promotion:

A Letter of Evaluation for a Promotion Portfolio is different than a Chair/Director's annual evaluation of a Faculty member. As part of developing the Letter of Evaluation, the Chair/Director shall consult with the full-time tenured Faculty of the department. In case the applicant is the Chair/Director, the Provost will designate a tenured full professor to fill the Chair/Director's role in this section. In the case of departments with three or fewer full-time tenured Faculty, the Chair/Director and the Faculty member will each designate one additional tenured Faculty member from a disciplinarily related department to participate in providing department input. The consultation may be a departmental meeting, by written contact, or by meeting with individual Faculty members. Any full-time Faculty member in the applicant's department may submit letters to FPC concerning the promotion request. These letters will be added to the Portfolio.

After examining all materials, the Faculty Personnel Committee will vote on the promotion request and send a recommendation to the Provost of the University, who will then make a recommendation to the President. The Provost will notify the Faculty member and Chair/Director of the result of the promotion request after confirmation by the Board of Trustees.

#### 2.2.9.2 Memorandum of Understanding

The University reserves the right to establish alternative standards for the appointment, promotion and tenure of individuals with the following provisions:

(A) A department chair or search committee wishing to establish alternative standards for faculty must provide written request to the Provost of the University, who, in consultation with the Faculty Personnel Committee, shall determine the validity of the request. The request must include a complete rationale and suggested procedure for application of the alternative standards. Any such request will be considered on an individual basis and upon its own merits. Such a determination should be made before advertising the vacancy.

(B) If the request is approved by FPC, a Memorandum of Understanding shall be prepared by the Provost in collaboration with the Faculty Personnel Committee. The Memorandum of Understanding will state the type of appointment, and the academic ranks for which the new Faculty member may eventually qualify, with requirements for promotion to each of those ranks. The Memorandum should be explicit in listing the amount of additional study and academic credentials expected. These requirements are in lieu of the Criteria for Personnel Action in Section 2.2.8. Modifications may be made to the Memorandum with the approval of the Faculty member, the Department chair, the Provost, and the Faculty Personnel Committee.

(C) A Memorandum of Understanding may also be prepared allowing up to two additional years to complete requirements for promotion from the rank of Instructor to Assistant Professor. In this case, the Memorandum may be requested by the Faculty member or Chair/Director. The request must clearly specify progress toward promotion and a plan for completing requirements. The Memorandum is issued by the Provost after consultation with the Faculty Personnel Committee.

### 2.3 Types of Contract

Full-time faculty contracts are designated either as tenure-track, in which the faculty member is eligible for an appointment with continuous tenure upon meeting the designated criteria in Section 2.7, or non-tenure track, which is reserved for positions which do not lead to tenure or a tenure decision. This status will be clearly indicated in the initial letter of appointment.

#### 2.3.1 Term

##### (A) Non-tenure track, full-time

Full-time non-tenure track contracts are issued on a limited-term basis, with the term

clearly specified in the contract. These are generally one-year contracts, although under special circumstances terms may be extended to a limit of three years. If a faculty member holding a non-tenure track full-time contract is later offered a tenure-track contract, the Faculty Personnel Committee and the Provost may consider giving credit toward tenure consideration for time served under the previous status. This ordinarily will be limited to two years credit.

#### (B) Part-time and Adjunct

All adjunct and part-time contracts are issued on a limited-term basis, with the term clearly specified in the contract. These are generally one-year contracts. If a faculty member holding a term contract is later offered full-time employment, the Faculty Personnel Committee and the Provost may consider giving credit toward promotion and/or tenure for time served under term contracts. This will ordinarily be limited to two years credit. Adjunct faculty are not eligible for University benefits.

#### 2.3.2 Early Tenure-Track

Early tenure-track contracts are considered probationary, with the performance of the faculty member being evaluated by the department, the Faculty Personnel Committee, and the Provost of the University at the conclusion of the second, fourth, and sixth years of employment. Criteria for the awarding of tenure are described in Section 2.7.

#### 2.3.3 Continuous Tenure

A tenured appointment is a means to certain ends: freedom in teaching, research and extramural activities and a sufficient degree of economic security to make the profession attractive to persons of ability. In that sense, tenure is essential to Heidelberg University as it seeks to fulfill its obligations to its students, its faculty and to society. Tenure may be awarded as described in Section 2.7. Tenured faculty members receive continuing contracts in accordance with the terms of tenure and the terms of separation from the University described in Section 2.8.

### 2.4 Search, Appointment, Orientation

#### 2.4.1 Search Procedures

In order to ensure consistency and equity in filling faculty vacancies at Heidelberg University, the following steps for seeking approval of a faculty position are to be followed.

- (1) A Chair/Director, in consultation with the appropriate Dean, will complete required personnel forms for each new or vacant position and forward it to the Faculty Personnel Committee with a copy to the Provost. The appropriate personnel form is available from the office of the Provost and on Server Six.
- (2) FPC will review the request, especially to determine whether or not the position is a tenure-track position, and will make recommendation to the Provost, who forwards both the personnel form and the recommendations of FPC and the Provost to the President.
- (3) The Provost will initiate the hiring process. A Search Committee must be formed for all full-time faculty. For significant part-time or one-year replacement positions, the Provost in cooperation with FPC will determine whether a Search Committee is

necessary. Adjunct positions and part-time positions do not ordinarily require a Search Committee. Search Committee procedures are described in Appendix C.

#### 2.4.2 Appointment Procedures

An appointment agreement will be issued by the Provost. The terms and conditions of appointment shall be stated in the appointment agreement. Any special understandings, arrangements, obligations or expectations of the faculty member shall be clearly stated in the appointment agreement.

#### 2.4.3 Orientation

New Faculty members attend an Orientation program, unless excused by the Provost. The orientation program takes place prior to the beginning of Fall semester classes. Orientation will serve as an introduction to policies and procedures of the University, including expectations for faculty members, library and media resources available, faculty development and mentoring, registration and grading, and an overview of Academic Affairs. In addition to the New Faculty Orientation, further activities are coordinated by the Faculty Development Committee.

#### 2.4.4 Equal Opportunity, Affirmative Action

"From its founding, Heidelberg University has believed in the dignity of the individual, and it is an affirmative action, equal opportunity institution. Heidelberg does not discriminate on the basis of race, color, national and ethnic origin, religion, age, political affiliation, socioeconomic status, sex, or handicap in the administration of its admissions policies, educational policies and programs, financial aid programs, employment practices, and athletic and other school-administered programs and activities." (Heidelberg University Catalog.)

This statement, expressing a fundamental fact of Heidelberg's approach to education, has long been an imperative in setting and achieving goals at Heidelberg. With the increasing awareness that, however salutary, such statements are prohibitory rather than positive, the University now adopts a restatement of that position, emphasizing the University's affirmative posture and its determination to continue to plan programs which reflect that posture.

Documents pertaining to compliance with provisions of Title II are available in the office of the Provost.

#### 2.4.5 Employment Conflict of Interest

The position of a faculty member as a professional, and the special relationship between faculty members and students require that the University and faculty members take reasonable precautions to reduce the possibility of conflict of interest or compromising circumstances.

Although not all-encompassing, the following guidelines are intended to minimize conflicts of interest. Combined with appropriate professional judgment, they will assist in eliminating questions of propriety toward the faculty member and the University.

(a) Billing for all instruction by a faculty member is through the Business Office. This includes instruction under University auspices, using University facilities, or other instruction which parallels University instruction. Faculty members may not receive direct payment for instructional services from students, their parents, or their agents.

(b) Faculty members may not offer independent arrangements of a regular class or independent study to a family member without prior written approval from the Provost of the University.

(c) Full-time faculty may teach beyond the full-time contract, whether at the University or elsewhere, only with written notification to the Provost.

#### 2.4.6 Special Appointment Categories

Certain positions may combine administrative and teaching responsibilities. These employees may be granted academic rank and be eligible for promotion, according to requirements in Sections 2.2.8 and 2.2.9. Recognizing the individual nature of such appointments, FPC may develop alternate criteria for promotion for individuals in this category.

#### 2.5 Personnel Records

Each faculty member of Heidelberg University will have a Personnel File in the Office of the Provost. No other official faculty file will be maintained by Heidelberg University, with the exception of the Human Resources Office, where a copy of the appointment letter and other records necessary for payment, benefits, and tax purposes may be kept. The Human Resources file shall be considered a subset of the Personnel File, kept for specific purposes. The Provost shall be responsible for the safekeeping of all personnel files. The Personnel File may never leave the Office of the Provost unless it is in the possession of the Provost or the President.

Documents to be found in each faculty member's official personnel file are:

1. Letter of application
2. Appointment and acceptance letters, and subsequent personnel actions.
3. The faculty member's employment contracts
4. Letters of recommendation
5. Academic transcripts from all undergraduate and graduate institutions attended
6. Summaries of student evaluations
7. Current vitae and self-evaluations

8. Records of awards, grants, and exceptional service to the institution
9. Records of occasions requiring discipline or official warnings to the faculty member from the Provost or President. The faculty member must receive copies of any entry under this category and FPC must approve any entry under this category.
10. Appropriate background checks conducted by Human Resources.

FPC recommendations for personnel action are based only upon items in the Personnel File or Promotion and Tenure Portfolios.

Faculty Personnel Files may be viewed only by the President, the Provost, Associate Vice Presidents for Academic Affairs, the Provost's secretary for filing purposes, the Board of Trustees and the Faculty Personnel Committee. A faculty member may review the contents of the Personnel File upon written request to the Provost. Such review shall occur in the Office of the Provost. The file may not be taken from the Provost's Office.

Electronic and paper copies of certain faculty records, including student evaluations and contracts, are also kept in appropriate administrative offices.

#### 2.5.1 Promotion and Tenure Portfolios

Promotion and tenure application portfolios are submitted to the Provost's office according to a published schedule, and are returned to the faculty member at the completion of the application process. Records of initial appointment status, including initial rank and tenure eligibility, and subsequent promotion and tenure decisions are part of the Personnel file. Guidelines for completion of Promotion and Tenure files are distributed by the Faculty Personnel Committee (FPC) upon request.

#### 2.5.2 Other Records

In addition to the Personnel File, the Provost may maintain informal records of meetings and conversations with faculty, memos and emails, issues raised by outside constituencies, and other issues brought to the attention of the Provost.

In addition to files in the Provost's Office, certain files may be maintained in the office of the Chair/Director, including:

- (a) copies of student evaluation summaries
- (b) current vitae
- (c) Faculty Data Forms or other self-evaluation forms
- (d) other records applicable to the work of the Department

## 2.6 Faculty Evaluation

### 2.6.1 Criteria

Faculty evaluation is based upon the Criteria for Personnel Action, described in Section 2.2.7, and Faculty Responsibilities described in 2.9.2.

### 2.6.2 Evaluation Process

Faculty evaluation is a three-part process, consisting of:

- Student Questionnaires;
- Annual evaluations by the Chair/Director or appropriate Dean.
- Self-evaluation.

#### 2.6.2.1 Student Questionnaires

Student opinion of individual courses and professors is sought by means of a questionnaire. These questionnaires are collected by the office of the Provost of the University, where results are tabulated. While protecting the anonymity of respondents, results are distributed to Chair/Directors. After reviewing results, Chairs distribute them to individual faculty members, discussing them when appropriate. Summaries of results are retained for Personnel Files (see 2.5). Results of the questionnaire are used in a summative manner for Faculty Personnel Action (see 2.2.7, 2.2.9, and 2.7), as well as formative assessment for the improvement of teaching effectiveness.

Student questionnaires will be completed each semester for all courses taught by adjunct, part-time, and all non-tenured faculty. For tenured faculty, student questionnaires will be completed one semester every two years. The Provost of the University and FPC may distribute questionnaires more frequently if the need arises.

The questionnaire may be an institutional instrument developed by faculty and distributed by the office of the Provost of the University, or a form developed by departments. All such forms must be approved by the Faculty Personnel Committee and the Provost of the University.

Individual professors or departments are encouraged to administer additional evaluation instruments for the improvement of course and teaching effectiveness. These forms will be the property of the individual professor, and will not be collected by the department or the Provost of the University.

#### 2.6.2.2 Chair/Director Evaluations

Chair/Directors will complete an annual evaluation of all members of the department based upon the Criteria for Personnel Action. These evaluations are discussed with the faculty member, and forwarded to the office of the Provost of the University, with

a copy to the Faculty Personnel Committee. The process for Chair/Director Evaluations is developed within individual departments.

#### 2.6.2.3 Self-evaluation

All Faculty members submit an annual self-evaluation by means of the Faculty Data Form, or other instrument developed by FPC and the Provost of the University. Self-evaluations should address individual and departmental goals, philosophies of teaching, personal evaluations of teaching effectiveness, scholarship and professional activity, and service. Self evaluations will also include plans for professional growth.

Tenure-track faculty submit additional materials as part of the portfolio during the second, fourth, and sixth year of service (see 2.2.9.1 and 2.7.1).

#### 2.6.2.4 Other forms of evaluation

Faculty members are encouraged to conduct other forms of evaluation, including reviews of teaching and scholarship by peers within the University, or from outside. These evaluations may be used to supplement tenure and/or promotion portfolios, but more commonly might be used as a means of professional growth and improvement. Faculty also might wish to conduct more frequent student evaluations of courses, or do so on a less formal basis for the purpose of course improvement.

#### 2.6.2.5 Uses of Faculty Evaluation Data

The Faculty Personnel Committee and Provost of the University use data obtained under sections 2.6.2.1, 2.6.2.2, 2.6.2.3 and 2.6.2.4 to make recommendations to the President and the Academic Affairs Committee of the Board of Trustees on tenure, promotion, non-renewal of contract, dismissal, and merit increases. These data might constitute only part of the criteria for such personnel decisions. External factors, including budget considerations, might also play a part in the final decision.

## 2.7 Tenure

### 2.7.1 Tenure Acquisition

#### 2.7.1.1

Tenure-track faculty submit additional materials as part of a Tenure Progress or Tenure Application Portfolio after completing the second, fourth, and sixth year of service (see 2.2.9.1 and 2.7.1).

Tenure, if granted, is usually decided after the conclusion of the sixth year of service. In the normal tenure evaluation process, faculty members collect materials for a Tenure Progress Portfolio after the second and fourth years of service. Second and Fourth Year Portfolios are intermediate steps which lead to the tenure application.

#### 2.7.1.2 Second and Fourth Year Tenure Progress Portfolios

##### 2.7.1.2.1 What the Tenure Progress Portfolio Includes:

- A Letter of Evaluation from the Chair/Director or appropriate administrator addressing teaching, scholarship and service, and including a detailed summary of input from tenured departmental Faculty. The Faculty member requests the Letter of Evaluation from the Chair/Director, and the Evaluation is forwarded directly to FPC by the Chair/Director.
- Annual Faculty Evaluation Forms for years since last Tenure Progress Portfolio or appointment;
- Summaries of the Faculty member's own developmental and evaluative use of Student Questionnaires and Course Comment Sheets.
- Curriculum vitae
- Statement of Teaching Philosophy
- Letter(s) of Support from colleagues (optional).
- Other materials as specified by FPC and the Provost.

#### Chair/Director's Letter of Evaluation for Tenure Progress:

A Letter of Evaluation for a Tenure Progress Portfolio is different than a Chair/Director's annual evaluation of a Faculty member. As part of developing the Letter of Evaluation, the Chair/Director shall consult with the full-time tenured Faculty of the department. In case the applicant is the Chair/Director, the Provost will designate a tenured full professor to fill the Chair/Director's role in this section. In the case of departments with three or fewer full-time tenured Faculty, the Chair/Director and the Faculty member will each designate one additional tenured Faculty member from a disciplinarily related department to participate in providing department input. This consultation may be a departmental meeting, by written contact with the Faculty, or by meeting with individual Faculty members. Any full-time Faculty member in the tenure probationer's department may submit letters to FPC concerning the Tenure Progress Portfolio. These letters will be added to the Portfolio.

#### 2.7.1.2.2 Tenure Progress Portfolio Review Process

The Second and Fourth Year Portfolios are reviewed by the Faculty Personnel Committee, which recommends to the Provost one of the following actions:

Action 1: continuation of probationary status, indicating acceptable progress toward tenure;

Action 2: continuation of probationary status with warning of unacceptable progress toward tenure, which requires formulation and completion of an Action Plan to improve perceived minor deficiencies;

In the case of Action 2, the probationary Faculty member will formulate the Action Plan in consultation with the Chair/Director. The Faculty member will deliver the Action Plan to FPC by a date specified by FPC. FPC will review the proposed Action Plan in consultation with the Provost and recommend any needed changes in the plan to the probationary Faculty member. If the Action Plan is required as a result of the Second Year Portfolio Review, FPC will specify an Action Plan completion date that is prior to the Fourth Year Portfolio submission due date. If the Action Plan is required as a result of the Fourth Year Portfolio Review, FPC will specify an Action Plan

completion date that is prior to the Tenure Application submission due date. If the Action Plan is required by an off-year Portfolio Review, FPC will specify an appropriate Action Plan completion date not less than one full semester later. The Faculty member will notify FPC upon completion of the Action Plan or of the intent to withdraw from tenure probation. Completion of the Action Plan will be an additional criterion of evaluation by FPC in making its Fourth Year or Tenure Application recommendation.

Action 3: termination of probationary status because of perceived major deficiencies; one year's notice of non-renewal, in accordance with Section 2.8.2.

The Provost will determine what action shall be taken and notify the Faculty member and Chair/Director.

#### 2.7.1.2.3 Amended Tenure Progress Portfolio Recommendation

FPC may amend a Second, Fourth, or off-year Portfolio Review recommendation to the Provost in cases of incomplete or inaccurate information made available to FPC in the Portfolio at the time of review. The Provost will consider the amended recommendation, taking any necessary action as specified in Section 2.7.1.2.2.

#### 2.7.1.3 Tenure Application:

##### 2.7.1.3.1 What the Tenure Application Portfolio Includes:

1. A Letter of Evaluation from the Chair/Director or appropriate administrator addressing teaching, scholarship and service, and including a detailed summary of input from tenured departmental Faculty. The Faculty member requests the Letter of Evaluation from the Chair/Director, and the Evaluation is forwarded directly to FPC by the Chair/Director.
2. Annual Faculty Evaluation Forms for years since last Tenure Progress Portfolio or appointment;
3. Summaries of the Faculty member's own developmental and evaluative use of Student Questionnaires and Course Comment Sheets.
4. Curriculum vitae
5. Statement of Teaching Philosophy
6. Letter(s) of Support from colleagues (optional).
7. Other materials as specified by FPC and the Provost.

##### Chair/Director's Letter of Evaluation for Tenure Application:

A Letter of Evaluation for a Tenure Application Portfolio is different than a Chair/Director's annual evaluation of a Faculty member. As part of developing the Letter of Evaluation, the Chair/Director shall consult with the full-time tenured Faculty of the department. In case the applicant is the Chair/Director, the Provost will designate a tenured full professor to fill the Chair/Director's role in this section. In the case of departments with three or fewer full-time tenured Faculty, the Chair/Director

and the Faculty member will each designate one additional tenured Faculty member from a disciplinarily related department to participate in providing department input. The consultation may be a departmental meeting, through written communication, or by meeting with individual Faculty members. Any full-time Faculty member in the applicant's department may submit letters to FPC concerning the Tenure Application. These letters will be added to the Portfolio.

After examining material in the Tenure Application Portfolio and the Faculty Personnel File, the Faculty Personnel Committee will vote on the tenure request and send a statement to the President no later than 14 calendar days prior to that meeting of the Board of Trustees that occurs closest to, but not after, the expiration of the tenure applicant's current appointment. The statement will contain one of the following recommendations, or a rationale for failing to reach a decision:

- 1) the granting of continuous tenure;
- 2) one year's notice of non-renewal.

If the FPC recommendation is not unanimous, the differing opinions will be forwarded to the President. The Provost also submits to the President his or her recommendation. The Board of Trustees has authority in the awarding of tenure, as described in 2.7.5.

The Provost will notify the Faculty member and Chair/Director of the result of the tenure request after action by the Board of Trustees. Upon request by the Faculty member, FPC will provide a letter explaining its recommendation. However, no letter shall be issued before the final decision on tenure by the Board of Trustees.

In some cases, faculty members may be given credit in the initial contract for experience prior to appointment at Heidelberg, including a shortened calendar for tenure consideration. Such credit will be clearly specified in the contract or appointment agreement. In these instances, the preliminary ("second year" and/or "fourth year") portfolio(s) may be waived.

### 2.7.2 Requests for Early Tenure Consideration

Although tenure evaluation is most often completed after the conclusion of the sixth year of service (or other term specified in the initial contract), Faculty members may request such consideration earlier by following the procedure described in 2.2.9.2.

### 2.7.3 Chair/Director Evaluator

If a Chair/Director is eligible for tenure review, he or she will select a tenured faculty member, subject to the approval of the Provost in consultation with the Faculty Personnel Committee, to act as an evaluator for the Chair/Director for the purpose of tenure consideration. The evaluator will consult with the Faculty of the department and issue a recommendation to FPC in lieu of the Chair/Director's recommendation.

### 2.7.4 Tenure Advocate

A candidate for tenure may choose an advocate from the voting faculty to meet with FPC to discuss the Committee's consideration of the candidate. The advocate may present a written statement of recommendation for the candidate, may speak with the Committee, and shall have access to the documents given to the Committee regarding the candidate's tenure request.

#### 2.7.5 Board Authority in Awarding Tenure

After receiving the tenure recommendation from FPC, and the recommendation of the Provost, the President makes recommendation to the Board of Trustees. The President's recommendation includes the recommendations of FPC and the Provost. The Board of Trustees has sole authority for the granting of tenure. The Board will either grant tenure, or direct a one-year notice of non-renewal.

#### 2.7.6 Grievances in the Tenure Process

If tenure is not granted, the faculty member may pursue the grievance procedures described in Section 2.15.

### 2.8 Separation

#### 2.8.1 Retirement and Resignation

Faculty members who choose to terminate their appointment through retirement or resignation should notify the Provost in writing of their intention. Such notice should be sent as early as possible, preferably by January 1 for an appointment ending in May, or six months prior to the end of the contract term for appointments ending during the academic year.

Faculty members who retire from the University might be eligible for certain benefits, as described in Section 2.2.4.

#### 2.8.2 Notification of Expiration of Appointment

Notice of non-reappointment, or of intention not to recommend reappointment, will be given according to the following time line:

- a) Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
- b) Not later than December 15 of the second academic year of service, if the appointment expires at the end of the year; or, if appointment terminates during an academic year, at least six months in advance of its termination.
- c) At least twelve months before the expiration of an appointment after two or more years of service in the institution.

Faculty members who do not intend to return to the University for the succeeding year should notify the Provost or the President as soon as possible, and preferably by January 1. Under all circumstances notification should be given no later than May 15.

### 2.8.3 Termination of Contract

Non-tenured faculty contracts may be terminated for cause in instances of egregious behavior, including, but not limited to professional negligence, failure to meet terms of the contract, moral turpitude, and/or unethical behavior. Such termination shall be recommended to the President by the Provost of the University in conjunction with the Faculty Personnel Committee. Termination for cause will ordinarily result in an immediate cessation of teaching responsibilities.

### 2.8.4 Termination of Tenure

Tenure appointment refers to a condition of continuous appointment that may be terminated for the following reasons only:

- (a) Flagrant and/or continuing failure to fulfill the criteria for personnel action described in Section 2.2.7, or failure to perform assigned duties;
- (b) Moral turpitude or illegal conduct unacceptable to the University;
- (c) Demonstrable bona fide financial exigency declared in good faith by the Board of Trustees. During the process of arriving at such determination, the Board of Trustees may consult with faculty committees appropriate to the determination, especially in the areas of resources and programs;
- (d) Changes in the educational program approved by the Board of Trustees. Such changes normally will originate in appropriate faculty committees, be approved by the General Faculty, and forwarded for action to the Board of Trustees. However, this shall not preclude the authority of the Board to initiate changes.

Persons on tenure appointment who are dismissed for reasons described in 2.8.4 (a), (c), and (d) will receive their salaries and benefits for at least one year from the date of notification of dismissal, whether or not they are continued in their duties at the institution. Persons who receive a termination of tenure for reasons described in 2.8.4 (b) will not receive salaries or benefits after the time of the termination.

#### 2.8.4.1 Termination of Tenure for Cause

No action involving possible loss of tenure under Section 2.8.4 (a)-(b) may be undertaken unless initiated by the Provost of the University or the President. Such officer shall submit to the Chair of the Faculty Personnel Committee, in writing, either a formal charge or a request for an appropriate investigation, together with a summary of the grounds for the complaint.

The Chair of the Faculty Personnel Committee shall promptly notify the faculty

member, in writing, of the complaint and offer that member the opportunity to meet with the Faculty Personnel Committee and any parties bringing the complaint. Faculty members

will have the opportunity to be heard in their own defense by all bodies that pass judgment upon their cases. Faculty members should be permitted to have with them a Heidelberg University colleague of their own choosing who may act as advocate.

The Chair of the Faculty Personnel Committee shall promptly assemble the Committee for the purpose of setting in motion a formal investigation, with the purpose of assembling and examining evidence. The investigation may lead to a hearing. If FPC finds, as a result of the formal investigation, that the charge is without sufficient merit or evidence, the Committee by majority vote may dismiss charges without a hearing. If held, the purpose of the hearing will be to examine the charge(s) against the faculty member, to report the results of the formal investigation, and to allow the faculty member an opportunity to speak and/or present evidence on their own behalf. The hearing will be attended by members of the Faculty Personnel Committee, the faculty member and advocate, the person(s) originating the charge, and the Provost of the University. Minutes of the hearing will be kept by FPC, and a full record will be made available to the parties concerned. In hearings where the charge involves failure to fulfill the criteria for personnel action or to perform assigned duties, the testimony should include that of teachers and other scholars, either from Heidelberg or from other institutions.

At the conclusion of its investigation of the charges, the Faculty Personnel Committee shall decide one of the following actions:

- (1) dismissal of the complaint without prejudice to the faculty member;
- (2) a formal reprimand of the faculty member with possible recommendations for disciplinary actions;
- (3) removal of the faculty member from tenured status and immediate termination of appointment.

The Chair of FPC will convey the committee's decision to the President. If the decision is to remove the faculty member from tenured status and to terminate the contract, the President shall refer the FPC decision to the Board of Trustees. If the Faculty Personnel Committee decision is not unanimous, all opinions shall be forwarded to the President.

The Chair of the Faculty Personnel Committee will send a letter to the faculty member explaining the Committee's decision.

If it is not possible to assemble a quorum of the Full Board, the Executive Committee may act for the Board.

Termination of tenure will be by action of the Board of Trustees, or the Executive

Committee acting on behalf of the Board of Trustees.

#### 2.8.4.2 Termination of Tenure for Financial Exigency or Program Change

The President shall recommend to the Board of Trustees the termination of tenure and appointment of faculty members under 2.8.4 (c)-(d) after consultation with the Faculty Personnel Committee, the Undergraduate and/or Graduate Curriculum Committees, and the Strategic Budgeting Committee, or their designated representatives, on the basis of such criteria as educational needs, teaching flexibility, quality of performance or length of service.

Termination of tenure will be by action of the Board of Trustees, or the Executive Committee acting on behalf of the Board of Trustees. If the Board approves such termination of tenure, the faculty member will be given a twelve-month notice of termination of tenure and appointment, consistent with Section 2.8.2. A copy of the President's recommendation to the Board of Trustees will be sent to the faculty member, who may pursue the grievance procedures under Section 2.15.

The University will make every effort to place the faculty member in another position with the University, consistent with the faculty member's competencies.

Further, a position abolished under 2.8.4 (c) or (d) will not be re-established for three years from the date of the Board of Trustees abolishment. If, within that time, the University should re-establish that position, or a portion thereof, the faculty member released under these provisions shall be offered the position, or established portion thereof, before employment is offered to any other individual.

### 2.9 Faculty Rights and Responsibilities

In addition to other rights, all members of the campus community have the right to be treated fairly and professionally by students, colleagues, and the administrative officers of the University.

#### 2.9.1 Academic Freedom

Members of the faculty are entitled to all rights secured to them by the Constitution of the United States, the Constitution of the General Faculty, and by the principles of academic freedom as they are generally understood in higher education. These principles of academic freedom include:

- 1). The right to discuss in the classroom material which has a significant relationship to the subject matter identified in the course description printed in the University Catalog;
- 2) The right to determine course content, grading, and procedures for the classrooms in which they teach;
- 3) The right to engage in scholarly and creative endeavors related to their teaching appointments;
- 4) The right to publish or present research findings, and the products of creative work;

- 5) The right to engage in service activities;
- 6) The right to participate in institutional governance as defined in the Faculty Constitution.
- 7) The University teacher is a citizen, a member of a learned profession, and a professional member of an educational institution. When speaking or writing as a citizen, the teacher is free from institutional censorship or discipline, but the special position held in the community imposes special obligations. As persons of learning and educational leaders, faculty members must remember that the public may judge the profession and the institution by their words and deeds. For these reasons, they should strive at all times to be accurate, to exercise appropriate restraint, to allow for and respect the opinions of others, and to make clear and reasonable efforts to indicate that they are not speaking for Heidelberg University.

### 2.9.2 Faculty Responsibilities

Along with the academic freedoms described in 2.9.1, faculty members have required responsibilities associated with their positions. These responsibilities include:

- 1) carrying out teaching responsibilities, including distribution of a course syllabus, meeting class during scheduled times, and maintaining office hours **or** availability to students outside class.
- 2) covering material consistent with the course description;
- 3) maintaining accurate records for student grading and attendance, and submitting grades in a timely fashion.
- 4) pursuing scholarship and professional development;
- 5) maintaining fair and professional relationships with students and colleagues;
- 6) attending meetings of the department and of the general faculty
- 7) participation in service to the University, including committees and advising.

These responsibilities may be considered in addition to the Criteria for Personnel Action described in Section 2.2.7. Other faculty responsibilities are described in the employment contract.

### 2.9.3 Academic Responsibility and Professional Ethics

Heidelberg adopts the Statement on Professional Ethics of the American Association of University Professors:

1. 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.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical 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 ensure 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.
  3. 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 debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
  4. As members 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 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.
  5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their University or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

## 2.10 Faculty Development

Professional development of the faculty and staff is essential to maintain academic vitality. Both the individual and the University benefit from the professional growth of the faculty and the cost and responsibilities for the professional development program must be shared by both.

The University attempts to sustain an atmosphere which is conducive to the professional growth of individual faculty members and of the faculty as a whole, and financially supports professional development programs including travel abroad opportunities. However, for true professional development the most important factor is the initiative, motivation, scholarly interest, and enthusiasm of faculty members who voluntarily contribute their time, energy, and resources in seeking professional improvement and advancement. Without these factors a professional development program will not be successful no matter how well planned, intentioned, or financed.

Professional growth of individual faculty members is encouraged and recognized both on and off campus. On-campus opportunities include mentoring programs, academic classes, convocations, special lectures and performances, special workshops, seminars, funds for inviting individuals of special competence to campus, library support for research, funds and one-course release for support of research projects, and other matters related to intellectual inquiry. Off-campus opportunities include sabbatical leaves, leaves of absence and support for participation in professional meetings and workshops.

### 2.10.1 Sabbatical Leave

Sabbatical leaves are designed to contribute to the professional growth and all-around effectiveness of faculty members and thereby to the value of their subsequent services to Heidelberg University. Such leaves, when granted, are to be used for the pursuit of scholarly activities, such as study, research and/or writing.

After consultation with the Chair/Director or appropriate administrative officer, any full-time faculty member may apply to the Faculty Personnel Committee for a sabbatical leave after a minimum of six years of full-time service, or after completing six years of service since the individual's last sabbatical. FPC will announce each fall the deadline for submitting sabbatical proposals. The applicant must supply in writing the objectives and plan of the faculty member's proposed program, including expected outcomes of the plan. The application must also indicate a plan for coverage of the applicant's teaching responsibilities during the sabbatical period. The Faculty Personnel Committee, in consultation with the Provost, shall determine the relative merits of the proposed program.

If FPC and the Provost approve the proposal, FPC will send to the President a recommendation for granting of sabbatical. All leaves must be approved by the President of the University and the Academic Affairs Committee of the Board of Trustees. Preference for sabbatical leaves will be given to faculty who possess a terminal degree.

Sabbatical leaves may be either for one year with half-salary, or for one semester at full salary. The University will continue its contributions to all supplementary benefits in force at the time the leave is granted. Potential sources of support or other remuneration, if known, should also be included in the application letter.

If additional funding or support for the maintenance of two households and related expenses is required, the faculty member should indicate a need for such funds in the letter of application for the sabbatical. The granting of sabbatical leaves shall be subject to budgetary considerations and the personnel needs of the departments involved.

At the conclusion of their leaves, recipients of sabbatical leaves will be required to file a full report of their sabbatical activities with the Provost of the University and will be expected to give a presentation of these activities to faculty colleagues.

Recipients of sabbatical leaves agree to return to their position with the University for a minimum of one year at the completion of the sabbatical.

#### 2.10.2 Leaves of Absence

After consultation with the Chair/Director or appropriate administrative officer, any faculty member may apply to the Faculty Personnel Committee for a Leave of Absence without pay. FPC will announce each fall the deadline for submitting proposals for Leaves of Absence. The applicant must supply in writing the rationale for requesting the leave. The application must also indicate a plan for coverage of the applicant's teaching responsibilities during the leave period. The Faculty Personnel Committee, in consultation with the Provost, shall determine the relative merits of the requested leave. If FPC and the Provost approve the proposal, FPC will send to the President a recommendation for granting of Leave of Absence, including the duration of the leave.

Leave of Absence without pay is usually granted to complete a degree, perform a research project, participate in a public service project, or for other types of professional development. Leaves of Absence are ordinarily for a period of one semester or one full academic year. Longer terms will be considered under special circumstances. All leaves must be approved by the President of the University and the Academic Affairs Committee of the Board of Trustees.

During Leave of Absence, the University will ordinarily continue contributions to retirement, hospitalization, and other insurance costs based upon base salary at the time

of the leave, provided the participant maintains individual contributions to the plans. Upon recommendation of the President, the Board of Trustees may determine that such Leave of Absence is not of benefit to the University. In such cases, Heidelberg will not continue contributions, but participants may continue the insurance and retirement plans in full force by paying the entire premium.

A Leave of Absence will not count toward service time for the consideration of sabbatical leaves. However, all service time prior to the Leave of Absence shall remain in effect, and count toward service time for sabbatical considerations.

### 2.10.3 Faculty Professional Development Release Time Awards

To help stimulate and support the professional development of faculty, the University has developed a program of release time awards for professional activities. Up to five awards, subject to budget and personnel constraints, will be made annually. Each award provides release time from one 3-credit course (or its equivalent) for a semester. The awards are intended to supplement the existing sabbatical leave policy by providing additional opportunities for the pursuit of scholarly growth.

Faculty from all disciplines within the University are encouraged to consider participation in the program. A wide range of professional activities will be supported, including research, writing, study, and public performance. Activities may focus on content or pedagogy within one's discipline, including the development of new courses. Activities normally considered to fall within the scope of faculty responsibilities, such as preparation for current courses or for committee assignments, will not be considered for release-time awards.

Applications should be made to the Faculty Personnel Committee according to a published schedule, for either semester of the succeeding year. Letters of application should include a brief description of the professional development activity and how that activity would be enhanced by a release-time award. Recommendations of awards will be made by the Faculty Personnel Committee to the Provost of the University who will announce recipients by April 15.

Only full-time faculty members with teaching responsibilities are eligible to participate in the program. Faculty participants are not eligible to receive a supplemental contract during the semester of release-time. Preference for awards will be given to individuals with a terminal degree and to those who have not received a release-time award within the preceding two years. The granting of an award pre-supposes that the faculty member intends to serve on a full-time basis during the year subsequent to the receipt of the release time award.

Participants are required to submit a brief written report of the semester's professional activities to the Faculty Personnel Committee after the completion of the semester for

which release-time was awarded. Participants also may be requested to present their activities at a Faculty Forum or other public event.

#### 2.10.4 Conferences and Professional Travel

The University encourages annual attendance at regional and national professional meetings or workshops. The Provost will determine the policy for financial support and reimbursement of costs associated with conference attendance. Support will be available to all qualified faculty, subject to budgetary limitations. University support for professional travel may be reimbursed up to 100% of the cost. Faculty members seeking support for conference attendance and professional travel submit requests to the Chair/Director, showing expected expenses. Chair/Directors forward requests to the Provost for approval.

#### 2.10.5 Faculty Awards

Heidelberg supports three major awards for faculty, awarded on an annual basis: the Ream-Paradiso Distinguished Teaching Award, the Distinguished Scholarship/Research Award, and the Jane Frost-Kalnow Professorship in the Humanities.

##### 2.10.5.1 Ream-Paradiso Distinguished Teaching Award

Each year since the 1995-1996 academic year, one faculty member has been selected by his or her colleagues to receive the prestigious Ream-Paradiso Distinguished Teaching Award. The recipient of this honor receives a cash award of \$2,000 and is offered the opportunity to give a presentation to the faculty and campus community, after which he or she is honored at a reception.

The Ream-Paradiso Distinguished Teaching Award Selection Committee consists of one representative from each of the following standing committees: the Community Engagement Committee, the Undergraduate Curriculum Committee, the Faculty Development Committee, and the Faculty Personnel Committee. When possible, the Selection Committee also includes the last three recipients of the award, who are ineligible to receive the award while serving on the Selection Committee. Faculty from the ranks of Assistant Professor, Associate Professor, and Full Professor should be represented on the Committee. If each of these ranks is not included, the Provost of the University, in consultation with the Selection Committee, will appoint as necessary. Any faculty member or member of the administration may nominate a full-time faculty member in at least his or her fourth year of teaching at Heidelberg University. The Selection Committee has the flexibility to determine its method of soliciting nominations and evaluating how well the nominees meet the below stated criteria for selection. Generally, after reviewing all nominations, the Committee determines up to five finalists and asks each to submit a three to five page professional self-evaluation addressing how he or she has met the four principal criteria for selection, which include:

Teaching effectiveness, including stimulating classroom methods; successful guidance in independent student work, including research; imaginative pedagogy; and willingness to experiment with teaching methodology.

Professional activities and development, including involvement in research; publications and performances; and participation in professional organizations. .

Service as mentor to faculty and/or students, including presence in the department providing a model for students; and contributions to the Heidelberg community providing a model for faculty.

Service to the community, including service to the University which has improved the quality of the institution; and service to the community outside the campus.

When possible, the most recent recipient of the award shall serve as chair of the selection committee. The Chair of the Selection Committee should convey the name of its choice for winner of the Award to the Provost early in the second semester, according to the schedule published by FPC.

#### 2.10.5.2 Distinguished Scholarship/Research Award

Each year since the 1997-1998 academic year, one faculty member has been selected by his or her colleagues to receive the prestigious Distinguished Scholarship/Research Award for outstanding research, scholarship, or other creative accomplishments. The award, which includes a cash prize of \$2,000, is presented early in second semester, according to a schedule determined by FPC.

The Distinguished Scholarship/Research Award Selection Committee consists of the previous year's award recipient, the Provost of the University or designee, and one representative from each of the following standing committees: the Faculty Development Committee, the Community Resources Committee, and the Faculty Personnel Committee.

Any faculty member or member of the administration may nominate a full-time faculty member in at least his or her fourth year of teaching at Heidelberg University. The Selection Committee has the flexibility to determine its method of soliciting nominations and evaluating how well the nominees meet the criteria for selection stated below. The criteria for selection concern the quality and significance of the nominee's scholarly endeavors or research and include:

- Significance within the respective academic discipline.
- Regional, national, and international importance.
- Overall contribution to knowledge, culture, or professional practice.
- Applicability and service to the University community (e.g., recognition resulting from work), professional organizations, and the surrounding local communities.

After receiving nominations, the Selection Committee will request that each nominee submit a summary of his or her scholarly work, composition, or research completed while at Heidelberg; a one page synopsis of the most meaningful item of scholarship or research conducted by the nominee; a curriculum vitae enumerating the nominee's cumulative scholarly and research achievements; and relevant external review documents.

The Chair of the Selection Committee should convey the name of its choice for winner of the Award to the Provost of the University early in second semester according to a schedule determined by FPC.

#### 2.10.5.3 The Jane Frost-Kalnow Professorship

The Jane Frost-Kalnow Professorship in the Humanities has been established to foster educational excellence in humanities teaching at Heidelberg University and to recognize Humanities and other faculty whose teaching excellence and scholarship make the Humanities such a strong component of a liberal arts education at Heidelberg University.

The Jane Frost-Kalnow Chair/Professorship in the Humanities is a permanent endowment of \$150,000 established to provide from the earnings and interest a stipend/honorarium, in addition to base salary, of \$2,500 each to two senior members of the Heidelberg faculty, and an award of \$1,000 to those same faculty members for the purpose of funding their faculty development activities during the two-year period in which they hold the Jane Frost-Kalnow Professorship.

One recipient is chosen annually. Each faculty member named to the Jane Frost-Kalnow Professorship holds that distinction for a period of two years, so there are always two faculty members designated as holders of the Jane Frost-Kalnow Professorship. Recipients will be eligible for reappointment after at least three years have intervened between conclusion of their prior term in the Jane Frost-Kalnow Professorship.

Annual selections are made as follows:

Faculty members may nominate one or more individuals for the Professorship. Each nomination must be signed by the nominator and should include a one-paragraph rationale for the nomination.

Applications will be reviewed by the Faculty Personnel Committee. Up to three finalists will be recommended by the Faculty Personnel Committee to the Provost of the University. The Provost of the University will recommend one of the finalists to the President of the University, who will appoint and announce recipients of the Jane Frost-Kalnow Professorship in the Humanities. Announcement of recipients will be made according to a schedule determined by FPC.

Faculty eligible for nomination or application to hold the Jane Frost-Kalnow Professorship in the Humanities must hold the rank of Professor and an earned Doctoral or terminal degree from an accredited University or university. Nominees should

represent excellence in teaching, scholarship, and service to the Heidelberg University community, as well as a commitment to the value of the Humanities in academic and human endeavors.

Nominees will be considered from among faculty in the Humanities disciplines recognized by the University, as well as in the social sciences, education, arts, and music. If the top candidates for selection are judged to be equally deserving, preference for appointment to the Jane Frost-Kalnow Professorship will be given to faculty in the humanities.

## 2.11 Other Types of Leave

### 2.11.1 Medical Leave

After twelve months of continuous employment, full-time and part-time (over half-time) faculty members are eligible for short term paid medical leave benefits. The faculty member is to inform the Provost of the University of the need for a short term leave as soon as possible. Upon written certification from the faculty member's licensed medical care provider of an inability to perform professional responsibilities due to medical condition, the faculty member will be granted leave with full appropriate pay for up to the duration of the current semester. The faculty member may be eligible to receive full pay for an additional time period up to a total accumulated period of six months. The decision to continue paid leave is made by the Provost on a case by case basis according to the circumstances of the individual faculty member. In such cases, the medical provider must certify the continuous necessity for medical leave. In addition, faculty members may also be eligible for unpaid leave according to the provisions of the Family and Medical Leave Act. Faculty should contact the Office of the Vice President for Administration and Business Affairs for additional information.

### 2.11.2 Legal and Bereavement Leaves

Heidelberg recognizes the necessity for paid leave for reasons commonly recognized by the laws of the State of Ohio and the United States. These include jury duty, some short-term military duty, maternity leave, holidays recognized by the University, and bereavement leave. When such absences from campus will be three or more class days, faculty members will notify the Provost of the University. Notification for leave shall indicate the reason for the leave, the expected duration of the leave, and expectations for covering the classes missed during the absence. Faculty should contact the Office of Human Relations for additional information.

## 2.12 Working Conditions

### 2.12.1 Academic Regalia

Heidelberg Faculty utilize appropriate academic regalia for designated formal occasions during the academic year, including opening ceremonies and graduation ceremonies. Faculty wear the gown and hood appropriate to their highest degree. Academic regalia may be rented from the University store for individuals who do not yet own regalia.

### 2.12.2 Heidelberg University Intellectual Property Policy

#### I. INTRODUCTION

Heidelberg University faculty, staff, and student personnel are regularly involved in a wide range of scholarly activities that stem from the core teaching, learning, research, and service missions of the University. While the primary focus of such efforts is the advancement of the purposes of the University, the products of scholarship often have implications for wider and differing applications. These products or intellectual properties thus may be of benefit to the individuals involved, to the University, and to the larger society in which we live. By establishing policy on Intellectual Property, Heidelberg University seeks to support faculty, staff, and students in identifying, protecting, and administering Intellectual Property matters and defining the rights and responsibilities of all involved. In doing so, it intends to promote the following goals:

- To sustain a University environment that encourages learning and the generation of new knowledge by faculty, staff, and students.
- To motivate the development and dissemination of intellectual property by providing appropriate financial rewards, flexible arrangements, and assistance to the creator (an individual or team throughout this policy) and to the University.
- To facilitate wide transfer of useful Intellectual Property to society for public benefit.

Intellectual Property is the ownership and associated legal rights of creations, which are developed or guided chiefly by the intellect of their creators and which may be either tangibles or intangibles. In particular, Intellectual Property is created when something new has been conceived and developed or when a non-obvious result, which can be applied to some useful purpose, has been discovered using existing knowledge.

The purpose of this document is to provide the overarching policy framework under which Heidelberg University will manage the Intellectual Property resources of the University community consistent with Heidelberg's mission. This policy statement does not and should not provide all the necessary specific details required to administer successfully Intellectual Property for the entire University. Rather, the Board of Trustees in approving this policy statement delegates the implementation and

administration of this policy, along with the development of appropriate and necessary processes, to the President of the University.

This policy shall apply to all persons in the employ of Heidelberg University in any capacity and to all students enrolled in Heidelberg University. Furthermore, this policy applies to all Intellectual Property created by Heidelberg University employees and students.

## II. OWNERSHIP

The broad principles governing ownership of all Intellectual Property created by all persons in the employ of Heidelberg University in any capacity and to all students enrolled in Heidelberg University are specified in this section. Ownership is the critical issue for the dissemination of Intellectual Property and the distribution of rewards from it.

The ownership principles established in this section are intended to help the Heidelberg community take maximum advantage of new opportunities to create Intellectual Property. In this spirit the University welcomes opportunities to create external and internal partnerships. The ownership principles provide constructive opportunities for forming such partnerships to the benefit of Heidelberg faculty, staff and students as well as the University. They also permit the development of specific operating procedures.

The application of these ownership principles shall be consistent with the use of University resources, shall always protect its legal status as a nonprofit institution, and shall never violate any laws of the United States or the State of Ohio.

The ownership principles are focused on the way the property is created, not on the nature of the property, and are presented in a hierarchal structure to make the order of precedence among them clear. Specifically, when any one principle applies to an Intellectual Property matter, higher numbered principles are not applicable to that specific matter. It follows from the last principle of ownership that the University is the default owner of Intellectual Property not covered by the others. In order of precedence, ownership of Intellectual Property shall be specified as follows:

1. **Sponsored Project Agreements:** The University may negotiate and sign Sponsored Project Agreements, including contracts and grants between external sponsors such as a corporations, government agencies or foundations and the University that specify completely or partially the ownership of Intellectual Property created as a result of specific sponsored projects. This category includes ownership requirements that result from a government funding source by operation of law (e.g., laws pertaining to Intellectual Property created using federal funds). All individuals working on a project under such a Sponsored Project Agreement shall be notified in advance of the terms of ownership in said agreement for any Intellectual property they may create working on

the project. Although most sponsored project agreements would be for funded research projects, they should be available for other kinds of work including pro bono projects.

2. **Individual Project Agreements:** The University may negotiate and sign Individual Project Agreements between the University and an individual member(s) of the faculty, staff or students that specify completely or partially the ownership of Intellectual Property created as a result of work conducted on a specific project. Individual Project Agreements by the University and potential creators are encouraged especially in situations that lack precedent and do not naturally fit into standard Intellectual Property practices.

3. **University Sponsored Projects:** The University may initiate and fund specific projects that produce Intellectual Property and shall own the Intellectual Property created as a result of such projects. Whether or not a project should be undertaken as a University Sponsored Project shall be determined by the purpose of the work and not the form of the Intellectual Property to be created. Intellectual Property produced when University employees or students are assigned or employed to specifically produce designated work shall be considered work for hire, and the University shall own all rights to the property. The financial terms or other terms of support for University Sponsored Projects can vary from project to project as long as the participants are properly informed of the terms of the agreement for the project before they begin work on it.

4. **Traditional Academic Rights:** In keeping with academic traditions at the University, the creator shall retain ownership to the following types of Intellectual Property, without limitation unless part of an agreement under the above principles of ownership: books (fiction, nonfiction, poetry, textbooks etc.); articles; poems; published standardized tests; all class materials including notes, tests, and syllabi; student papers (themes, term papers, reports, exams, etc.); musical works; dramatic works including any accompanying music; pantomimes and choreographic works; pictorial, graphic and sculptural works; motion pictures; video recordings and sound recordings; computer software and computer-related documents. In all cases the student shall own the copyright to his/her master's thesis and similar graduate documents. Consequently graduate advisors must take responsibility to ensure that the contents of graduate papers and/or projects do not fall under Intellectual Property agreements precluding the student owning the copyright to any portion of a graduate document. Intellectual Property, other than the copyright of the thesis/project, created doing research toward a graduate degree is subject to all the other terms of this policy. Heidelberg University reserves the right to maintain archival copies of graduate documents.

5. **Consulting Agreements:** Intellectual Property created by Heidelberg personnel who are consulting with external entities (corporations, businesses, government agencies, foundations, etc.) without making essential use of University funds, resources or facilities is presumed retained by the external entity or the individuals as specified by the terms of the consulting agreement. Student employment with external entities will be considered as consulting under this policy, and externally employed students will be

responsible for respecting the Intellectual Property policies of both Heidelberg and their employers.

6. Independent Projects: Any Intellectual Property created by a University employee that is not part of its creator's employment responsibilities and that is developed on his/her own time without making extraordinary use of University funds, resources or facilities shall be owned by the creator. For the purposes of this policy, extraordinary use will be defined as that which is not commonly available for instructional purposes, and which requires additional significant expenditures on the part of the University. The determination of extraordinary use will be made by the Provost of the University, in consultation with the employee. Projects which require extraordinary use of University funds, resources, or facilities will result in joint ownership between the creator and the University. The creator shall notify the Provost of the need for extraordinary use of resources, and a joint ownership agreement negotiated prior to approval for the use of such resources.

When a student creates Intellectual Property independently, using only resources available in common to all students, such Intellectual Property is owned by the student. However, Intellectual Property created by a student(s) when working for pay or academic credit, or voluntarily working on faculty projects or University Sponsored Projects is subject to the other six ownership principles.

7. Other Intellectual Property Generated by University Activities: University personnel and/or students might produce Intellectual Property from their work within the scope of the mission of the University that is not covered by the above ownership principles. The University shall be the owner of Intellectual Property, when its ownership is not governed by any of the previous items and when said Intellectual Property was created within the normal scope of employment and/or study or a direct result thereof, and shall share with the creator any revenues from it. The creator of any Intellectual Property that is or might be owned by the University under this policy is required to make reasonably prompt written disclosure of the work to the University. Depending on the nature of this Intellectual Property, it may be subject to patent or copyright policies.

### III. ARBITRATION

In the case of a dispute between the creator(s) and the University regarding ownership of Intellectual Property, both parties agree to submit to binding arbitration. Upon notice of the dispute, the Chair of the Faculty Personnel Committee (FPC) will arrange for the appointment of an arbiter. The arbiter should be from outside the university community, and able to rule fairly and impartially upon the dispute. When possible, the arbiter should be a member of the American Arbitration Association.

Upon appointment of the arbiter, both parties shall have up to three working days to accept or reject the arbiter. No more than one arbiter may be rejected by either party.

If the arbiter is rejected, the Chair of FPC will designate another individual to serve as arbiter.

Once chosen, the arbiter shall convene the arbitration at an appropriate time and place. The arbitration will be attended by both parties, as well as the Chair of FPC. Within 14 days of the completion of the arbitration, the arbiter shall notify in writing the parties and the Chair of FPC of the ruling.

Heidelberg University will be responsible for all costs of the arbiter, and in no case will the faculty member be held responsible for these costs. The University is not responsible for costs incurred by the faculty member in the arbitration process, including attorney's fees.

### 2.12.3 Copyright and Photocopying Policy

Heidelberg recognizes and abides by all applicable law regarding photocopying and fair use of copyrighted documents. Copying machines are available in designated campus locations, including Beeghly Library and the University Copying Center. Faculty members are responsible for adherence to all applicable statutes.

Beeghly Library publishes the following policy regarding Copyright and Fair Use:

Copyright is a constitutionally conceived property right given to creators of literary works; musical works; computer software; dramatic works; pictorial, graphic, and sculptural works; motion pictures; sound recordings and other audiovisual works. Included in The Copyright Act, Title 17, United States Code, is the fair use doctrine, which is the legal right to use copyrighted materials in a reasonable manner without the consent of the author.

Copyright law provides little guidance as to what in particular constitutes educational fair use of copyrighted materials. However library and higher educational groups have developed guidelines, to help determine what does constitute fair use of copyrighted materials in a library or classroom setting. The guidelines address photocopying or scanning of materials, library reserves and interlibrary loan, classroom use, and other uses.

In general, the guidelines address four main factors of the fair use doctrine:

1. The purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit education purposes. However, even if the use is purely educational there are limits to the amount and uses of copies of the material. (Section 107(1) of the Federal Copyright Statute)
2. Nature of the copyrighted work, which takes into account the amount of creativity invested in the original work. (Section 107(2) FCS)

3. Amount and substantiality of the portion used in relation to the copyrighted work as a whole (Section 107(3) FCS)

4. The effect of the use upon the potential market for or value of the copyrighted work. This is considered to be the most important when considering whether the use of an item falls under the fair use doctrine. (Section 107(3) FCS)

#### 2.12.4 Human and Animal Research Policy

Research involving human subjects must be approved by the Institutional Review Board (Section 1.3.4.6) prior to the beginning of the research.

#### 2.13 Fringe Benefits

Fringe Benefits are applicable to faculty members on full time appointment or faculty employed half time or more. Faculty should consult with the Vice President for Business Affairs for additional information regarding fringe benefits.

##### 2.13.1 Mandatory Benefits

Heidelberg participates in all mandatory benefits for faculty, including workers compensation, social security, and unemployment compensation programs.

##### 2.13.2 Admission to University Events

During the academic year, faculty members and their families are admitted free to most campus activities such as athletic contests, music performances, guest performances and lectures. Procedures for obtaining free tickets for events which require tickets will be announced. Certain activities and/or performances carry a designated charge for admission, and are exempt from this policy.

##### 2.13.3 Disability Insurance

Total disability insurance is available to all full-time employees. (For the purpose of this program only, full-time employees are those working at least 32 hours per week.) The policy includes a monthly income benefit and a monthly waiver benefit of retirement annuity payments.

Employees become eligible for total disability insurance effective on the date of hire. Employees must complete an application within 31 days from employment. Employees electing not to join the plan must complete a waiver form and return it to the Business Office. Forms are available in the Business Office. Enrollment after 31 days will require evidence of insurability.

#### 2.13.4 Flexible Benefit Plan

All full-time employees and those employed one-half time or more are eligible to participate in the Flexible Benefit Plan. This benefit program allows payment for certain expenses using “pre-tax” dollars. The Flexible Benefit Plan utilizes payroll deduction to establish an account which can reimburse participants for expenses including:

Un-reimbursed medical expenses

Dependent Care Assistance Program

Insurance Premium Payment Plan

- a) Health Insurance Premium
- b) Disability Insurance Premium
- c) Dental Insurance Premium

On September 3, 2003, the Internal Revenue Service (IRS) and the U.S. Treasury department announced that certain over-the-counter medications may now be reimbursed with pre-tax dollars through health care flexible spending accounts (FSA). Thus, reimbursements through this FSA may now be possible for many medications, provided the employee properly and sufficiently substantiates the expense.

The Internal Revenue Service has set certain rules and regulations that must be carefully considered before enrolling in a medical reimbursement plan:

- 1) You cannot change your deposit amount during the plan year, unless justified by a change in your family status.
- 2) Medical expenses reimbursed through your Flexible Benefit Plan cannot be taken as federal income tax deductions.
- 3) Any amount left over in your account after all qualified claims have been processed at the end of the plan year will be forfeited.

Additional information regarding eligibility and enrollment can be obtained from the Humans Relations Office.

#### 2.13.5 Medical Coverage

All full-time employees, and those employed one-half time or more, are eligible to participate in the health care plan made available by the University. This insurance program includes both medical and prescription drug insurance benefits.

New full-time employees should apply for health insurance coverage when hired, no

later than 15 days from the date of employment. Coverage becomes effective on the date of hire. The University shares in the cost of the premiums for all covered employees.

Details on the health insurance plan are available from the Human Relations Office and may be picked up when applying for these benefits at the time of employment. For answers to specific questions, contact the Vice President for Business Affairs or the Human Relations Office.

The Consolidated Omnibus Budget Reconciliation Act (COBRA) allows employees who lose health coverage because of termination or a reduction in the number of hours of employment, or employee dependents who lose coverage because of the death of the employee, divorce, legal separation, or because of the 23-year age limitation for dependent children to continue their coverage ranging from 18 to 36 months provided:

- 1) They exercise their option for continual coverage within 60 days after the date of loss of coverage;
- 2) They pay the applicable monthly premium plus a 2 percent administrative charge on a timely basis;
- 3) The employee or dependent does not qualify for coverage under another group health plan or Medicare;
- 4) The University continues to offer the health plan in which the employee or dependent was enrolled.

It is the faculty member's responsibility to inform the spouse and children of their COBRA rights under the law and to inform the University in writing when a member of the family becomes eligible for COBRA benefits.

#### 2.13.6 Dental Plan

All full time employees are eligible to participate in a voluntary dental plan. This plan offers a variety of coverage to meet the varying needs of employees. Faculty members interested in participation in the dental plan should contact the Human Relations Office.

#### 2.13.7 Professional Insurance Coverage

Heidelberg University provides two forms of professional insurance coverage to faculty: professional liability and travel. Professional liability applies to a claim for damages caused by a "wrongful act" while the faculty member is performing professional duties appropriate to his/her contractual obligations. A "wrongful act" is defined as any actual or alleged act, error, omission, misstatement, misleading statement, neglect, or breach of duty by a faculty member in the discharge of his/her duties. Coverage includes legal representation for the faculty member. There are a number of exclusions to this coverage, the most pertinent of which includes a legal determination that the faculty member knowingly engaged in a dishonest, fraudulent, criminal or malicious action or recklessly violated any governmental regulation.

Travel insurance provides coverage for faculty traveling on University business, excluding commuting to and from campus. Coverage begins at the actual start of an anticipated trip from the faculty member's place of employment, home, or other location. Coverage terminates upon return to the place of employment or home, whichever occurs first. The policy provides payment for losses due to accident and also includes provisions for disability and medical expenses. There are a number of exclusions to this coverage. Examples include intentional, self-inflicted injuries by the faculty member or the faculty member being under the influence of alcohol or a "controlled substance," as legally defined, unless administered on the advice of a physician.

#### 2.13.8 Reimbursement

The University will reimburse persons for use of privately-owned vehicles on University-related business at a designated rate per mile. Requests for reimbursements for travel expenses should be accompanied by receipts and must be approved by the Chair/Director.

Reimbursement for designated moving expenses is available to new faculty. Contact the Vice President for Business Affairs for further information.

#### 2.13.9 Retirement

Heidelberg provides a Teachers Insurance and Annuity Association-University Retirement Equities Fund (TIAA-CREF) retirement plan for all faculty and administrative personnel. Full-time employees in these categories are required to participate in the plan upon completion of three years of service, although they may choose to participate upon completion of one year of service. Those employed at least half-time but less than full-time also may choose to participate following one year of service. For eligible persons who previously have participated in a TIAA-CREF plan, and who have retirement annuity plans in force, participation shall be optional from the beginning of service and required at the conclusion of the third year of service.

Each participant in the retirement plan shall contribute monthly, to the nearest dollar, 6% of the monthly salary.

For each eligible participant in this retirement plan, Heidelberg will contribute an amount equal to 6% of the monthly base salary. Beginning with the month in which the employee reaches age 50, Heidelberg will also contribute an additional 3% of the employee's monthly base salary. Employees may also elect to make individual contributions to a Supplemental Retirement Annuity (SRA) account. The employee and employer contributions will be forwarded to TIAA-CREF each month. Employees receiving an Absence of Leave without pay might be eligible to continue participation in the Retirement Plan during the absence from campus. See Section 2.10.2 for details.

Upon enrollment in TIAA-CREF, participants will receive an enrollment packet with information about the TIAA-CREF system. Information booklets are available upon request.

Each retirement annuity plan written in accordance with this plan will be the property of the individual participant; the agreement is between the participant and TIAA-CREF.

Heidelberg reserves the right to discontinue its contributions toward retirement annuity premiums and its supplementary benefit payments at any time, as determined by the Board of Trustees.

By action of the Heidelberg University Board of Trustees, the effective date of this retirement plan shall be September 1, 1938, as amended June 11, 1965.

Those who plan to retire should meet with the appropriate Vice President to formulate retirement plans and celebrations.

#### 2.13.10 Tuition Remission Benefits

Eligible children of faculty members employed on a full-time basis during and after the 1974-1975 academic year will be permitted to attend Heidelberg University without payment of tuition.

- (1) Children must be unmarried, not over twenty-three years of age unless having served in the military, and dependent upon the parent employed by Heidelberg University.
- (2) Children dependent on the employee as a result of adoption or marriage are eligible.
- (3) No more than eight semesters or twelve quarters of full-time undergraduate work are permitted.
- (4) Students in this program must stay in good academic standing as defined by the institution.

Full time faculty members who retire with a minimum of 10 years of full time service are eligible for the Tuition Remission program for dependent children, subject to the stipulations given above.

If the death of a faculty member occurs after a minimum of seven years of full time service, the Tuition Remission program will apply to the faculty member's dependent children according to the stipulations above.

A faculty member or the spouse of any faculty member may attend Heidelberg University without charge for tuition except for course work taken by an Independent Course Contract.

Heidelberg participates in two tuition exchange programs: Tuition Exchange and the Council of Independent Universities' Tuition Exchange Program. Both of these programs have restrictions which are not controlled by Heidelberg.. As long as the program is available, children of persons hired after the 1974-1975 academic year meeting criteria 2.13.10 (1) – (4) above may participate. Information may be obtained from the Vice President for Business Affairs.

In all cases, the faculty member shall contact the Vice President for Business Affairs one year in advance of participation in Tuition Remission or Tuition Exchange programs.

Eligible children of faculty members may participate in the High School Options program without charge. Participation does not count toward the eight semester limitation for tuition remission or tuition exchange.

Eligible children and spouses of faculty members may receive tuition remission for Heidelberg summer classes which have sufficient enrollment. Participation does not count toward the eight semester limitation for tuition remission or tuition exchange.

Eligible children of faculty members employed on a full-time basis by the University/University during the 1973-1974 academic year are permitted to attend Heidelberg University without payment of tuition, or, if they choose to attend another University, Heidelberg will pay the tuition at that University, provided the faculty parent was so employed during the 1973-1974 academic year, including authorized leaves of absence.

## 2.14 Compensation Policies

Compensation is paid on a twelve month basis, on the first day of every month. Pay checks are ordinarily paid through electronic deposit at the financial institution of the faculty member's choice. While contracts are in effect throughout the designated academic year, raises or changes in compensation are decided by the Board of Trustees, and take effect January 1, or other time decided by the Board. For more information, contact the Vice President for Business Affairs.

## 2.15 Grievance Policy

### 2.15.1 General Considerations

This Faculty Hearing Procedure pertains only to those faculty members with full-time appointment as identified in Section 2.3.

It is expected that all department problems will first be considered by the department involved and that most will be resolved within the department. The following procedure applies only after these resources have been utilized to the fullest extent.

#### 2.15.2 Procedure for the Person Presenting Complaints

The person wishing to present the complaint(s) shall do so first to the Provost of the University. The Provost has the responsibility of consulting with the parties involved and of attempting to resolve the problem.

If a mutually satisfactory resolution cannot be attained through the Provost's office, the person presenting the complaint must formally request, in writing, consideration of the issue by the Faculty Personnel Committee, which shall attempt to resolve the problem. The Committee shall also submit its written report to the President of the University.

If the problem cannot be resolved at this point and if the person presenting the complaint desires a formal hearing, the individual must directly request, in writing, that the Faculty Personnel Committee initiate formal hearing procedures and the formulation of an ad hoc Faculty Hearing Committee. The letter must contain the specific grievances by the individual.

The ad hoc Faculty Hearing Committee shall present its report(s) and conclusion(s) to the President of the University. If the report and conclusion are not unanimous, separate reports must be filed. The person presenting the complaint shall receive a copy of all reports together with the President's decision.

The President shall consider all reports and prepare a written decision concerning the complaint. The President shall discuss the decision and the supporting documents with the person presenting the complaint. The President shall submit the decision along with all reports to the Academic Affairs Committee of the Board of Trustees.

In the event that the President is a party to the grievance, the report of the Hearing Committee will be submitted directly to the Academic Affairs Committee of the Board of Trustees.

#### 2.15.3 Establishment of the ad hoc Faculty Hearing Committee

All full-time teaching faculty members at Heidelberg University are eligible.

The Secretary of the Faculty shall choose, by random methods, thirty members who shall be available as a panel. The names of those on the panel shall be known only to the Secretary.

Upon receiving instructions from the Faculty Personnel Committee, the

Secretary of the Faculty will choose, by random methods, four names from the panel. These names are to be chosen in the presence of the involved parties, if they so desire. These four names shall constitute the list of the Hearing Committee, providing the following conditions are met:

- (1) No faculty member who is in the same department(s) as the involved parties or who is involved in the hearing shall serve.
- (2) Each party has the right to strike the name of one member of the original four and that person will be replaced by another randomly selected member.

No faculty member shall serve on such a committee more than once in two consecutive academic years.

The Hearing Committee shall be discharged upon receipt of its report(s) by the President.

#### 2.15.4 Procedures of the Hearing Committee

A member of the Faculty Personnel Committee shall serve on the Hearing Committee in any capacity that the Hearing Committee chooses. The Faculty Personnel Committee member shall be present throughout the formal hearing and shall insure the confidentiality of all records of the hearing. Upon completion of this responsibility, the Faculty Personnel Committee member shall not be involved in the deliberations of the Hearing Committee.

The involved parties have the right to select a Heidelberg colleague of their own choosing who may act as advocate.

There shall be a single session in which all parties involved shall make their statements before the Hearing Committee. If the Hearing Committee feels that it needs further information or clarification, the Committee may call other sessions to which all involved parties must be invited. From the time of the original request for the hearing to the final recommendations, the hearings should be completed as speedily as schedules and conditions will allow. Excluding vacation periods, this period of time shall not exceed sixty days.

Testimony and all documents and information regarding the hearing are viewed as confidential. Any tapes or transcripts are the property of the Faculty Personnel Committee and are not for duplication or distribution. However, either parties to the complaint may have access to the records under the supervision of the Faculty Personnel Committee.

### 3.0 Academic Policies and Services of Interest to the Faculty

#### 3.1 Library

Beeghly Library and the Instructional Media Center support the education, research, and information needs of the Heidelberg University community. They provide services, resources, access to on-site and off-site information, and instruction in the use and evaluation of these resources. As an integral part of the learning mission at Heidelberg, the library's staff seeks to work with faculty to develop students' information literacy and critical thinking skills.

Beeghly Library's collection includes books, journals, music recordings, videos and DVDs, microforms, and government documents. Membership in OPAL and OhioLINK, which are Ohio library consortia, provide faculty and students access to the holdings of more than 85 academic libraries and to more than 100 online research databases. Electronic resources include e-books, full-text articles, films and research databases. Please refer to the [library web site](#) for further information on library services, resources and policies.

#### Course reserves

Various materials, such as books and printed copies of articles, are housed in a Course Reserves section at the library's Circulation Desk. Bring reserve items to the library at least three days prior to making an assignment. Request forms are at the Circulation Desk and online on the library's web site. Faculty members are responsible for following copyright guidelines. Please refer to "Copyright and Reserves at Beeghly Library" for more information regarding the library's copyright policy. Thousands of articles are available full-text through the OhioLINK databases. No copyright permission is needed to provide students with links to these articles. Links can be included in syllabi, through electronic course pages, e-reserves, etc. See a reference librarian if you need assistance linking to articles.

#### Interlibrary Loan

Items held by other OPAL or OhioLINK libraries may be directly borrowed. Articles and books not found through OhioLINK resources can be interlibrary loaned at no cost to the patron.

#### Instruction sessions

Reference Librarians are eager to provide instruction to faculty and students on library resources. Instruction sessions may be scheduled in Beeghly Library or in a classroom setting, and can range from a general overview of the library to instruction directed to a specific course or assignment.

### Collection development—ordering by faculty

Within each discipline the faculty and the librarians share the responsibility for the selection of books, periodicals and other materials. Faculty should submit written requests for materials directly to the library director or assistant director. The quality of the material requested, the needs of the department, curriculum, the existing library collection, available funding, and availability from other OhioLINK libraries should be considered when suggesting materials for purchase.

### Faculty loans, fines, etc.

Faculty must have a current library-registered Heidelberg ID with a barcode to check out materials and to use the online resources from off-campus. Faculty receive an extended loan on Heidelberg materials, but other OPAL and OhioLINK items are limited to three weeks with renewals. Faculty members are responsible for overdue fines on material borrowed from other institutions, and will be billed for any lost items. Family members can request a guest patron card.

## 3.2 Classroom

### Classroom Assignments:

Traditional graduate and undergraduate classes are scheduled in classrooms by the Office of the Registrar. Priority is given to those classes that meet within the traditional semester and time blocks. Instructors who have indicated a need for mediated technology and have requested a mediated classroom with the department semester schedule submission are given priority in mediated classroom space. Mediated classroom space includes a computer with internet access, cable television access and a DVD/VCR player.

Additional academic activities (i.e. study or review sessions, class guest speakers, class presentation space) are reserved Monday – Friday from 8:00 a.m. to 5:00 p.m. by the Office of the Registrar. Non-academic space reservations, reservations requiring the use of space beginning after 5:00 p.m. that are not for a scheduled class and activities requiring special room setup, catering or equipment are reserved by the Conference and Event Coordinator.

## 3.3 University Store

The University owns and operates a book and supply store for the convenience of faculty, staff and students. The store secures and sells all books and supplies required in the University courses, and in addition handles trade books, reference books, school and office

supplies, and other merchandise normally sold in a modern University store. Members of the Heidelberg community may also special-order books through the store. The Store operates on a cash basis on sales to students; the convenience of a thirty-day charge account is extended to faculty and staff members. Mastercard, Visa and Discover credit cards are also accepted at the Store. Purchases of books and supplies for departmental use may be charged to a departmental account, within budget limitations and subject to approval by the Business Office. The University Store generally grants a discount of ten percent for the purchase of books or supplies for personal use of faculty members. The Store maintains a United Parcel pickup and delivery station for the convenience of Heidelberg students, staff, and faculty. Textbook adoptions forms are to be submitted by the following dates, or alternate dates announced by the Provost:

|                   |            |
|-------------------|------------|
| Summer adoptions: | March 15   |
| Fall adoptions:   | April 1    |
| Spring adoptions: | October 15 |

Instructors are responsible for ordering desk copies. Contact information for publishers is available by contacting the Store manager.

### 3.4 Registrar

#### 3.4.1 Online Registration and Student Appraisal Entry

OASIS<sup>2</sup> (Online Academic Student Information System) is available to faculty and students at [oasis2.heidelberg.edu](http://oasis2.heidelberg.edu). The online service offers a variety of services and information relative to registration, class lists, grade entry, student records, and other functions of the Office of the Registrar.

Students register for classes online using OASIS<sup>2</sup>. If a student requires a registration override, he or she must contact the instructor of the course or the Chair/Director to request a registration override. If the override is approved, the instructor or the Chair/Director enters the override for the student in OASIS<sup>2</sup>. Once the override is entered, the student must login and add the course to their schedule to complete the registration.

Heidelberg University requires faculty to enter appraisals and course grades by the stated due dates. Grade and appraisal entry is completed online in OASIS<sup>2</sup>. Student information is available online using OASIS<sup>2</sup>. A faculty member has access to view online academic records for students in his/her courses. Faculty who are also academic advisors may access information for advisees as well as students in their course(s). Faculty members are required to follow FERPA (Federal Education Rights and Privacy Act) guidelines for use and release of student information. For more information

about FERPA visit [www.heidelberg.edu/registrar/ferpa](http://www.heidelberg.edu/registrar/ferpa) for a description of FERPA and directory information.

### 3.4.2 Schedule of Courses

The schedule of courses is maintained by the Office of the Registrar. If a faculty member wishes to change the location of a course, a request must be made to the Chair/Director, identifying the room they would like to move their class to. The list of classrooms and reservations is available in Server Six in the "Reserve Rooms" file. If a faculty member wishes to add or drop a class in their schedule or change the time or day the course is offered, a request to the Chair/Director must be made. If the Chair/Director approves of the change, the request will be forwarded to the appropriate Provost for final approval and notification to the Registrar.

### 3.4.3 Verification of attendance/class list:

Students who are not registered for a course are not permitted to unofficially audit that course. If a student wishes to audit a course, he/she must complete the appropriate paperwork in the Office of Registrar to register for a course as an auditing student. The faculty member is responsible to notify students who do not appear on their class list that they must register before continuing attendance in the course. If continued attendance persists without the student completing registration, the faculty member should notify the Office of the Registrar. Likewise, if a student has never attended a course but is listed on the class roster, the faculty member should notify the Office of the Registrar by the last day to add classes. The Office of the Registrar will attempt to contact the student and initiate withdrawal from the course.

Note: Academic Policies and additional resources are maintained in the academic catalog

## 3.5 Program Evaluation and Assessment

Assessment is an ongoing process of gathering and evaluating qualitative and quantitative data to indicate the extent to which a program is achieving its goals. As part of the ten-year self-study, each academic program will be required to provide an analysis of the assessment data collected during the ten-year cycle. There are three fundamental questions the program should address - "What skills and knowledge do we expect our students to achieve?", "How can we determine if students are achieving established goals?", and "What improvements, if any, need to be made?" Various assessment instruments provide a means for determining the extent to which students are achieving established goals. Analysis of collected data will determine those areas in need of improvement.

## 3.6 Academic Services

### 3.6.1 Computer Services

Faculty are granted access to voice, video, computer, and network services, including Internet access, through the Computer, Network, and Information Technology office (CNIT). Internet access via university-owned equipment is available in faculty offices, public computer laboratories, and kiosk terminals located across campus. Email accounts are provided to all faculty members. In addition, faculty may be granted limited access via OASIS (in accordance with FERPA guidelines) to electronic information about their current students and/or advisees. Portable equipment is available for limited loan periods via the Instructional Media Center. All use of the university's computing and network facilities must be in accordance with its *Acceptable Use Policy*. Learn more at [www.heidelberg.edu/technology](http://www.heidelberg.edu/technology).

Faculty members will be provided with a university-owned personal computer and productivity software (*e.g.* email client, web browser, office suite, *etc.*) as standardized by the university. Computing hardware is replaced on a four-year cycle, and standard software packages are upgraded on a regular basis. Virtual Private Network (VPN) access is available to faculty who wish to access campus electronic resources from home.

Computing assistance is available from the CNIT helpdesk. Faculty may contact the helpdesk by phone at 419-448-2088, or online at [www.heidelberg.edu/helpdesk](http://www.heidelberg.edu/helpdesk) to enter a trouble ticket.

Requests for non-standard hardware and software for special academic needs, as well as requests for additional computing services, should be directed to the Associate Director of CNIT for Computer Operations. Questions about the University's technology infrastructure, administrative data services, and campus-wide computing in general should be addressed to the Director of CNIT.

Other requests or concerns about computing resources should be directed to the Associate Vice President for Information Resources.

### 3.6.2 Instructional Media Center

The Instructional Media Center (IMC), located in Beeghly Library, houses a collection of educational resource materials, including a textbook and Big Book collection, as well as a

materials production area. It also is responsible for housing, maintaining, and circulating media equipment and materials on campus. Arrangements for delivery and pickup, operation, and instruction in the use of equipment and other resources should be made through the IMC.

The IMC staff can arrange for the recording and/or duplication of educational resources, campus events, student speeches, etc. Contact the IMC regarding taping, duplication, reformatting, and copyright regulations. IMC staff can also assist patrons with software programs such as PowerPoint, Microsoft Word and Excel.

Equipment and supplies are available for faculty, staff, and students for the production of laminated materials, die-cut lettering, transparencies and more. Materials available for purchase include poster board, construction paper, roll paper for bulletin boards, CDs and DVDs. The IMC also houses a test scoring machine for grading multiple choice tests.

### 3.6.3 Academic Success Center

The Academic Success Center, located in the Campus Center, supports the academic efforts of all Heidelberg students. All students are encouraged to take advantage of the services provided, which include peer tutors in all academic areas, group study sessions, and programs to enhance academic skills.

Upon recommendation from faculty or Chair/Directors, students can be hired as tutors in all subject areas for private or group tutoring sessions. Students with demonstrated writing abilities are encouraged to work as peer writing assistants.

The Academic Success Center (ASC) is the University's designated office that maintains disability-related documents, certifies eligibility for services, determines reasonable accommodations through the Disability Identification Team, and coordinates services for students with disabilities. The University has established the following guidelines for students seeking accommodations:

- (1) Individuals eligible for services include students with physical, psychological and learning disabilities. The primary goal of the Disability Identification Team (DIT) is to accurately evaluate a student's current disability documentation, to determine how it might impact their academic career, and to provide equal access to higher education at Heidelberg University.
- (2) It is the responsibility of the student with a disability to inform Heidelberg University and request an accommodation. Students requesting services should complete the written

request for accommodation, the Release of Information form, and current documentation (current at the time of enrollment or when academic adjustments are implemented) including diagnosis, a summary of the testing that identified the disability, and a description of the functional limitations that this disability has upon the student's academic work. These documents must be submitted to the Academic Success Center (ASC). Any correspondence regarding the adequacy of the submitted documentation will be sent to the student. It is the student's responsibility to obtain additional information or clarification as requested.

(3) The documentation is reviewed by the Disabilities Identification Team which determines accommodations for the disability.

(4) Once a disability is documented by the DIT, students meet with the Director of the ASC at the beginning of each semester to identify the academic adjustments needed and to discuss how the adjustments will be implemented.

(5) The Director of the Academic Success Center writes a letter which includes the required and suggested accommodations. This letter is signed by the student and the Director of the Academic Success Center. The original letter is given to the student to share with their faculty. A copy of the letter is placed in the student's disability file.

(6) It is the student's responsibility to share the letter with his/her instructors. The faculty are required to provide the specified accommodations if, and only if, the disability letter has been disclosed before the circumstance arises which requires accommodation.

(7) Information related to a disability provided by a student as part of a request for accommodation will remain confidential. All information concerning student disabilities and accommodation is kept separately from student academic files. Only those members of the faculty or administration involved in the decision making process on a requested accommodation will have access to the information. By signing and submitting the signed Release of Information, the student consents to access of that information by those faculty and administration members involved in the decision making process.

### 3.7 Grading, Grade Changes and Grade Appeals

#### 3.7.1 Grading

Assigning grades is a right and responsibility of faculty. Once a student's grade has been officially recorded, the instructor may change it only by verifying with the Department

Chair and the Provost of the University that an error in computing or in recording the grade has occurred. Written documentation of the computational error may be requested by the Provost. If the instructor discovers a computational or recording error that would affect the course grade, the instructor is required to initiate a grade change request.

Beyond the above circumstances and those cases of grade change detailed in the Heidelberg University Grade Change Policy (see 3.7.2 below) and the Student Grade Appeal Policy (see 3.7.3 below), the Faculty may be called upon, on an emergency basis, to act as a committee of the whole regarding an instructor's grades. Specifically, upon recommendation of the Academic Policy Committee in consultation with the Provost of the University, the General Faculty assembled at a regular meeting shall have the authority to determine, by a two-thirds majority, (1) the existence of truly rare and extraordinary circumstances surrounding an instructor's erroneous, capricious, or discriminatory grading of his or her students, and (2) what, if any, grade changes shall be made. In no case shall this power of the Faculty as a whole subvert or overrule the student grade appeal process.

The grading system is outlined in the current University Catalogue.

A calendar of dates for course grades and interim academic appraisals is issued each semester by the Registrar. It is the responsibility of each faculty member to check these due dates. At any time in the semester a special report should be sent to the Academic Success Center for students who seriously neglect their work.

All records should be kept carefully and grades reported accurately.

Credit can be granted to students only for courses in which they have been registered. The instructor should insure that all students' names appear on the class list and grade report submitted to the registrar at the end of the term.

Under no circumstances should an instructor deviate from the rule that an incomplete (I) is granted only when students, through no fault of their own, are unable to complete the work assigned. An incomplete should never be given to students who have fallen behind through negligence, excessive attention to extra-curricular activities, etc. A form supplied by the Registrar's Office and signed by the student and faculty member must be filed with the Registrar for each incomplete grade.

The instructor should not permit a student to improve a grade by taking another examination or by doing additional work unless that opportunity is offered to the entire class.

### 3.7.2 Grade Change Policy

Heidelberg course grades are calculated and assigned by the instructor who teaches the course. Once a student's final course grade has been officially recorded by the Registrar, the grade may be changed if, and only if, (1) a new grade has been determined under the Heidelberg Student Grade Appeal Policy in Section 3.7.3 of the Faculty Manual, **or** (2) a grade of Incomplete is replaced with a letter grade as specified in the current Heidelberg undergraduate and graduate catalogs, **or** (3) the Provost of the University has assigned a lower grade in an academic honesty violation as specified in *Section 3.8.2*, **or** (4) an error in computing or in recording the grade has been identified by the instructor and has been verified by the instructor, the Chair/Director and the Provost, **or** (5) the Faculty has acted under the powers specified in the 3.7.1 of the Faculty Manual.

### 3.7.3 Student Grade Appeals

If a student believes that a final course grade has been assigned in an erroneous, capricious, or discriminating manner, the student may appeal the grade. No grade appeal may be initiated until the Registrar has released the official grade to the student. Grade appeals must move through the following stages until a satisfactory resolution to the problem is reached.

The appeal process begins with the instructor who assigned the grade. The student should meet with the instructor and attempt to resolve the dispute informally. Any such resolution of a grade appeal must be approved in writing by the instructor's Chair/Director and the Provost of the University.

Should an informal resolution of the grade appeal be inconvenient or undesirable to either the student or the instructor, the student shall submit a written letter of appeal to the Chair/Director. The student's written appeal shall state the basis (or bases) of the appeal--i.e., error in computation or recording, capriciousness, or discrimination—and provide evidence in support of the appeal. The latter two of these three claims are very serious and should be undertaken only in cases where the student has considerable evidence to substantiate the claims. Appeals must be accompanied by copies of all pertinent graded work, the course syllabus, and any relevant course handouts (such as assignment prompts). The letter(s) of appeal and supporting evidence will comprise the appeal portfolio and will remain in the custody of the Chair/Director or the Provost of the University until the dispute is resolved, at which time all materials belonging to the student will be returned. The student should keep a copy of all appeal materials.

Upon receipt of the appeal letter, the Chair/Director will notify the instructor and provide the instructor with a copy of the materials from the appeal portfolio. The Chair/Director

will conduct an investigation, including a review of the student's work included in the appeal portfolio and interviews of the student and the instructor, within 15 working days of the receipt of the appeal letter. The Chair/Director's ruling shall indicate either that the instructor's grade shall stand or that the instructor's grade shall be changed to a different grade. In the latter case, the Chair will obtain grade-change approval from the Provost and then submit a change of grade form to the Registrar, indicating that the grade has been changed on appeal.

If either the student or the instructor believes that the Chair/Director has erred in his or her decision, the student or the instructor may submit a written appeal of the Chair/Director's decision to the Provost of the University. The letter of appeal must state specifically how the Chair/Director erred in his or her decision and must be accompanied by evidence to substantiate that claim. The Provost shall investigate the charge of error and respond in writing to the student, the instructor, and the Chair/Director, within 15 working days of the receipt of the appeal. The Provost's ruling shall indicate either that the instructor's original grade shall stand or that the instructor's grade shall be changed to a different grade. In the latter case, the Provost will submit a change of grade form to the Registrar, indicating that the grade has been changed on appeal.

If the student or the instructor believes that the Provost has erred in his or her decision, the student or instructor may submit a written letter of appeal to the Academic Policy Committee. The letter of appeal must state specifically how the Provost erred in his or her decision and must be accompanied by evidence to substantiate that claim. The committee shall investigate the charge of error and respond in writing to the student, the instructor, the Chair/Director, and the Provost, within 15 working days of the receipt of the appeal. The committee's ruling shall indicate either that the instructor's original grade shall stand or that the instructor's grade shall be changed to a different grade. In the latter case, the Chair of the committee will submit a change of grade form to the Registrar, indicating that the grade has been changed on appeal. The decision of the committee is final.

Should the Chair/Director, Provost of the University, or a member of the Academic Policy Committee be the instructor of record of the course under appeal, the Provost, or the Associate Provost, will name an alternate to hear the appeal, if necessary. The alternate shall be either a faculty member within the department or in a related discipline, or another Chair/Director.

In a case where the instructor is absent from campus or is no longer employed by the college, the appeal shall begin directly with the Chair of the department in which the course was taken. The chair will attempt to notify the instructor of the appeal, in writing, within five working days of the receipt of the appeal. The instructor will have 30 calendar days from the date of the Chair's notice to respond. It is the responsibility of the

instructor to ensure that the Chair receives the response in 30 days. After 30 days, the Chair will follow the procedure above, if necessary.

In counting time, “working days” are Monday through Friday when the University is in session during the regular Fall and Spring semesters. The grade appeal process must be started within the first regular semester following assignment of the final course grade.

Requests for an extension of a deadline shall be made in writing to the Provost of the University. Interpretation of this appeal process shall be conducted by the Provost of the College in consultation with the Academic Policy Committee. The Provost’s decision shall be final in extending deadlines and interpreting this policy.

### 3.8 Academic Honesty Policy

Heidelberg University values integrity in academic pursuits. It expects students to complete their work honestly and to report academic dishonesty.

Dishonesty in any form, including but not limited to academic cheating or falsification on any official college record, will result in disciplinary action. Academic dishonesty is punished according to the procedures outlined below.

Academic dishonesty is submitting the work of another person as your own, allowing another person to submit your work as his or her own, or assisting another person to do either. It includes such behaviors as the following:

1. Plagiarizing. Plagiarism is quoting from a source or using ideas paraphrased from a source without proper documentation according to the standard set by your instructor. This includes internet sources and computer sources, such as CD-ROM encyclopedias. Submitting another person’s work –for example a test, lab report, or paper- as your own is plagiarism.
2. Giving or receiving assistance during an exam.
3. Using unauthorized materials during an exam.
4. Acquiring copies of an exam illegally.
5. Stealing materials from another person’s files, including computer files, or using such stolen materials.
6. Using other dishonest methods to complete course work.

#### 3.8.1 Procedure for Dealing with cases of Academic Dishonesty

The following shall be the order of procedure for dealing with cases of academic dishonesty:

1. If an instructor believes that he or she has appropriate evidence to bring charges of academic dishonesty against a student, the instructor will notify the Provost. The notification to the Provost will include the evidence for bringing the charge. While it is the right of the instructor to determine grades, including penalties for academic

dishonesty, the instructor will consult with the Provost in order to maintain a consistent administrative approach to academic honesty issues on the campus.

2. The instructor will notify the student. When possible, the instructor will meet with the student and discuss the evidence.
3. Thereafter, if the instructor is convinced that academic dishonesty has occurred, the student will receive no credit for that grade component, and no makeup for that grade component will be permitted. The instructor will notify the Chair/Director and Provost of that action, including a summary of the evidence of academic dishonesty.
4. Where there is evidence of serious and/or repeated dishonesty, the instructor may recommend to the Provost more serious penalties, as described in 3.8.2. Such instances might include cheating on examinations or major projects; turning in the work of another person under the student's name, including purchasing work from other sources; theft of another's work; or other serious breaches of academic honesty.

#### 3.8.2 Review by the Provost:

After receiving notification from the instructor, the Provost will review the evidence to determine if an additional penalty is warranted. The Provost may impose an additional penalty. Depending on how serious the incident is and on whether the incident is a first or subsequent offense, one or more of the following penalties may be imposed:

1. Special research or service assignments appropriate to the case,
2. A lowered course grade,
3. Dismissal from the course with a grade of "WF",
4. Probation,
5. Dismissal from the university.

#### 3.8.3 Appeal to the Academic Policy Committee:

If a student wishes to appeal the penalty of the faculty member or Provost, he or she may appeal to the Academic Policies Committee within 48 hours of receipt of the decision. An appeal may be made if there is new evidence, if the proper procedures were not followed, or if the penalty involves dismissal from the university.

The letter of appeal must state specifically how the decision was in error and must be accompanied by evidence to substantiate that claim. The committee shall investigate the charge of error and respond in writing to the student, the instructor, the Chair/Director, and the Provost, within 15 working days of the receipt of the appeal.

This committee will review the evidence and will make its recommendation for dismissal of charges or for penalties to the Provost. The Provost will make final determination of the penalty to be assigned.

#### 3.8.4 Appeal to the President of the University:

The student has final recourse for appeal to the President of the University. An appeal may be made only under the same provisions described in 3.8.3. The President will review the evidence and either uphold or change the earlier decisions.

In all cases, a statement of the action taken against the student will be entered in the student's file in the Office of Academic Affairs. A copy will be sent to the instructor and to the student's advisor. At the time of graduation, the student may request that the statement of action be removed from the file.

### 3.9 Examination Policy

Faculty members should announce examination policies for each class at the beginning of the semester, and include the policies on the syllabus for the class.

#### 3.9.1 Final examinations

Final examinations are to be given in all classes unless an exam is not appropriate for the course. If an exam is not given, the final examination time period should be used to receive papers or to discuss papers or projects. Any exceptions to the adopted calendar and/or final examination schedule must be approved by the Provost of the University prior to the announcement to the class of the change. For courses with multiple sections, faculty members may request permission from the Provost to schedule a single exam time for those sections. Such requests should be made before the publication of the final examination schedule.

#### 3.9.2 Changing Final Exam times

Students requesting to change a final examination time or day must make request to the Office of the Provost of the University. The Provost's Office monitors requests for changes of exam time. Students may request a change in a final exam time only if:

- 1) the student has 3 or more final examinations scheduled on one day, or
- 2) the student has a work schedule which conflicts with an exam time, or
- 3) there is a personal situation beyond the control of the student.

If the request for change is approved, the Provost will contact the faculty member to determine a convenient time for the faculty member and student. Students will be given written notification of approval or denial of requests to change exam times. Faculty members will be notified in writing of approval to change exam times.

### 3.10 Student Attendance Policy

Individual faculty members determine the attendance policy for their classes. Attendance policies are to be given to students in writing as part of the syllabus for the course. The

policy will include steps for implementing the policy. Faculty members are required to maintain records of student attendance, and to report the last day of attendance when recording grades for the semester.

### 3.11 Responsibility for Meeting Classes As Scheduled.

Classes are to be taught at the time shown in the schedule of classes, except in extenuating circumstances. A change in the class meeting time should be made primarily to meet educational objectives, and may be made only if the change is acceptable to all students in the class. Any departure from the scheduled meeting time, other than those of a temporary nature, should be approved by the Department Chair/Director and coordinated with the Registrar.

#### 3.11.1 Absence of Faculty members

Planned absence from campus should be approved in advance. The Department Chair/Director may approve absences of one or two class days. Absences longer than two class days must be approved by the Provost of the University. Requests for absence must be submitted in writing, well in advance of the planned absence.

When possible, faculty members should make prior arrangements for anticipated absences. When this is not possible, the faculty member should first attempt to notify the Department Chair/Director. If unable to reach the Chair/Director, the faculty member may contact another qualified member of the department and ask that individual to teach the class or make suitable alternate arrangements for meeting the obligations of the class. Classes should be cancelled only when alternate arrangements are not possible.

#### 3.11.2 Cancelled classes

Classes cancelled by a faculty member should be made up in an appropriate manner, either by scheduling alternate meeting times for the classes, or by other work appropriate to the educational purposes of the class.

#### 3.11.3 Examinations during faculty absence

Examinations or tests given during a faculty member's absence from campus may not be proctored by support staff.

### 3.12 Harassment and Sexual Misconduct

3.12.1 Harassment is physical conduct, verbal conduct or other expressive behavior, including written or pictorial expression, that explicitly demeans the gender, race, sexual orientation, religion, color, creed, disability, national origin, veteran status, ancestry or age of a person or persons and 1) interferes with education, employment or other College-authorized activity or 2) creates an intimidating, hostile or demeaning environment for education, College-related work, or other College-authorized activity.

(1) Verbal harassment includes, but is not limited to name calling, slurs and epithets, jokes or other remarks that demean the victim and/or discourage the individual's full

participation in the College community. Physical harassment occurs when a person's body, possessions, or residence are threatened or abused.

(2) In addition to the preceding definition, harassment refers to behavior that is not welcome, which is particularly offensive, which debilitates morale and which therefore interferes with the work or academic effectiveness of its victims, their co-workers and their peers.

3.12.2 Sexual misconduct, in a college setting, is “non-consensual physical contact of a sexual nature,” including such acts as using force, threat, intimidation, or advantage gained by the offended person’s mental or physical incapacity or impairment, of which the offending person was aware or should have been aware.

3.12.3 Harassment of students and college employees or sexual misconduct will not be tolerated. Any employee who believes they have been subjected to or witnessed harassment or sexual misconduct should report the matter to the Vice President of Academic Affairs or the President of the College. If a case involving a faculty member cannot be resolved at this level, the grievance procedure (Section 2.15) will be employed. An individual who believes they have been subjected to harassment or sexual misconduct can also report the incident(s) to the police department.

All complaints will be investigated in a timely and responsible manner. It is understood that these matters can be extremely sensitive and, so far as possible, will keep all complaints of harassment or sexual misconduct and all communications, such as interviews and witness statements, in strict confidence. All witnesses and those interviewed during the investigation are expected to treat the matter as confidential. All employees who are a part of the investigation have the duty to answer all questions honestly and completely. Individuals alleged to have committed harassment or sexual misconduct have the right to be presented with the allegations and have a responsibility and a right to respond to the allegations. Both the person(s) claiming harassment or sexual misconduct and the accused have a right to a prompt and complete investigation of the claim as well as learning the result of the investigation.

3.12.4 A finding of harassment or sexual misconduct by any employee will result in disciplinary action up to and including dismissal.

3.12.5 The University will not tolerate retaliation against any student or employee who complains of harassment or sexual misconduct or who provides information in connection with any such complaint. Any employee who impedes an investigation, covers up the truth or retaliates against a complainant shall be subject to disciplinary action up to and including dismissal.

### 3.13 Substance Abuse Policy

The University strives to maintain an environment free from conditions that might prove harmful. Behavior resulting from the misuse of alcohol and other drugs can endanger both

the individual user and others. When a person seeks refuge through the misuse of alcohol and other drugs, efforts to enrich life through other activities are reduced. Because the abuse of alcohol and other drugs often limits one's full participation in and contribution to the total program of the College, it is incompatible with the educative process and inconsistent with the basic purposes of an academic community.

Although it is the policy of Heidelberg to be supportive of those individuals receiving treatment for chemical dependency (including alcohol abuse), students and employees should be apprised that treatment is not a refuge from disciplinary action. Individuals with dependency problems who do not respond to treatment may ultimately have their employment terminated or be dismissed from school. Disciplinary actions may be held in abeyance pending the conclusion of a treatment program and may be mitigated by the results of such a program.

3.13.1 The University has prepared a "Substance Abuse Policy" booklet in compliance with the Drug-Free Schools and Communities Act. The Substance Abuse Policy booklet is available through the Office of the Vice President of Student Affairs.

### 3.14 Tobacco Use Policy

Heidelberg remains committed to the health and wellness of its students and the broader campus community. Among the efforts to be implemented by the University are efforts to promote and assist health awareness, wellness, and smoking/tobacco cessation and to enhance air quality and concern for the health and wellness of others throughout campus.

Smoking and use of all tobacco products are prohibited in all Heidelberg University buildings and structures, in all vehicles owned or rented by Heidelberg, and in all sports, recreation, or other designated outdoor areas of campus.

## Section 4.0 Administrative and Financial Policies of Interest to the Faculty

### 4.1 Emergency and Closing Policies

#### 4.1.1 Procedures for the Delay or Cancellation of Classes

Policies for delay and cancellation of classes, and campus weather policies will be distributed at the beginning of each academic year.

1) When the Seneca County Sheriff's Department and the City of Tiffin Police Department declare the roads in Seneca County and the City of Tiffin impassable and motorists are advised to stay off the roads and highways, the Dean of Students, in collaboration with the Provost, and Vice President for Administration and Business Affairs, will determine whether classes should be delayed or cancelled for that day, and if offices will be closed. The decision will be made as early as possible in order to inform employees and students.

2) All Arrowhead class closing decisions will be made by the Office of Academic Affairs, and the Associate Vice President for Academic Affairs. Decisions regarding graduate school classes on the Tiffin campus will be made by the Office of Academic Affairs.

3) The Dean of Students and/or another identified University official will notify the Office of Communications and Marketing for the purpose of posting the weather emergency information on the University website. The Senior Student Affairs on-call person will send notification to all faculty and staff with the Emergency Notification System.

#### 4.1.2 Delay of classes

If the decision is made to delay the opening, Monday, Wednesday and Friday classes will be scheduled to begin at 10:00 a.m. (8:00 a.m. and 9:00 a.m. classes will be cancelled). Tuesday and Thursday classes will convene at 9:30 a.m.

#### 4.1.3. Faculty Unable to Reach Campus

Unless classes are delayed or cancelled by the University, faculty members are expected to meet their classes. However, if a faculty member cannot safely travel to campus for class, the faculty member should do the following:

1. Call 448-2216 and leave a message including the following information: Name, Department, *and* day when classes will not be held.
2. Whenever possible, faculty should call with the message before 7:30 a.m. It is important that this information is available for commuters as early as possible.

This information will be transferred to a special voice mailbox that has been created for weather related information. By calling 448-2222 students will be able to learn which faculty members are not holding class prior to driving to campus or leaving the residence hall.

#### 4.2 Keys and Special Physical Equipment

Keys to faculty offices and campus buildings are issued through Krammes Service Center. Faculty members may be issued entrance keys for appropriate buildings, office keys, classroom keys, and other keys relevant to their work. Faculty who leave the University are required to return their keys to Krammes Service Center in person. No faculty member is to have any University key duplicated for any reason. If necessary, additional keys can be obtained from Krammes Service Center.

The loss of keys must be reported promptly to Krammes Service Center. A replacement charge may be incurred for lost keys.

Special physical equipment may be available from Krammes Service Center.

#### 4.3 Mail

The University Mail Room is located in the lower level of University Hall. All mail sent to a campus address will be received in the Mail Room, and distributed to faculty mailboxes. Outgoing mail may be sent to the Mail Room. The Mail Room staff can assist with large or bulk mailing, or the mailing of parcels and packages through the USPS. United Parcel Service (UPS) and Fedex packages may be sent through the University store located in the Campus Center.

#### 4.4 Telephones

The University maintains its own telephone facilities in the form of a PBX (Private Branch eXchange) switch and an integrated voicemail system.

Faculty are granted access to a campus telephone and voice mailbox (protected by passcode) in their office. If faculty members share an office, multiple voice mailboxes will be provided. Faculty members may also access their voice mailbox from off-campus by calling the Message Center (419.448.2900).

Office telephones provide on-campus, local, and long distance service, with long distance charges billed to the department in which the faculty member has primary

teaching responsibilities. On-campus extensions may be reached by 4-digit dialing; off-campus numbers may be reached by first dialing a "9."

Emergencies should be reported by dialing "9-911." The university telephone system provides location information (e.g. /building, street address, floor) for all direct-dial extensions to the appropriate local dispatch facility when 9-911 is dialed.

Assistance with the telephone and voicemail systems is available through the CNIT (Computer, Network, & Information Technology) department. General questions or requests for temporary telephone/voicemail service in other locations (e.g. classrooms, meeting rooms, *etc.*) may be made to the Administrative Assistant for CNIT, via the CNIT helpdesk at 419.448.2088, or online at [www.heidelberg.edu/helpdesk](http://www.heidelberg.edu/helpdesk). Technical questions or concerns about telephone and voicemail resources should be addressed to the Director of Information Technology.

#### 4.5 Computer replacement and upgrades

Faculty are granted access to computer equipment and services, including Internet access. Email accounts are available to all faculty members. Internet access via university-owned equipment is available in faculty offices, public computer laboratories, and kiosk terminals located across campus. Portable equipment is available for limited loan periods via the Instructional Media Center. Use of the university's computing and network facilities is in accordance with its *Computer and Network Use* and *Electronic Information Publication* policies. ([www.heidelberg.edu/offices/computing](http://www.heidelberg.edu/offices/computing)).

Faculty members will be provided with a university-owned personal computer and productivity software (e.g. email client, web browser, office suite, *etc.*) as standardized by the university. Computing hardware is replaced on a regular cycle, and standard software packages are upgraded on a regular basis.

Computing assistance is available in the university computer Center, and through the CNIT (Computer, Network & Information Technology) department. Faculty should contact the Manager of PC Operations for support of university hardware and software. Requests for non-standard hardware and software for special academic needs, as well as requests for additional computing services, should be directed to the Director of CNIT, who will refer it to the University's Technical Advisory Group (TAG). Requests regarding the electronic publication of official University information (e.g. electronic documents, web site, *etc.*) should be made to the Assistant Director of CNIT and/or the Office of University Relations and Marketing Communications, as appropriate.

Questions about the University's technology infrastructure, administrative data services, and campus-wide computing in general should be addressed to the Associate Director of CNIT.

Other requests or concerns about computing resources should be directed to the Associate Vice President for Information Resources.

#### 4.6 Web site

The University website is located at [www.heidelberg.edu](http://www.heidelberg.edu).

CNIT personnel serve to assist the development of department web content. Site uniformity and graphic identity are monitored by the webmaster. Faculty members are encouraged to be involved in the creative process and to help develop and maintain site content for their department(s). CNIT will provide technical assistance and serve as a conduit for content submission. Additional support is available for the development and hosting of course-related material.

#### 4.7 Purchase Orders and Requisitions

Requests to purchase supplies, equipment, and services should be directed to Chair/Directors, who forward requests to the Office of the Provost. Requisitions and purchase orders must be signed by the Business Officer. No faculty member may sign a contract, including grants, with any outside vendor committing the University or its resources without the written approval of the Provost and the Vice President for Administration and Business Affairs.

#### 4.8 Travel Policies

Travel expenses incurred while on university business, such as professional meetings, conferences, or teaching, may be reimbursed if the trip has been pre-approved and if receipts are submitted according to the following guidelines.

1. Expenses for travel include but are not limited to mileage, transportation, parking fees, conference registration, room accommodations, and meals. Meals must be itemized. No alcohol will be reimbursed.
2. Prior to professional conferences and meetings, a Pre-Conference Authorization form must be completed and signed by the Chair/Director and the appropriate Associate Dean of the University so that funds can be approved and encumbered.
3. A Travel Expense Report must be completed and approved within three business days of return to campus.

4. Mileage to Arrowhead campus will be reimbursed according to the approved rate per mile. Faculty may submit expenses once per term. Related expenses would include turnpike tolls.
5. Travel for other meetings, field trips, or university business may also be covered. Faculty must complete a Travel Authorization form before departing and submit a Travel Expense Report upon return, approved by the Chair/Director and Associate Dean of the University.

#### 4.9 Field trips

Field trips are encouraged as part of the educational experience of students and faculty. However, faculty members should plan trips to cause as little conflict as possible with other classes. The Provost's office may assist with expenses on some field trips, but arrangements must be approved prior to the event. A Travel Expense Report must be filed upon return within three business days.

University approval forms and liability release forms are necessary for all Heidelberg study abroad programs and all required off campus programs which involve an overnight trip and/or unusual risks. Guidelines for study abroad and required off campus programs and forms can be found on Server Six.

To obtain information relating to student health insurance, emergency contacts, and other medical concerns, faculty members leading an off-campus trip should contact the Health Center.

#### 4.10 Parking

Vehicles must be registered with Krammes Service Center and should be parked in designated lots. Registration requests can be completed through the campus web site, and permits picked up at the Business Office. There is no fee for faculty registration.

## 5.0 External Relations Policies of Interest to the Faculty

### 5.1 Communication Channels

The University seeks, whenever possible, to publicize and promote scholarly and service activities and accomplishments of faculty members. Because the Office of Communication & Marketing, which coordinates all publicity, has access to an electronic database of media outlets and contacts, faculty members are strongly encouraged to work with the office to gain optimum external and strategic promotion of various activities for both the individual and the institution. Faculty members should contact the Office of Communication & Marketing, rather than working individually with external agencies.

### 5.2 Publicity for Faculty Activities

There are several vehicles the university utilizes to publicize faculty activities.

*Nota Bene Online* is distributed electronically to the campus community biweekly during the academic year and monthly during summer months. This publication includes a section which contains self-submitted information about faculty scholarly activities, including published works and performances, conference presentations, community service activities, and other activities of interest to the faculty. Faculty achievements of a larger scale, (i.e. grant receipt, larger works published, awards received) often merit a headlined article and photograph in *Nota Bene Online*.

The University's website is largely maintained by the Office of Communication & Marketing. Front-page content often reflects faculty achievement, student achievement and faculty-student collaboration. Faculty members should contact the Office of Communication & Marketing to suggest web coverage of an event or accomplishment.

The Office of Communication & Marketing routinely distributes news releases regarding upcoming events, faculty achievement, student achievement, etc. To have an advance news release written and distributed to the media, contact the Director of Communication & Media Relations a minimum of three weeks prior to an event and no later than two weeks following the receipt of an award, honor, etc. to receive appropriate internal and external coverage.

*The Bulletin*, Heidelberg's alumni magazine, is published three times a year and is a collaboration between the offices of Communication & Marketing and Alumni Relations. This publication frequently profiles faculty activity in full-page features and more succinctly in a section called "Faculty Pursuits." To request or suggest an article, contact the editor of *The Bulletin* in the Office of Communication & Marketing, or the Director of Alumni Relations.

### 5.3 Use of Institutional Images

The Office of Communication & Marketing has developed a Graphic Standards Manual that addresses such issues as university colors, use of the institutional logo, the Heidelberg “H” and the official university seal. In an effort to create consistent imaging, the office monitors use of these graphical elements. For questions, contact the office or refer to the manual online at <http://www.heidelberg.edu/about/administrativeoffices/marketingcommunication/standards>.

For questions about use of institutional letterhead, securing business cards and other official university items, requesting print publications, website projects or photography, contact the Office of Communication & Marketing.

### 5.4 Communications with University’s Legal Counsel

All contacts with the university’s legal counsel should be made only with clearance by the Provost or the President. Vice Presidents are empowered to contact the attorney as needed or to delegate this task as appropriate.

### 5.5 Fund Raising

Fund raising activities are coordinated through the Office of Institutional Advancement. Any fund raising activity which involves constituencies external to the University must be approved by the Office of Institutional Advancement. Faculty are encouraged to submit fund-raising requests through the Office of the Provost.

### 5.6 Public Speech and writing

Faculty members retain all rights of expression guaranteed to them by the constitution of the United States, and by applicable federal and state statutes. When engaging in public speech or writing outside the campus community, faculty members should identify themselves primarily as individual citizens, and make clear that their views do not necessarily represent those of Heidelberg University. Faculty members should identify themselves as associated with Heidelberg University only when acting in their professional capacity, or when authorized to speak or write on behalf of the university.

## Appendix A: Organizational Chart of the University

## Appendix B: Heidelberg University Board of Trustees

Updated lists of the Board of Trustees may be found in the Heidelberg University Catalog.

Trustees for 2008-09

### Emeriti Trustees

William F. Aigler, B.A., J.D. (1973-1997)  
Verne S. Atwater, B.A., M.B.A., Ph.D., L.H.D. (1966-1990)  
Anita M. Gaydos, R.N., B.A. (1976-2000)  
Donald L. Mennel, B.A., M.A., M.B.A. (1983-1994)  
William G. Thornton (1956-1975)  
Alfred A. Wilhelm, A.B. (1968-1993)

### Board of Trustees

President of the University

TERM EXPIRES June 30, 2009

Paul M. Brown, B.A. (2005)  
Charles C. Cole, (1999)  
Melvin A. Jones, A.B. (1985)  
Anthony J. Paradiso, B.S. (1999)  
Ralph Talmage, B.S. (2006)  
Bob L. Youngblood, B.A., M. Ed. (2006)  
Roy S. Zinn, B.S., D.V.M. (2001)

TERM EXPIRES June 30, 2010

John Q. Adams, B.A. (2007)  
Gary L. Bryenton, A.B., J.D. (1990)  
Ernest Estep, B.S., M.D. (2000)  
John N. Kratz, B.A. (2007)  
Sondra Libman, B.A., M.A. (1998), Chairwoman of the Board  
Steve C. Shuff, B.A., J.D. (1998)  
Susan C. Wolf, B.A., Ph.D., M.D. (2007)

TERM EXPIRES June 30, 2011

Karen L. Gillmor, B.A., M.A., Ph.D. (1999)

Theodore H. Hieronymus, B.M., M.Ed. (2003)  
Andrew H. Kalnow, B.A., M.B.A. (1987)  
Michael J. Kerschner, B.S. (2003)  
Ralph C. Quellhorst, B.A., M.Div., D. Min., D.D. (1979)  
Elizabeth Smith, B.A., J.D. (1999)  
Wade E. Young, B.S., M.D. (2003)

TERM EXPIRES June 30, 2012

Roger McManus, B.A., CPCU (2000)  
Sandra Reed Solaro, B.S., Reg. Pharm. (2001)  
Doug Stephan, A.B. (2000)  
Victor Strimbu, B.A., J.D. (1996)

## Appendix C: Faculty Search Procedures

In order to ensure consistency and equity in filling faculty vacancies at Heidelberg University, the following steps for seeking approval of a faculty position are to be followed.

- (1) A Chair/Director, in consultation with the appropriate Provost, will complete an appropriate personnel form for each new or vacant position and forward it to the Faculty Personnel Committee with a copy to the Provost. The form is available from the office of the Provost and on Server Six. The form will include the proposed faculty rank for the position, chosen by using the criteria described in Section 2.2.8.
- (2) FPC will review the request, especially to determine whether or not the position is a tenure-track position, and will make recommendation to the Provost, who forwards to the President both the personnel form and the recommendations of FPC.
- (3) The Provost will initiate the hiring process. A Search Committee must be formed for all full-time faculty hires. For significant part-time or one-year replacement positions, the Provost in cooperation with FPC will determine whether a Search Committee is necessary. Adjunct positions and part-time positions do not ordinarily require a Search Committee.
- (4) The Provost will request names of people to serve on the Search Committee from the Chair/Director. For full-time faculty positions, the Search Committee will be comprised of a majority of faculty with at least one faculty member from the department into which the individual will be hired. At least one student will serve on the committee. The President of the University will appoint individuals to serve on the Search Committee and designate a Chair for the Committee.

The Search Committee will utilize the following procedures:

- The Chair will call an initial meeting with the Committee and the Provost to review the charge to the committee. The Provost and the Chair of the Search Committee will be responsible for adherence to legal, ethical, and other interview protocols.
- The Search Committee will develop an advertisement for the position including the position title (including whether it has been approved as tenure track or non-tenure track), a brief description of the duties, necessary qualifications, materials to be submitted, a standard description of Heidelberg University (available from the Provost's Office), an AA/EEO statement, name and address of a contact person, and an application deadline.

Among the materials to be submitted, the Search Committee should consider including a vitae, all academic transcripts, three current letters of reference, summary of student evaluations, reprints of publications, and a statement of teaching philosophy.

- The Chair sends the advertisement to the Provost for approval and works with the Administrative Assistant to the Provost to determine where to place the advertisement.
- The Committee reviews applications and develops a list of five to six semi-finalists and a list of questions to be used in phone interviews.
- The Chair coordinates phone calls to the references provided by the candidates. Following the reference calls, the Search Committee determines how many of the semi-finalists will be granted phone interviews.
- The Committee or designated individuals contact the semi-finalists by phone to ask pre-determined questions, to discuss the salary range for the position, and to determine if the person still has an interest in the position.
- After the phone interviews, the Committee recommends up to three finalists for on-campus interviews and discusses the recommendations with the Provost.
- The Chair works with the Provost's office to make travel and lodging arrangements for candidates, to develop an itinerary for the visits, and to prepare materials to send to the candidates. Candidates are not to purchase their own airline tickets. Itineraries should include a sample classroom presentation. A separate presentation on research interests may also be appropriate. Each candidate should meet with the FPC and with the appropriate Division Head.
- The Chair serves as host for the candidate during the visit.
- As part of the on-campus interview, the finalists meet with FPC. The Search Committee chair will arrange the meeting with the chair of FPC. The meeting will be held independently of Search Committee members, or members of the department, unless members of the department are also members of FPC.
- Following the interview, the Chair is responsible for obtaining feedback from the members of the FPC, Search Committee members, and members of the campus community who met the candidate.

- After consultation with the Search Committee, the Chair presents a recommendation to the Provost, along with rationale including strengths and weaknesses of the finalists. The recommendation should especially note whether any of the finalists were unqualified or unsuitable for the position. The Provost then makes final recommendation to the President of the University for approval.
- The Provost will negotiate the contract with the candidate unless other arrangements have been made.
- Once a signed contract has been returned to the President's Office, the Search Committee Chair drafts a letter notifying all applicants that the position has been filled, and a separate letter thanking the interviewees for their time and interest in Heidelberg. The department secretary mails the letters unless other arrangements have been made.
- The Search Committee Chair returns all applicant files to the Provost's office.

## Appendix D: Student Handbook

The Student Handbook may be requested from the Office of Student Affairs, or accessed online at

<http://www.heidelberg.edu/studentlife/Deanofstudents/codeofconduct>.