



# Faculty Handbook

Sacred Heart University  
Fairfield, Connecticut

Approved by Board of Trustees: May 10, 2024

Effective Date: July 1, 2024

## TABLE OF CONTENTS

PREFACE.....	8
1.0 THE UNIVERSITY.....	9
1.1 Preamble .....	9
1.2 Mission Statement .....	9
1.3 Vision Statement.....	9
1.4 Core Values .....	9
1.5 Guiding Principles .....	10
1.6 University Organization.....	10
2.0 SHARED GOVERNANCE.....	10
2.1 Principles of Governance.....	10
2.2 University Academic Governance Structure .....	11
3.0 FACULTY APPOINTMENT CATEGORIES AND HIRING .....	12
3.1 Ordinary Full-Time Faculty Categories.....	12
3.1.1 Tenure-Track/Tenured Faculty.....	12
3.1.1.1 Required Hiring Credentials .....	12
3.1.1.1.1 Appointment to Assistant Professor Rank .....	12
3.1.1.1.2 Appointment to Associate Professor Rank .....	12
3.1.1.1.3 Appointment to full Professor Rank .....	13
3.1.1.2 Basis for Annual Evaluations and Promotion Decisions for Tenure-Track/Tenured Faculty .....	13
3.1.1.3 Teaching Loads for Full-Time Tenure-Track/Tenured Faculty.....	13
3.1.1.3.1 Teaching Loads for Full-Time Tenure-Track Faculty .....	13
3.1.1.3.2 Teaching Loads for Full-Time Tenured Faculty .....	13
3.1.2 Teaching-Track Faculty .....	14
3.1.2.1 Required Hiring Credentials .....	14
3.1.2.1.1 Appointment to Assistant Teaching Professor Rank.....	14
3.1.2.1.2 Appointment to Associate Teaching Professor Rank.....	14
3.1.2.1.3 Appointment to full Teaching Professor Rank.....	14
3.1.2.2 Basis for Annual Evaluations and Promotion Decisions for Teaching-Track Faculty ...	15

3.1.2.3 Teaching Loads for Full-Time Teaching-Track Faculty .....	15
3.1.3 Clinical-Track Faculty .....	15
3.1.3.1 Clinical Paths .....	15
3.1.3.1.1 Clinical Educator Path Required Hiring Credentials .....	15
3.1.3.1.2 Basis for Annual Evaluations and Promotion Decisions for Faculty on the Clinical Educator Path .....	16
3.1.3.1.3 Clinical Practitioner Path Required Hiring Credentials .....	16
3.1.3.1.4 Basis for Annual Evaluations and Promotion Decisions for Faculty on the Clinical Practitioner Path .....	17
3.1.3.2 Teaching Loads for All Clinical Faculty .....	17
3.1.4 Professor of Practice Faculty .....	18
3.1.4.1 Hiring Credentials Required for Appointment to All Faculty of Practice Ranks .....	18
3.1.4.2 Additional Required Hiring Credentials for Appointment to Assistant Professor of Practice .....	18
3.1.4.3 Additional Required Hiring Credentials for Appointment to Associate Professor of Practice .....	19
3.1.4.4 Additional Required Hiring Credentials for Appointment to full Professor of Practice .....	19
3.1.4.5 Basis for Annual Evaluations and Promotion Decisions for Faculty of Practice .....	19
3.1.4.6 Teaching Loads for Faculty of Practice .....	19
3.2 NON-ORDINARY FACULTY APPOINTMENTS .....	19
3.3 FACULTY SEARCH GUIDELINES .....	21
3.3.1 Pre-search Processes .....	21
3.3.2 Search Processes .....	21
3.4 Policies Regarding Letters of Appointment .....	22
3.4.1 Probationary Letters of Appointment .....	22
3.4.2 Continuous Letters of Appointment for Ordinary Tenured Faculty .....	22
3.4.3 Rolling Letters of Appointment for Clinical Faculty .....	22
3.4.4 Renewable Letters of Appointment for Ordinary Non-tenure-track .....	23
3.4.5 Term Letters of Appointment for Non-Ordinary Faculty .....	23
3.4.6 Issuance and Receipt of Letters of Appointment .....	23
4.0 FACULTY RIGHTS & RESPONSIBILITIES .....	24
4.1 Faculty Rights .....	24

4.2 Faculty Responsibilities .....	27
4.2.1 Principal Occupation .....	27
4.2.2 Code of Professional Ethics.....	27
4.2.3 Outside Activities and Associated Conflicts.....	28
4.2.4 Definition of Year and Regular Attendance Responsibilities .....	28
4.2.5 Teaching.....	29
4.2.6 Scholarship and Creative Activity .....	30
4.2.7 Service .....	31
4.2.8 Availability and Office Hours .....	31
4.2.9 Advising.....	32
4.2.10 Professional Conduct.....	32
4.2.10.1 Collegiality .....	32
4.2.10.2 Inclusive Excellence .....	33
5.0 ANNUAL FACULTY EVALUATION AND PRE-TENURE REVIEW .....	34
5.1 Annual Faculty Evaluation .....	34
5.1.1 Annual Evaluation Criteria .....	34
5.1.2 Annual Evaluation Process .....	34
5.2 Pre-Tenure Review .....	35
5.2.1 Pre-Tenure Portfolio .....	35
5.2.2 Pre-Tenure Review Committee.....	36
5.2.3 Pre-Tenure Portfolio Review .....	36
5.2.3.1 Pre-Tenure Evaluation Report .....	37
5.2.4 Role of the Department Chair.....	37
6.0 TENURE AND PROMOTION .....	38
6.1 Tenure and Promotion Standards.....	38
6.1.1 Teaching Expectations for All Faculty Applying for Promotion and/or Tenure .....	38
6.1.1.1 Teaching Excellence .....	38
6.1.1.2 Evidence for Teaching Excellence.....	39
6.1.2 Scholarship and Creative Activity Expectations for Tenured and Tenure-track Faculty .....	40
6.1.3 Service Expectations.....	41
6.1.4 Additional and Specific Criteria According to Faculty Category and Promotion Level .....	42

6.1.4.1 Tenured and Tenure-Track Faculty .....	42
6.1.4.1.1 The criteria for promotion to associate professor with tenure/tenure only are as follows: .....	42
6.1.4.1.2 Promotion to Tenured Professor .....	43
6.1.4.2 Teaching Faculty .....	43
6.1.4.2.1 Criteria for Promotion to Associate Teaching Professor .....	43
6.1.4.2.2 Criteria for Promotion to Teaching Professor .....	43
6.1.4.3 Professional Practice Faculty .....	44
6.1.4.3.1 Criteria for Promotion to Associate Professor of Practice .....	44
6.1.4.3.2 Criteria for Promotion to Professor of Practice .....	44
6.1.4.4 Clinical Faculty .....	45
6.1.4.4.1 Clinical Faculty – Educator Path .....	45
6.1.4.4.1 Clinical Faculty – Practitioner Path .....	45
6.2 Tenure and Promotion Processes .....	46
6.2.1 Portfolio Preparation .....	47
6.2.1.1 Portfolio Contents .....	47
6.2.2 Ethical and Professional Responsibilities for Members of Tenure and Promotion Review Committees .....	48
6.2.3 First-Level Review: The Department .....	49
6.2.3.1 Department Committee Eligibility .....	49
6.2.3.2 Department Review Committee Chair .....	50
6.2.4 Second-Level Review: The College Rank and Tenure Committee .....	50
6.2.4.1 Staffing of the College Rank and Tenure Committee .....	51
6.2.4.2 Activity of the College Rank and Tenure Committee .....	51
6.2.5 Third-Level Review: The College Dean .....	52
6.2.6 Fourth-Level Review: University Tenure and Promotion Committees .....	52
6.2.6.1 The University Rank & Tenure Committee .....	52
6.2.6.2 The University Promotion Committee .....	52
6.2.6.3 Staffing of the University Rank & Tenure and the University Promotion Committees ..	52
6.2.6.3.1 Composition of the University Rank & Tenure Committee .....	52
6.2.6.3.2 Composition of the University Promotion Committee .....	53

6.2.6.4 Activity and Responsibilities of the Committees.....	53
6.2.6.5 Expedited Review of External Applicants for Professor and/or Tenure .....	54
6.2.7 Fifth-Level Review: The Provost .....	54
6.2.8 University President.....	54
6.2.9 Board of Trustees .....	54
7.0 FACULTY DEVELOPMENT, CHANGES IN TEACHING LOADS, AND SABBATICALS ....	55
7.1 Faculty Development.....	55
7.1.1 Faculty Development Programs Offered by Sacred Heart University .....	55
7.1.2 Conference and Other Professional Travel Funds .....	55
7.2 Changes in Teaching Loads.....	56
7.3 Sabbaticals .....	56
7.3.1 Eligibility For Sabbatical Leaves.....	56
7.3.2 Postponement of Sabbatical Leave .....	57
7.3.3 Faculty Status During Sabbatical.....	57
7.3.4 Salary Eligibility During Sabbatical Leave .....	57
7.3.5 Application Procedures .....	57
7.3.6 Criteria and Actions for Sabbatical Applications.....	58
7.3.7 Sabbatical Recipients' Obligations .....	58
8.0 FACULTY LEAVES OF ABSENCE .....	59
9.0 INTELLECTUAL PROPERTY .....	61
10. SEPARATION AND GRIEVANCE.....	62
10.1 Separation .....	62
10.1.1 Types of Separation .....	62
10.1.1.1 Resignation .....	62
10.1.1.2 Retirement.....	63
10.1.1.3 Non-Reappointment.....	63
10.1.1.3.1 Procedural Guidelines for Non-Reappointment .....	63
10.1.1.4 Prolonged Mental or Physical Illness .....	64
10.1.1.5 Dismissal for Cause .....	65
10.1.1.5.1 Progressive Discipline in Advance of Dismissal.....	65
10.1.1.5.2 Actions Short of Dismissal.....	66
10.1.1.6 Layoff.....	66

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10.2 Grievance .....	68
10.2.1 Grievance Procedures .....	68
10.2.1.1 Faculty Grievance Committee .....	68
10.2.1.2 Before a Formal Grievance.....	69
10.2.1.3 Formal Grievance .....	69
10.2.1.4 Investigation .....	69
10.2.1.5 Decision .....	70
11.0 REVISION OF THE FACULTY HANDBOOK .....	71
11.1 Procedure for Revision of the Faculty Handbook .....	71
11.1.1 Proposed Amendments .....	71
11.1.2 Processing of Proposals .....	72
11.1.3 Role of the President.....	72
11.1.4 Board of Trustees Approval .....	73
11.1.5 Emergency Procedure .....	73
11.1.6 General Rules of Implementation .....	73

## PREFACE

The Faculty Handbook documents policies, procedures, best practices, and suggestions on all areas of University policy and practice that affect faculty members. The Faculty Handbook is a living document, intended to be assessed and amended as necessary.

The authors of the Faculty Handbook make every attempt to work within policies and guidelines of national organizations (e.g., AAUP, CUPA) and of state and federal bodies. No single document can answer every question or articulate a policy for every situation. Open and frequent dialogue among faculty members, administrators, and Human Resources professionals should accompany implementation of Faculty Handbook policies and guidelines.

In the event of a conflict between the Faculty Handbook and said policies and guidelines, the terms, conditions, and language of the Handbook shall control.

The current iteration of the Faculty Handbook represents a major overhaul of the document, conducted during the academic years spanning 2022-2024, and approved by the University Board of Trustees on May 10, 2024.

Note: This document frequently refers to “Department Chairs.” In cases where there is no Department Chair, the academic unit head, as appointed by the College Dean, will perform the Chair’s tasks.

This Faculty Handbook enters effect July 1, 2024. For the purposes of standards and procedures related to promotion and tenure, the following applies:

- A. Tenure-track faculty who started their appointment at Sacred Heart before any date in the 2023-24 academic year will apply for promotion to associate professor with tenure under the guidelines outlined in the December 2021 version of the Faculty Handbook.
- B. All other candidates for promotion and/or tenure are subject to the current Faculty Handbook’s guidelines starting in the 2025-26 academic year, which requires submission of a letter of intent in April of that calendar year.



## 1.0 THE UNIVERSITY

### 1.1 Preamble

Sacred Heart University's mission and its guiding principles shape our community: who we are, how we interact, and who we aspire to be. It calls our entire community to strengthen the distinctive culture that defines our institution, with a particular focus on inclusive excellence. We are a university rooted in the Catholic intellectual tradition and the liberal arts, inspired by the pioneering vision of the Second Vatican Council, which embraced the Church's desire to respond to the needs of a changing world while remaining true to its living tradition. In that same pioneering spirit, Sacred Heart University must embrace the future while intentionally nurturing and maintaining its essential nature. Sacred Heart University's extraordinary and rapid expansion of our student population, our physical plant and the university's vision for research has entailed growth in both size and complexity. The institution responds to the demands of growth while maintaining its commitments to teaching excellence, research, mission, social justice, inclusive excellence, and to the key tenets of our Pioneer Journey: intentional reflection and courageous civil discourse. Our guiding principles provide a roadmap for affirming our values and purpose, identifying our priorities, and shaping the University's future. Our mission and culture will continue to be the cornerstones of all that we do.

### 1.2 Mission Statement

Sacred Heart University, founded to be governed and administered by laity, is rooted in the Catholic intellectual tradition and the liberal arts. Open and welcoming, the University embraces a vision for social justice and educates students in mind, body, and spirit to prepare them personally and professionally to make a difference in the global community.

### 1.3 Vision Statement

Sacred Heart University aspires to achieve prominence through innovative teaching, learning, and research while cultivating a campus community that is recognized as caring and creative.

### 1.4 Core Values

As a Catholic University inspired by the Second Vatican Council, we adhere to these values as intrinsic to our reason for being:

- A. The preservation, transmission, and development of the Catholic intellectual and liberal arts traditions
- B. Commitment to excellence in all that we do
- C. The pursuit of truth and knowledge as intrinsically valuable, through teaching and scholarship
- D. The promotion of the common good of society
- E. Recognition of the dignity and worth of every human being

## 1.5 Guiding Principles

Informed by our Mission, Vision, and Core Values, these Guiding Principles represent and shape our student-centered community, who we are, how we interact, and who we aspire to be.

- A. We are ethical, integral, and trustworthy.
- B. We are welcoming, inclusive, and diverse.
- C. We engage in all matters with our hearts, minds, bodies, and spirits.
- D. We are ambitious, courageous, and forward-thinking.
- E. We preserve an enduring tradition in the modern world.
- F. We serve the community.

## 1.6 University Organization

Sacred Heart University is an independent corporate entity.

The Board of Trustees is the legally chartered governing body of the University and has ultimate authority in governance matters. The Board is composed of corporate, civic, academic, and religious leaders from within the state and beyond. The Board's role is stated in the University by-laws. The Board hosts several subcommittees to address specific Board functions. The Board's Executive Committee consists of Board Officers, the Chairs of the Board subcommittees, and rotating at-large members appointed to provide broad participation in membership.

# 2.0 SHARED GOVERNANCE

## 2.1 Principles of Governance

There are five underlying principles of this governance system.

- A. The first of these is that faculty and senior academic administrators should be involved in decisions central to the University's academic role that foster institutional viability.
- B. Second is the belief that deliberations on academic governance issues are most effectively conducted in an environment inclusive of primary stakeholders in academic decision-making, with "multiple arenas for meaningful engagement" (Challenges for Governance: A National Report. Center for Higher Education Policy Analysis, University of Southern California, Los Angeles, CA 90089-0031, Center for Higher Education Policy Analysis website). Giving voice in University-wide governance to full-time faculty, adjunct faculty, and senior academic administrators should improve communication, better inform recommendations, and make more transparent the decision-making process.
- C. The third key principle is that decision-making should take place at the lowest possible level. Where issues are determined to affect a single department or College, decision-making authority (or compelling influence) is assigned at the department or College level. The recommended structures are intended to provide faculty with additional opportunities to directly influence decision-making and to improve communication at all levels.

- D. The fourth principle is that the elements of an effective governance structure require operating procedures that are: clearly written, approved by the constituents who are governed by them, readily available to all, and subject to periodic review and revision. This assumes that the principles of University academic governance as set forth in this document, as well as the policies approved through the University structure, apply at both the University and College level.
- E. Lastly, the final principle is that the success of any academic governance structure is dependent both upon a culture of mutual respect and upon effective communication. Faculty and administrators share the responsibility for developing and fostering an environment where there are opportunities for sustained and meaningful engagement by all those involved in the processes of academic governance, from its narrowest to its broadest of definitions.

Major areas of faculty participation include, but are not necessarily limited to, making recommendations regarding the following:

- A. Curricular matters and methods of instruction
- B. Requirements for matriculation and degrees
- C. Appointment, reappointment, non-reappointment, promotion, and dismissal of faculty
- D. Granting of tenure
- E. Selection of Department Chairpersons, Program Directors, and Academic Administrators
- F. Disciplining members of the faculty
- G. Formulation of rules and procedures for the disciplining of students
- H. Aspects of student life related to the educational process
- I. Establishment of norms for teaching responsibilities and for the evaluation of faculty achievement
- J. Establishment of expectations concerning faculty research and scholarship
- K. Structure and procedure for faculty participation in academic governance.
- L. Establishment of priorities regarding the University budget
- M. Deliberations concerning the revision of the Faculty Handbook

## **2.2 University Academic Governance Structure**

The structure of academic governance at Sacred Heart University will be in accordance with the Constitution and By-Laws of the University Academic Assembly, as amended. A current copy of the Constitution and By-Laws is available in several places, including from the current UAA officers, from the Vice President for Academic Affairs, and electronically through the University Academic Assembly site on Blackboard.

## 3.0 FACULTY APPOINTMENT CATEGORIES AND HIRING

### 3.1 Ordinary Full-Time Faculty Categories

Full-time faculty appointments occur in one of the four categories detailed below. Each appointment category carries a workload distribution (e.g., teaching, scholarship, service) appropriate for its role in the university's mission. Academic program needs at the time of hire dictate both whether the faculty member is assigned as "remote" or "on campus", and the number of months (9, 10, 12) that the faculty member serves per year. Furthermore, any non-tenure-track/tenured faculty category may be assigned a "visiting" contract to fill a short-term need.

The percentage of tenure-track/tenured faculty shall meet or exceed 50% of the total of ordinary faculty in any College, unless otherwise required by an appropriate accrediting body.

#### 3.1.1 Tenure-Track/Tenured Faculty

Tenured and tenure-track faculty are the primary producers of the University's research and creative output, in addition to their critical roles in teaching, advising, and service. They are stewards of the University, its interests, and its integrity.

An award of tenure means that a faculty member is entitled to an annual contract renewal until retirement or resignation, unless there is a dismissal for cause, prolonged illness, enrollment or financial exigency, or changes in and/or elimination of academic programs, in accordance with the policies and procedures contained in this Handbook.

Titles: Assistant Professor, Associate Professor, and Professor

Tenure-Track faculty are eligible for tenure and promotion.

Tenured faculty are eligible for promotion.

##### 3.1.1.1 Required Hiring Credentials

###### 3.1.1.1.1 Appointment to Assistant Professor Rank

- A. Earned or imminent terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree
- B. Experience in and/or promise for excellence in teaching, scholarship/creative activity, service, advising, collegiality, and inclusive excellence

###### 3.1.1.1.2 Appointment to Associate Professor Rank

- A. Earned terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree.
- B. Minimum of six years demonstrated effectiveness in teaching, scholarship, and service in a full-time college-level appointment.

- C. No more than three years of previous work may be granted towards a tenure and/or promotion decision.
- D. Faculty being hired at the rank of Associate or full Professor with tenure upon hire must undergo the expedited tenure review process (Section 6.2.6.5 of the Faculty Handbook).

#### **3.1.1.1.3 Appointment to full Professor Rank**

- A. Earned terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree.
- B. Hiring at the full professor level occurs only in rare and exceptional cases.
- C. Minimum of ten years demonstrated effectiveness in teaching, scholarship, and service in a full-time college-level appointment.
- D. No more than three years of previous work may be granted towards a tenure decision.

#### **3.1.1.2 Basis for Annual Evaluations and Promotion Decisions for Tenure-Track/Tenured Faculty**

Teaching, scholarship/creative activity, service, advising (as appropriate per program), collegiality, inclusive excellence, and other areas outlined under Section 4.2, Faculty Responsibilities of the Faculty Handbook.

#### **3.1.1.3 Teaching Loads for Full-Time Tenure-Track/Tenured Faculty**

Teaching loads are defined in Section 4.2, Faculty Responsibilities (Definition of Year and Regular Attendance Responsibilities) of the Faculty Handbook

##### **3.1.1.3.1 Teaching Loads for Full-Time Tenure-Track Faculty**

- A. The teaching load for tenure-track faculty is 24 credits/year for a 9- or 10-month contract and 27 credits/year for a 12-month contract.
- B. The teaching load is reduced to 18 credits/year for a 9- or 10-month contract, or 21-credits/year for a 12-month contract, depending on demonstrated and continuous research/creative activity.
  - i. Tenure-track faculty are evaluated on an annual basis (Faculty Handbook Section 5, Annual Faculty Evaluation and Pre-Tenure Review)
  - ii. Part of that evaluation is scholarly/creative activity. Failure to meet expectations, including engagement in scholarly/creative activity, may result in a reappointment with reservation.
  - iii. A second evaluation with a failure to meet expectations, including research/creative activity, may result in a non-reappointment.

##### **3.1.1.3.2 Teaching Loads for Full-Time Tenured Faculty**

- A. The teaching load for tenured faculty is 24 credits/year for a 9-or 10-month contract or 27 credits/year for a 12-month contract.

- B. The teaching load is reduced to 18 credits/year for a 9- or 10-month contract or 21 credits/year for a 12-month contract, depending on demonstrated and continuous research/creative activity.
  - i. Failure to demonstrate sustained scholarly/creative activity in accordance with each College's scholarly activity policy may result in a 24 credit/year teaching load (27 credit load for 12-month faculty).
  - ii. Upon presentation of adequate evidence of scholarly/creative activity by the faculty member, the Dean, in their discretion, may grant a grace period to the five-year rolling productivity period.

### **3.1.2 Teaching-Track Faculty**

Teaching-track faculty are primarily responsible for teaching and service.

Titles: Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor

Eligible for promotion.

Not eligible for tenure.

#### **3.1.2.1 Required Hiring Credentials**

##### **3.1.2.1.1 Appointment to Assistant Teaching Professor Rank**

- A. Earned terminal degree preferred appropriate to the discipline, normally the doctorate or the appropriate professional degree; master's degree is sufficient for exceptional candidates.
- B. Experience in and/or promise for excellence in teaching, service, advising collegiality, and inclusive excellence.

##### **3.1.2.1.2 Appointment to Associate Teaching Professor Rank**

- A. Earned terminal degree preferred appropriate to the discipline, normally the doctorate or the appropriate professional degree; master's degree is acceptable for exceptional candidates.
- B. Minimum of six years demonstrated effectiveness in teaching and service in a full-time college-level appointment.
- C. No more than three years of previous work may be granted towards promotion.

##### **3.1.2.1.3 Appointment to full Teaching Professor Rank**

- A. Hiring at the full Professor level occurs only in rare and exceptional cases.
- B. Earned terminal degree preferred, appropriate to the discipline, normally the doctorate or the appropriate professional degree; master's degree is acceptable for exceptional candidates.

- C. Minimum of ten years demonstrated effectiveness in teaching and service in a full-time college-level appointment.

### **3.1.2.2 Basis for Annual Evaluations and Promotion Decisions for Teaching-Track Faculty**

- A. Teaching, service, advising (as appropriate per program), collegiality, inclusive excellence, and other areas outlined under Faculty Responsibilities in Section 4.2 of the Faculty Handbook.
- B. Scholarship/creative activity may not substitute for the faculty member's performance in teaching, advising, and service responsibilities.

### **3.1.2.3 Teaching Loads for Full-Time Teaching-Track Faculty**

Teaching loads are defined in Section 4.2, Faculty Responsibilities (Definition of Year and Regular Attendance Responsibilities) of the Faculty Handbook.

Teaching load for teaching-track faculty is 24 credits/year (4:4) for 9-or 10-month contracts and 27 credits/year for 12-month contracts.

## **3.1.3 Clinical-Track Faculty**

Clinical-track faculty appointments occur only in healthcare-related programs; their duties are focused within programs that educate current and future clinicians.

Titles: Clinical Instructor, Assistant Clinical Professor, Associate Clinical Professor, Clinical Professor

Eligible for Promotion at the rank of Assistant Clinical Professor and higher.

Clinical Instructors may apply for open positions for which they are eligible.

Not Eligible for Tenure.

### **3.1.3.1 Clinical Paths**

There are two Paths for clinical faculty.

Clinical Educator – primary duties are teaching in the classroom and other non-clinical settings

Clinical Practitioner - Clinical practitioners conduct much of their work in, and frequently maintain professional associations with partner institutions where clinical practice takes place. They are employees of Sacred Heart University with principal duties to the University

#### **3.1.3.1.1 Clinical Educator Path Required Hiring Credentials**

##### **A. Clinical Instructor Rank**

- i. Earned or imminent professional or terminal degree appropriate to the discipline.  
(Exceptions are permitted for qualified candidates teaching in associate degree programs and consistent with accreditation and Connecticut State Department approval).
- ii. Licensure/certification if required by professional or accreditation standards.
- iii. Experience in and/or promise for excellence in teaching, service, advising collegiality, and inclusive excellence.

**B. Assistant Clinical Professor Rank**

- i. Imminent or earned appropriate professional or terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree.
- ii. Licensure/certification if required by professional or accreditation standards.
- iii. Experience in and/or promise for excellence in teaching healthcare clinicians, as well as service, advising collegiality, and inclusive excellence.

**C. Associate Clinical Professor Rank**

- i. Earned appropriate professional or terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree.
- ii. Licensure/certification if required by professional or accreditation standards.
- iii. Minimum of six years demonstrated effectiveness in teaching and service in a full-time college-level appointment.
- iv. No more than three years of previous work may be granted towards promotion.

**D. Clinical Professor Rank**

- i. Hiring at the full professor level occurs only in rare and exceptional cases.
- ii. Earned appropriate professional or terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree.
- iii. Licensure/certification if required by professional or accreditation standards.
- iv. Minimum of ten years demonstrated effectiveness in teaching and service in a full-time college-level appointment.
- v. Clinical Professors are not eligible for tenure.

**3.1.3.1.2 Basis for Annual Evaluations and Promotion Decisions for Faculty on the Clinical Educator Path**

- A. Teaching, service, advising, collegiality, inclusive excellence, and other areas outlined under Faculty Responsibilities in Section 4.2 of the Faculty Handbook.
- B. Professional development and professional service including any scholarly activity if and as required by an accrediting body.
- C. Active license where required by an accrediting body.

**3.1.3.1.3 Clinical Practitioner Path Required Hiring Credentials****A. Clinical Instructor Rank**

- i. Earned or imminent professional or terminal degree appropriate to the discipline.  
(Exceptions are permitted for qualified candidates teaching in associate degree programs and consistent with accreditation and Connecticut State Department approval)
- ii. Licensure/certification if required by professional or accreditation standards.
- iii. Experience in and/or promise for excellence in teaching, service, advising collegiality, and inclusive excellence.

**B. Assistant Clinical Professor Rank**



- i. Earned or imminent professional or terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree
- ii. Active license/certification to practice.
- iii. Experience in and/or promise for excellence in teaching healthcare clinicians, as well as service, advising, collegiality, and inclusive excellence.

**C. Associate Clinical Professor Rank**

- i. Earned or imminent professional or terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree
- ii. Active license/certification to practice.
- iii. Experience in and/or promise for excellence in teaching healthcare clinicians, as well as in service, advising, collegiality, and inclusive excellence.
- iv. Minimum of six years demonstrated effectiveness in teaching, clinical practice, and service in a full-time college-level appointment.
- v. No more than three years of previous work may be granted towards promotion.

**D. Clinical Professor Rank**

- i. Hiring at the full professor level occurs only in rare and exceptional cases.
- ii. Minimum of ten years demonstrated effectiveness in teaching, clinical practice, and service in a full-time college-level appointment.
- iii. Earned appropriate professional or terminal degree appropriate to the discipline, normally the doctorate or the appropriate professional degree.
- iv. Active license/certification to practice.

**3.1.3.1.4 Basis for Annual Evaluations and Promotion Decisions for Faculty on the Clinical Practitioner Path**

- A. Teaching, service, advising (as appropriate per program), collegiality, inclusive excellence, and other areas outlined under Faculty Responsibilities in Section 4.2 of the Faculty Handbook.
- B. Active license/certification maintained.
- C. Professional practice activity.
- D. Professional development and scholarly activity if, and as required by an accrediting body.

**3.1.3.2 Teaching Loads for All Clinical Faculty**

- A. Teaching loads are defined in Section 4.2, Faculty Responsibilities (Definition of Year and Regular Attendance Responsibilities) of the Faculty Handbook.
- B. Teaching load for clinical faculty is 24 credits/year (4:4) for 9-or 10-month contracts and 27 credits/year for 12-month contracts.

### **3.1.4 Professor of Practice Faculty**

Professor of Practice faculty join the university after at least ten years of experience in professional practice and draw their teaching, advising, and expertise from that experience.

Hiring faculty of Practice should be limited to cases in which other faculty categories are insufficient.

Faculty of Practice may be employed in academic programs requiring instruction by experienced practitioners, normally for purposes of accreditation. They possess expertise in a relevant field and can provide practice-oriented instruction that supplements the core pedagogical instruction provided by tenure-line, teaching, and clinical faculty.

Titles: Assistant Professor of Practice, Associate Professor of Practice, Professor of Practice

Eligible for promotion.

Not eligible for tenure.

#### **3.1.4.1 Hiring Credentials Required for Appointment to All Faculty of Practice Ranks**

Faculty of Practice at all ranks must have the following credentials:

- A. The nature of the professional faculty category requires that most prospective faculty of practice arrive at Sacred Heart University with extensive and distinguished records in their professional field.
- B. The Department Chair and College Dean should collaborate to recommend a rank for an incoming faculty of practice to the Provost, who has the authority to determine initial rank.
- C. Terminal or professional degree appropriate to the discipline, normally the doctorate or the appropriate professional degree. Faculty of practice may have master's or bachelor's degrees in exceptional circumstances and if accreditors and Connecticut Department of Education regulations are complied with, and appropriate filings are made with said Department.
- D. Experience in and/or promise for excellence in teaching, service, advising, collegiality, inclusive excellence, and other areas outlined under Faculty Responsibilities in Section 4.2 of the Faculty Handbook

#### **3.1.4.2 Additional Required Hiring Credentials for Appointment to Assistant Professor of Practice**

- A. Minimum of 10 years in the field of professional practice
- B. Experience in and/or promise for potential as a teacher.
- C. Record of professional accomplishment that has earned local or regional recognition

### **3.1.4.3 Additional Required Hiring Credentials for Appointment to Associate Professor of Practice**

- A. Minimum of 10 years in the field of professional practice
- B. Candidates must be senior professionals in the field, who have achieved a national reputation.
- C. Candidates must have demonstrated teaching effectiveness and/or a record of professional publication.

### **3.1.4.4 Additional Required Hiring Credentials for Appointment to full Professor of Practice**

- A. Minimum of 10 years in the field of professional practice
- B. Candidates must be senior professionals in the field who have achieved a national or international reputation AND are demonstrated leaders in the field of practice.
- C. Candidates must be recognized with honors for professional achievement, leadership roles in professional societies, and/or experience consulting at a federal level related to the professional field.
- D. Demonstrated teaching effectiveness and/or a record of professional publication.

### **3.1.4.5 Basis for Annual Evaluations and Promotion Decisions for Faculty of Practice**

- A. Teaching, service, advising (as appropriate per program), collegiality, inclusive excellence, and other areas outlined under Faculty Responsibilities in Section 4.2 of the Faculty Handbook.
- B. Building and maintaining connections between Sacred Heart University and professional communities.
- C. Engagement in professional development and scholarly activity if and as required by an accrediting body.

### **3.1.4.6 Teaching Loads for Faculty of Practice**

- A. Teaching loads are defined in Section 4.2, Faculty Responsibilities (Definition of Year and Regular Attendance Responsibilities) of the Faculty Handbook.
- B. Teaching load for faculty of practice is 24 credits/year (4:4) for 9-or 10-month contracts and 27 credits/year for 12-month contracts.

## **3.2 NON-ORDINARY FACULTY APPOINTMENTS**

Non-ordinary faculty refers to non-full-time faculty appointments and occurs in one of the six categories detailed below.

A. Visiting Faculty:

Visiting appointments can be offered in any non-tenure-track category and are limited to short-term needs. These faculty members receive term (e.g. “fall semester,” “summer term”) or year contracts.

B. Adjunct Faculty:

Adjunct faculty are appointed on a part-time basis and receive a contract for teaching an individual course or courses. They are restricted to teaching no more than nine credits per semester and 21 credits per year (Fall - Summer II) unless approved by the respective Dean.

C. Research Faculty:

Research faculty status may be offered to individuals who fund their own salary and activities with external funds. The terms of research faculty’s appointments are approved by the appropriate College Dean and Provost. Research professors do not have tenure and their appointment may not extend beyond the completion of their funding and active scholarly/creative endeavors.

D. Artist/Writer/Scholar/Executive in Residence:

In-residence appointments are designed for individuals of special distinction in their field and are limited to short-term appointments at the University.

E. Emeritus Faculty:

Emeritus status may be awarded to faculty who have retired after at least 10 years of full-time service to the University. Emeritus status may be awarded to individuals on the tenure, teaching, clinical, and professor of practice tracks. A Professor Emeritus is so designated and appointed by the Board of Trustees after recommendation by the President, the Provost, the appropriate College Dean, and the appropriate Department Chairperson.

F. Affiliate Faculty:

Affiliate appointments are designed for industry professionals whose affiliation with the University provides benefits for our students and academic programs. Affiliate appointments are limited to individuals who are employed at or retired from organizations with strong reputations in their field. These positions include, for example, preceptors and other health professionals who contribute to our teaching mission.

Except in extraordinary situations, affiliate faculty may use the title Affiliate Instructor in their own professional materials. Under unusual circumstances, especially distinguished individuals may be granted titles including Affiliate Assistant Professor, Affiliate Associate Professor, and Affiliate Professor. These appointments require the approval of the Department Chair, College Dean, and Provost.

## 3.3 FACULTY SEARCH GUIDELINES

The decision to open a faculty search results from careful strategic, budget, and curricular planning by the Department Chair, College Dean, and Provost.

Essential elements of the search and hire process are listed here. Department Chairs and search committee Chairs should consult the Office of the Executive Director of Faculty Affairs for detailed processes and deadlines.

### 3.3.1 Pre-search Processes

The Department Chair submits a formal request to fill a vacancy or establish a new faculty position to the College Dean.

The formal request includes a detailed rationale, area of teaching and research/creative expertise, faculty category and rank, recommended salary range, and source of salary funds.

### 3.3.2 Search Processes

Upon approval of the position by the College Dean and Provost, the following search processes apply:

- A. The Department Chair submits the position announcement and list of appropriate advertising outlets to the College Dean.
- B. Ordinarily, the Department Chair appoints a search committee of 3-5 members from Department faculty and at least one member from a cognate discipline.
- C. Search committee members elect a search committee Chair in consultation with the Dean and/or Department Chair.
- D. The search committee works with the Office of Faculty Affairs to ensure a strong pool of applicants, and that Equity and Equal Opportunity guidelines are followed.
- E. After review of all candidates' application materials, the search committee conducts initial interviews and submits a recommendation with the names and materials of three finalists to the Department Chair, who forwards them for approval by the College Dean.
- F. The search committee and Department conduct on-campus interviews. In addition to sessions in the Department, candidates meet with representatives from the offices of the College Dean and, for tenure-track positions, the Provost or their designee.
- G. After the search committee and Department review candidates, the Department Chair shares the hiring recommendation with the College Dean, who shares it with the Provost.

- H. Once the College Dean and Provost approve a hiring recommendation, the College Dean extends a verbal offer to the candidate.
- I. Upon acceptance of the offer, the Provost's Office prepares an appointment letter with the formal offer.

## **3.4 Policies Regarding Letters of Appointment**

### **3.4.1 Probationary Letters of Appointment**

Initial probationary letters of appointment at Sacred Heart University are given to all ordinary full-time faculty members upon hire. Probationary letters of appointment are subject to non-renewal by Sacred Heart University with notice as provided in this Handbook (see Section 10.1.1.3, Non-Reappointment).

- A. Tenure-track faculty will receive appointment letters on an annual basis during the probationary period upon successful annual evaluations by the Department Chairperson or Program Director and by the Dean. Upon award of tenure, faculty will receive a tenured faculty appointment letter for the next academic year and each year thereafter.
- B. Ordinarily, non-tenure track faculty (that is, Teaching Faculty, Clinical Faculty, and Professor of Practice Faculty) will receive non-tenure track, annual appointments for the initial three years of their appointment. They will be evaluated each year through the annual evaluation process. Thereafter, based on favorable annual evaluations, they will be eligible for up to a three (3) year renewable letter of appointment (see Section 3.4.4 Renewable Letters of Appointment for Ordinary Non-tenure track faculty).

### **3.4.2 Continuous Letters of Appointment for Ordinary Tenured Faculty**

Continuous letters of appointment at Sacred Heart University are given to ordinary faculty members who have attained tenured status.

### **3.4.3 Rolling Letters of Appointment for Clinical Faculty**

- A. This type of letter is limited to the faculty members who have legacy rolling letter appointments.
- B. "Rolling three-year letter of appointment" means that the faculty member shall have a three-year term of employment, which is renewable annually. Annual renewal will be based on satisfactory performance as determined by the Department Chair and College Dean.
- C. Notice of non-reappointment will be made by March 1<sup>st</sup> of the current academic year, and the faculty member shall terminate at the end of the then current three-year term. No further action by the University shall be necessary to effect the termination.
- D. Notwithstanding the foregoing, the employment of any faculty member on a rolling letter of appointment is subject to Section 10.1 (Separation) of the Faculty Handbook.

### **3.4.4 Renewable Letters of Appointment for Ordinary Non-tenure-track**

After three years of full-time employment by the University on successive one-year contracts, non-tenure-track will be eligible for up to a three (3) year renewable letter of appointment.

- A. For full-time non-tenure-track faculty holding renewable letters of appointment in accordance with this handbook section, said appointment will be for a specified time period, not to exceed three (3) years. Renewal will be based on satisfactory performance as determined by the Chair of the Department and Dean of the College.
- B. Acceptance of a renewable letter of appointment constitutes acceptance of a non-tenure-track appointment. Faculty on renewable appointments shall not be eligible for tenure but may apply for a tenure-track position should such a position become available in their area of expertise. Renewable term letters of appointment do not confer upon a faculty member any entitlement to continued employment after the term specified in the letter of appointment expires.
- C. Notwithstanding the foregoing, the employment of any full-time non-tenure-track faculty member is subject to Section 10.1 (Separation) of the Faculty Handbook.
- D. No faculty with a renewable letter of appointment to whom Section 3.4.4 (Renewable Letters of Appointment for Ordinary Non-tenure-track) is applicable shall have any expectation of employment beyond the term of the current appointment, in the absence of specific formal action by the University granting an additional term of employment.

### **3.4.5 Term Letters of Appointment for Non-Ordinary Faculty**

- A. Term letters of appointment at Sacred Heart University are given to members of the non-ordinary faculty (Visiting Faculty, Adjunct Faculty, Research Faculty, Professor Emeritus, Artist/Writer/Scholar/Executive-in-residence, Affiliate Faculty) and are limited to the term of employment outlined in the letter of appointment. Term letters of appointment are not tenure-track and do not confer upon a faculty member any entitlement to continued employment after the term specified in the letter of appointment expires.
- B. Should there be an application and appointment to the ordinary full-time faculty, and after approval of the Provost, in consultation with the appropriate College Dean, and Department Chairperson, determination will be made in writing at that time whether or not time served under a term letter of appointment counts toward tenure.
- C. Ordinary full-time faculty may be offered term letters of appointment in special circumstances, such as summer session contracts.

### **3.4.6 Issuance and Receipt of Letters of Appointment**

- A. Letters of appointment for any academic year for ordinary full-time faculty will be issued by May 31 after the Board of Trustees approves the budget. Faculty shall have fifteen (15) business days from the date of the letter in which to accept the terms and conditions of the letter; otherwise, the offer shall expire. If faculty need additional time in which to respond, they

shall make a request within said fifteen (15) day period to the Provost. The Provost shall consult with the appropriate College Dean on such an extension.

- B. The individual faculty letter of appointment is made annually after consultation between the faculty member and their Chairperson and reviewed by the appropriate College Dean and the Provost.
- C. By their signature on this document, the individual is to note acceptance of this written agreement. The purpose of the individual faculty letter of appointment is to ensure that responsibilities are apportioned in a balanced way that reflects the individual member's capabilities and the University's needs. As far as possible, the individual faculty letter of appointment should consider the faculty member's particular qualifications and their program of professional development. Faculty are obligated to carry out satisfactorily the duties they have agreed to by the terms of their individual faculty letter of appointment.

## **4.0 FACULTY RIGHTS & RESPONSIBILITIES**

Membership in the academic profession carries with it rights and responsibilities that advance Sacred Heart University's mission as a Catholic and liberal arts institution. The University is expected to promote, protect, and defend faculty rights, which are critical to ensuring that faculty teaching, service, inquiry, and artistic expression are free from unwarranted constraints and interference. Faculty are expected to fulfill their responsibilities professionally and in accordance with the University's mission and principles.

### **4.1 Faculty Rights**

Each faculty member has the right to:

- A. Free inquiry and exchange of ideas in teaching, scholarly/creative, and service pursuits
- B. Freedom of action and expression, including the right to dissent.
- C. Evaluation:  
Faculty have the right to be evaluated, by both colleagues and administrators, in accordance with clear criteria and fair procedures in personnel-related decisions, annual evaluations, and promotion and tenure processes
- D. Professional Development:  
Sacred Heart University is committed to providing faculty with professional development aimed at improving, updating, and innovating their teaching and scholarship/creative activity. Professional development resources and opportunities are offered regularly and made accessible to faculty (See Section 7.0 of the Faculty Handbook).
- E. Academic Freedom:  
Sacred Heart University is committed to the principle of academic freedom advanced by the American Association of University Professors (AAUP). The safeguarding of academic



freedom represents a shared obligation between the University and all members of the faculty. This fundamental right extends to all faculty, irrespective of tenure status or status as full-time or part-time educators.

Faculty are entitled to the following freedoms:

- i. freedom in the classroom in presenting their subject matter. They have the right to introduce controversial material consistent with the course content. They do not have the right to teach material inconsistent with the course objectives and subject matter.
- ii. freedom in scholarship, research, and creative expression, and in dissemination and publication of the results of such pursuits.
- iii. freedom from institutional censorship or discipline when speaking, writing, or participating in University events and forums (e.g., shared governance).
- iv. freedom of extramural speech and expression (as detailed below).

#### F. Speech and Expression:

- i. Sacred Heart University is committed to the protection and promotion of free expression. The principles of academic freedom extend to protection of extramural speech and expression when faculty members speak or write as citizens.
- ii. Within the University community, diverse ideas and perspectives may come into conflict. While members of the community are encouraged to critique and challenge the viewpoints of others, including guest speakers, they must refrain from obstructing or disrupting others' free expression.
- iii. Social media
  - a. Social Media used as a Sacred Heart employee:  
Faculty using social media in their capacity as employees of the University must adhere to the Sacred Heart University Social Media guidelines (<https://www.sacredheart.edu/offices--departments-directory/marketing--communications/marketing/social-media-procedures/>).
  - b. Private social media: Sacred Heart University recognizes that faculty are citizens entitled to the protection of free speech. Regarding the use of personal social media accounts, the University is guided by AAUP recommendations. Faculty who post on social media should strive to be accurate, exercise appropriate restraint, show respect for the opinions of others, and make reasonable efforts to indicate that they are not speaking on behalf of the University. Faculty must consider potential risks associated with enjoying their free speech rights online and take into consideration any words or actions that may cause significant disruption at the University or to its community members.
- iv. Faculty members are free to engage in political speech and expression.

#### G. Governance

- i. All faculty members, in accordance with the University Academic Assembly By-Laws, have a right to participate in University shared governance and to put their name forward for governance committees and leadership positions when eligible.
- ii. Faculty have the right to participate in University decisions with respect to policies that relate to faculty and academic affairs.

- iii. Content and policies on pedagogy development, curriculum development, and instructional delivery are the purview and responsibility of the faculty.
- iv. Faculty have the right and are responsible for monitoring, maintaining documentation of, and implementing changes to the Faculty Handbook through established shared governance processes (Faculty Handbook Section 2.0, Shared Governance).
- v. Faculty have a right to learn about and advocate for faculty resources, including compensation, through established shared governance processes.
- vi. Faculty have the right to participate in periodic review of their respective College Dean using a mutually agreed upon process with the Provost.

#### H. Grievance

- i. The University recognizes and endorses the importance of fair process and of addressing grievances properly without fear of prejudice or reprisal. As such, faculty have the right to a grievance procedure regarding decisions about their employment or alleged violations of faculty rights using the established faculty Grievance procedures (Faculty Handbook Section 10.2.).

#### I. Use of University Amenities

- i. Facilities and Services:
  - a. Faculty have a right to University facilities, services, and financial resources to support their teaching, scholarly/creative activities, service, and professional development. Distribution and/or application for resources should be available to all faculty through clear, fair, and impartial procedures. Disbursement of resources should be based on stated guidelines available to faculty and should be equitable across the Colleges and across types of research/creative activity. While the specific implementation of these rights depends upon available resources, subject to The University's annual budget as approved by the Board of Trustees. The University should strive to make available resources on par with peer and aspirant institutions at minimum.
  - b. Faculty members may utilize the services of their unit's administrative staff to assist in the preparation of course, scholarly/creative, or service-related materials. Such clerical assistance should not interfere with the staff member's primary work to the unit.
  - c. The use of office space assigned to a faculty member, available library services, University facilities (including computers and other equipment), may be used by faculty members in connection with "outside activities" only as permitted under this handbook.

#### J. Use of the University Name and Seal

- i. The University's name and seal are the exclusive property of the University and, consequently, may not be used in connection with goods or services offered by any outside organization without the prior permission of the appropriate College Dean. Faculty should note their affiliation with Sacred Heart University in academic, scholarly, and creative outputs, public documents, and public appearances when these are connected with the faculty member's work completed at the University and/or as part of their role as a University employee.
- ii. Official stationery may not be used in connection with outside (non-university-related) activities, except with respect to those academic and scholarly activities described above. No report or statement relating to outside activities may use the name of Sacred Heart

University or be attributed to it. The use of official University titles for personal gain or publicity is prohibited without the written approval of the appropriate College Dean.

## 4.2 Faculty Responsibilities

### 4.2.1 Principal Occupation

The primary responsibility of full-time faculty members is to the University. The principal faculty roles include teaching, service, and for some faculty, scholarship or creative activity. In addition to these core duties, faculty are expected to adhere to the responsibilities outlined in this section.

### 4.2.2 Code of Professional Ethics

Although no set of rules or professional code can guarantee or take the place of a faculty member's personal integrity, Sacred Heart University endorses the AAUP's "Statement on Professional Ethics," quoted here in abbreviated form and edited to include gender-neutral language.

- A. "The [faculty member], guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes 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, they 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 they may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry."
- B. "As a teacher, the [faculty member] encourages the free pursuit of learning in their students. They hold before them the best scholarly standards of their discipline. They demonstrate respect for the student as an individual and adhere to their proper role as intellectual guide and advisor. They make every reasonable effort to foster honest academic conduct and to assure that their evaluation of students reflects the student's true merit. They respect the confidential nature of the relationship between [faculty member] and student. They avoid any exploitation of students for their private advantage and acknowledge significant assistance from them. They protect their student's academic freedom."
- C. "As a colleague, the [faculty member] has obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of their institution."
- D. "As a member of their institution, the [faculty member] seeks above all to be an effective teacher and scholar. Although they observe the stated regulations of the institution, provided they do not contravene academic freedom, they maintain their right to criticize and seek revision. They determine the amount and character of the work they do outside their institution with due regard to their paramount responsibilities within it. When considering the interruption

or termination of their service, they recognize the effect of their decision upon the program of the institution and gives due notice of their intentions.”

- E. “As a member of their community, the [faculty member] has the rights and obligations of any citizen. They 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 a private person, they avoid creating the impression that they speak or act for their College or University. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the [faculty member] has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.”
- F. In pursuit of scholarly activities, faculty members agree to adhere to principles outlined in Sacred Heart University’s [Academic Integrity Policy | Sacred Heart University](#).

### 4.2.3 Outside Activities and Associated Conflicts

- A. The primary responsibility of a faculty member is to render the most effective service possible and to devote full working time to the University. At the same time, consulting and other activities of a professional nature are encouraged where such activities give the faculty member experience and knowledge valuable to professional growth and development related to their role as a faculty member.
- B. Time restrictions, authorization, and disclosure:
  - i. Time spent by full-time faculty members on outside activities must be in addition to, rather than a part of, the normal full-time effort expected of faculty members as employees. The general guideline for time spent on outside activities is limited to the equivalent of one workday (eight hours) per five-day week, during the term of their contract.
    - a. Work on outside activities may not be used as an excuse for failure to perform full-time work or be available for teaching, meetings, and other normal faculty duties.
  - ii. A faculty member is required to secure approval from the appropriate Department Chair and College Dean before engaging in outside activities that substantially interfere with their responsibilities at the University.
  - iii. Faculty members are required to abide by the University Code of Business Conduct and Ethics and to report any conflicts of interest of their outside financial interests and activities associated with all appointments and affiliations with institutions of higher education, academic medical centers, research institutes, and other entities, whether paid, unpaid, or honorary.

### 4.2.4 Definition of Year and Regular Attendance Responsibilities

Sacred Heart University offers courses in a variety of schedules, including but not limited to the traditional Fall/Spring semesters, trimesters, and 8-week modules. Faculty contract terms vary to meet the needs of the program, Department, and College. Full-time faculty are ordinarily contracted for 9, 10, or 12-month appointments. The details of each individual’s appointment are specified in their annual contract and cannot be changed without a new contract.

- A. Ordinarily, 9-month appointments begin on the date of Opening Faculty Convocation and end nine-months (40 weeks) later. Ten and 12-month appointment start dates vary based on the needs of the College and end 44 and 52 weeks, respectively, later.
- B. Nine and 10-month faculty have a 24-credit teaching load and 12-month faculty have a 27-credit teaching load. Variations from these standards must be approved by the Department Chair and College Dean. Ordinarily, teaching loads are distributed evenly over the term of the contract. Section 3.1.1.3 describes teaching load reductions for scholarly/creative activities for tenure-track and tenured faculty.
- C. Annual salaries of all 9 and 10-month faculty are paid out over 12-months unless the faculty member will not return the following academic year (Faculty Handbook Section 10.1 Separation).
- D. Faculty will be compensated for teaching courses and other substantial work completed outside their contracted responsibilities.
- E. Faculty may be asked to participate in occasional activities (e.g., first-year orientation information session, emergency meetings) and to be available for occasional communication with their Department Chairs during off-contract time. Faculty may employ an “out of office” email message that indicates their date of return to provide students with key resources and an alternate contact.
- F. Faculty members, including remote faculty, are expected to attend major University academic events including Opening Faculty Convocation, Faculty Institutes, and Commencement Ceremonies. Virtual attendance may be acceptable for remote faculty, as determined by the Provost. If planned circumstances prevent attendance, the faculty member must obtain written permission from the appropriate College Dean in advance.
- G. Faculty presence in University activities and engagement in shared governance, Department events, College events, University events, and student activities is expected throughout the contract period.

#### **4.2.5 Teaching**

- A. The Department Chair has primary responsibility for scheduling faculty teaching assignments to align with academic program goals and students’ academic needs.
- B. Faculty members may be asked to teach during various course blocks/days, per the requirements of the academic program. Faculty may also be required to teach courses fully remote, hybrid, or on accelerated schedules according to program needs.
- C. Faculty members may be asked to participate or serve on committees for thesis projects, independent studies, comprehensive examinations, internships, capstone experiences, and doctoral dissertations.

- D. Faculty members shall not discriminate among students in enrolling or refusing to enroll students in courses.
- E. Faculty must provide a learning environment welcoming to all learners. Faculty have the responsibility to work collaboratively with the Office of Student Accessibility or the Title IX Officer, as appropriate.
- F. Faculty members are expected to conduct their classes at a level appropriate to the level of the assigned course. Each instructor is responsible for planning and presenting the assigned course material, including but not limited to:
  - i. a course syllabus that details course objectives and requirements (copies should be shared with the Department Chair and the Dean's office).
  - ii. selecting and ordering texts and supplemental materials
  - iii. preparing, administering, and grading assignments and assessments
  - iv. tracking appropriate attendance of students
  - v. assigning grades
- G. Additional Graduate Faculty Teaching Duties: Faculty who are engaged in graduate teaching may also have as part of their teaching load the direction of theses, independent studies, comprehensive examinations, internships, and capstone experiences for graduate students.
- H. Faculty members are expected to begin and end their classes punctually and according to the assigned schedule. If for a significant and valid reason a faculty member is unable to meet a class, they must offer alternate instruction to uphold their contractual obligations. The faculty member must alert the Department Chair of the absence and the arrangements for alternate instruction.
- I. Faculty members shall give feedback on graded work in a manner that promotes student learning. Graded material should be returned in a timely manner. Students should receive feedback on their performance early and regularly enough to allow them to make adjustments. Faculty are encouraged to use the University's established academic warning system.
- J. All midterm and final grades must be submitted to the Registrar's Office in the manner determined by the Registrar. Grades must be submitted by the deadline assigned by the Registrar and before the faculty member's contract end date, and/or before a faculty member separates from the University.

#### **4.2.6 Scholarship and Creative Activity**

- A. Faculty whose duties include scholarship/creative activity are expected to maintain an active and ongoing program of research or artistic endeavors. They should seek to publish or exhibit their scholarly/creative work on a regular and frequent basis.
- B. Those faculty members whose duties include scholarship/creative activity or who engage in Community Engaged Scholarship (see supporting Faculty Handbook CES statement) will conduct their work within the highest standard of ethics as defined by their professional disciplines and in accordance with any relevant University expectations (e.g., Institutional

Review Board or Institutional Animal Care and Use Committee) and are responsible to train and oversee those they supervise.

**C. Grant Funding**

All faculty members receiving intramural or extramural funding must comply with all University, state, federal, and industry requirements stipulated in the grant and the funding agencies' guidelines. Faculty members shall coordinate with University-sponsored research and business offices on all submission, execution, and compliance procedures.

**D. Human and Animal Subjects:**

- i. Faculty conducting or supervising research with human participants or animal subjects will adhere to the applicable federal and state regulations and to the ethical standards established by the major professional organization in their discipline for such work.
- ii. Faculty should obtain the appropriate approval for all proposals for research involving human subjects research or animal subjects from The University's Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC).

#### **4.2.7 Service**

- A. Faculty members are expected to provide active and engaged service at the Department/program, College, and University levels, in addition to engaging in service to their respective profession. They should also participate fully in shared governance. When possible, faculty should seek out, and respond to, service opportunities and needs that match their interests, disciplinary expertise, and availability.
- B. Faculty members are encouraged to engage in service to the community and public as it relates to their disciplinary expertise and professional development. Such service may contribute to, but not substitute for, a faculty member's service responsibilities to entities at Sacred Heart University.

#### **4.2.8 Availability and Office Hours**

- A. Faculty members shall be regularly available during the terms they offer courses, and through their contract period. Faculty members should establish, post, and make students aware of reasonable, regular, and adequate office hours distributed throughout the week. Office hours should be available in the instruction modality/modalities the faculty member teaches. Faculty who teach on campus shall hold regular on-campus office hours. Remote faculty shall offer regular online office hours. Additional office hours will normally be needed during registration and examination periods. A copy of the office hours schedule should be submitted to the appropriate Department Chair and College Dean at the beginning of each semester.
- B. Except under extraordinary situations, faculty members shall respond to student inquiries within 48 hours, or two business days.
- C. For faculty who regularly teach on campus, physical presence on campus is critical to student success and community building. In-person interaction with colleagues and students fosters collegiality and collaboration. Departments and programs are expected to make available online methods for fully remote faculty to engage in the life of the University.

## 4.2.9 Advising

- A. Except in programs where dedicated professional staff perform advising duties, faculty members are expected to serve as academic advisors. Advisors should show genuine and sustained concern for students as persons, and for their academic and personal growth. Advising concerns three areas of mentorship and advice:
  - i. Advising regarding the student's work in classes taught by the faculty member.
  - ii. Advising in the student's major area to assist the student in setting academic goals, and to ensure that University and program requirements are met and understood by the student, and that electives are planned to coincide with the student's personal and career objectives.
  - iii. Directing students to appropriate offices or individuals within the University when a faculty member recognizes that a student needs professional assistance with personal or academic concerns.
- B. Advising is a special opportunity for faculty members to exercise inclusive excellence. Advising conversations should be focused on student success and be designed to address the unique needs of each student.
- C. Faculty members are not authorized to make representations or commitments on behalf of the University, which are contrary to or not supported by authorized University policies, regulations, or procedures.
- D. It is the duty of the Department Chair or dedicated advising coordinator to allocate advising responsibilities, and to inform the individual faculty member of what is expected in the discharge of such responsibilities.

## 4.2.10 Professional Conduct

### 4.2.10.1 Collegiality

- A. Faculty are expected to be collegial in all areas of their work and activities. Collegiality is demonstrated by a faculty member's pattern of behaviors that exhibit respect and an ability to enter constructive relationships with all members of the University and wider community. Collegial behavior supports, and does not inhibit, all members of the University community in fulfillment of their work in service of the University mission. Collegiality refers not to one's sociability, likability, or willingness to agree with others. Indeed, robust and respectful debate among individuals who disagree is part of a healthy University community.
- B. Collegiality is essential to upholding academic freedom.
- C. Collegiality refers not to the content of one's views, but to how a faculty member interacts with fellow members of the University community.
  - i. In matters of annual evaluation, reappointment, and tenure and promotion, no individual or party to the process may appeal to collegiality to oppose a candidate for that candidate's views.



- ii. Non-collegial behaviors are fairly subject to judgments and decisions made associated with annual reviews, reappointments, and tenure and promotion.
- iii. No parties to the tenure and promotion process (colleagues, Deans, the Committee on Rank & Tenure, the Provost, President, or the Board of Trustees) should appeal to collegiality as a reason not to support a candidate because the candidate has controversial academic views or has spoken critically about instructional matters in line with their rights and responsibilities as a faculty member.

#### **4.2.10.2 Inclusive Excellence**

- A. Inclusive excellence is the recognition that our institution's success is dependent on how well we value, engage, and include the rich diversity of students, staff, faculty, administrators, alums, and surrounding community. It is a mastery of inclusion that fosters a consistent sense of belonging. Inclusive excellence is aspirational and is an intentional, ongoing practice. Faculty should strive to promote learning and work experiences that are free of discrimination and harassment and to create a sense of belonging that is conducive to holistic success for all.
- B. Inclusive excellence occurs in all areas of a faculty member's work. No one activity demonstrates inclusive excellence. It is expected that all faculty members will:
  - i. Develop and implement inclusive teaching pedagogies and practices to welcome a diversity of learners. This may be demonstrated in part by developing courses or curricular materials that focus on themes of diversity, equity, and inclusion and/or underrepresented or minoritized groups; developing and implementing inclusive teaching pedagogies; providing varied ways in which students can demonstrate mastery of course material; using teaching methods that create optimal learning experiences for all students; creating a class culture for students to share their identities and experiences.
  - ii. Be mindful to draw on the work and perspectives of a diversity of scholars, artists, practitioners, and others in their scholarly, creative, clinical, and professional endeavors.
  - iii. Provide an inclusive learning environment where students from different backgrounds have the opportunity to thrive.
  - iv. Engage in professional exchanges such as faculty governance and other service work in a way that respects and includes all members of the community.
  - v. Foster inclusion and belonging when communicating with students or colleagues.
  - vi. Incorporate inclusive practices in shared decision making, including in hiring and evaluation of colleagues.
- C. Additional guidance regarding inclusive excellence, including evidence of inclusive excellence in teaching, scholarship, and service can be found on the Sacred Heart University's Office of Inclusive Excellence website.

## **5.0 ANNUAL FACULTY EVALUATION AND PRE-TENURE REVIEW**

### **5.1 Annual Faculty Evaluation**

- A. The annual evaluation process at Sacred Heart University allows faculty members to obtain constructive feedback which will enable them to fulfill their academic responsibilities and enhance their professional development. It is also an important means by which decisions are made regarding appointment, reappointment, promotion, tenure, compensation, discipline, and dismissal.
- B. All faculty are evaluated annually on a calendar-year basis. The results of all assessments in the evaluation process will be provided in a timely manner to the faculty member, the Department Chair and College Dean, the Provost, and when appropriate, to the review committee/s in the Tenure and Promotion process.
- C. To the extent possible, all annual evaluation materials are completed using the designated University online evaluation system.
- D. The annual evaluation serves several purposes:
  - i. Provides faculty an opportunity for self-assessment related to the evaluation standards and criteria.
  - ii. Gives faculty feedback they can use to reflect on and improve their performance and fulfillment of duties.
  - iii. Contributes to faculty professional development and identifies professional development needs and opportunities.

#### **5.1.1 Annual Evaluation Criteria**

- A. Individual faculty are evaluated according to the standards and criteria that apply to their faculty category.
- B. Faculty are evaluated annually on their performance in areas outlined in section 4.2 (Faculty Responsibilities) of the Faculty Handbook.

#### **5.1.2 Annual Evaluation Process**

The annual evaluation process is as follows:

- A. Faculty members complete the University Faculty annual evaluation form, which consists of self-assessment and performance goals for the coming year.
- B. Department Chairs complete the annual evaluation and share with the Dean.
- C. Faculty members have an opportunity to review the evaluation, make comments, and meet with the Department Chair.
- D. The annual evaluation becomes part of the personnel file, including any faculty comments and response.

- E. It is the responsibility of the Provost, in consultation with faculty and the Council of the University Academic Assembly, to develop, review, and implement the appropriate processes of evaluation. Annual evaluation forms and processes shall be made available to the faculty at the start of the academic year and may not be changed during the academic year.

## **5.2 Pre-Tenure Review**

- A. The purpose of the comprehensive, pre-tenure review is to provide an informed evaluation of tenure-track faculty who are making solid progress towards tenure and promotion and to offer constructive feedback to faculty who need to improve in one or more areas of performance.
- B. A positive pre-tenure review is not a guarantee of a future successful promotion and tenure decision; nor is a negative conclusion a guarantee that a candidate will be denied.
- C. Assistant professors on tenure-track undergo pre-tenure review during the third year of active employment in rank.
- D. Ordinarily, only individuals who are granted three years of service towards tenure upon hire are waived from the pre-tenure review requirement. Other exceptions of the pre-tenure review being waived will also be documented at the time of hire.
- E. As part of the pre-tenure review process, candidates submit a pre-tenure portfolio by January 25th of their third year of review period of active (i.e., not on leave) employment. Faculty members who have taken a leave prior to their pre-tenure review will consult with their Department Chair and Dean to establish an adjusted timeline, on a case-by-case basis.
- F. The pre-tenure review timeline can be found in the Faculty Handbook supporting documents. Faculty members who have taken a leave prior to their pre-tenure review must consult with their Department Chair and College Dean to establish an adjusted timeline.
- G. Review of the pre-tenure portfolio is a component of a comprehensive pre-tenure evaluation that also includes evaluation by the Department Chair, College Dean and Provost.
- H. To the extent possible, all pre-tenure review materials, reports, and responses are posted on the designated University online evaluation system.

### **5.2.1 Pre-Tenure Portfolio**

- A. Candidates are responsible for preparing a pre-tenure portfolio for review by a committee of tenured faculty.
- B. The pre-tenure portfolio covers the period of review as documented in the letter of hire, including any previous years of service accepted towards tenure.
- C. The pre-tenure portfolio includes the following:

- i. A brief narrative (limited to 5 single-spaced pages, 1" margins, 12-point font) of the candidate's achievements to date and a plan for growth. The narrative is guided by the tenure and promotion standards in the Faculty Handbook.
  - ii. The narrative should be organized into three sections (teaching, scholarly/creative activity, service). Each section should include:
    - a. Discussion of achievements to date
    - b. A plan for growth for the remainder of the pre-tenure period of review.
    - c. The narrative may also address faculty essential responsibilities such as inclusive excellence, advising, and collegiality across the three areas, as appropriate.
- D. Current *curriculum vitae*
- E. Copies of publications, grants, exhibited works, and other scholarly/creative outputs.
- F. Results of student course evaluations
- i. Summary and interpretation of results including numerical averages of evaluation indicators organized by course.
  - ii. Full student evaluations for all courses taught during the review period.
  - iii. Two teaching observations (one from the Department Chair, one from a tenured faculty member)

### **5.2.2 Pre-Tenure Review Committee**

- A. The Pre-tenure review committee consists of three tenured faculty members, appointed by the Department Chair.
- B. The Department Chair should select faculty with disciplinary and teaching expertise sufficient to evaluate the candidate's performance.
- C. The review committee includes one faculty member outside of the candidate's Department.
- D. If there are insufficient faculty members in the Department, the Chair invites faculty from cognate Departments.

### **5.2.3 Pre-Tenure Portfolio Review**

- A. The review committee elects a committee Chair.
- B. All committee members are responsible for carefully reviewing the candidate's pre-tenure portfolio.
- C. The committee's assessment is guided by the University's standards for tenure and promotion articulated in the Faculty Handbook, as well as any Department and/or College criteria. The committee report should reflect the language employed in those documents.
- D. The review committee meets to discuss the candidate's portfolio, and collectively decides on assessments for each area and overall, as outlined below.

### 5.2.3.1 Pre-Tenure Evaluation Report

- A. After committee review, discussion, and decisions, the review committee Chair writes a pre-tenure evaluation report that details the following for each area of review (teaching, scholarship/creative activity, service):
  - i. Assessment of candidate's achievements and plan for growth
  - ii. Assessments of candidate's weaknesses/areas in need of improvement (if any)
  - iii. Assessment as to whether the candidate is *on track in a specific area, shows cause for concern in this specific area, or is not on track in this specific area* for tenure and promotion.
- B. The pre-tenure evaluation report concludes with an *overall* conclusion of one of the three following assessments:
  - i. On track: The candidate's portfolio demonstrates progress in meeting the standards towards tenure in all three areas of review (teaching, scholarship/creative activity, service).
  - ii. Cause for Concern: The candidate's portfolio reveals concerns about progress in meeting the standards toward tenure in one or more areas of review.
  - iii. Not on track: The candidate's portfolio does not demonstrate progress towards meeting the standards in teaching, scholarship/creative activity, and service.
- C. The committee members sign the report to indicate their contribution to its assessments and submit it to the Department Chair.
  - i. A copy of the report is provided to the candidate.
  - ii. The candidate acknowledges receipt of the report and adds any comments (comments are not required).
  - iii. A copy of the final report, including any comments, becomes part of the faculty member's personnel file.

### 5.2.4 Role of the Department Chair

- A. The Department Chair does not serve on the review committee.
- B. The Department Chair has access to information, perspective, and assessments of the candidate's performance in areas outside teaching, scholarly/creative activity, and service. These include, for example, the candidate's performance in faculty-responsibility areas such as inclusive excellence, advising, collegiality, and professional and ethical conduct.
- C. Following receipt of the report from the review committee, the Department Chair completes an independent evaluation of the candidate based on:
  - i. the review committee report, and
  - ii. annual faculty evaluations.
- D. The Department Chair's evaluation is documented in a formal letter of evaluation indicating their assessment of the candidate as being *on track, cause for concern, or not on track* in the areas of teaching, scholarship/creative activity, service, and faculty responsibilities.

- E. The Department Chair meets with the candidate to discuss the review committee report, the Department Chair evaluation, and the candidate's plan for growth, as well as any significant updates that have emerged since submission of the portfolio.
- F. The Department Chair is responsible for uploading both the review committee report and the Chair's letter of evaluation to the university platform where it becomes available to the College Dean, and Provost.

## **6.0 TENURE AND PROMOTION**

Tenure and promotion are critical to attracting and maintaining high-quality faculty at Sacred Heart University. Opportunities for promotion are available to all ordinary faculty members. Those on tenure-track are eligible for tenure and promotion.

### **6.1 Tenure and Promotion Standards**

- A. The University recognizes three broad evaluative categories of faculty achievement in tenure and promotion: teaching, scholarship/creative activity, and service. Evaluation also includes the regular performance criteria that all faculty are expected to meet, including collegiality, inclusive excellence, advising, and other performance categories detailed in Section 4.2 (Faculty Responsibilities) of the Faculty Handbook. Failure to perform those responsibilities and/or to meet those expectations may be the cause for a negative tenure and/or promotion decision. The specific tenure and promotion criteria articulated in Section 6.0 are *in addition* to faculty members' execution of the aforementioned essential responsibilities and performance criteria in Section 4.2 (Faculty Responsibilities).
- B. This section details tenure and promotion criteria across faculty categories and the evidence required of candidates for all faculty categories and promotion levels. Individual Colleges, Departments, and programs may provide any additional evidence for how these criteria are met in their specific field(s). Such evidence must be documented and consistent with University standards.
- C. All criteria are evaluated for the period under review, i.e., from the time of hire or last promotion. Candidates are expected to remain active and productive and to provide evidence of continuous achievements during the period under review.

#### **6.1.1 Teaching Expectations for All Faculty Applying for Promotion and/or Tenure**

##### **6.1.1.1 Teaching Excellence**

- A. Teaching excellence is an expression of both skill and commitment. An excellent teacher demonstrates the skills necessary to convey course material and to engage students in a way that promotes their learning. They furthermore demonstrate a deep commitment to students and to their learning experience, including by creating inclusive learning environments where all students are treated equitably, have equal opportunity to succeed, and feel valued and supported in their learning.

- B. Applicants for promotion and/or tenure must demonstrate excellence in the following teaching areas:
- i. Subject matter expertise
    - a. Applicants must possess up-to-date and accurate knowledge of their field(s).
    - b. The applicant must command a body of skills, competencies, and knowledge in one or more subject areas in which the faculty member has advanced training, clinical or professional practice experience, or education.
  - ii. Pedagogical expertise
    - a. Applicants must employ multiple and/or flexible pedagogical strategies that effectively adapt to their subject matter and incorporate a variety of instructional modalities (e.g., visual, verbal, experiential, etc.) most relevant to their discipline.
    - b. Applicants effectively adapt pedagogical strategies to course modality (in-person, hybrid, online), size, and level as appropriate to their discipline.
    - c. Applicants demonstrate self-reflection about their pedagogical practice and strategic decision-making about pedagogical strategies.
    - d. Applicants must employ appropriate assessments, assessment methods, and provide students with feedback that students can use to improve their learning and performance.
  - iii. Effective communication
    - a. Applicants must communicate clearly, consistently, and respectfully in communications with students.
  - iv. Responsiveness to students
    - a. Applicants must develop and revise policies, syllabi, and pedagogical strategies to meet student learning needs, and to consider student feedback.
  - v. Professional development
    - a. Applicants must engage in professional development on teaching and show evidence of its effective implementation and application.
    - b. Faculty show growth as a teacher over time and in response to experience, professional development, and student and peer feedback.

#### **6.1.1.2 Evidence for Teaching Excellence**

This section details the elements, as appropriate to the candidate's discipline, to demonstrate teaching excellence during the period of review. Candidates may add items of their choosing in addition to the following:

- A. A narrative statement detailing the candidate's evolution as a teacher, particularly how that evolution has been informed by critical reflection and in response to feedback, experience, and professional development during the period of review. The narrative should include discussion of teaching excellence as detailed above and refer to the following elements of teaching evidence as appropriate to their discipline.
- B. Results of all student course evaluations
  - i. Summary and interpretation of results including numerical averages of evaluation indicators organized by course.
  - ii. All course evaluations for the period under review

- C. Peer evaluations of teaching based on course materials and observation(s) of teaching.
  - i. At least one peer observation-based evaluation must come from a faculty member from the aspirant rank or above.
  - ii. At least one peer observation-based evaluation must come from the Department Chair or program director.
- D. Examples of syllabi, assessment instruments, and other class materials for each course (different course, not each section of the same course) taught during the review period.
- E. Evidence of professional development activities in teaching and the resulting outcomes in course design, pedagogy, and/or assessments
- F. Evidence of inclusive excellence in teaching
- G. Other teaching evidence to be included where applicable.
  - i. Evidence of activities in scholarship of teaching and learning, and service learning
  - ii. Evidence of the development of instructional materials and curricula that go beyond ordinary course development.
  - iii. Teaching honors and awards
  - iv. Supervision of graduate theses, doctoral dissertations, capstone, or practicum projects

### **6.1.2 Scholarship and Creative Activity Expectations for Tenured and Tenure-track Faculty**

- A. Scholarship/Creative Activity Excellence requires that a candidate has been leading an ongoing, productive, and disseminated program of scholarship/creative activity during the period of review. Sacred Heart University recognizes and values innovative work that may reflect interdisciplinary collaboration. The body of work should be conducted in an ethical way and makes a significant and novel contribution to one's field(s) of inquiry or artistic genre.
- B. Candidates must demonstrate scholarly/creative excellence, as evidenced in the following:
  - i. Scholarship/creative activity *output* in sufficient quantity to make a meaningful contribution to the field(s).
  - ii. Scholarship/creative activity *quality*, i.e., that represents high-value work in one's field(s).
  - iii. Scholarship/creative activity *impact*, i.e., output that makes a significant or novel contribution(s) to one's field(s), as appropriate to the field.
  - iv. Adherence to ethical standards, e.g., in scholarly and artistic conduct, collaboration, and source documentation.
- C. Evidence for Scholarship/Creative Activity  
 This section details the elements, as appropriate to the candidate's discipline, to demonstrate scholarly/creative excellence during the period of review. Successful candidates need not have entries in every category. Candidates may add items of their choosing in addition to the following:
  - i. A narrative statement detailing the candidate's scholarship/creative activity. The narrative should include discussion of the candidate's evolution as a researcher/scholar/artist during



the period of review. It should clarify the candidate's contribution to the field, discussing each of the areas of achievement detailed below.

- ii. The narrative, or accompanying documentation, should refer to the following elements of scholarly/creative excellence, as appropriate to the candidate's discipline:
  - a. For each output, provide contextual details on the publication, e.g., Journal rank, acceptance rate, and/or impact scores (if available) and other reputational indicators of the publishing/creative outlet, including discussion of emerging outlets that represent new and non-traditional approaches to the field (The Rank and Tenure Committee will not consider publications in predatory journals).
  - b. If co-authored/co-produced, candidate's specific contribution
  - c. Document if the work is peer reviewed, invited, or commissioned.
  - d. Evidence of inclusive excellence
- iii. List of Scholarly/Creative Outputs
  - a. Journal articles
  - b. Scholarly books, monographs, book chapters
  - c. Conference abstracts
  - d. Book reviews
  - e. Artistic works, exhibitions, publications, performances
  - f. Disseminated, publicly exhibited, or performed artistic work
  - g. Community-engaged research and its documented outcomes
  - h. Juried conference presentations
  - i. Sponsored research and creative activity, including the following:
    1. Extramurally funded grants
    2. Internally funded research grants
    3. Extramurally funded fellowships
    4. Non-funded grant applications
    5. Professional presentations
    6. Others
    7. Professional honors and awards related to candidate's discipline

### 6.1.3 Service Expectations

- A. All candidates must document the following elements of service performance:
  - i. Quantity of service performed in each level
  - ii. Level of engagement in the activity, including specific contributions to the work
  - iii. Impact the activity generates
- B. The service standard varies by faculty category and rank. All candidates are expected to show a record of annual, active, and meaningful service contributions across multiple areas during the period of review. Service standards for different categories and ranks are as follows:
  - i. Tenure-track, tenured, and teaching-track faculty are evaluated on service, including University service (department, College, university), professional service, and service to the Community (related to one's area of expertise as a faculty member).
  - ii. Clinical and professional practice-track faculty are evaluated on two types of service, owing to the special role they play in their respective clinical settings, the community, professional organizations, and industries.

- a. “University service” refers to activities performed in service of entities tied to Sacred Heart. University service includes activities at the Department/program, College, and university levels.
- b. “Professional service” refers to activities performed in service to clinical organizations and professional associations. Professional service may also include research and scholarly activity when accrediting bodies require faculty to engage in such work.
- iii. Service that is compensated, e.g., with a stipend or course reduction, is included in the candidates’ service record and should be counted towards their service record. When service is compensated, it should be indicated as such in the portfolio.

### C. Evidence of Service

This section details the *required* elements to demonstrate service during the period of review in the portfolio. Candidates may add items of their choosing in addition to the following:

- i. A narrative statement detailing the candidate’s service activity. The narrative should include discussion of the candidate’s evolution as a service contributor in each of the service elements detailed above during the period of review.
- ii. The narrative, or accompanying documentation, should refer to the following elements of service evidence, as they apply to the candidate’s record, i.e., successful candidates need not have entries in every category. For each, detail the candidate’s role and unique contributions and the level at which the entity operates (e.g., Department, College, or university).
  - a. University committees, task forces, and other convened entities
  - b. Community entities and activities
  - c. Professional and disciplinary committees, boards, and other activities
  - d. Research, scholarship or other activities required by accrediting bodies
  - e. Evidence of inclusive excellence

## 6.1.4 Additional and Specific Criteria According to Faculty Category and Promotion Level

### 6.1.4.1 Tenured and Tenure-Track Faculty

#### 6.1.4.1.1 The criteria for promotion to associate professor with tenure/tenure only are as follows:

- A. Teaching – The standard is excellence. A successful candidate for promotion to associate professor with tenure may not have completed their journey towards the pinnacle of teaching expertise. Nor is it a requirement that their record be free of teaching errors or challenges. Rather, a successful candidate has successfully addressed any patterns of weakness and demonstrated a record of high-quality teaching effectiveness. They demonstrate a superior commitment to student learning and show promise in continuing to excel on their teaching path.
- B. Scholarship/creative activity – The standard is excellence. A successful candidate has a record of productive achievement, and potential for continued growth and productivity. The faculty member has executed a program of scholarship/creative activity, whether alone or in

collaboration, that clearly demonstrates the individual's own scholarly abilities and achievements.

- C. Service – The standard is effectiveness. A successful candidate has a record of active and meaningful engagement and the potential for assuming greater service contributions in the future.

#### **6.1.4.1.2 Promotion to Tenured Professor**

Associate professors applying for promotion must have served five full years in associate rank before applying for promotion.

The criteria for promotion to tenured professor are as follows:

- A. Teaching – The standard is excellence. A successful candidate for promotion to professor has achieved a sustained record of high-quality pedagogy and student-learning success. They are role models for other faculty and reliable providers of high-quality teaching.
- B. Scholarship/creative activity – The standard is excellence. A successful candidate demonstrates a sustained and substantial record of engagement and contribution to the discipline(s). Their body of scholarly/creative work carries a robust and well-recognized impact on their field(s). They show promise for continued productive contributions.
- C. Service – The standard is excellence with leadership. A successful candidate demonstrates they are a fully engaged and productive service contributor. Furthermore, they will have shown effective and meaningful leadership in service. Leadership is not defined solely through a formal leadership position, but as the steward of initiatives, policies, practices, or other service contributions.

### **6.1.4.2 Teaching Faculty**

#### **6.1.4.2.1 Criteria for Promotion to Associate Teaching Professor**

The criteria for promotion to associate teaching professor are as follows:

- A. Teaching – The standard is excellence. A successful candidate for promotion to associate teaching professor may not have completed their journey towards the pinnacle of teaching expertise. Nor is it a requirement that their record be free of teaching errors or challenges. Rather, a successful candidate has successfully addressed any patterns of weakness and demonstrated a record of high-quality teaching effectiveness. They demonstrate a superior commitment to student learning and show promise in continuing to excel on their teaching path.
- B. Service – The standard is excellence. A successful candidate has become a fully engaged participant in service areas across multiple levels. Their service demonstrates meaningful impact and potential for continued engagement.

#### **6.1.4.2.2 Criteria for Promotion to Teaching Professor**

The criteria for promotion to teaching professor are as follows:

- A. Teaching – The standard is excellence. A successful candidate for promotion to professor has achieved a sustained record of high-quality pedagogy and student-learning success. They are role models for other faculty and reliable providers of high-quality teaching.
- B. Service – The standard is excellence with leadership. A successful candidate demonstrates they are a fully engaged and productive service contributor. Furthermore, they will have shown effective and meaningful leadership in service. Leadership is not defined solely through a formal leadership position, but as the steward of initiatives, policies, practices, or other service contributions.

### **6.1.4.3 Professional Practice Faculty**

#### **6.1.4.3.1 Criteria for Promotion to Associate Professor of Practice**

The criteria for promotion to associate professor of practice are as follows:

- A. Teaching – The standard is excellence. A successful candidate for promotion to associate professor of practice may not have completed their journey towards the pinnacle of teaching expertise. Nor is it a requirement that their record be free of teaching errors or challenges. Rather, a successful candidate has successfully addressed any patterns of weakness and demonstrated a record of high-quality teaching effectiveness. They demonstrate a superior commitment to student learning and show promise in continuing to excel on their teaching path.
- B. Service
  - i. Professional service – The standard is effectiveness. A successful candidate has a demonstrated record of active engagement and meaningful contributions in professional areas.
  - ii. University service – The standard is excellence. A successful candidate has become a fully engaged participant in service areas across multiple levels. Their service demonstrates meaningful impact and potential for continued engagement.

#### **6.1.4.3.2 Criteria for Promotion to Professor of Practice**

The criteria for promotion to professor of practice are as follows:

- A. Teaching – The standard is excellence. A successful candidate for promotion to professor of practice has achieved a sustained record of high-quality pedagogy and student-learning success. They are role models for other faculty and reliable providers of high-quality teaching.
- B. Service
  - i. Professional service – The standard is effectiveness. A successful candidate has a record of sustained and recognized contribution to industry or field(s)
  - ii. University Service – The standard is excellence with leadership. A successful candidate demonstrates they are a fully engaged and productive service contributor. Furthermore, they will have shown effective and meaningful leadership in service. Leadership is not

defined solely through a formal leadership position, but as the steward of initiatives, policies, practices, or other service contributions.

#### **6.1.4.4 Clinical Faculty**

##### **6.1.4.4.1 Clinical Faculty – Educator Path**

- A. Criteria for Promotion to Clinical Associate Professor on the Educator Path
  - i. Teaching – The standard is excellence. A successful candidate for promotion to clinical associate professor, educator track may not have completed their journey towards the pinnacle of teaching expertise. Nor is it a requirement that their record be free of teaching errors or challenges. Rather, a successful candidate has successfully addressed any patterns of weakness and demonstrated a record of high-quality teaching effectiveness. They demonstrate a superior commitment to student learning and show promise in continuing to excel on their teaching path.
  - ii. Service
    - a. Professional service – The standard is effectiveness, with potential for continued engagement. A successful candidate has recognized achievement in the professional or clinical discipline or didactic training. If scholarly activity is required by accreditors, the standard is meaningful scholarly contribution to the discipline.
    - b. University service – The standard is excellence. A successful candidate has become a fully engaged participant in service areas across multiple levels. Their service demonstrates meaningful impact and potential for continued engagement.
- B. Criteria for Promotion to Clinical Professor on the Educator Path
  - i. Teaching – The standard is excellence. A successful candidate for promotion to clinical professor educator track has achieved a sustained record of high-quality pedagogy and student-learning success. They are role models for other faculty and reliable providers of high-quality teaching.
  - ii. Service
    - a. Professional service – The standard is effectiveness, with potential for continued engagement. A successful candidate has a record of sustained contribution of substantial and meaningful achievement in the professional or clinical discipline or didactic training. If scholarly activity is required by accreditors, the standard is meaningful scholarly contribution to the discipline.
    - b. University service – The standard is excellence with leadership. A successful candidate demonstrates they are a fully engaged and productive service contributor. Furthermore, they will have shown effective and meaningful leadership in service. Leadership is not defined solely through a formal leadership position, but as the steward of initiatives, policies, practices, or other service contributions.

##### **6.1.4.4.1 Clinical Faculty – Practitioner Path**

- A. Criteria for Promotion to Clinical Associate Professor on the Practitioner Path

- i. Teaching – The standard is excellence. A successful candidate for promotion to clinical associate professor, practitioner track may not have completed their journey towards the pinnacle of teaching expertise. Nor is it a requirement that their record be free of teaching errors or challenges. Rather, a successful candidate has successfully addressed any patterns of weakness and demonstrated a record of high-quality teaching effectiveness. They demonstrate a superior commitment to student learning and show promise in continuing to excel on their teaching path.
  - ii. Service
    - a. Professional service – The standard is effectiveness. A successful candidate will document recognized performance and contribution in clinical settings and to the clinical discipline. If scholarly activity is required by accreditors, the standard is meaningful scholarly contribution to the discipline.
    - b. University service – The standard is excellence. A successful candidate has become a fully engaged participant in service areas across multiple levels. Their service demonstrates meaningful impact and potential for continued engagement.
- B. Criteria for Promotion to Clinical Professor on the Practitioner Path
- i. Teaching – The standard is excellence. A successful candidate for promotion to clinical professor, practitioner track has achieved a sustained record of high-quality pedagogy and student-learning success. They are role models for other faculty and reliable providers of high-quality teaching.
  - ii. Service
    - a. Professional service - The standard is effectiveness. A successful candidate has a record of recognized performance and contribution in clinical settings and to the clinical discipline. If scholarly activity is required by accreditors, the standard is meaningful scholarly contribution to the discipline.
    - b. University service – The standard is excellence with leadership. A successful candidate demonstrates they are a fully engaged and productive service contributor. Furthermore, they will have shown effective and meaningful leadership in service. Leadership is not defined solely through a formal leadership position, but as the steward of initiatives, policies, practices, or other service contributions.

## 6.2 Tenure and Promotion Processes

*Notes on Faculty Handbook Transition:*

*Tenure-track faculty who started their appointment at Sacred Heart University before any date in the 2023-24 academic year will apply for promotion to associate professor with tenure under the guidelines outlined in the December 2021 version of the Faculty Handbook.*

*All other candidates for promotion and/or tenure are subject to the current Faculty Handbook's guidelines starting in the 2025-26 academic year, which requires submission of a letter of intent in April of that calendar year.*

Key dates of the tenure and promotion process include:

1. Call for letters of intent must be issued by April 1
2. Candidate's letter of intent reply is due by April 15
3. All portfolio materials supplied by candidate are due by August 15

The complete tenure and promotion review timeline can be found as a supporting document alongside the Faculty Handbook online.

### **6.2.1 Portfolio Preparation**

The portfolio is the document reviewers at all levels refer to when assessing candidates for tenure and/or promotion. It includes items prepared by the candidate as well as items to which the candidate does not have access.

To the extent possible, all tenure and promotion portfolio materials are posted on the designated University online evaluation system.

In addition to this handbook, candidates, Department Chairs, and review committee Chairs should consult the "Guidelines and Checklist for Tenure and/or Promotion Portfolio" supporting document for details on materials' inclusion and presentation.

Each individual in the process has the responsibility to assemble the portfolio materials in a timely and professional manner by posted deadlines.

#### **6.2.1.1 Portfolio Contents**

The portfolio includes the following materials, posted to the University platform:

- A. Materials prepared and submitted by the candidate
  - i. Narrative
  - ii. Curriculum vitae
  - iii. All documentation, evidence, performance measures, and other supporting materials as detailed above and in the "Guidelines and Checklist for Tenure and/or Promotion Portfolio" document
- B. Materials submitted by the Department Chair
  - i. All candidates may solicit up to six letters of support, addressed and delivered to the Department Chair, from the following categories:
    - a. Sacred Heart University faculty and staff members with at least one year of service at Sacred Heart University who can speak directly to the promotion criteria.
    - b. Extra-mural professionals qualified to evaluate the candidate's work and contributions, especially in their research and scholarship, professional discipline, clinical/professional practice, and community engagement.
    - c. Current or past students
  - ii. Non-solicited letters from Department faculty from the following categories:

- a. Faculty members with at least two full years of service at Sacred Heart University who wish to contribute a letter to the candidate's portfolio may do so, addressing and sending the letter to the Department Chair.
    - b. Non-solicited letter authors who are not members of the Department review committee do not enjoy access to the candidate's portfolio.
  - i. External letters (also see supporting Faculty Handbook documents)
    - a. Only tenure-track/tenured candidates are required to be evaluated by independent external reviewers for their accomplishments and contributions in the areas of scholarship and/or creative activity.
    - b. Candidates develop a ranked list of 5-7 external professionals qualified to evaluate their work and contribution to their field, with the expectation that three will be added to the portfolio.
    - c. External reviewers should:
      - 1. hold a minimum of the rank to which the candidate aspires.
      - 2. work within or be knowledgeable of the candidate's area of research and/or creative activity within the discipline.
      - 3. not be a close friend or professional collaborator, e.g., graduate advisor, co-author.
      - 4. have no conflict of interest with the candidate.
- C. Role of the Department Chair in Handling External Letters for Tenure-Track/Tenured Candidates
- i. Confers with the candidate about their list of evaluators, makes suggestions for additions and subtractions to achieve a robust and ranked list of qualified individuals to write external letters, and approves the final list.
  - ii. Contacts the reviewers with requests and instructions in order of the candidate's ranked list. If a reviewer declines, move to the next name on the list.
  - iii. Sends the candidate's curriculum vitae and examples of publications/creative work.
  - iv. Posts the letters to the portfolio on the university platform.
  - v. If it is not possible to receive three letters, the Department Chair may provide a note of explanation in the portfolio, with no prejudice to the candidate.

### **6.2.2 Ethical and Professional Responsibilities for Members of Tenure and Promotion Review Committees**

- A. It is important for all those serving on all tenure and promotion review committees to act with high ethical and professional standards. In particular, they must do the following:
  - i. Disclose to the committee Chair any potential conflict of interest that they might have regarding a particular candidate.
  - ii. Maintain the privacy and dignity of candidates during deliberations and other committee communications.
  - iii. Maintain confidentiality regarding candidates' materials, committee deliberations and votes, and committee reports.



- iv. To refrain from communicating with any candidate regarding their application, or regarding the work of the committee.
- B. Effective and responsible conduct of a committee's work is ensured by all members being conscientious, by the Chair ensuring that procedures and policies are followed, and by observing the following rules:
- i. Conduct deliberations by discussion – ideally in person as much as possible – and with video conferencing when necessary and for remote faculty.
  - ii. Have the committee refrain from putting sensitive discussions in emails.
  - iii. Have all committee members present during committee work, unless recused.
    - a. A quorum is needed to proceed. For all committees in this process, a *quorum* is half the number of full members, rounded up to the next whole number (i.e. five members for a nine-member committee).
  - iv. Hold secret ballots without committee member names, at the College and University review levels. Members of committee shall not be compelled to reveal their votes unless required to do so in a legal action.
  - v. Every committee member should actively deliberate and vote on each candidate unless a faculty member must recuse.
- C. If a member is suspected of a breach of ethical or professional responsibility, the committee should discuss in full session and attempt to resolve and heal the issue by consensus. If the concern is seen to be serious, the committee may vote to report the issue to the respective College Dean and/or dismiss the member by a majority vote of the members of the committee.

## 6.2.3 First-Level Review: The Department

### 6.2.3.1 Department Committee Eligibility

- A. All eligible Department faculty constitute the Department review committee.
- B. Faculty who have achieved both the rank and tenure status that the candidate aspires to are eligible to participate in the evaluation, as follows:
  - i. All tenured associate and full professors evaluate tenure-track assistant professors for tenure and promotion to associate professor.
  - ii. All tenured associate and full professors evaluate tenure-only cases. While not the norm, tenure-only cases refer to faculty hired on tenure-track at the rank of associate professor applying for tenure only (but are not yet applying for promotion to full).
  - iii. Associate and full professors from all faculty categories evaluate teaching, clinical, and assistant professor or professor of practice for promotion to associate.
  - iv. All tenured full professors evaluate tenured associate professors for promotion to full.
  - v. Full professors from all faculty categories evaluate teaching, clinical, and associate professor or professor of practice promotion to full.

- C. If the Department has fewer than three faculty eligible to review the candidate, the Department Chair appoints eligible faculty from cognate department/s

#### **6.2.3.2 Department Review Committee Chair**

- A. The Department Review Committee Chair leads the Department review process.
  - i. The Department Chair serves as the Department Review Committee Chair if they are a member of the eligible faculty review committee.
  - ii. If the Department Chair is ineligible to serve, the eligible faculty on the review committee elects a Chair from their ranks.
  - iii. If no one in the Department is eligible to serve as the Department Review Committee Chair, the Dean, in consultation with the Department Chair, appoints the Chair from a cognate department.
- B. The eligible Department faculty receive access to the candidate's portfolio in advance of the meeting to review the candidate's application.
- C. The faculty discuss the candidate and vote to recommend or not to recommend the candidate's application.
- D. The Department Review Committee Chair has five responsibilities:
  - i. Lead the meetings in which candidates are reviewed, discussed, and voted upon
  - ii. Serve as a voting member of the committee.
  - iii. Write a report to be included in the candidate's materials that:
    - a. Summarizes the voting faculty's views on the candidate's strengths and weaknesses, per the faculty handbook criteria.
    - b. Reports the vote's results (without names)
  - iv. Secure the initials on the report of all the committee members.
  - v. Post the report on the University platform.

#### **6.2.4 Second-Level Review: The College Rank and Tenure Committee**

Second-level review is for cases of tenure and promotion to associate, and tenure-only cases.

- A. The College Rank and Tenure committee reviews candidates for tenure and promotion to associate professor.
  - i. The promotion to associate decision and the tenure decision are coupled, i.e., a candidate may not be promoted without earning tenure, or tenured without earning promotion.
- B. The College committee also reviews candidates applying for tenure only (e.g., faculty hired on tenure-track at the rank of associate professor).
- C. In the very rare cases of tenure-track associate professors applying for both tenure and promotion to full professor, they are not reviewed by the College committee. Their portfolio is reviewed by the Department Review Committee, Dean, University Rank and Tenure

Committee, Provost, and President. In such cases, a candidate may earn tenure without earning promotion to full (but not promotion without tenure).

#### **6.2.4.1 Staffing of the College Rank and Tenure Committee**

Each College, depending on size and available numbers of tenured faculty, staffs a tenure committee of 5 or 7 tenured faculty members. The staffing of the College Rank & Tenure Committee is governed by the following rules:

- A. Only tenured faculty are eligible to serve.
- B. Committees of 5 include 3 full professors; committees of 7 include 4 full professors.
- C. If there are insufficient eligible faculty to populate the committee, the Dean, in consultation with Department Chairs, requests that members from cognate department(s) in other Colleges be added.
- D. The majority of committee members (3 and 4 respectively) are elected.
- E. The remaining committee members are appointed by the Dean with the intent of achieving a diversity of representation by Department, rank, and time in service at the University.
- F. Committee terms should be staggered so that there are always at least two individuals continuing from the previous year.
- G. Terms are for three years, renewable once. Two years must pass before an individual can serve again.
- H. Members elect a Chair from among the full professors serving on the committee.
- I. Recusal
  - i. Recusal requires the member to excuse themselves from both the discussion and vote for that candidate.
  - ii. Individuals who are members of the same Department of the candidate must recuse themselves.
  - iii. Individuals who have not achieved the rank to which the candidate aspires must recuse themselves.

#### **6.2.4.2 Activity of the College Rank and Tenure Committee**

- A. The College Rank and Tenure Committee reviews the portfolio and Level 1 (Department) recommendations on tenure and/or promotion.
- B. College Committees may use a system of first and second readers to present a summary evaluation of each candidate to the rest of the committee. Such a system does not remove the need of each committee member to thoroughly review each portfolio.

- C. The Committee then performs the following actions:
  - i. Meets, discusses, and votes.
  - ii. For each candidate, the committee Chair writes a report on the vote and its recommendations, with supporting evidence and rationale.
  - iii. The Committee Chair secures the initials of all voting members on the report.
  - iv. The Committee Chair posts the individual reports to the University platform.

### **6.2.5 Third-Level Review: The College Dean**

The Dean writes an evaluation based on the portfolio and first- and second-level reviews and posts it to the University platform.

### **6.2.6 Fourth-Level Review: University Tenure and Promotion Committees**

University Tenure and Promotion Committees may use a system of first and second readers to present a summary evaluation of each candidate to the rest of the committee. Such a system does not remove the need of each committee member to thoroughly review each portfolio.

#### **6.2.6.1 The University Rank & Tenure Committee**

- A. Evaluates candidates for tenure, promotion to associate professor, and promotion to full professor of the tenure-track/tenured faculty.
- B. Conducts expedited review for those external applicants who have been approved by the relevant College Dean and the Provost for appointment as Professor and/or for a tenured position.

#### **6.2.6.2 The University Promotion Committee**

- A. The University Promotion Committee evaluates candidates for promotion to associate professor and professor in the faculty categories of teaching, clinical, and professor of practice.

#### **6.2.6.3 Staffing of the University Rank & Tenure and the University Promotion Committees**

- A. Individuals who serve on College Rank and Tenure review committees are not eligible for the University Rank and Tenure Committee.
- B. Tenured faculty members may serve on both the University Rank & Tenure Committee and the University Promotion Committee.
- C. Members should have a minimum of five years' service in academia with at least three years' service at Sacred Heart University.
- D. Terms are for 3 years, renewable once. Two years must pass before a faculty member may serve again.

##### **6.2.6.3.1 Composition of the University Rank & Tenure Committee**

- A. Nine elected tenured faculty members from the associate and full ranks

- i. Two from the College of Arts & Sciences (1 must be full professor), 1 each from each other College, 3 at-large full professors.
- B. Members elect a Chair from among the full professors serving on the committee.
- C. Individuals who have not achieved the rank to which the candidate aspires must recuse for that case.
- D. Individuals who are members of the candidate's Department recuse themselves from that case. Recusal requires the member to excuse themselves from both the discussion and vote for that candidate.

#### **6.2.6.3.2 Composition of the University Promotion Committee**

- A. Seven elected members
  - i. Five elected tenured faculty members from the associate and full ranks
    - a. One individual from each College
    - b. A minimum of 3 full professors, at least two elected from the University Rank and Tenure Committee
  - ii. Two non-tenure-track faculty from associate and full ranks
    - a. No more than 1 individual from same College
    - b. At least 1 must be rank of full professor.
  - iii. If a College does not have a non-tenure-track faculty at the associate or full rank to serve, that College representative may be replaced by a tenured faculty member from the College.
- B. Members elect a Chair from among the tenured full professors serving on the committee.
- C. Individuals who have not achieved the rank to which the candidate aspires must recuse themselves for that case.
- D. Individuals who are members of the candidate's Department must recuse themselves for that case.

#### **6.2.6.4 Activity and Responsibilities of the Committees**

- A. Both University level committees ensure that Level 1 (Department) and Level 2 (College, when applicable) review committees applied the established criteria.
- B. Review all application materials.
- C. Meet, discuss, and vote.
- D. The committee Chair compiles a report indicating the vote and its recommendations, with supporting rationale, and posts the report to the University platform.

#### **6.2.6.5 Expedited Review of External Applicants for Professor and/or Tenure**

- A. The University Rank & Tenure Committee conducts an expedited review only for external applicants approved by the College Dean and Provost for appointment as Professor and/or with tenure.
- B. The expedited review and the Committee's recommendation to the Provost will be completed before a written offer is made to the candidate.
- C. Materials provided to the Committee for expedited review include:
  - i. All materials provided to the Search Committee, including:
    - a. Curriculum Vitae
    - b. At least three letters of reference
    - c. Evidence of teaching accomplishments
    - d. Evidence of recent scholarly/creative accomplishments
  - ii. Written rationale from the College Dean for granting the applicant tenure and/or professor status.

#### **6.2.7 Fifth-Level Review: The Provost**

- A. The Provost receives the recommendation of the Committees for each applicant in writing, including the tally of votes and committee report, along with all other portfolio materials.
- B. The Provost then transmits the recommendations of the Committee to the President along with their own recommendation for tenure and/or promotion.
- C. When the Provost does not support the recommendation of the appropriate University-level committee, the Provost shall inform the committee.

#### **6.2.8 University President**

- A. The University President receives the Provost's recommendation and all accompanying documentation from previous levels of review.
- B. The President makes the final decision in all cases of promotion, with the exception of promotion with tenure.
- C. In tenure cases, the President makes a recommendation to the Board of Trustees.

#### **6.2.9 Board of Trustees**

- A. The Board of Trustees acts only on tenure cases.
- B. Tenure is granted only when the Board of Trustees votes in favor.
- C. Candidates receive notification of the outcome of their applications following the Board of Trustee meeting.

- D. The effective date of tenure/promotion is the start of the following academic year.

## **7.0 FACULTY DEVELOPMENT, CHANGES IN TEACHING LOADS, AND SABBATICALS**

### **7.1 Faculty Development**

Sacred Heart University recognizes its obligation to faculty members to provide time and resources for faculty development when resources allow. The University seeks to fund and support faculty development in teaching, research/creative activity, and professional growth.

#### **7.1.1 Faculty Development Programs Offered by Sacred Heart University**

- A. Teaching improvement activities (e.g., programming through the Center for Teaching and Learning)
- B. Support for travel expenses related to research and/or creative activities
- C. Support for travel expenses related to teaching activities
- D. Internal grants to support faculty scholarly/creative activity (e.g., University Research Creativity Grants, Office of Research and Sponsored Programs)
- E. Internal grants to support teaching innovation (e.g., Academics for Creative Teaching grants)
- F. Internal grants to provide pilot funding to support emerging faculty research
- G. Funding for faculty to participate in professional development at conferences and institutes
- H. Other activities that may reasonably be expected to assist faculty growth and development

#### **7.1.2 Conference and Other Professional Travel Funds**

- A. Faculty members are encouraged to attend scholarly and professional conferences and workshops to support their professional development, build and interact with their professional communities, and deliver/exhibit their work.
- B. Applications for travel funding from Sacred Heart University should follow the process below:
  - i. Faculty apply for travel funds in writing to their Department Chair. Applications should detail the purpose of travel, requested funds, and the impact of the activity on the faculty member's and University's goals.

- ii. If supportive of the request, the Department Chair forwards the faculty member's application with a letter of support from the Chair to the College Dean. The Chair and Dean may also choose to request funds from the Provost.

## 7.2 Changes in Teaching Loads

- A. Ordinary faculty teaching loads are detailed in Section 3 of the Faculty Handbook.
- B. The University may use reductions in ordinary teaching loads to support specific faculty development, projects, and administrative assignments.
- C. Deviations from ordinary teaching loads may occur only with the College Dean's approval.
- D. The following details the process for common teaching-load changes:
  - i. Reduced loads for faculty development
  - ii. Any faculty member engaged in a significant faculty development activity may request a teaching-load reduction.
  - iii. The faculty member submits a request in writing to the Department Chair by the third week of the semester preceding the proposed reduction.
  - iv. The Department Chair submits the proposal with their recommendation to the College Dean by the seventh week of the semester.
  - v. Requests are evaluated on the proposal's merit, funds availability, curricular and student needs, and the number and distribution of such requests.
- E. Course-load changes associated with external grant funding
  - i. The University encourages faculty to seek external funding and endeavors to assist applicants with matching funds and course releases where warranted and/or required.
  - ii. Faculty seeking University funding or course releases must work with the Department Chair, College Dean, and Provost early in the application process.
  - iii. No grant applicant may include commitment of teaching time without express approval from the Department Chair, College Dean, and Provost.

## 7.3 Sabbaticals

Sacred Heart University supports professional growth and achievement by supporting sabbatical leaves for research-active tenured faculty members.

### 7.3.1 Eligibility For Sabbatical Leaves

- A. Tenured faculty members are sabbatical-eligible.
- B. Tenured faculty members become eligible for their first sabbatical following the completion of seven years of active, full-time service at Sacred Heart University. Eligibility for subsequent sabbaticals comes after completing six years of active, full-time service. The service year count begins with the start of the undergraduate academic year following the year in which the sabbatical is taken.



- C. If a sabbatical application is denied, the faculty member is eligible to reapply during any subsequent academic year.

### **7.3.2 Postponement of Sabbatical Leave**

- A. A faculty member may request a postponement of their sabbatical for various reasons.
- B. A College Dean may ask a faculty member to postpone a sabbatical to accommodate teaching or other needs.
- C. If a postponement is approved, the faculty member may apply the following year without losing time towards the subsequent sabbatical application, i.e., they become eligible for the subsequent sabbatical after 5 years of service rather than 6.
- D. A faculty member may apply for no more than 3 postponements in any six-year cycle.

### **7.3.3 Faculty Status During Sabbatical**

- A. Faculty members on sabbatical retain their rights to participate and vote in meetings and governance activities at the Department, College, and university levels. While on sabbatical, faculty are released from all teaching, advising, administrative and committee service duties.
- B. Faculty members on sabbatical have access to University facilities and services.
- C. Time spent on sabbatical is included in the period assessed for the purposes of promotion. Exceptions must be made in writing in advance of the sabbatical and approved by the College Dean and Provost.

### **7.3.4 Salary Eligibility During Sabbatical Leave**

- A. One-term (or semester) sabbaticals receive full salary. Year-long sabbaticals receive half salary.
- B. Annual raises and benefits remain active during the sabbatical. The University and the faculty member continue to pay their respective share of the benefit package.

### **7.3.5 Application Procedures**

- A. Faculty members should work with their Department Chair to develop a sabbatical application early in the academic year prior to the requested sabbatical leave.
- B. Forms and applications for sabbatical leave will be made available by the University through the online platform.
- C. The Department Chair appends a statement on how the faculty member's duties will be absorbed and covered by the Department. Such a statement includes any request for replacement faculty.

- D. The College Dean forwards all sabbatical leave requests from the College to the Provost by January 31<sup>st</sup> of the academic year prior to the sabbatical year.

### **7.3.6 Criteria and Actions for Sabbatical Applications**

- A. The Provost appoints six members to the Committee on Sabbaticals.
  - i. The Provost consults with the College Deans to appoint two members from the College of Arts and Sciences and one member from every other College.
  - ii. The Office of the Provost circulates all sabbatical applications to Committee members.
- B. The Committee on Sabbaticals submits recommendations based on the merits of the applications to the Provost.
- C. The Provost makes a recommendation to the President as to which sabbatical applications should be granted.
- D. Sabbatical awards are decided on multiple factors, including proposal merit, time since previous sabbatical, Departmental needs, and seniority. Sabbaticals will not be awarded to support work on advanced degrees or for work in areas not directly related to the faculty member's professional responsibilities at the University.
- E. The Provost gives written notice on sabbatical decisions to applicants, Department Chairs, College Deans, and members of the Committee on Sabbaticals.

### **7.3.7 Sabbatical Recipients' Obligations**

- A. Sabbatical recipients are obligated to dedicate full-time effort to the work for which the sabbatical is granted.
- B. Sabbatical recipients may not accept full-time teaching assignments elsewhere, except with prior Provost approval.
- C. Sabbatical Recipients will
  - i. Make every effort to fulfill the terms and promises of the sabbatical application.
  - ii. Return to the university for full-time employment for a minimum of a period equal in duration to the sabbatical leave. If the faculty member does not return to the University as described above, they must repay the University the salary and cost of benefits incurred during the sabbatical.
  - iii. File a report on the results of the sabbatical with the Department Chair, the College Dean, and the Provost within thirty days after the beginning of the term following the sabbatical.

## 8.0 FACULTY LEAVES OF ABSENCE

- A. A leave of absence, either with or without pay, allows a member of the faculty or a member of the administration who holds faculty rank to be absent from his/her regular duties of appointment for more than ten working days.
- B. Leave with Pay:  
An approved leave with pay means that the University pays all or a part of the faculty member's regular salary and the employer portion of the fringe benefits. The faculty member will continue to pay their portion.
- C. Leave without Pay:  
An approved leave of absence without pay means that the University does not pay any of the faculty member's salary, but benefit coverage continues for up to one year with the faculty member and the University each continuing to pay their portion of the cost. If the unpaid leave is extended beyond one year, the faculty member will then be responsible for the full cost of benefits if they choose to continue coverage through the University.
- D. The faculty member, returning from leave, is allowed to return to a position to which they have been previously appointed or for which they are qualified. Previously earned rank, salary, benefits, and seniority are not lost.
- E. The University is flexible on the question of whether a leave, with pay, of a semester or longer will count as time in service toward tenure, promotion, and/or sabbatical eligibility.
  - i. The burden is on the faculty member to inform the Dean and Office of Faculty Affairs if they would like to pause the tenure clock while on leave.
  - ii. Declaration must be in writing and submitted to Human Resources 30 days prior to the scheduled return from leave.
  - iii. If the tenure-track clock is tolled, then it will restart upon return from the leave.
- F. Ordinarily a leave of absence without pay will not count toward promotion or tenure unless the faculty member and Sacred Heart University agree in writing to the contrary at the time the leave is granted.
- G. Time-Limit, Procedures, and Policies on Leave
  - i. Leaves with or without pay are for a definite period, normally for a single term or an academic year, but under unusual circumstances and with written authorization for as much as two years.
  - ii. Short-term leaves with pay for legitimate cause for less than ten working days may be arranged at the appropriate time with the Provost in consultation with the Department Chair and College Dean.
  - iii. Longer-term leaves for more than ten working days are to be requested according to the policies and procedures in this Section of the Faculty Handbook
  - iv. The request for a longer-term leave of absence with or without pay must be made in a timely fashion to allow for adequate administrative planning. The written request

- must specify the purpose, plans, and length of the leave. It will be submitted to the Department Chairperson and College Dean, who will forward it to the Provost.
- v. Leave of absence without pay is not considered a sabbatical and may be granted at any time in accordance with established University policy and special exigencies.
  - vi. Application for a leave of absence is acted upon by the Provost in consultation with Human Resources.
  - vii. For planning purposes, application for an unpaid leave should be made, when possible, twelve months in advance. However, it is recognized that the faculty member applying for a leave may depend on outside support from a grant. Because the timing of notification of grants will vary, the faculty member may make a tentative application pending receipt of such financial support.
  - viii. In the event the member of the faculty wishes to extend the time of an approved leave, he/she will again follow the above procedure.
- H. Number of Leaves Granted by the University
- i. Ordinarily, Sacred Heart University will grant leaves of all kinds in any given academic year to no more than ten percent of the total full-time teaching faculty in each term.
  - ii. The Provost in consultation with the College Deans and Department Chairs will recommend to the President the number and distribution of such leaves.
- I. Support During Leaves
- Whenever possible, the University will provide the services to faculty on sabbatical or leave normally available to full-time faculty. Requests for such assistance should be directed to the appropriate College Dean.
- J. Applications for Leave Without Pay
- i. Any full-time member of the faculty may request a full-time or part-time leave of absence without pay for one of the following reasons:
  - ii. Fellowship award
  - iii. Completion of research
  - iv. Formal study
  - v. Bonding time related to the birth or adoption of a child
  - vi. Qualified FMLA events, unrelated to the faculty member's personal health
  - vii. Extended service in the armed services
  - viii. Other specified reasons in the interests of the University.
- K. Family Medical Leave Policy
- Sacred Heart University recognizes the Family Medical Leave Act. The policy is available in the Employee Handbook, which is available on the Sacred Heart University website, and applies to eligible full-time faculty as well. Guidelines for requesting leaves of absence under the Family Medical Leave Act are as follows:
- i. Faculty shall contact Human Resources, along with the Department Chair and Dean as soon as it is reasonable to plan for the leave.

- ii. Sacred Heart University will do its best to support all requests for FMLA leave of absence in consideration of university business needs and continuity for the students.
- iii. Therefore, where a leave is anticipated, the faculty member will be released from all faculty-related responsibilities, including teaching, but receive full pay, during the semester they expect to be absent from their duties.
- iv. The actual semester the faculty member will take off may be influenced by the leave, and where it falls in the academic year. All situations will be taken into consideration.
- v. The faculty member and university will engage in good faith discussion prior to the leave to determine the actual period and duration of the leave.
- vi. When a faculty member and their spouse both work for the University, FMLA time must be carefully coordinated to minimize the impact on the University.
- vii. A second semester of unpaid leave may be requested as provided for above under “Leave Without Pay”

## **9.0 INTELLECTUAL PROPERTY**

- A. Respect for intellectual labor and creativity is vital to academic discourse and enterprise. This principle applies to works of all authors and publishers in all media. It encompasses respect for the right to acknowledgement, the right to privacy, and the right to determine the form, manner, and terms of publication and distribution.
- B. Institutions of higher education are established for the common good, and not to further the interest of either the individual faculty member or the institution as a whole. The common good depends upon the free search for truth and its free exposition. Within the spirit of this tradition, except in limited situations, or as expressly agreed by the University, the creator of copyrightable or patentable intellectual property shall retain their rights, and the University shall not assert ownership rights. However, creators do grant nonexclusive, royalty-free, perpetual licenses to the University for copyrightable or patentable material that is developed for University courses or curriculum, so that the University’s continued use of such material for educational purposes or the advancement of the University mission is maintained.
- C. The University will have ownership rights to copyrightable or patentable intellectual property developed under the following circumstances:
  - i. Development was funded by an externally sponsored research program, which allocates rights to the University, or by any other agreement, which allocates rights to the University.
  - ii. The University has negotiated an understanding or formal contract with the creator.
  - iii. Material was developed by administrators not holding faculty rank or other non-faculty employees in the course of employment duties and constitutes work for hire under US law.
  - iv. The material was developed with extraordinary or substantially more use of University resources than would normally be provided for the creator’s

employment duties. Substantial use includes projects undertaken by the faculty member with the benefit of extraordinary funds, facilities, or opportunities, which the faculty member would not ordinarily be entitled to have for any chosen project. Ordinarily available resources include office space, studio space, laboratory space and personal office equipment, office computer workstations, library and other information resources, and the means of network access to such resources, including information available on University servers and the Internet, funding, available audio and video resources, and support staff including Departmental Administrative Assistants, work study students, undergraduate and graduate research students.

- D. Except as provided above, the following classes of intellectual property are excluded with regard to disclosure, ownership, transfer, and licensing and title shall remain with or be assigned to the creator. These materials include the following: academic or scholarly activity, including books, articles, works of fiction and nonfiction, poems and dramatic works, musical and choreographic works, pictorial, graphic, or sculptural work, computer software, whether in print, video, or electronic format.

## **10. SEPARATION AND GRIEVANCE**

### **10.1 Separation**

At times, Sacred Heart University or individual faculty members may find it necessary to sever their contractual relationship. To protect the interests of both parties, categories of separation are here defined, and the policies and procedures related to each are set forth.

#### **10.1.1 Types of Separation**

Types of separation include resignation, retirement, non-reappointment, prolonged mental and physical illness, layoff/termination, and suspension or dismissal for cause.

##### **10.1.1.1 Resignation**

- A. Resignation is a severance action by which a faculty member voluntarily seeks to be released from a contract with the University.
  - i. Because of the hardship caused by unanticipated resignation by faculty, faculty members are expected to provide the earliest possible written notice of a request to resign.
  - ii. All resignations are subject to approval by the University.
  - iii. Ordinarily, a faculty member is expected to give notice to their Department chair, their College Dean, and to the Provost no later than thirty days after the date that contracts for the next year are issued.
  - iv. It is expected that, except in unusual circumstances, resignation will be effective at the end of the contract term.

### **10.1.1.2 Retirement**

- A. A faculty member becomes eligible for retirement when their age and years of service at Sacred Heart University equals or exceeds 80 years.
- B. Any ordinary faculty member at Sacred Heart University who retires from the University is deemed to have been separated from the University's services in good standing.
- C. Status and Privileges of Retired Faculty Members  
 Sacred Heart University is committed to promoting close ties between itself and its faculty members who are retired. To this end, the following assistance and privileges are available to these faculty.
  - i. The University will provide meeting facilities for such former faculty members who may wish to meet as a group.
  - ii. After retirement, faculty members may retain their Sacred Heart University identification card. This card provides access to Sacred Heart University's library, bookstore, campus parking permits, and cultural, athletic, and educational events.
  - iii. Retired faculty members may take course(s) at Sacred Heart University tuition free. Further, if a spouse and/or dependent is pursuing a degree program under the tuition remission plan specified in the Faculty Benefits Handbook in force at the time an ordinary faculty member fully retires, such benefits will continue until the spouse and/or dependent(s) have completed their degree program.
  - iv. The office in charge of public information, at the request of a retired faculty member and if they keep their current address on file, will assure that notices of major campus activities are sent to the retired faculty member.
  - v. Retired faculty members may attend the meetings and other activities of their former Departments. However, only those who have active faculty status by current appointment may vote in these meetings and only in accordance with the voting rights attendant to the status they hold.
  - vi. Retired faculty members may participate in the University's Commencement exercises with appropriate academic dress.

### **10.1.1.3 Non-Reappointment**

- A. Legitimate reasons for non-reappointment of faculty members from all categories, including tenured faculty, include but are not limited to the following:
  - i. Cancellation of or change in an academic program
  - ii. Declining enrollment
  - iii. Financial or other need for reduction in faculty
  - iv. Unfavorable reviews of the faculty member's major appointment responsibilities
  - v. Inadequate performance of the faculty member's appointment responsibilities

#### **10.1.1.3.1 Procedural Guidelines for Non-Reappointment**

- A. The University will give permanent (i.e., continuing contract under one of the “ordinary” faculty categories detailed in Section 3.1 of the Faculty Handbook) and full-time faculty members advance notice of the University's intent not to reappoint them for a subsequent academic year.

- B. The decision not to reappoint an ordinary faculty member is made at the sole discretion of the Provost, except that any such decision may not be unlawfully discriminatory or unreasonable. The Provost shall act after engaging in a comprehensive review of the faculty member's evaluations and performance records and after consulting with and receiving the recommendations from the Department chair and College Dean.
- C. Where the faculty member is the Department chair, the recommendation of the Provost in consultation with the College Dean informs the President.
- D. In cases where the faculty member believes that their non-reappointment has been discriminatory or in violation of Faculty Handbook procedures, they may commence a grievance. The burden of proof shall be on the faculty member. The review of the grievance shall be limited to determining whether the non-reappointment was motivated solely by unlawful discrimination or whether there was a violation of procedures.
- E. Non-reappointment is not a dismissal for cause. If the faculty member wishes to know the reasons for non-reappointment, the request should be made to the Provost.
- F. Notice of non-reappointment must be provided in writing and as follows:
  - i. On or before March 1 of the first full academic year of service if the initial appointment is not to be renewed, or at least 90 calendar days prior to the expiration of an initial, one academic year appointment, if it expires during an academic year.
  - ii. On or before December 15 of the second full academic year of service if the appointment is not to be renewed, or at least 180 calendar days prior to the expiration of the appointment if it expires during an academic year; or
  - iii. At least one year before non-reappointment if the faculty member is in at least the third year of an ordinary faculty appointment.

#### **10.1.1.4 Prolonged Mental or Physical Illness**

- A. If a tenured faculty member is unable to perform all or a substantial part of their duties for a period of more than six months because of ill health, they do not lose tenure but may request an indefinite leave of absence without pay until such time as they shall be able to resume teaching duties. A faculty member shall present medical evidence of their state of health to Human Resources.
- B. When a non-tenured faculty member is unable to perform all or a substantial amount of their duties for more than six months because of ill health and despite reasonable accommodation, the University may not reappoint them.
- C. Termination of an ordinary, full-time faculty appointment for medical reasons before the end of the period of appointment will be based upon medical evidence that a faculty member is or will be unable to perform the terms, conditions, and normal duties of the appointment because of ill health despite reasonable accommodation. A faculty member shall present medical evidence of their state of health to Human Resources. The decision to terminate will be reached only after there has been appropriate consultation and after



the faculty member or their representative has been informed in writing of the basis of the proposed action and the reasons for it.

#### **10.1.1.5 Dismissal for Cause**

- A. Dismissal for cause is a severance action by which Sacred Heart University terminates its contract with the faculty member for just cause.
- B. Any teaching contract (tenured or untenured) is subject to action under this section.
- C. Dismissal for cause must be directly and substantially related to the fitness of a faculty member to continue to perform their contractual duties.
- D. Dismissal will not be used to restrain a faculty member's academic freedom.
- E. Dismissal proceedings may be instituted on the following grounds:
  - i. Professional incompetence
  - ii. Continued neglect of academic duties
  - iii. Failure to fulfill the faculty responsibilities detailed in Section 4.2 (Faculty Responsibilities) of the Faculty Handbook
  - iv. Serious personal misconduct
  - v. Deliberate and serious violation of the rights and freedom of fellow faculty members, administrators, and/or students
  - vi. Conviction of a crime directly related to the faculty member's fitness to practice their profession
  - vii. Serious failure to follow the canons and professional ethics of one's discipline
  - viii. Falsification of credentials, experience, and/or research results
  - ix. Evidence of frequent faculty performance evaluations that demonstrate a pattern of poor performance, unethical conduct, and/or unprofessional behavior

##### **10.1.1.5.1 Progressive Discipline in Advance of Dismissal**

- A. Department chairs, Deans, and mid-tenure review committees have the responsibility for identifying performance and other problems and lapses clearly and as soon as they emerge. Faculty members have the right to be informed of performance and other concerns in a timely fashion. Annual reviews and mid-tenure reports are expected to be clear, complete, and direct.
- B. Dismissal for cause should, in normal circumstances, be preceded by a written admonition by the appropriate administrative officer describing the alleged problem and warning that the faculty member's contract status is in jeopardy. The warning must also stipulate a period within which correction of the alleged problem is expected. If the faculty member fails to correct the negligence, dismissal procedures or a lesser sanction may be applied.
- C. The President holds the authority to dismiss a faculty member. The President and University should follow the following guidelines:
  - i. Typically, the recommendation for a dismissal comes from the Provost, who has consulted with the individual's Department chair and College Dean.

- ii. The Provost should provide a written notification to the faculty member that a recommendation for dismissal for cause will be made to the President. This notice shall detail the grounds upon which the recommendation is to be made and a summary of evidence supporting such grounds.
- iii. The faculty member should have a reasonable opportunity to meet with the Provost and the College Dean to present a defense to the dismissal recommendation before the formal recommendation is made to the President.
- iv. The Provost should alert the officers of the respective College and University governance bodies of the intended dismissal, without revealing confidential details of the affected individual's human resources file.
- v. The faculty member has the right to file a formal grievance in response to the dismissal.

#### **10.1.1.5.2 Actions Short of Dismissal**

- A. The President may elect to impose a disciplinary action short of dismissal for causes listed above. Disciplinary actions may include suspension for a period without pay and/or withdrawal of faculty privilege. In unusual circumstances, the President may take disciplinary action without previous citation or warning.
- B. The President may also impose a temporary suspension when there is a strong likelihood that the faculty member's continued presence at the University poses an immediate threat of harm to the University, to themselves, or to individual members of the University community. Such suspension shall be with pay and shall last only so long as the threat of harm continues or until dismissal for cause occurs.
- C. A suspension may not last beyond a full year but may entail the total or partial discontinuance of all salaries and benefits, the suspension of all promotion and salary increments and the temporary suspension or withdrawal of all faculty privileges.

#### **10.1.1.6 Layoff**

- A. Layoff is a severance action by which the University terminates the services of an ordinary faculty member before the expiration of their current contract, without prejudice as to their performance. Faculty so laid off will have preference in rehiring.
- B. Faculty slated for layoffs should be given notice as early as possible, ideally nine months before the layoff takes effect.
- C. Legitimate reasons for layoff include:
  - i. Major changes or discontinuation in curricular requirements, academic programs, Departments, or Colleges
  - ii. Termination of a faculty member may occur as a result of discontinuing a Department, a curricular requirement, an academic program, or a College in whole or in part. Wherever possible, program and curricular changes and cancellations should take effect at the end of an academic year.
  - iii. Enrollment emergency: Enrollment emergency is either a sudden or unplanned decline in student enrollment, the detrimental financial effects of which are too great or too rapid to be offset by those procedures outlined in the Faculty Handbook.

- iv. Financial exigency: Financial exigency is the critical, urgent need of the University to reorder its current fund expenditures in such a way as to remedy and relieve its inability to meet projected annual monetary expenditures with sufficient revenue.

#### D. Procedural Guidelines for Layoffs

- i. The decision to enact layoff(s) is the responsibility of the Board of Trustees, acting on a recommendation from the President. Before such a recommendation occurs, the President and senior staff are expected to:
  - a. Consult early and fully with campus leaders, including senior administrators, Deans, Department chairs, and program directors
  - b. Consult with faculty governing councils and assemblies at College and University levels
  - c. Consult specifically with University Committees of Academic Affairs and Faculty Affairs
- ii. In cases of enrollment or financial emergency in which academic program elimination is considered, faculty governance bodies and affected Departments and programs should be given the opportunity to propose remedies to the Provost and President.
  - a. University Committees of Academic Affairs and Faculty Affairs shall be represented in administrative discussions and processes related to program elimination.
- iii. Deliberation of all actions concerning faculty layoffs or program and curricular change/elimination shall be guided by the University's educational mission.
- iv. Faculty laid off under a curricular change will receive notice as early as possible, ideally at least nine months before the end of contract. The University will normally end such programs and the faculty member's relationship with the University at the end of an academic term.

#### E. Order of Layoffs

- i. When laying off faculty, whether in a specific program or more broadly, the University should follow the order outlined below.
- ii. Exceptions should be rare and only to avoid severe harm to the academic program or the transition process.
- iii. Before layoffs, the University should consider the offer of voluntary retirements and resignations.
- iv. The order of layoffs should proceed as follows:
  - a. Part-time teaching assignments of administrators
  - b. Non-ordinary faculty
    - 1. Faculty emeriti teaching current courses
    - 2. Adjunct faculty
  - c. Non-tenure-track faculty
    - 1. The order of layoffs should be informed by program needs, academic integrity, and seniority.
  - d. Tenure-track and tenured faculty
    - 1. The order of layoffs should be informed by program needs, academic integrity, and seniority.

#### F. Layoff Appeals

If the University issues notice to a particular faculty member of an intention to terminate the appointment because of reasons discussed above, the faculty member will have the right to a formal grievance. The layoff will not be delayed in the case that the grievance is not settled by the effective date. Nor will the grievance procedure be interrupted or denied because of the layoff.

## 10.2 Grievance

The University recognizes and endorses the importance of fair process, and of addressing grievances properly without fear of prejudice or reprisal. Accordingly, the University encourages the internal and prompt settlement of grievances by use of processes detailed here.

When a grievance has been filed with any outside agency, the Faculty Grievance Committee shall not hear the matter. Any grievance that has been filed and resolved by an outside agency cannot then be presented as a grievance within the University.

A grievance is an allegation by a faculty member, or group of faculty members, of any of the following:

- A. Violation of policy or procedure as set forth in the Faculty Handbook
- B. Infringement of the procedural rights of an employee or employees of the University as set forth in the Faculty Handbook
- C. Infringement of professional rights or academic freedom

Alleged discrimination based on a protected class as provided for in Federal and State statutes as amended, shall be referred to the Office of Inclusive Excellence for investigation and determination in accordance with that offices' policies.

### 10.2.1 Grievance Procedures

#### 10.2.1.1 Faculty Grievance Committee

- A. The Faculty Grievance Committee consists of seven elected full-time tenured faculty members. Said faculty members shall be elected as follows: three from the College of Arts and Sciences; one from the Welch College of Business & Technology; one from the Farrington College of Education & Human Development; one from the Davis & Henley College of Nursing; and one from the College of Health Professions.
- B. Elections take place during the same time as the elections for the Council of the University Academic Assembly and are conducted in accordance with the same rules and procedures.
- C. Faculty members with a conflict of interest, bias towards, or involvement in any case brought before the Grievance Committee must recuse themselves from the case at hand. Said election shall take place during the same time as the elections for the Council of the University Academic Assembly.

**10.2.1.2 Before a Formal Grievance**

- A. Before filing a formal grievance, grievants are expected to make a good-faith effort to manage their grievance through collegial communication and interactions with their colleagues and supervisors. The grievant should confer with the Department chair and other university officers (e.g., College Dean, Executive Director of Academic Personnel) so that they may arrange meetings to discuss and resolve the issues at hand.
- B. This informal process may involve professionals hired to engage in conflict management or mediation. Grievants and university officers should allow sufficient time for informal processes to address the problem, but not so much time that the object of grievance goes unaddressed.
- C. No grievant shall be compelled to accept the terms of an informal grievance process. They hold the right to file a formal grievance if they deem the informal process has not sufficiently addressed their concerns.

**10.2.1.3 Formal Grievance**

- A. A faculty member shall file a petition of grievance with the Faculty Grievance Committee Chair within 30 days of the conclusion of the informal process. It is the responsibility of the grievant to properly record the grievance within the specified time frame.
- B. The petition details the nature of the grievance and identifies against whom it is directed.
- C. The Faculty Grievance Committee will conclude its handling of the petition within 120 days of its filing.
- D. The Committee can dismiss the grievance if its members conclude that the grievant does not have faculty standing to submit a grievance.

**10.2.1.4 Investigation**

- A. Submission of a petition of grievance will not automatically entail investigation or a detailed consideration of the matter. The Faculty Grievance Committee has discretion to decide whether to hold a hearing, to conduct its own investigation of the facts, and to request additional facts from any person.
- B. If the Committee opts for a hearing, it shall hold the hearing within 30 days after receiving a petition, unless the Committee and the petitioner and the person(s) complained against agree to a delay.
- C. The Committee shall deliver a copy of the petition to the person(s) complained against no fewer than 10 days before any hearing.
- D. The Committee shall notify the petitioner and the person complained against of the time and place of the hearing a reasonable time before the hearing date.

- E. The petitioner and the person complained against may attend the hearing, may be accompanied by a representative who may not be an attorney at law, may present evidence in writing or by witnesses, and has the right to cross-examine witnesses and otherwise rebut evidence.
- F. A grievance hearing is not a formal judicial proceeding. Its ultimate purpose is to evaluate the fairness and validity of the administrative or other action that gave rise to the grievance. To achieve that end, the hearing panel may exclude irrelevant issues or evidence, and can place reasonable limits on argument, on the presentation of evidence, and on the questioning of witnesses. The panel may decide when it has enough information to evaluate the merits.
- G. Parties named in a grievance shall have a reasonable opportunity to respond to all charges brought against them. To protect confidentiality and to promote free and open discussion, hearings shall be closed unless the parties agree in writing to some other arrangement, subject to approval by the Chair.
- H. The Committee may request the appearance and testimony of any member of the University community.
- I. Except as disclosures are reasonably necessary in the investigation, hearing, and final disposition of a grievance, the grievant, members of the Faculty Grievance Committee, and others having knowledge of a grievance are expected to preserve the confidentiality of the grievance, provided that any individuals accused in a grievance of misconduct shall be informed of the grievance and given the opportunity to respond to the charges.
- J. A grievance may be withdrawn by the faculty member or group of faculty members at any time prior to a decision of the Faculty Grievance Committee. The withdrawal of a grievance shall not preclude the Faculty Grievance Committee from investigating the charges contained in the grievance or related matters.
- K. If the President is the party against whom the grievance is filed, the Committee's recommendation shall be filed with the Secretary of the Board of Trustees, and they shall consider the recommendation.

#### **10.2.1.5 Decision**

- A. At the conclusion of a case, the Faculty Grievance Committee shall prepare a written account of its conclusions and recommendations. This document shall be sent to the President and to all the principal parties, modified as necessary to protect confidentiality or to reflect the varying ways in which parties may have been involved in the case.
- B. The President shall respond to the report within 30 days, affirming the committee's recommendations, requesting modification of the recommendations, or referring the case back to the Committee for further investigation and/or consideration.

- C. In cases of modification or reconsideration, the committee resumes its work. Upon conclusion, the Committee sends a new letter of conclusions and recommendations to the President and associated parties.
- D. The President makes the final decision to implement the Committee's recommendations in full or in part, or to reject them.
  - i. The President communicates the decision to the Committee, to the grievant, and to all other parties associated with the case, so long as appropriate confidentiality is protected.

## **11.0 REVISION OF THE FACULTY HANDBOOK**

### **11.1 Procedure for Revision of the Faculty Handbook**

The following procedure is adopted as an orderly process for the initiation and consideration of amendments to Sections 2-10 of The Faculty Handbook. The rest of The Faculty Handbook is not covered by this procedure but is updated by the Board of Trustees and/or administrative action.

The University and the Council of the University Academic Assembly commit their good faith efforts to the process and to the end of achieving agreement on policy issues affecting faculty employment. That commitment shall not prejudice the responsibility and authority of the Board of Trustees to exercise their prerogatives to govern and administer the University.

The procedure outlined below is based on three interconnected principles:

- A. First, it tries to satisfy the need for an orderly manner of allowing all segments of the institution to contribute, each in a proper capacity, to the formulation or alteration of policy statements.
- B. Second, it attempts to make the process of revision effective by introducing into it the principle of self-limitation, which prevents endless debate and allows particular issues to be brought to decisive action.
- C. Finally, it recognizes the fact that the adoption of policy, however formulated or proposed, is among the powers reserved to the Board of Trustees.

#### **11.1.1 Proposed Amendments**

Proposals for revising The Faculty Handbook can be made by the Board of Trustees, the President, the Provost, a College Dean, the Faculty Affairs Committee of the Council of the University Academic Assembly or any person or quasi-person (e.g., committee, council) connected with the University. While the manner of making such proposals is a matter of individual style and custom, it is nevertheless recommended that:

- A. Proposals be made in the form of texts intended to replace, in whole or part, some current expressions of the Faculty Handbook

- B. A brief explanation of the reason(s) for proposing the revision accompany the proposal.
- C. Recognized governing bodies or committees pass upon such proposed amendments by their own procedures (e.g., the Board of Trustees) or by a simple majority vote of the voting membership of such a body or committee.

### **11.1.2 Processing of Proposals**

Wherever proposals originate, they will be considered by the Faculty Affairs Committee of the Council of the University Academic Assembly. Without prejudice to its procedures, this committee, upon receipt of a revision proposal, may choose one of the following courses of action:

- A. It may receive and transmit it to the President and Council of the University Academic Assembly without change or comment.
- B. It may endorse it and attach its endorsement to the original proposal.
- C. With the consent of the submitter, it may either alter or amend a proposal before transmitting it to the President and Council of the University Academic Assembly.
- D. If the submitter does not agree to such alterations or amendments, the Faculty Affairs Committee of the Council of the University Academic Assembly may object to the proposal and attach its objections or amendment before sending it to the President and Council of the University Academic Assembly.
- E. The Council of the University Academic Assembly shall accept or reject the amendment(s) by a simple majority vote of that body. Council of the University Academic Assembly may modify the proposal and accept the modification or may return the proposal to the Faculty Affairs Committee of the Council of the University Academic Assembly for further work or modification.

### **11.1.3 Role of the President**

- A. Action of the Council of the University Academic Assembly shall be conveyed to the Provost for their comment and transmission to the President.
- B. The President may accept, reject, or remand the proposal in respect to the proposed amendment(s) and shall submit their action to the Board of Trustees for their approval.
- C. Should the President disagree with the Council of the University Academic Assembly's action, the President, the Faculty Affairs Committee of the Council of the University Academic Assembly, and the President of the Council of the University Academic Assembly shall meet to discuss the next steps, which may include further study, modification, and/or resubmission of the proposal to the two bodies within the time frame for modification of the Faculty Handbook. Such a timetable shall be set each year by the President, the President of the Council of the University Academic Assembly, and the Chairperson of the Faculty Affairs Committee of the Council of the University Academic



Assembly. Normally action by the Council of the University Academic Assembly and the President on amendments will take place by the end of the first semester so that the Board of Trustees may consider the revised amendments at their winter meeting.

- D. Any proposed amendment not approved by the President by the deadline shall be considered rejected for that year except as the proposed amendment has been approved by the Board of Trustees. It may be resubmitted for the next assigned period of review if a simple majority of the Faculty Affairs Committee of the Council of the University Academic Assembly vote to resubmit the proposal(s).

#### **11.1.4 Board of Trustees Approval**

- A. Proposals submitted by the President shall be acted on by the Board of Trustees.
- B. Before definitive action on revision proposals, the Board of Trustees may commission an authorized subcommittee of its members to meet with the President, the Faculty Affairs Committee of the Council of the University Academic Assembly, and the President of the Council of the University Academic Assembly to discuss final adjustments in the revised texts.
- C. The revision process is concluded in accordance with the action of the Board of Trustees. This action is either an approval and promulgation or a rejection of the proposed revision. In either case, proposals thus acted upon cannot be proposed for revision under this procedure until the next authorized period under the provision of resubmission as provided above.

#### **11.1.5 Emergency Procedure**

When the President, the Faculty Affairs Committee, and the President of the Council of the University Academic Assembly agree that in the best interests of Sacred Heart University a modification in Parts I-IV of The Faculty Handbook is necessary, they may petition through the President of the University and the Chairperson of the Executive Committee of the Board of Trustees for a special Board review of a specific change at the next Board regular or emergency meeting. It shall be fully at the discretion of the Board of Trustees to accept or reject such a petition.

#### **11.1.6 General Rules of Implementation**

- A. Any amendments of the provisions of The Faculty Handbook contained in Sections 1-11, will take effect and be a part of the next offer of employment extended to any faculty member by the University. For faculty on contract periods other than the academic year, the amendment shall be effective for and incorporated into any offer of employment scheduled to commence after the beginning of the academic year next succeeding the academic year in which the amendment was adopted. Any legacy provision will be specific to a given policy and so noted in specific language. In other parts or sections not specifically addressed above, changes may be effected at once by the directive of the President and/or Board of Trustees as appropriate. Such changes, however, may not be in substance inconsistent with Sections 1-11.

- B. The Faculty Handbook will be available on-line to all faculty at Sacred Heart University. All members of the faculty are responsible for making themselves aware of the contents of the Faculty Handbook.
- C. The Faculty Affairs Committee of the Council of the University Academic Assembly is responsible for monitoring, maintaining documentation of, and implementing changes to the on-line Handbook as such changes complete the full approval process.
- D. Proposals under discussion by the Board of Trustees have no status whatsoever, not even a promissory one, until final action by the Board has been taken and until the above effective dates have been followed.