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## **I. THE RESPONSIBILITIES OF FACULTY MEMBERSHIP**

### **A. General Faculty Responsibilities**

As stated in the By-Laws of the College (approved 2004):

"The Board shall delegate to the faculty the following powers and duties:

1. To prescribe requirements for admission, courses of study, conditions of graduation, and

and adheres to his or her proper role as intellectual guide and counselor. He or she makes every reasonable

responsibility of that choice, but should either request a leave of absence or resign his or her academic position.

For more than a century the Occidental faculty ha--68.2 (s)4.3 ( (t)2.9ecad)-4 (u)8[(p -16.8 (o)-4n(y)8 (t)-9.2w)25-9.2 (o)-4

## **II. APPOINTMENT**

### **A. Types of Appointments**

“Regular” faculty appointments are those in which the appointee is eligible to be a candidate for a tenured appointment after the completion of a probationary period. Regular appointments are normally made after a national search.

“Special” appointments may range from a single course up to a full time teaching load. Faculty members who are regularly employed full time at other institutions, but who are teaching at Occidental for a limited period under exchange or similar arrangements, will be designated by the word “Visiting” preceding their regular rank. Persons who give performance lessons will be designated “Teachers of Applied Music” or a similar title depending on area of performance. Special appointments are not eligible for tenure nor is there any implied permanence of employment.

### **B. Initial Appointments**

### III. REAPPOINTMENT, TENURE AND PROMOTION

To ensure the highest possible standards of individual performance, as well as to provide the mentoring and support faculty members need if they are to continue to improve their performance, all faculty members on regular appointment receive periodic reviews. All faculty will normally undergo the following reviews over their tenure at the College: Annual Reviews, a Pre-Tenure Review, a Tenure Review, an Associate Professor Review, and a Promotion to Full Professor Review. In addition, Full Professors will be regularly reviewed. Details for each of these reviews are in the subsequent sections. The Dean of the College may

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5. The College also subscribes to the AAUP's Committee on Academic Freedom and Tenure (Committee A) statement "On Collegiality as a Criterion for Faculty Evaluation" adopted in November 1999. This statement can be found at [www.aaup.org/statements/Redbook/collegia.htm](http://www.aaup.org/statements/Redbook/collegia.htm). It is reprinted here in Appendix 1 to this handbook.
6. See Section V.G for Grievance Procedures related to matters of reappointment, tenure, and promotion.

3. Service to the College

- (3) The Review Committee will provide the candidate a copy of the review, signed by all of the members of the Committee. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity to read the document and has received a copy. The signed review will be submitted by the Review Committee Chair to the Dean of the College by December 15. A copy of the review will also be retained by the Department Chair.
- (4) All documents which are part of the review, except for the student course evaluations, must be submitted both in hard copy and electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.
- (5) The Dean will meet with candidates in their second year by April 1 to discuss their first year review.

b. What the Candidate Provides to the Review Committee

- (1) a current curriculum vitae;
- (2) copies of all annual reports which discuss teaching, professional achievement and service;
- (3) copies of any Review Committee Reports;
- (4) relevant course syllabi, exams, and related materials;
- (5) student course evaluations with summary sheets;
- (6) all peer teaching observations and evaluations during the period of review (as described in VI.D);
- (7) course grade comparison sheets;
- (8) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period under review;
- (9) publications, manuscripts, and other evidence of scholarship and professional achievement;
- (10) any other documentary evidence that might assist in an evaluation.

3. Pre-Tenure Reviews

Faculty will be reviewed during their third year of appointment as a regular faculty member.

a. Process and Principles

- (3) The Advisory Council reviews the materials and makes a recommendation to the Dean of the College, who in turn makes a recommendation for or against reappointment, subject to approval by the President. The Dean of the College will communicate the final decision to the candidate by February 15.
- (4) All documents which are part of the review, except for the student course evaluations, must be submitted both in hard copy and electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.

b. What the Candidate Provides to the Dean

It is the candidate's responsibility to present her or his best case through a portf3 (d)-4S ( x7.8 (a) (y2 (t)6.24 (e)4.3 ( t)6.

e. What the Dean Provides to the Advisory Council

In addition to all the materials provided to the Review Committee, the Dean of the College will provide the following to the Advisory Council:

- (1) Confidential letters solicited from students discussing the faculty member's teaching and advising. These letters will be solicited by the Dean of the College from the list of students provided by the candidate and from a random list of 20 students enrolled in one or more of the candidate's courses since appointment as a regular faculty member. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.
- (2) Untenured regular faculty members in the department of a person under review may communicate directly and confidentially in writing both in hard copy and electronically by September 15 with the Dean of the College with regard to reappointment recommendations. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

f.

- (2) The candidate and the Department Chair each provide a list of at least four external reviewers who may be qualified to evaluate the candidate's professional work. The candidate and the Department

- (10) publications, manuscripts, and other evidence of scholarship and professional achievement;
- (11) any other documentary evidence that might assist in an evaluation.

The candidate must also provide a list of 20 students who have been enrolled in one or more of the faculty member's classes since appointment as a regular faculty member to the Dean's Office by April 30.

c. Role of the Department Chair

The Department Chair will solicit letters from Occidental faculty and staff, in consultation with the faculty member, evaluating the faculty member's observed teaching, and/or program of professional development, and service to the college, by April 30. These letters should be sent electronically by the faculty or staff directly to the Dean by October 15. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

d. What the Review Committee Provides to the Dean

The Review Committee submits its report and any statements of dissenting views, signed by the candidate, to the Dean of the College by October 15.

e. What the Office of the Dean of the College Provides to the Advisory Council

In addition to all the materials provided to the Review Committee, the Dean of the College will provide the following to the Advisory Council:

- (1) Confidential letters solicited from students discussing the faculty member's teaching and advising. These letters will be solicited by the Dean of the College from the list of 20 students provided by the candidate and from a random list of 20 students enrolled in one or more of the candidate's courses since appointment as a regular faculty member. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.
- (2) Untenured regular faculty members in the department of a person under consideration for promotion may communicate directly and confidentially in writing both in hard copy and electronically with the Dean with regard to reappointment recommendations by October 15. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.
- (3) The Dean of the College will solicit at least four confidential letters from persons in the faculty member's field regarding his or her professional work for use in the Advisory Council review. These letters may or may not be solicited from the individuals suggested by the candidate or by the Department Chair. These letters are solicited by the Dean of the College, exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.

f. Examination of Files

All materials in his or her file, other than the confidential letters and confidential communications listed above, will be accessible both to the Review Committee and to the candidate until October 15.

5. Associate Professor Review

The Associate Professor Review normally takes place in the fifth academic year after promotion to Associate Professor.

a. Process and Principles

- (1) The Review Committee chair shall work with the candidate to be certain that the review file is completed in a timely m







teaching, professional achievement, and service to the college. The faculty member under consideration provides at least the most recent three years of his or her annual reports as well as student course evaluation summaries and evidence of professional involvement. She or he is encouraged to share a document which consists of a narrative of his or her work during the past five years, including issues the faculty member would like to bring to the co-mentoring group. These groups are meant to promote collegiality and to provide an atmosphere where all concerns of the faculty member are addressed and where colleagues can be helpful when discussing areas of concern. All documents provided to the co-mentoring group from the faculty member under evaluation are for the exclusive use of the co-mentoring group. The Dean will be informed that the review took place, and the faculty member under review will be given a stipend for participation.

Option 2: Review by Advisory Council. The Review Committee for the Full Professor is confirmed by April 30 of the previous year. The formation of the Review Committee follows guidelines from III.C.1. During the first stage of the review, the faculty member submits a self-evaluation of teaching, professional achievement, and service, during the previous five years. This self-evaluation, and a portfolio of student course evaluations and summaries, course grade comparison sheets (obtained from the Dean's Office), ( O)1.1 (f)]TJ 5.627 0 Td [(f)9.7 (i)2.cv.1 (llo)-1 (,)-1 ( ( O)18 (al)-9.1 (u)8 (alo)-1 (,)-1 (,)-1 ( ( C



- j. Proxy voting by members unable to attend a meeting is not permitted, although they may present their opinions in writing on any issue to be voted on in their absence.
- k. Affirmative motions for tenure and/or promotion require a  $2/3$  majority of those present as does a vote to defer until a subsequent year. Thus, if eleven Council members are present at the time of voting, eight affirmative votes are required; seven when there are ten Council members present; six when there are eight or nine; and five when there are seven present.
- l. The aim of all deliberations by the Advisory Council shall be to achieve consensus. This requires that all members participate in the discussion. The Dean shall summarize the discussion and in due course call for any appropriate motion. For tenure or promotion, a vote is then taken. Using written .7 ( c (p)-7.1 )5 (r)-5.s02 Tc 0.0db

Review Committee and the candidate have two weeks to respond in writing both in hard copy and electronically to the concerns of the Advisory Council.

- d. In the event that the initial Council vote on tenure or promotion disagrees with a negative recommendation of the Review Committee, this action is tabled until the Dean discusses the Council's views with members of the Review Committee. These discussions will remain confidential. Normally, the Review Committee has two weeks to respond in writing both in hard copy and electronically to the concerns of the Advisory Council. If the subsequent Council vote agrees with this negative recommendation of the Review Committee, this action is again tabled until the Dean discusses the Council's concerns with the candidate. These discussions will remain confidential between these parties and the Advisory Council. Normally the candidate has two weeks to respond in writing both in hard copy and electronically to the concerns of the Advisory Council as in b) above.
- e. All cases are subject to at least two votes. After all individual cases are considered in a category (pre-tenure reviews, tenure reviews, Associate Professor reviews, and promotion to Full Professor reviews) the Council reconsiders each case in the cohort. If reconsideration of a positive decision results in a negative vote, the case must be considered a third time at a subsequent meeting.
- f. In cases in which the Advisory Council votes finally not to recommend tenure or promotion, the Dean of the College shall norm

#### **IV. FACULTY ORGANIZATION AND GOVERNANCE**

Occidental College has a strong tradition of faculty governance. Beyond their responsibilities for the curriculum and student life, voting faculty members serve as voting members of all Trustee committees except for the Board's Executive, Trustee Affairs, and Audit Committees; they participate in discussions leading to the preparation of the College's annual budget; they serve as voting faculty members of the Planning and Budget Committee; and they have primary responsibility for all decisions regarding faculty appointment, retention, tenure, and promotion.

##### **A. Meetings**

1. Regular meetings of the faculty are scheduled from August to May and upon the call of the Dean of the College. The Dean of the College is the presiding officer. Procedures will follow the current version of Robert's Rules of Order Attendance at these meetings is expected of all faculty members on regular appointment. A special meeting shall be called at any time upon writtent.1 (m)l3im j13imnf 4 (n)86(w)25.2 (r)-2.3 (i)2.3v1.7 (ag

2. The Faculty Council, in consultation with the Dean of the College, may identify faculty who have taught full time for more than one year at the College, and offer them voting rights. All such persons so designated would agree to familiarize themselves with the academic program, advising students when appropriate and to undertake some service to the College. Such persons so designated would be eligible to serve on all committees except Advisory Council and Faculty Council. Full time coaches hired before 1997 are eligible to serve on all committees except Advisory Council, Faculty Council, Admissions, and Athletics.
3. Unless modified by faculty vote, a simple majority of those eligible, present, and voting is sufficient for passage of a motion. Voting shall ordinarily be by voice or a show of hands, but upon request of any voting member of the faculty a written ballot shall be taken.

#### C. Committees

To carry out various responsibilities, the faculty is organized into committees under the general supervision of



3. The specific administrative duties of the chair include the following:

- a. Curriculum. Overall planning of the curriculum and presentation to the Faculty Planning Committee and Curriculum Subcommittee.
- b. Faculty assignments. Designation of faculty members to teach specific courses within the department curriculum, and in the Cultural Studies Program.
- c. Budget. Preparation of the annual budget request for equipment, supplies, and services for presentation to the Dean of the College. The chair must authorize all departmental requisitions within the budget, and may delegate this responsibility temporarily during an absence, with the approval of the Dean of the College. It is the chair's responsibility to maintain records and inventories in an orderly manner, and to establish appropriate procedures for protecting and maintaining equipment.
- d. Evaluation. Ensure that evaluations are conducted and completed by Review Committees.

e. Vacancies and search-10.3 (a)-19.8( )Tj EMC v-4 ( pac7-11.8 (w)2ci)-9.2 (b)-4ngas ce td (m)-39 (p)-4i(i)2.8 (t)2.99 (l

## **V. FACULTY PERSONNEL POLICIES**

### **A. Changes to Faculty Appointments and Termination of Appointments**

Faculty members holding regular positions shall be notified in writing by the Dean of the College of any changes in appointment, rank, or salary. Such changes shall normally become effective on August 15 of the ensuing academic year. Notifications of promotion or tenure shall be made as soon as possible after formal action by the Board of Trustees.

The College recognizes that many departments are related to one another by subject matter or discipline, and that departmental lines are somewhat arbitrary and therefore impermanent. It may be necessary at times t (e i)a (ec)ara(er)-2.4 ( b

4. Persons granted sabbatical leave are obligated to return to the College for the full academic year following completion of the leave period. A written report summarizing activities and accomplishments while on sabbatical leave must be submitted to the Dean of the College promptly upon return. These reports become a part of the faculty member's permanent record and may be used by the Advisory Council in consideration of subsequent sabbatical requests.
5. Approval of sabbatical leaves is subject to available financial resources, departmental priorities, and educational program needs, and to Advisory Council evaluation of the leave application. The Council may recommend that the faculty member undertake certain activities during the leave period as a condition of its approval. Accomplishments during prior leaves will also be considered.
6. Faculty members on sabbatical leaves are excused from committee service during the time of their leave. It is their responsibility, in consultation with their department chairs, to insure that their advisees are assigned to

G. Faculty Grievance Procedures

If the Hearing Board feels the complainant's case has merit, it returns the case to the Advisory Council, along with a written report summarizing the points which it determines should be addressed by the Advisory Council. The complainant receives a copy of this report.

If the Hearing Board finds it is unable to respond to these questions, given the evidence available to it, it returns

At this time the complainant may appear before the Hearing Board to supplement the written report with an oral presentation.

The Hearing Board must decide within two weeks as to whether a more detailed investigation is warranted and notify the complainant in writing of its decision. If further evidence must be gathered, the Hearing Board must complete its work within six weeks.

Upon completion of the investigation the Hearing Board must submit a summary of its findings to the



3. Formal charges, leading to possible warning, reprimand, termination, or other sanctions, shall be heard by the 3-1.157er

The College's policies and procedures on Unlawful Harassment and Sexual Harassment are on file in the Human Resources Office. Copies can also be obtained from all Designated College Officers (DCOs).

M. Financial Exigency

One or more faculty members may be terminated for reasons of the financial exigency of the College, but in such event the full Advisory Council, acting in its capacity for the determination of tenure and promotion, shall advise the President as to which members of the faculty are to be terminated.



### E. Class Attendance

The recording of attendance is at the discretion of the faculty member. When aware of the student's absence for more than one week, or in the event of problems requiring special attention or assistance, faculty members should notify the Dean of Students.

### F. Grading and Grade Reports

1. The criteria for grading student work and the manner in which grades for a course are derived are determined by the faculty member(s) teaching that course. Faculty members should inform students early in the term of any special factors or considerations bearing on the assignment of grades.
2. Faculty should report the names of students whose work in a course is barely passing or failing to the Registrar at a specified time during the term. When assigning a grade of F in a course, the faculty member must indicate whether or not the student was included on the low-grade list earlier in the term.
3. Course grades should be submitted according to the deadline established by the Registrar at the close of each semester.

4. Changes in the designated time or place for class meetings may not be made without consultation with the Registrar and approval by the Department Chair and Associate Dean.

#### I. Peer Evaluation of Teaching

1. Peer evaluation of each tenure-track faculty member based on classroom visitations must occur for at least one course in the candidate's first two terms of teaching, at least one more course before the candidate's pre-tenure review, and at least one more course between the candidate's pre-tenuredhDe d

## VII. SALARIES AND BENEFITS

All the salary and benefit provisions in Section VII. are described in summary fashion. In every case, full and complete legal descriptions of these benefits are available from the Human Resources Office.

### A. Salary Payments

1. Unless otherwise specified in individual cases, annual salaries are based on faculty service during the two semesters of the academic year extending from the end of August to mid-May. New appointments are effective August 15 as are changes in rank or salary. Salary notifications for the ensuing academic year are sent by the Dean of the Faculty before the end of spring semester, and salary payments are made in twenty-four semi-monthly installments.
2. The College is required by law to make the following payroll deductions from the semi-monthly salary payments: Social Security, Medicare, Federal and State income tax withholding, and the State Disability Tax. Other deductions may be made, upon request, for one or more of the following purposes: retirement annuities, including supplemental payments; medical coverage, and other insurance; charitable contributions (through the United Way); contributions to the College for the Student Emergency Fund, Dependent Care Account (see section P) or other purposes; and Credit Union savings or loan payments.
3. In addition to specified salary payments, the College provides various collateral benefits, as described below, which are considered part of the total compensation of faculty members. These benefits are subject to periodic review by the Board of Trustees, and may be modified by trustee action in light of existing financial conditions and other factors. Specific questions regarding salary payments or collateral benefits should be discussed with the Director of Human Resources.

### B. Social Security and Medicare

Federal law requires that a specified percentage of salary be deducted from each salary payment until the stipulated maximum deduction for the calendar year has been reached. The College contributes in the same amount and for the same period as the faculty member. The percentage deducted is 5.5% for Social Security and 1.29% for Medicare. The percentage deducted for Social Security is 5.5% and for Medicare is 1.29%.

required to contribute 4% of their salaries, and receive the maximum 8% contribution from the College. Additional tax-sheltered contributions above the 4% of salary applied to the regular TIAA-CREF plan may be made by the faculty member as part

Inasmuch as the cost of these payments



8. Tuition remission is not available to children or spouses of faculty members on temporary, special, visiting, or adjunct appointments, or holding the title of Lecturer or Teacher, even though they may be teaching full time.
9. Spouses or domestic partners (as defined by the College) of full-time faculty may receive one-half tuition remission for attendance at Occidental College, whether or not enrolled in a specific degree program.
10. Tuition remission benefits are available to adjunct faculty on a pro-rated basis, as provided in Section IV.A. of the Faculty Handbook.
11. Tuition benefits are available to dependent children of faculty members who qualify for the benefit and either die or become permanently and totally disabled as explained in section O.
12. Application for tuition remission or a tuition grant must be submitted to the Human Resources Office prior to the start of each academic term for which benefits are desired.

#### P. Death/Disability Benefit to Supplement Tuition Benefit Policy

Permanent and Total Disability is defined as an injury or illness which renders the employee unable to work in any job for which he/she is or may become reasonably fitted by virtue of his/her education, training or experience and the employee is not engaged in any occupation or employment for wage or profit.

The College shall make a determination as to whether a Disability, as defined herein, exists on the basis of objective medical evidence. The College reserves the right to secure medical opinions from physicians of its choice, and retains sole discretion in granting or denying access to this benefit in cases of conflicting medical opinion with no further liability.

In the event of the death or qualifying permanent and total disability of an eligible employee, said employee's dependent children enrolled in college under either provisions N.2, N.3, or N.4. above at the time of the death or disability termination of the parent will be granted continuation of that benefit under the same terms applicable when they began receiving the benefit, for the duration of four academic years (or eight semesters) of undergraduate study.

Moreover, dependent children who have not yet reached college age at the time of the death or qualifying disability termination of the employee will be granted the same tuition benefits (under provisions N.2, N.3, or N.4. above) if the parent had at least 5 years' service with the College. To qualify for this benefit, the dependent must begin enrollment in a regular undergraduate college prior to his or her 21st birthday. If application to and enrollment in a college is not accomplished by that time, the dependent will no longer be able to claim this tuition remission benefit.

The availability of this tuition remission benefit is subject to all applicable sections of the College policy on tuition remission, including but not limited to the dependent child's meeting regular admission requirements of the College and applying for other non-institutionally administered financial aid for which he or she may be eligible.

Following the eligible employee's death or the College's receipt of a medical certification of the employee's permanent and total disability, the Personnel Office will present a Tuition Remission Eligibility Certificate to the employee's family for each dependent child not currently enrolled in college. To claim this benefit, the employee, spouse or legal guardian, or the dependent child if over 18 years of age, must return the Certificate to the Human Resources Office at the time of enrollment.

The Certificate will specify the duration of the dependent child's future right to tuition remission at Occidental College or, if eligible, at any other college. To be eligible, the child must have qualified as the employee's

dependent for tax purposes at the time of death or disability. Dependents of disabled employees must also qualify as the employee's legal dependents for tax purposes upon and during enrollment at Occidental.

## **APPENDIX**

### On Collegiality as a Criterion for Faculty Evaluation

In evaluating faculty members for promotion, renewal, tenure, and other purposes American colleges and universities have customarily examined faculty performance in the three areas of teaching, scholarship, and service, with service sometimes divided further into public service and service to the college or university. While the weight given to each of these three areas varies according to the mission and evolution of the institution, the terms are themselves generally understood to describe the key functions performed by faculty members.

In recent years, Committee A has become aware of an increasing tendency on the part not only of administrations and governing boards but also of faculty members serving in such roles as department chairs or as members of promotion and tenure committees to add a fourth criterion in faculty evaluation: "collegiality."<sup>1</sup> For the reasons set forth in this statement, we view this development as highly unfortunate, and we believe that it should be discouraged.

Few if any responsible faculty members would deny that collegiality, in the sense of collaboration and constructive cooperation, identifies important aspects of a faculty member's overall performance. A faculty member may legitimately be called upon to participate in the development of curricula and standards for the evaluation of teaching, as well as in peer review of the teaching of colleagues. Much research, depending on the nature of the particular discipline, is by its nature collaborative and requires teamwork as well as the ability to engage in independent investigation. And committee service of a more general description, relating to the life of the institution as a whole, is a logical outgrowth of the Association's view that a faculty member is an "officer" of the college or university in which he or she fulfills professional duties.<sup>2</sup>

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should constitute an independently relevant matter for faculty evaluation. So too should efforts to obstruct the ability of colleagues to carry out their normal functions, to engage in personal attacks, or to violate ethical standards. The elevation of collegiality into a separate and discrete standard is not only inconsistent with the long-term vigor and health of academic institutions and dangerous to academic freedom, it is also unnecessary.

Committee A accordingly believes that the separate category of "collegiality" should not be added to the traditional three areas of faculty performance. Institutions of higher education should instead focus on developing clear definitions of scholarship, teaching, and service, in which the virtues of collegiality are reflected. Certainly an absence of collegiality ought never, by itself, to constitute a basis for nonreappointment, denial of tenure, or dismissal for cause.

### **Endnotes**

1. At some institutions, the term "collegiality" or "citizenship" is employed in regulations or in discussions of institutional practice as a synonym for "service." Our objection is to the use of the term "collegiality" in its description of a7TJ 0 o-ts