

Faculty Handbook

09/22/2021

Faculty Handbook

1.0 Organization and Governance

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1.1 University Faculty Senate

The Faculty Senate gives the faculty formal representation in exercising its responsibilities concerning the review of the University's policies, both educational and other, as they might impact the University's mission to preserve, transmit, and advance knowledge. The structure and responsibilities of the Alfred University Faculty Senate can be found in the Faculty Senate Constitution.

1.2 University Faculty Meetings

University Faculty Meetings, presided over by the President of the Senate, are generally held two or more times each semester. All the faculty listed in this paragraph are expected to attend Faculty meetings and are eligible to vote: all regular faculty, the President, the Provost, the Deans of the Colleges, and such other administrative officers as may be appointed to the Faculty and given voting privileges by the Board of Trustees upon the recommendation of the President with the concurrence of the Faculty.

A voting member of the faculty who is on leave of absence may attend and vote in faculty meetings. Faculty members on leave will be notified of meetings only through normal University channels.

Temporary faculty and administrators with or without faculty rank are invited to attend and participate in faculty meetings, but without a vote.

The Executive Committee of the Faculty Senate has primary responsibility for the scheduling and function of University Faculty meetings. Procedures for University Faculty meetings can be found in the Faculty Senate Constitution. A secretary for faculty meetings is hired by the Faculty Senate President.

Absentee ballots and written authorization for proxy votes are allowed only for faculty who are out of town on University business, on a leave of absence, or for other reasons as authorized by the Provost. They should be delivered to the Chair of the meeting before the start of the meeting.

1.3 Faculty Handbook Revision Process

The Alfred University Faculty Senate, together with the Provost, will revise the Faculty Handbook, subject to the approval of the Board of Trustees or its designee. The Faculty Senate, in collaboration with the Provost, will periodically complete a review of the Faculty Handbook.

Proposals for revising the Handbook may be initiated by faculty, administration, or Trustees. These proposals should be brought to the University Faculty Senate, which will review them directly or refer them to the appropriate committee or individual for review. The relevant committee, in consultation with the Provost, will study the proposal, make necessary modifications, and refer the revised proposal to the Faculty Senate. Members of the University Faculty will be notified of the proposal for revision and will be provided with opportunities to provide information and feedback to the committee.

When the Faculty Senate approves the revision, the proposed revision will then be forwarded to the President and Trustees with a recommendation for final action. Proposals then go to the Secretary of the University to be checked for consistency with established bylaws. If there is a conflict with current bylaws, the President will refer the proposal back to the Faculty Senate for further study. The revision will then be adopted if both the President and the Board of Trustees give approval.

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2.1 Academic Freedom

All members of the Faculty, regardless of status or rank, are entitled to Academic Freedom.

- Faculty members are entitled to freedom in the classroom in discussing their subjects, but they should avoid introducing into their teaching information or opinions that have no relation to the material under discussion
- Faculty members are entitled to freedom in research and the publication of results, subject to the adequate performance of other academic duties. Faculty members who wish to engage in consulting are expected to adhere to University policy (including the Consulting Policy, and the Conflict of Interest and Business Ethics Policy), which generally permits up to one day of consulting per week in the absence of a material conflict of interest or interference with the faculty member's University responsibilities.

The appropriate Academic Dean must be informed of all research and consulting activities.

- When faculty members speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As learned individuals and as educators, they should remember that the public may judge their profession and institution by their utterances. Hence they should at all times strive to be accurate, should exercise appropriate restraint, and should show respect for the opinion of others. When expressing personal opinion, faculty members should make it known that they are not speaking for Alfred University.

2.2 Hiring and Employment Practices

Alfred University is an Affirmative Action, Equal Opportunity Employer and is committed to designing personnel policies that help to ensure equal employment opportunities for all individuals. As such, personnel decisions and practices are based strictly on job-related criteria.

It is against Alfred University's policy to discriminate against, or tolerate harassment of, any employee or applicant for employment on the basis of race, color, national origin or ancestry, citizenship, religion, age, gender, physical or mental disability, sexual orientation, marital status, military status, veteran status, genetic predisposition or carrier status, political activities or other protected legal activities conducted outside working hours, and any other status protected by law.

Any faculty member who believes she/he has experienced such discrimination or harassment should immediately report such action to his/her Division Chair/Department Chair/Program Chair or Director (henceforth referred to as Chair), Dean, or Director of Human Resources.

2.3 Definition of Faculty Status

The College, School, or Library Faculty consists of the President, the Provost, the Dean of the College or School, or University Librarian as appropriate, eligible administrators of the College or School who have academic rank, all members of the faculty of the College, School, or Library. Temporary faculty and emeritus(a) faculty shall be considered faculty, but without voting privileges. Appropriate administrators with or without academic rank may attend College or School meetings as observers. Under the discretion and supervision of the Dean, the Provost, and the President, and subject to approval of the Board, the College or School Faculty shall have jurisdiction over the educational affairs of its own college or school.

The Dean of each College or School, University Librarian, or his/her designee, shall be the chair of his/her faculty, and shall preside at all faculty meetings. The unit head of the New York State College of Ceramics shall designate the chair of the New York State College of Ceramics faculty. The chair, at his/her discretion, may invite other persons to college or school faculty meetings after consultation with the faculty.

The University Faculty consists of the President, the Provost, the Deans of the Colleges, Schools, or Libraries, eligible administrators with academic rank, librarians, and all members of the faculty. Temporary faculty and emeritus(a) faculty shall be considered faculty, but without voting privileges. Appropriate administrators with or without academic rank may attend University faculty meetings as observers. Under

the discretion and supervision of the Provost and President, and subject to approval of the Board, the University Faculty shall have the responsibility for the conduct of the educational programs of the University, insofar as these involve matters of concern to all Colleges, Schools, and Libraries of the University.

The President of the University Faculty Senate shall be the chair of the University Faculty, and shall preside at all faculty meetings. At the University Faculty Senate President's discretion and after consultation with the faculty, other persons may be invited to University faculty meetings.

Throughout this document, the University Librarian will fill the role of the Dean with respect to the librarians. The Library Director will fill the role of the Chair with respect to librarians.

2.3.1 Regular Faculty

Regular faculty hold tenured or probationary tenure-track positions and possess academic rank as stated in their letter of appointment. The academic ranks at the University are Instructor, Assistant Professor or Librarian, Associate Professor or Librarian, and Professor or Librarian. Qualifications for these ranks are found in Section 2.4. Throughout this document, reference to the various ranks of faculty shall be understood to include Assistant Librarian, Associate Librarian, and Librarian as appropriate.

Professional qualifications for regular faculty will be the same for full-time and part-time positions. The time length for tenure, promotion, and sabbatical procedures for part-time regular faculty will vary in inverse proportion to the faculty member's time commitment relative to fulltime faculty. For tenured regular faculty with part-time status, the five-year review will take place every five years.

2.3.2 Temporary Faculty

This is a special appointment to meet part-time or temporary programmatic needs. Temporary faculty are typically given the title of adjunct, although other titles may be used as appropriate. While ranks are the same as for full-time faculty, this is not a tenure-track or tenured position. Temporary faculty must be reviewed and evaluated by the Dean or Chair. Review shall occur annually or on another appropriate schedule as determined by the Dean or Chair.

Visiting professors have academic rank as specified in their letters of appointment. This temporary position is not a tenure track or tenured position, is customarily held for one to two years, and may not exceed five years.

2.3.3 Emeritus(a)

This is an honorary status bestowed on those faculty retirees whom the Board of Trustees wishes to recognize for dedicated service. Emeritus(a) faculty may have academic rank as determined by the Board.

2.3.4 Administrators with Academic Rank

The eligibility of non-teaching administrators for academic rank shall be restricted to the President, Provost, Academic Deans, Associate and Assistant Academic Deans, the University Librarian, and Library Directors as stated in the Alfred University Bylaws. Such rank shall initially be assigned by the President only after consultation with the Provost, appropriate Dean, and Chair.

Other administrators who teach part-time or occasionally may also be assigned academic rank for their teaching duties, after consultation with the appropriate Dean or Chair. The individual's credentials will be reviewed by the appropriate Dean, Chair, division/program faculty, and the Provost. The Provost will make the final determination concerning the award of the appropriate rank. Such rank is to be effective only during those semesters when teaching is assigned. It is preferred that such persons be assigned adjunct status when teaching. These administrators do not have the right to vote in University Faculty and College or School faculty meetings.

Termination of academic rank for an administrator shall have no relation to the administrator's retention or release administratively unless the teaching responsibilities are a required part of the individual's job position.

Administrators with faculty tenure have the right to return to the faculty. Where return would cause serious distortion of the academic program, the administrator will be offered re-training or employment elsewhere in the University.

Appointment and Teaching Responsibilities for Administrators with Academic Rank

Teaching responsibilities within the specific academic division or program are determined by the Chair in consultation with the administrator's supervisors, and the individual part-time faculty member. Part-time teaching for persons occupying such appointments is typically not more than half-time and may not count toward the probationary period for tenure consideration. Administrators with an instructional appointment will receive an annual review of their teaching duties from the Chair. This review is forwarded to the appropriate Dean.

2.4 Qualifications for Appointment to Academic Rank

The qualifications stated below and amplified in Sections 5 and 6 are intended as the University's principal guidelines. If a College, School, or Library wishes to interpret the qualifications for rank with more specific language or more specific guidelines, the College, School, or Library requirements must be consistent with this Handbook.

Promotion through the various ranks signifies not continuing competence and contributions, but rather growing competence and contributions accompanied by growing recognition on and beyond the campus.

Qualifications for Appointment to Rank: Instructor

A candidate for the rank of Instructor is normally expected to have the master's degree or its equivalent. Appointment to this rank shall be granted only to those whose potential as teachers is sufficiently promising.

New members of the faculty who satisfy all the qualifications for the rank of Assistant Professor, except the terminal degree, will hold the rank of Instructor. At the completion of the degree, they will be given the rank of Assistant Professor.

Qualifications for Appointment to Rank: Assistant Professor

A candidate for the rank of Assistant Professor should normally hold the highest degree in the appropriate field or its equivalent in study or other recognized accomplishment. Appointment to the rank shall be granted only to those whose potential as teachers and potential for scholarship/creative work/research is sufficiently promising.

Qualifications for Appointment to Rank: Associate Professor

A candidate for the rank of Associate Professor will meet the qualifications of an Assistant Professor and will have demonstrated outstanding teaching performance, given substantial evidence of productive scholarship/creative work/research, maintained appropriate professional or discipline-based involvement external to the university, as well as demonstrated interest and active participation in the advisory programs and in Division/Program, College, and University affairs. Length of previous employment may be taken into account when determining appointment as an Associate Professor.

Qualifications for Appointment to Rank: Professor

A candidate for the rank of Professor will meet the same qualifications of an Associate Professor. In addition, appointment to the rank will be granted only after careful consideration of a candidate's teaching ability, scholarship/creative work/research, advising, University service, and professional activity. Clearly demonstrated leadership and exemplary performance in two or more of these five areas specified should be evident. Length of previous employment may be taken into account when determining appointment as a Professor.

Senior faculty members are expected to act as mentors to their juniors. They are a principal resource for the operation of the University, and so appointment to the rank of Professor requires consistent growth in performance in all areas over a sufficient period of time.

2.5 Appointment, Reappointment, and Resignation

The letter of appointment will specify the Division/Department/Program of the School, College, or Library to which the faculty member is appointed. The letter will serve as further notice of the faculty member's obligation to respect all new university and faculty policies enacted since the time of initial appointment. The letter of appointment shall state whether the status of the faculty member is temporary, probationary tenure-track, or tenured.

Appointment

Initial appointment to a position with academic rank for non-tenured regular faculty shall normally be made for a period of one academic year.

Notice of Reappointment

Appointment to a position with academic rank for non-tenured regular faculty shall normally be made for periods of one academic year until the termination of appointment or the conferring of tenure.

All members of the regular faculty, either with or without tenure, whose appointments are not being terminated at the end of the current year, shall be notified of the terms of their employment for the following year by February 15.

All regular faculty members without tenure shall submit, to the appropriate Dean, written replies to letters of appointment by March 1. Acceptance shall be considered binding upon members of the faculty and the University with the following exceptions:

During the period between March 1 and May 15, a reversal of decision on the part of a faculty member shall receive sympathetic consideration by the administrative officers of the University.

After May 15, a reversal of decision by a faculty member shall be at the convenience of the University. It is desirable that faculty members notify their chairpersons or their Dean if they are negotiating with another institution for appointment.

An initial regular faculty appointment does not lead automatically to tenure; this status is achieved only after careful evaluation during the probationary period and an affirmative tenure decision by the President through the procedures stated in sections 7.2 or 7.3.

Notification of Non-Reappointment for Probationary Tenure-Track Regular Faculty

The University recognizes that faculty members are entitled to reasonable notice of non-reappointment. A recommendation of non-reappointment must be relayed to the non-tenured regular faculty member in a reasonable period of time. Faculty members who will not be reappointed beyond their first year will be notified by March 1st. In the second and subsequent years of appointment, faculty members must be notified by September 30th if their employment is to be terminated at the end of the academic year. Where later notification occurs, a terminal agreement for the subsequent year shall be offered.

2.6 Types of Appointments

Non-Tenure Track

A temporary or non-tenure track appointment is for a designated period and automatically terminates upon the expiration of that period. Re-employment of a faculty member after termination of a temporary appointment is solely within the discretion of Alfred University. A temporary faculty member may be dismissed for unsatisfactory performance, inability to perform job duties even with reasonable accommodations, misconduct, or financial reasons prior to the expiration of their term of appointment at the discretion of the University. Notice of at least three weeks will be given.

Probationary/Tenure-Track

Probationary/tenure-track appointments are made for one year or for other stated periods and are subject to renewal or non-reappointment in accordance with Section 2.5. The total period of fulltime teaching service at Alfred University before the consideration of continuous tenure normally should not exceed six years. The time length for tenure for part-time regular faculty will vary in inverse proportion to the faculty member's time commitment relative to full-time faculty. If a non-tenured regular faculty member requests a leave of absence for any reason, the letter authorizing the leave must state whether or not the period of absence will count toward the probationary period for tenure.

Continuous Tenure Appointments

Appointments with continuous tenure are normally made no later than the seventh year of service at Alfred University (or the equivalent as calculated according to the

above description) after the tenure review and recommendations of the appropriate Promotion and Tenure Committee, the Dean, and the Provost are forwarded to the President for final action in the sixth year. The President informs the Board of Trustees of his or her decision. An appointment with continuous tenure gives the faculty member the contractual right to be re-employed for succeeding academic years until the faculty member resigns, retires, is physically or mentally unable to perform, even with reasonable accommodations, the essential duties of his/her position, is discharged for cause, or is terminated pursuant to financial exigency or the discontinuance of the faculty member's division, department, or program, but is subject to the terms and conditions of employment which exist from academic year to academic year.

Appointments with continuous tenure are made to those who have satisfied the criteria set forth in Sections 4 and 6.

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3.0 Appointment and Responsibilities of Division/ Department/Program Chairs

The academic division, department, or program, headed by a Chair, is organized by its faculty for the purpose of carrying on instruction and research in a particular field or fields of knowledge. The faculty of a division, department, or program (henceforth referred to as "division") includes all persons of academic rank who are appointed or assigned to it. All such Chairs report to the appropriate dean. In the absence of a Chair, the appropriate Dean will assume the responsibilities of the Chair.

Appointments and Terms

Criteria for appointment: (a) The appointee shall normally hold the rank of Associate or Full Professor; (b) the appointee should have extensive and successful teaching experience; (c) the appointee should have qualities of personal, collegial, and professional leadership and have demonstrated evidence of administrative skill.

Procedures for appointment: Appointment of a Chair is made by the Dean of the School or College after consultation with the division members and with the approval of the Provost. These administrative appointments may be terminated by the Dean, in consultation with the Provost, or by the Chair. Appointments to the Chair are normally for a three-year period and may be renewed at the discretion of the Dean after consultation with members of the division.

Compensation for each Chair is negotiated with the Dean, is dependent upon the size and complexity of the division, and may include release time and/or a stipend. Any stipend is temporary compensation and does not continue after the period of service as Chair. Chairs are responsible for the division during twelve months of the year, despite their faculty nine-month contract. If absent, they shall designate members of the division to act on their behalf. In the absence of any specified designate, the Dean will consult, if possible, with available members of the division, and then act.

Procedures for Review: Review of each Chair shall be conducted annually by the Dean of the College/School.

Duties/Obligations

Leadership: The Chair is responsible to the division and the Dean for effective leadership of the division. The Chair is responsible for effective and accurate representation of the division's interests and concerns. The Chair is also responsible to the Dean for collegial, effective leadership in support of the College/School. Chairs should strive to recruit and retain faculty who demonstrate excellence in all promotion and tenure requirements, create the proper intellectual environment for the best development of scholarship, encourage publication, and improve the quality of teaching and research. They should coordinate and stimulate participation in divisional affairs by all faculty, staff, and students. They should, moreover, maintain sensitivity to the world outside their disciplines and continually keep their divisions aware of, and responsive to, the larger educational and social contexts in which they function.

Personnel: The Chair is responsible for seeking out highly qualified candidates for vacancies in the division. The Chair establishes search and selection procedures with the approval of the Dean of the College or School, the Provost, the Affirmative Action Officer, and members of the division.

The Dean of each College/School shall keep a record of tenured faculty members' evaluation cycles, as advised by the Provost's Office, and remind Chairs when evaluations are due. The Chair makes recommendations to the appropriate Dean on reappointments, promotions, tenure, sabbaticals and leaves, salary increments (if appropriate), and all other division personnel matters not specifically mentioned here.

The Chair renders guidance and assistance to faculty as appropriate. The Chair keeps untenured faculty apprised of their progress through the tenure system by means of annual written performance assessments and an annual meeting to discuss professional growth and development plans. The Chair or designee will keep apprised of the classroom performance of divisional faculty members through classroom visitation/observation, and/or (when instruction is primarily studio or performance-based, for example) review of student outcomes, as appropriate, or performance or creative work resulting from studio instruction. Specific guidelines for the evaluation of faculty are found in Section 6.5 of this Handbook.

The Chair is responsible for coordinating scheduling and making divisional teaching load recommendations to the Dean. The Chair also recommends the appointment of, supervises the work of, and recommends merit increments, if appropriate, for nonacademic division staff.

Management: The Chair prepares divisional budget requests and supervises the expenditure of funds, recommends to the Dean the use and assignment of space, facilities, equipment, and supplies, and recommends summer and off-campus programs, course offerings, and personnel to be employed. The Chair approves Honors Lists and cooperates with the Admissions Office in meeting prospective students. The Chair is also responsible for the execution of College and University policies and regulations. A Chair will be responsible for the discharge of other unspecified duties pertinent to the office of Chair, as assigned by the Dean.

Curriculum: The Chair, in consultation with other divisional members, is responsible for the division's course offerings and requirements for majors and minors. The Chair should take into account the needs of the faculty and students as well as the discipline in shaping the curriculum, and for ensuring that the division participates in making recommendations to the libraries that will support their curriculum. The Chair has the primary responsibility for overseeing and assessing faculty advising, ensuring that advising is carried out conscientiously and carefully.

Communication: The Chair should foster effective intra- and inter-divisional communications among all students, faculty, and administrators, making clear to these constituencies the nature of all division policies and procedures. Division meetings should be held regularly and division members should be informed of discussions at academic staff meetings. The Chair is responsible for keeping the catalog description of the division current and accurate, and is responsible for the annual divisional report to the appropriate Dean.

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4.0 Tenure: Principles and Policies

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4.1 Principles

While a faculty member's appointment may be to a particular College, School, or Library, tenure is granted by Alfred University and is a commitment by the University to offer continuous employment to tenured faculty members until the faculty member resigns, retires, is physically or mentally unable to perform, even with reasonable accommodations, the essential duties of his/her position, is discharged for cause, or is terminated pursuant to financial exigency or discontinuance of the faculty member's division, department, or program.

It is incumbent upon tenured faculty to maintain their skills in their professional fields, to meet their classes and committees as scheduled, to remain informed about new developments in their fields, and to perform satisfactorily in other duties. It is a responsibility of the faculty members in each area to develop the criteria for judging whether or not their colleagues in these areas are meeting their obligations. Judgments as to whether the criteria have been significantly violated will be made through the reappointment, tenure, promotion, and performance review processes.

Tenure is a continuous appointment to the instructional staff that may be granted to faculty members who meet probationary requirements. Faculty members with tenure assume a responsibility for service of continued high quality and are entitled to consider their appointment permanent, except as noted herein.

The University may dismiss tenured faculty members under the following circumstances. Tenured faculty members may be dismissed if they are physically or mentally unable to perform, even with reasonable accommodations, the essential duties of their position, or for cause as defined in Section 8.5. An otherwise satisfactory faculty member on tenure shall not be discharged due to an unsatisfactory performance for a limited period of time resulting from apparently non-recurring causes. In addition, tenured faculty members can be dismissed if a financial exigency exists or if the faculty member's division, department, or program is discontinued, as determined according to the procedures described in Section 8.7. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except where a serious distortion of the academic program would otherwise result. If otherwise satisfactory faculty members with tenure are not needed because the

University is no longer able to support the number of course offerings in their fields, the University must make every effort to shift them to some other position or retrain them.

4.2 Postponement

In the case where a probationary tenure-track faculty member is deemed worthy of tenure, but there is doubt that the position will be available after a few years, the administration may exercise the option to postpone the tenure decision for up to three years. The faculty member will receive a letter stating that the probationary period was successfully completed, but that tenure could not be granted because of serious doubt that the University would continue to need the position in the future. In this case, the faculty member may be offered a one-year appointment (renewable for a maximum of three years), or a single, three-year appointment. After three years of postponement, a tenure decision must be made.

4.3 Policies

In provisions of this handbook regarding tenure, promotion, and the evaluation of faculty, the term "faculty member" shall apply only to regular faculty with the academic rank of instructor or higher.

The maximum probationary period for full-time regular faculty normally should not exceed six years of full-time teaching service. Leaves of absence may extend the probationary period beyond six years of full-time teaching experience. Faculty members shall be notified by the appropriate Dean no later than February 15th of their sixth year on the faculty of Alfred University that: (1) they will have tenure as of the beginning of their seventh year; (2) that their services will terminate at the end of the seventh year; or (3) that other contractual arrangements will be offered.

Appointments made effective during an academic year, prior to the beginning of the second semester, shall be considered as having been made at the beginning of that academic year for purposes of the above paragraph.

Reappointments, promotions, tenure decisions, terminations of appointments, and other significant personnel decisions shall be made by the President after consultation with the Provost, the appropriate Dean, and the appropriate Promotion and Tenure Committee. Tenure and promotion are awarded based on a faculty member's record of teaching, scholarship, advising, professional, and service activities. It is the responsibility of the faculty member to demonstrate that he or she has earned tenure and/or promotion. Tenure or promotion will not be awarded in any instance unless it can be enthusiastically recommended by the individuals involved.

If a non-tenured regular faculty member requests a leave of absence for any reason, the letter authorizing the leave must state whether or not the period of absence will count toward the probationary period for tenure.

Each College, School, or Library of Alfred University shall have a Promotion and Tenure Committee composed of the Dean (ex officio) and at least three faculty members elected in a manner determined by the faculty of the College, School, or Library. Each Committee shall elect a chairperson from the members other than the Dean, to whom the Committee shall submit its recommendations. In the course of its deliberations, the committee shall confer with the appropriate Chair. A faculty member elected to

the Promotion and Tenure Committee shall serve for not more than three consecutive years.

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5.0 Faculty Responsibilities

A faculty member at Alfred University is expected to participate actively in the life of the University, both inside and outside of the classroom. The purpose of the following section is to provide a general outline of the responsibilities of faculty members that direct their participation at Alfred University. Provisions regarding the specific expectations of faculty, and the means and evidence for the evaluation of faculty, can be found in Section 6 of this handbook.

Faculty members are expected to conscientiously perform their duties during the academic year. The academic year for full-time faculty occurs from one week before the start of classes in the fall semester through May Commencement. Temporary faculty contracts may be written for a specific time-period other than an academic year.

[5.1 Professional Ethics](#)

[5.2 Instructional Responsibilities](#)

5.1 Professional Ethics

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

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

As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the

institution, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

5.2 Instructional Responsibilities

Teaching: Faculty members will meet all classes as scheduled by the Office of the Registrar. Other instructional responsibilities may include supervision of fieldwork, internships, or independent study. Faculty members who cannot attend an assigned class shall notify their students and the Chair as soon as possible, preferably in advance. The missed class(es) will be rescheduled by the faculty member.

Teaching Loads: Regular full-time faculty members are expected to carry a teaching load of twelve credit hours per semester. Credit hour equivalents for laboratory and studio classes will be calculated on a two contact hours per one credit hour basis. Reductions in teaching load may be considered where special research, supervision, professional, or administrative responsibilities exist.

Thesis supervision is an integral part of graduate programs and some undergraduate programs. At the graduate and undergraduate level, the equivalent teaching load shall be determined by the Chair based on the size and complexity of the work being carried out.

Supervision of independent study work is considered to be normal faculty activity. Under special circumstances, one or two credit hours reduction may be granted by the Dean for 12 to 24 hours of independent study supervision.

Reductions in teaching load for Chairs are contained in Section 3 of this handbook.

Classroom Management: The management of classes is under the purview of the faculty member conducting the class. Professional conduct is expected on the part of all students and faculty. The faculty member will outline in writing his or her policies at the initial meeting of the class. Classes will not be interrupted for any reason other than a perceived emergency situation.

Grading: Faculty members are expected to adhere to the Alfred University Grading Policy. In addition, faculty members must submit grades to the Registrar by the date and time announced by the Registrar.

Scholarship/Creative Work/Research

Regular faculty at Alfred University are expected to maintain a consistent, sustained, and successful record of peer-reviewed activity, as appropriate to their School, College, or Library.

Advising

Advising is important for the personal and professional growth of students. Therefore, regular faculty are expected to actively participate in advising students, and should post and maintain weekly office hours.

Professional Activity

Faculty are expected to maintain professional or discipline-based involvement external to the University.

University Service

Alfred University expects its faculty to participate in a conscientious, collegial manner in the life of the University, including departmental meetings, faculty meetings, and University-wide events.

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6.0 Evaluation of Faculty

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6.1 The Role of Each College, School, or Library

Each College, School, or Library should select the means of evaluation and evidence most appropriate to their disciplines and mission. Peer review must be incorporated into these procedures. These means of evaluation and evidence must be consistent with this Handbook. These evaluation procedures must be provided to each new faculty member.

6.2 The Role of the Faculty Member

The faculty member is responsible for bringing forth evidence as appropriate to his/her College, School, or Library. Each faculty member shall each June forward to the appropriate Chair and Dean an annual report of activities for the preceding year. This report shall be used in connection with the faculty member's evaluation.

6.3 Annual Performance Review of Probationary Tenure-Track Regular Faculty

Each year, all non-tenured regular faculty members will meet with their respective Chair to discuss the content of their annual written performance assessment. This is a review of the individual's teaching, scholarship/creative work/research, advising, professional activity, and university service. This evaluation will become part of the faculty member's file to be submitted to the appropriate College, School, or Library Promotion and Tenure Committee. The written evaluation will be signed by both the Chair and the faculty member. The faculty member may provide written responses for the Chair to any

portion of the evaluation, and these responses will be added to the assessment and forwarded to the Promotion and Tenure Committee.

When members of the Promotion and Tenure Committee have completed their annual performance review of the faculty member, a letter will be sent to the faculty member, Chair, and Dean informing them of the results of the evaluation. The Dean will forward the letter from the Promotion and Tenure Committee to the Provost and President, accompanied by his or her independent evaluation of the faculty member.

Deans shall notify the faculty member, by letter, of inadequacies that may impede the attainment of tenure. This letter shall state: (a) the criteria that the faculty member has failed to meet satisfactorily; and/or (b) assigned duties that the faculty member has performed unsatisfactorily, and/or (c) other factors that may contribute to a recommendation not to reappoint the faculty member.

In addition to their annual performance assessment, all non-tenured regular faculty should meet at least once per year with their respective Chair to discuss their goals for professional growth and development. The purposes of this meeting will be to: identify areas of continuing development and interest; develop intervention plans to address any areas of weakness that may be noted in the annual performance review; and assist the faculty member in accomplishing their goals.

6.4 Performance Review of Tenured Faculty

All tenured faculty members should meet at least once per year with their respective Chair to discuss their goals for professional growth and development. The purposes of this meeting will be to identify areas of continuing development and interest and assist the faculty member in accomplishing their goals.

Each tenured faculty member will be evaluated every five years by the appropriate College, School, or Library Promotion and Tenure Committee. The primary purpose of this review is to support the faculty member in the monitoring and development of goals for professional growth and progress toward these goals, including the five criteria listed in Sections 5 and 6.5. Faculty will meet with their respective Chair to discuss the content of their written five-year performance assessment. This report will become part of the faculty member's file to be submitted to the appropriate College, School, or Library Promotion and Tenure Committee. This written evaluation will be signed by both the Chair and the faculty member. The faculty member may provide written responses to any portion of the evaluation, and these responses will be added to the assessment and forwarded to the Promotion and Tenure Committee. When members of the Promotion and Tenure Committee have completed their five-year performance review of the faculty member, a letter will be sent to the faculty member, Chair, and Dean, informing them of the results of the evaluation. The Dean will forward the letter from the Promotion and Tenure Committee to the Provost and President, accompanied by his or her independent evaluation of the faculty member.

6.5 Expectations, Means, and Evidence

Procedures for evaluation of regular faculty must include the following expectations, means, and evidence:

Teaching

Expectation

The hallmark of an Alfred University education is excellent teaching and concern for the individual student. Excellence in other areas is not compensation for failure to meet teaching standards.

Means of Evaluation (required)

- Classroom visitation/observation by Chair, and/or (when instruction is primarily studio or performance-based, for example) review by Chair of student outcomes including performance or creative work resulting from studio instruction. Probationary faculty must be observed annually; tenured faculty as appropriate.
- Student course evaluations using an instrument selected by the Division and approved by the College or School. Student course evaluation records should be maintained in the Division or other appropriate office. Each College or School will determine the extent to which course evaluations are used in the faculty review process.

Examples of Evidence of Achievement (as appropriate)

- Course syllabi, curricular improvement, course development, and teaching innovations (including instructional technology)
- Examples of student creative work must be made available on a consistent basis through exhibition, portfolio, or other means
- Course evaluations
- Appropriate student outcomes
- Classroom observation
- Scholarship/Creative Work/Research

Expectation

A consistent, sustained, and successful record of peer-reviewed activity, as appropriate to the College, School, or Library mission, is the Alfred University standard.

Means of Evaluation (as appropriate)

- Annual faculty activity reports
- Documentation of the results of scholarship/creative work/ research. The nature of the publication, conference, presentation, et al. will determine the relative weight given the activity. Critical reviews and prestige of the forums for creative work are important in establishing judgments of quality.

Examples of Evidence of Achievement (as appropriate)

- Publications such as books, articles in scholarly journals or proceedings, monographs, book review essays, bibliographies, or electronic media as appropriate
- Presentation of papers at conferences and other professional gatherings, as appropriate
- External research support, as appropriate
- Results of professional positions such as editor or reviewer, as appropriate
- Performances, shows, exhibitions, or readings, as appropriate
- Solicited letters including those from external colleagues or recommenders addressing the candidate's scholarly ability, as appropriate
- Reprints, manuscripts, slides, etc.

Citations or acknowledgements submitted as evidence of scholarship should include the citation reference for context.

Advising

Undergraduate Advising

Expectation

Undergraduate advising at Alfred University consists of conveying accurate information on curriculum and requirements, conveying the educational purpose behind those requirements, and mentoring students for personal and professional growth.

Means of Evaluation (as appropriate)

- Chair and peer assessment
- Exit interviews with seniors

Examples of Evidence of Achievement (as appropriate)

- Availability to students
- Numbers of advisees
- Appropriate progress of advisees toward degree
- Monitoring of advising loads
- Willingness to work with special advising categories
- Maintenance of office hours
- Ready availability for appointments
- Knowledge of graduation and disciplinary requirements
- Knowledge of career and graduate school opportunities
- Office phone number and email address on syllabi

Graduate Advising: Professional and Thesis

Expectation

Graduate program faculty are expected to participate actively in graduate advising. They are expected to demonstrate the ability to guide graduate students through their program by transmitting a thorough and complete understanding of contemporary scholarship in the discipline.

Means of Evaluation (as appropriate)

- Chair and peer assessment
- Exit interviews with graduating students

Examples of Evidence of Achievement (as appropriate)

- Willingness to work with students having diverse backgrounds and needs
- Number of advisees and committee participation
- Appropriate progress of advisees toward degree
- Thorough understanding of the requirements for all degrees offered in the program
- Demonstrated understanding of all resources available for the students' success, from matriculation to graduation
- Availability to advisees (whether on-site or electronically)

- Knowledge of professional career paths and graduate opportunities
- Shared scholarship with students
- Publications by a graduate student with the faculty member

Professional Activity

Expectation

Alfred University faculty are expected to maintain professional or discipline-based involvement external to the University. This frequently is the result of scholarship/creative work/research undertaken by the individual faculty member.

Means of Evaluation (as appropriate)

- Annual faculty activity reports
- Chair and peer assessment

Examples of Evidence of Achievement (as appropriate)

- Holding office in a professional society
- Serving as member of an editorial or advisory board
- Chairing sessions at professional meetings
- Workshops offered
- Consulting
- Carrying out review of papers
- Invited lectures or presentations
- Test writing or reading externally

University Service

Expectation

Alfred University expects its faculty to participate in a conscientious, collegial manner in the life of the University, including departmental meetings, faculty meetings, and University-wide events. Faculty attendance at the Opening Convocation and May Commencement are required. In addition, faculty attendance at Honors Convocation is strongly recommended.

Means (as appropriate)

- Annual faculty activity reports
- Chair and peer assessment

Examples of Evidence of Achievement (as appropriate)

- Membership on standing or ad-hoc committees
- Leadership roles on committees and other University activities
- Participation in recruitment activities
- Advising of student organizations

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7.0 Procedures for Tenure and Promotion for Regular Faculty

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7.1 Year Three Tenure Forecast:

For individuals appointed to tenure track faculty positions, the annual performance review by the Chair, Promotion and Tenure Committee, and Dean will incorporate a tenure forecast during the third year of full time teaching. The purpose of this forecast is to indicate to the faculty member his or her progress towards meeting the expectations for tenure.

The tenure forecast will be positive, uncertain, or negative. These terms are indicative only. A positive forecast does not guarantee tenure. An uncertain forecast is not to be understood as negative. An uncertain forecast may only reflect insufficient evidence or a mixed review. A negative forecast indicates some problem(s) serious enough to demand attention. However, a negative forecast does not mean that tenure cannot be achieved. A tenure forecast is independent of the reappointment decision. If the forecast is uncertain or negative, the Dean must meet with that faculty member to discuss the results of the review.

7.2 Sixth Year Tenure Determination

The Chair should notify the tenure candidate of materials necessary as evidence for tenure consideration and should review with the candidate the relevant time tables. It is the responsibility of the candidate to provide the necessary documents and to become familiar with the procedure.

The faculty member shall submit materials necessary for tenure consideration to the Chair with a copy to the Dean in the summer prior to the beginning of the sixth year of full-time employment as a regular faculty member. The materials in this dossier must include:

- The candidate's curriculum vitae and any statement the candidate deems appropriate to amplify the material in the curriculum vitae
- Copies of the candidate's annual activities reports (see Section 6.2) for the first five years of faculty service
- Documentation of the evidence for teaching excellence, scholarship/creative work/research, advising, professional activity, and university service as described in Sections 5 and 6
- A statement concerning future plans and contributions
- External reviews of the scholarship/creative work/research, and professional activity of the candidate

- Additional materials deemed appropriate by the candidate

The Chair shall review the candidate's dossier and submit a written recommendation to the Dean and Promotion and Tenure Committee. This recommendation shall be reviewed with the candidate, and the candidate shall be given seven calendar days to formulate a written response if desired.

During the process of review by the Promotion and Tenure Committee, the candidate may request a meeting with the Committee to amplify or explain his or her dossier. The Promotion and Tenure committee shall submit its recommendation concerning the candidate to the Dean. A letter will be sent to the candidate and Chair informing them of the committee's recommendation.

Upon being informed of the tenure recommendation of the Promotion and Tenure Committee, as a result of the above process, the faculty member is entitled, on request, to full due process as outlined in Section 9.

The Dean's recommendation shall be submitted to the Provost, and the Dean shall send a letter to the candidate and his/her Chair informing them of his/her recommendation. The Provost will review the materials provided and make a recommendation to the President. The President will notify the Board of Trustees of his or her decision.

Written notification of the outcome of the tenure review process will be provided to the candidate by February 15th. The candidate will be provided the notification letter, preferably in person, by the Dean, or the Dean's appointed faculty representative, or alternatively by registered or certified mail. Copies of the letter will be provided for the Chair and the Promotion and Tenure Committee.

A decision to grant tenure will be effective as of the following July 1st.

7.3 Early Tenure or Tenure Credit

Early tenure is defined as the granting of tenure before the end of the six-year probationary period. Early tenure may be granted to a faculty member based on prior service as a full-time faculty member at this or another institution. If applicable, this will be addressed in writing, normally in the original letter of appointment with Alfred University. Occasionally, but rarely, an appointment with tenure is made upon employment with Alfred University.

7.4 Promotion Procedure

A recommendation for promotion is typically initiated by the Chair. However, individual candidates for promotion may also initiate the review process. The candidates for promotion must notify the Chair by June 1st of their intent to submit their materials for promotion during the following academic year.

The Chair should notify the promotion candidate of materials necessary as evidence for promotion consideration and should review with the candidate the relevant time tables. It is the responsibility of the candidate to provide the necessary documents and to become familiar with the procedure.

The faculty member must submit materials necessary for promotion consideration to the Chair with a copy to the Dean. The materials in this dossier must include:

- The candidate's curriculum vitae and any statement the candidate deems appropriate to amplify the material in the curriculum vitae
- Copies of the candidate's annual activities reports (see section 6.2) for the years of service since the current academic rank was attained
- Documentation of the evidence for teaching excellence, scholarship/creative work/research, advising, professional activity, and university service as described in Sections 5 and 6
- A statement concerning future plans and contributions
- External reviews of the scholarship/creative work/research, and professional activity of the candidate
- Additional materials deemed appropriate by the candidate

The Chair shall review the candidate's dossier and submit a recommendation to the Dean and Promotion and Tenure Committee. This recommendation shall be reviewed with the candidate, and the candidate shall be given seven calendar days to formulate a written response if desired.

During the process of review by the Promotion and Tenure Committee, the candidate may request a meeting with the Committee to amplify or explain his or her dossier. The Promotion and Tenure Committee shall submit its recommendation concerning the candidate to the Dean. A letter will be sent to the candidate and Chair informing them of the Committee's recommendation.

Upon being informed of the promotion recommendation of the Promotion and Tenure Committee, as the result of the above process, the faculty member is entitled, on his/her request, to full due process as outlined in Section 9.

The Dean's promotion recommendation shall be submitted to the Provost. A letter will be sent to the candidate and Chair informing them of the Dean's recommendation. The Provost will review the materials provided and make a recommendation to the President. The President will notify the Board of Trustees of his or her decision.

Written notification of the outcome of the promotion process will be provided to the candidate by February 15th. Copies of the notification letter will be provided for the Chair and the Promotion and Tenure Committee.

A decision to grant a promotion will be effective as of the following July 1st.

7.5 Early Promotion

Tenure and promotion decisions are independent. Therefore, promotion is not automatic as a result of a tenure decision; conversely, tenure is not automatic as the result of a promotion decision. Because of the variety of circumstances of appointment, such as prior service or experience, a candidate may stand for tenure and promotion at different times.

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8.0 Procedures for Termination of Appointment for Regular Faculty

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8.1 When the Promotion and Tenure Committee Makes a Recommendation Not to Reappoint a Probationary Tenure-Track Regular Faculty Member

If, during the annual performance review of a probationary tenure-track faculty member, the Promotion and Tenure Committee recommends not to reappoint a faculty member, the Committee Chair will inform the Dean immediately. The Dean will inform the Provost, and the Provost will then inform the President.

The Promotion and Tenure Committee will present the faculty member with a written statement of the Committee's judgment as to: (a) the criteria which the faculty member has failed to meet satisfactorily; and/or (b) assigned duties which the faculty member has performed unsatisfactorily; and/or (c) other factors that may contribute to this recommendation not to reappoint the faculty member. A copy of this statement will also be forwarded to the Dean and the Chair.

In such instances, the faculty member is entitled, on request, to full due process as outlined in Section 9.

The Dean will consider the recommendation of the Promotion and Tenure Committee and conduct an independent review of the faculty member's materials. The Dean will then submit a recommendation to the Provost. The Provost will review the materials provided and make a recommendation to the President.

8.2 When the Dean Initiates a Recommendation Not to Reappoint a Probationary Tenure-Track Regular Faculty Member

On occasion, the Dean may choose to recommend the non-reappointment of a probationary tenure-track faculty member outside of the normal annual review process. In this process, the Dean will consult with the Promotion and Tenure Committee informing them of his or her wishes not to reappoint the faculty member, and the Dean will inform the Provost immediately. The Provost will then inform the President.

The Dean will then, in the presence of the Chair, hand the faculty member a brief written notice of the Dean's intention to recommend non-reappointment. The Dean will also make an oral statement of his/her judgment as to: (a) the criteria which the faculty member has failed to meet satisfactorily; and/or (b) assigned duties which the faculty member has performed unsatisfactorily; and/or (c) specific changes in University conditions that make the non-reappointment necessary.

During the meeting the Dean:

- Will not make any oral statement as to the details of the evidence supporting such judgment. For example, the Dean can refer to "the excellence in teaching criterion" and state that in the Dean's and/or Committee's judgment, the faculty member has failed to measure up to that standard.
- Should avoid the humanitarian impulse to make alleviating statements of praise or have any informal "off the record" talks with the faculty member

If the faculty member so requests, the Dean will supply a written summary of his/her oral "judgment of unfulfilled criteria" and provide a copy to the Chair. This summary will indicate the position of the Chair, Promotion and Tenure Committee, and the Dean. The Dean will then submit a recommendation to the Provost. The Provost will review the materials provided and make a recommendation to the President.

In such instances, the faculty member is entitled, on request, to full due process as outlined in Section 9.

8.3 Warning Year Following a Negative Performance Review of Tenured Faculty

If a tenured faculty member is judged to demonstrate unsatisfactory performance (as referenced in Section 8.5), or if during the five year review (as found in section 6.4) a tenured faculty member's performance is found to be unsatisfactory when judged against the criteria listed in Sections 5 and 6, the Dean shall: (a) give the faculty member a written statement indicating those areas in which the faculty member must make significant improvement; and (b) stipulate that the faculty member's next academic year is a "warning year" at the end of which the faculty member will be re-evaluated. During this "warning year," the faculty member shall not be entitled to promotion or salary increase.

Following the warning year, the faculty member will be re-evaluated by the appropriate Promotion and Tenure Committee, Dean, and the Provost. If the re-evaluation is negative, the faculty member shall be given the opportunity to resign (including the opportunity to take early retirement, if eligible). Should the faculty member choose not to use either of these options, formal proceedings under academic due process (pursuant to this section), leading to penalties up to and including dismissal, shall be initiated. The statement of charges shall be prepared by the Dean, who will forward the recommendations of the Promotion and Tenure Committee as an attachment. These charges shall be forwarded to the Provost and President. Such proceedings shall begin with the procedures found in Section 8.5.

The normal timeline for the above procedure shall be as follows:

1. Notification of the negative outcome of the review will occur by February 15th.

2. A warning year (if necessary) will occur in the Fall and Spring semesters of the next academic year.
3. A re-evaluation (at the end of the warning year) will occur by May 31st.
4. Informal proceedings, where necessary, will be completed within 30 calendar days of the re-evaluation.
5. Formal proceedings, where necessary, will begin after the conclusion of informal proceedings and will be completed within 120 calendar days of the inception of formal proceedings.

This warning year process does not apply to instances in which the University seeks to discharge a faculty member for reasons other than unsatisfactory performance.

8.4 Termination Because of Disability

Termination of an appointment with tenure, or of a probationary tenure-track appointment prior to the end of the period of appointment, because of a disability (physical or mental) will be based upon clear evidence that the faculty member, even with reasonable accommodation, is no longer able to perform the essential duties of the position. All medical information regarding the faculty member will be kept confidential and released only on a need-to-know basis consistent with its use in these proceedings.

The President may reach a decision to terminate only after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and the faculty member, or representative, is afforded an opportunity to present his or her position and to respond to the evidence. The faculty member is entitled, on his or her written request, to full due process as outlined in section 8.6.

8.5 Termination of Appointment for Cause of a Regular Faculty Member on Tenure or Whose Probationary Tenure-Track Appointment Has Not Expired

Definition of "For Cause"

The phrase "for cause" shall be interpreted as covering the following:

- Personal conduct that indicates gross unfitness to associate with students
- Unsatisfactory performance in assigned responsibilities, and in those activities described in Sections 5 and 6. The term "unsatisfactory" shall not include the trivial or capricious. An otherwise satisfactory tenured faculty member shall not be discharged due to an unsatisfactory performance for a limited period of time resulting from apparently non-recurring processes (see Section 4).
- Obstructive opposition to the functioning of the University, including persistent violation of University policies
- Violation of the principles of academic freedom as stated in Section 2
- Conviction of a serious crime where the character or circumstances of the crime or violation of the law are such as to bring into question the fitness and/or effectiveness of the individual to continue in his/her present position
- Gross neglect of duty

All faculty members are entitled to protection against personal prejudice, unfounded rumors, and judgments based on inadequate evidence.

8.6 Procedures for Termination of Appointment for Cause of a Regular Faculty Member on Tenure or Whose Probationary Tenure-Track Appointment Has Not Expired

Informal Procedures

When reason arises to question the fitness of a regular faculty member who has tenure or a probationary tenure-track faculty member whose term appointment has not expired, the appropriate administrative officer(s) shall discuss the matter with the faculty member in a personal conference. The matter may be terminated by mutual consent at this point. If the matter is not terminated by mutual consent, the President, after conferring with the Provost and Academic Deans, may recommend dismissal to the appropriate Faculty Advisory Committee.

The membership of the Faculty Advisory Committee shall consist of: (a) the Promotion and Tenure Committee of the faculty member's College, School, or Library; and (b) the senior member of the Promotion and Tenure Committee of the College of Liberal Arts and Sciences. The "senior" member of a Promotion and Tenure Committee is the member with the longest period of service on that Committee. Where necessary, rank and length of service (in that order) at Alfred University may be used as a means to further ascertain seniority. Should the faculty member who is the subject of the Committee's deliberations be a member of the College of Liberal Arts and Sciences, the senior member of the Promotion and Tenure Committee of the next largest College, School, or Library will serve in the advisory committee position designated in (b) above.

The Faculty Advisory Committee shall informally inquire into the situation to: (1) effect a mutually acceptable resolution between the University and the faculty member; or (2) in the absence of a mutual resolution, determine in its view whether formal proceedings to consider the faculty member's dismissal should be instituted.

If the Faculty Advisory Committee recommends that formal proceedings should be initiated, a statement with reasonable particularity of the proposed grounds for dismissal shall be jointly formulated by the President and the Faculty Advisory Committee.

If the President determines that formal proceedings should be initiated despite a contrary recommendation by the Faculty Advisory Committee, the President may initiate formal proceedings to consider the faculty member's dismissal. In this situation, the President, or the President's representative, shall formulate the official statement of charges. Under such circumstances, the Faculty Advisory Committee shall formulate its own statement, indicating where and how it disagrees with the official statement of charges. This statement, like the official statement of charges, shall become part of the record of the proceedings.

Suspension of the faculty member from teaching or other duties during the informal or formal proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. The President will confer with the Faculty Advisory Committee before taking any suspension action. Unless legal considerations forbid, any suspension shall be with pay.

Formal Proceedings

Formal proceedings to consider the faculty member's dismissal shall begin with written communication addressed to the faculty member by the President of Alfred University. This communication letter will provide the faculty member with the statement of charges and notify the faculty member that a hearing to determine whether the faculty member should be removed from the faculty will be conducted by the appropriate Faculty Hearing Committee at a specified time and place. The faculty member shall be informed of the procedure that will be followed. The faculty member shall have the opportunity to respond in writing to the statement of charges. A reasonable time (15 to 30 calendar days) shall be allowed to the faculty member to prepare a defense.

The Faculty Hearing Committee

The membership of the Faculty Hearing Committee shall consist of the Faculty Council of the appropriate College, School, or Library. Each Faculty Hearing Committee shall elect its own chairperson. In no case shall a faculty member against whom charges have been brought sit in judgment of his/her own case. Members of the Faculty Hearing Committee shall, at their own initiative, or at the request of the faculty member, the University President, or Committee Chair, remove themselves from the Hearing for reasons of bias or interest. The Committee Chair will evaluate the merits of each request for removal and make appropriate judgments. The faculty members most recently retired from the appropriate Faculty Council shall be the alternates for replacement of members of the Faculty Hearing Committee should the Committee Chair decide that replacement is necessary. In no case shall a faculty member sit on more than one committee concerned with the case.

Committee Proceeding

The Faculty Hearing Committee shall proceed by considering the statement of charges and the faculty member's written response to those charges. If the faculty member does not respond, the Committee will consider the case on the basis of the obtainable information and the hearing will go on with or without the faculty member present. If any facts are in dispute, the testimony of witnesses and other evidence concerning the statement of charges set forth in the President's letter to the faculty member shall be received. In the hearing of charges of unsatisfactory performance, the testimony shall include that of qualified faculty members from this or other institutions. The President shall have the option of attendance during the hearing. The President may designate an appropriate representative to assist in developing the case, but the Committee shall determine the order of proof, shall ordinarily conduct the questioning of the witnesses, and, if necessary, shall secure the presentation of evidence important to the case.

The faculty member shall have the option of assistance by a representative, whose functions shall be similar to those of the representative chosen by the President. The faculty member shall have the aid of the appropriate faculty hearing committee, when needed, in securing the attendance of witnesses.

The faculty member, and the President or his/her designee, shall have the right, within reasonable limits, to confront and cross examine all witnesses who testify orally. The faculty member shall have the opportunity to confront all witnesses adverse to her/him. Where unusual and urgent reasons move the Faculty Hearing Committee to withhold the right of confrontation and cross-examination, or where the witnesses can not appear, the identity of the witnesses, as well as their statements, shall nevertheless be disclosed to the faculty member. Subject to these safeguards, statements may, when necessary, be taken outside of the hearing and reported to it.

All evidence shall be recorded. The Hearing Committee Chair is not obligated to follow formal rules of court procedure. The burden of proof that adequate cause for dismissal exists rests with the University, and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

The Faculty Hearing Committee shall reach its recommendation in conference on the basis of the hearing. Before doing so, the Committee shall give opportunity to the faculty member, or the faculty member's representative, and to the President or representative designated by the President, to argue orally before it. If written briefs would be helpful, the Committee may request them.

The Committee shall make explicit its findings with respect to each of the grounds for removal presented. Short of dismissal, the Faculty Hearing Committee may also recommend such disciplinary actions as the following:

- Suspension without pay for a specified or indefinite period
- Reduction in salary and/or rank
- Removal of tenure
- Fine through payroll deduction
- Censure
- Warning

The faculty member and the President shall be notified in writing of the recommendation of the Faculty Hearing Committee and be given a copy of the record of the evidence.

Consideration by the Governing Body

The President shall transmit to the Executive Committee of the Board of Trustees the full report of the Faculty Hearing Committee, stating its recommendation. Acceptance of the Faculty Hearing Committee's recommendation would normally be expected. If the faculty member requests that the recommendation be reviewed, or if the Executive Committee chooses to review the case, its review shall be based on the record of the previous hearing, accompanied by opportunity for argument, oral or written or both, by the President and faculty member, or their representatives.

The recommendation of the Faculty Hearing Committee shall either be sustained or the proceedings will be returned to the Faculty Hearing Committee with objections specified. In such a case, the Faculty Hearing Committee shall reconsider, taking account of the stated objections and receiving new evidence if necessary. It shall frame its recommendation and communicate it in the same manner as before. Only after study of the Faculty Hearing Committee's reconsidered recommendation shall the Executive Committee make a final decision overruling the Faculty Hearing Committee.

The Executive Committee of the Board of Trustees shall inform the faculty member in writing of the final decision in the faculty member's case. If the decision is dismissal, the Executive Committee shall inform the faculty member of the effective date of dismissal and of matters concerning compensation. This date may not be earlier than the day on which the Executive Committee's notification is written. The faculty member shall not be considered as dismissed during the various deliberations on the case.

Publicity

Except for such simple announcements as may be required covering the time of the hearing and similar matters, public statements about the case by either the faculty member or administrative officers shall be avoided so far as possible until

the proceedings have been completed. Announcement of the final decision shall be made by the Chair of the Executive Committee and shall include the statement of the Faculty Hearing Committee's original recommendation, if this has not been made known previously.

Terminal Salary Payment

If a regular faculty member is dismissed for cause, a terminal salary payment may be made in accordance with the following schedule:

- Three months' salary from the effective date of dismissal for a faculty member dismissed in the first year of appointment
- Six months' salary from the effective date of dismissal for a faculty member dismissed in the second year of appointment
- A full academic year's salary from the effective date of dismissal for a faculty member dismissed in the third or subsequent year of appointment, or for a tenured faculty member.

In general, a terminal salary payment for probationary tenure-track regular faculty shall not exceed the remaining term of appointment. According to the circumstances surrounding a given case, the Executive Committee of the Board of Trustees may deviate from the foregoing schedule in determining the sum (if any) to be paid.

8.7 Termination Resulting from Financial Exigency or Discontinuance of a Division, Department, or Program

8.7.1 Termination Resulting from Financial Exigency

Termination of an appointment with continuous tenure, or of a probationary appointment before the end of the specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency. In such a case, the following procedures will be utilized. These procedures are not intended to limit the freedom of members of a program or discipline to make changes in the academic content of a program.

It should be recognized that discussions of this type and the decisions that result should be timed so as to avoid getting into a position of imminent financial collapse, rather than a way of escaping a crisis once it is present.

Evaluating the Financial Exigency and Developing a Plan

The Provost will, where applicable, meet with a group of faculty and other appropriate individuals in order to determine if the conditions of financial exigency exist and, if necessary, to establish criteria relative to a reduction in faculty. This group will include:

- The Dean of the College, School, or Library involved
- The Chairs of the College, School, or Library
- Three faculty members of the College, School, or Library chosen by the Faculty Council of that College, School, or Library
- Non-voting faculty or administrative members as considered appropriate by the Provost.

The group will meet and follow an agenda which includes:

- A review of the data supporting the view that reduction in faculty must occur
- A review of existing programs and priorities considering budget costs and present and projected enrollment trends
- Consideration of alternatives to involuntary faculty reductions that would accomplish the same ends, including but not limited to:
 - Salary freeze or reduction
 - Cuts in department budgets
 - Reduction of programs outside the academic area
 - Voluntary early retirement program possibilities

If the number of faculty positions in a program is to be involuntarily reduced, the group will consider (in the following order):

- The goals of the program
- The program structure necessary to best achieve those goals
- The “mix” of faculty skills, backgrounds, and interests that best fit the structure
- The people currently in the program who can provide those skills paying due attention to:
 - Length of service
 - The ability of faculty members to change jobs to some other academic or nonacademic position within the University.

Additional training or re-training is available to faculty members. Any anticipated program change should be achieved by careful consideration of all personnel involved. Screening procedures should result in the identification of those persons best qualified to help protect the integrity of the institution and the particular program under consideration. The appointment of a faculty member with tenure will not be terminated, in favor of retaining a faculty member without tenure, except where a serious distortion of the academic program would otherwise result.

The guiding principle should be to preserve the educational values of the institution, while seeking to protect the rights and interests of the individuals involved. In this connection, it must be recognized that this process is to be used only for the stated purposes and not as a way to avoid the procedures of tenure review or termination for cause.

Once the group has formulated its recommendations, the Provost can reject those recommendations only for compelling reasons. In this case, the objections of the Provost need to be explained in writing to the group.

Review Process for Displaced Faculty

Faculty members terminated (or shifted to a position outside their discipline) as a result of these procedures, may request a review hearing by the Faculty Council of their College, School, or Library. The purpose of this hearing is to review both the adequacy of consideration by those involved in the decision and the substantive issues in their individual cases. The review should observe the essentials of fair play, but need not be a recorded adjudicative hearing. The issues discussed by the review hearing may include:

- The existence and extent of the condition of financial exigency. The burden will rest on the University administration to demonstrate the existence and extent of the condition. The findings of the foregoing faculty group may be introduced
- The validity of the educational judgments and the criteria for identification for transfer or termination. During this discussion the recommendation of the foregoing faculty group on these matters will be considered presumptively valid
- Whether the criteria are being properly applied in the individual case
- Consideration of alternative employment within the University.

The Faculty Council will report its findings to the President, through the Provost. If the President rejects the findings of the Council, the reasons must be compelling and stated in writing to the Council.

The Final Determination

In all cases, the final determination will be made by the President, taking into account the recommendation of the foregoing group, the Provost, and the Faculty Council (if a review hearing is held). According to circumstances, the Board of Trustees in this decision may authorize a terminal salary payment for tenured faculty that cannot be employed elsewhere in the University.

8.7.2 Termination Resulting from Discontinuance of Division, Department, or Program Not Mandated by Financial Exigency

Termination of an appointment with continuous tenure, or of a probationary appointment before the end of the specified term, may occur as a result of bona fide formal discontinuance of a program or department of instruction. The following standards and procedures will apply.

The decision to discontinue formally a division, department, or program of instruction may result from considerations including educational and/or fiscal considerations that do not rise to the level of a bona fide financial exigency. Before finalizing any decision to discontinue a division, department, or program of instruction, the Provost will meet and consult with the faculty of the affected College, School, or Library as a whole or an appropriate committee thereof to discuss reasons for the potential discontinuance and possible alternatives, if any. "Educational and/or fiscal considerations" will not include temporary variations in enrollment. They must reflect long-range judgments that the educational mission or fiscal integrity of the institution as a whole will be enhanced by the discontinuance.

Before the administration issues notice to a regular faculty member of the intention to terminate an appointment with tenure, or before the end of the specified term, because of formal discontinuance of a division, department, or program of instruction, the University will make every effort to place the faculty member concerned in another suitable position. If placement in another position would be facilitated by a reasonable period of training, reasonable financial or other support for such training will be proffered. If no position is available within the University, with or without reasonable retraining, the faculty member's appointment then may be terminated, but only with provision for terminal salary payment in proportion to the faculty member's length of service with the University.

A faculty member may appeal a proposed relocation or termination resulting from a discontinuance of a division, department, or program by requesting a review hearing by

the Faculty Council of their College, School, or Library. The purpose of this hearing is to review both the adequacy of consideration by those involved in the decision and the substantive issues in their individual cases. The review should observe the essentials of fair play, but need not be a recorded adjudicative hearing. The issues discussed by the review hearing may include:

- The reasons for the bona fide discontinuance of the faculty member's division, department, or program of instruction. The burden will rest on the University administration to demonstrate the existence and extent of the conditions leading to discontinuance
- The validity of the educational judgments and the criteria for identification for transfer or termination
- Whether the criteria are being properly applied in the individual case
- Consideration of alternative employment within the University.

The Faculty Council will report its findings to the President, through the Provost. If the President rejects the findings of the Council, the reasons must be compelling and stated in writing to the Council. According to circumstances, the Board of Trustees in its discretion may authorize a terminal salary payment for tenured faculty that cannot be employed elsewhere in the University.

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9.0 Appeal Process for Reappointment, Tenure, and Promotion Decisions Made by the Promotion and Tenure Committee

Level 1: A Hearing with the Promotion and Tenure Committee

Once the faculty member has been notified by the Promotion and Tenure Committee of a decision regarding tenure, reappointment, or promotion, the faculty member may request a hearing before the Promotion and Tenure Committee. At this hearing, the Chair of the Committee, and/or the Dean, will: (1) reiterate the recommendation; (2) describe the nature of the evidence; and (3) listen to the faculty member's reactions, objections to the intended recommendation, and any new evidence the faculty member may care to present. After this session, the Committee will make a recommendation to the Dean and inform the Chair and the faculty member in writing. If the decision of the Committee is to uphold the original recommendation not to re-appoint, not to grant tenure, or not to promote, the Dean will inform the faculty member in writing of the member's right to appeal as described below.

Level 2: Appeal to the College or School Faculty Council

After completing Level 1, faculty members may request a review hearing by the Faculty Council of their College, School, or Library. The purpose of this appeal is to review the adequacy of the consideration of the Promotion and Tenure Committee in arriving at its recommendation. The term adequate consideration refers essentially to procedural rather than substantive issues: Was the decision conscientiously arrived at? Was all available evidence bearing on the relevant performance of the candidate sought out and considered? Was there adequate deliberation over the import of the evidence in the light of relevant standards? Were irrelevant and improper standards excluded

from consideration? Was the decision a bona fide exercise of professional academic judgment?

In no instance will the substance of the Promotion and Tenure Committee's deliberations be transmitted to the Faculty Council. Any member of the Faculty Council who is a member of the Promotion and Tenure Committee may not participate in this review hearing, except as a possible witness.

If after reviewing the case, the Faculty Council concludes that the consideration was inadequate, it will return the matter to the Promotion and Tenure Committee for further review. If the Promotion and Tenure Committee changes position and recommends reappointment, tenure, and/or promotion the final determination on reappointment, tenure, or promotion will be made by the President, considering the advice of the Dean, Provost, and Promotion and Tenure Committee.

If the Faculty Council upholds the adequacy of the Promotion and Tenure Committee's consideration (or if the Promotion and Tenure Committee, after further review, continues to recommend non-reappointment, not to grant tenure, or not to promote), then the Dean, subject to the approval of the Provost and the President, will provide the faculty member with written confirmation of the Committee's recommendation of non-reappointment, denial of tenure, or denial of promotion.

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10.0 Final Provision

The foregoing provisions adopted by the Board of Trustees supersede any existing provisions of appointment, and are subject to revision. Revisions are effective as of the date of adoption by the Board of Trustees (unless a later effective date is stipulated by the Board), and are thereupon applicable to all faculty, present and future. Decisions regarding the interpretation of these provisions shall be the responsibility of the President. These provisions shall not be construed as preventing the President from making exceptions in administrative emergencies.

Presented to the Faculty Senate: November 7, 2003 Approved by the Faculty Senate: December 5, 2003 Approved by the University President: February 6, 2004 Approved by the Board of Trustees: February 14, 2004

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11.0 Academic Policies

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14.0 Faculty Paid/Unpaid Leave Programs

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14.1 Faculty Paid Leave Program

The Faculty Paid Leave Program

A. The purpose of the Faculty Leave Program is the strengthening of the academic position of the University by furthering productive scholarship on the part of the faculties. Scholarship is here interpreted to mean not only original creative research leading to publication, but also study conducive to the improvement of teaching. Projects proposed will be evaluated on the basis of their intrinsic merit and their value to the University.

B. All faculty members on tenure shall be eligible to apply for paid leaves under this program. Leaves may be granted for one or two semesters, but not for more than one academic year. Normally, a person who has been on leave under this program shall not be eligible to apply for a second leave until after five additional years of service as a member of the Alfred University teaching staff.

C. Those participating in this program must agree to return to the University upon the termination of leaves and remain as members of the University staff for a period of two years. A faculty member on leave who decides not to return to the University shall be obligated to reimburse the University in full for all monies received from the University in support of the leave. Any faculty member who resigns after one year of service following the termination of a leave shall be obligated to reimburse the University for one-half of all monies received from the University in support of the leave.

D. Faculty members on leave under this program shall receive their annual base salaries in full for one semester, or one-half of their salaries for two semesters, subject to the following conditions: the University reserves the right to determine when leaves shall begin and when they shall end; if a faculty member on leave receives financial assistance from sources other than Alfred University, that person's combined income less project expenses shall not exceed the annual base salary plus an amount which recognizes additional costs occasioned by conducting the study or research at a location other than Alfred; where combined income less project expenses does exceed the annual base salary, Alfred University's share shall be reduced by a proportionate amount.

E. Formal application for a leave under the Faculty Paid Leave Program must be made no later than November first of the year preceding the academic year for which the leave is requested. The application shall be submitted to the appropriate academic dean who, after review and consultation with the divisional chairperson and the Promotion

and Tenure Committee, shall make a recommendation to the President through the Provost.

F. Whenever possible, the courses of the faculty member on leave under the Faculty Paid Leave Program shall either not be offered during the period of leave or shall be taught by other members of the division.

G. Leaves may be granted under this program each year at the discretion of the President.

14.2 Faculty Unpaid Leave Program

The Faculty Unpaid Leave Program

Under appropriate circumstances, unpaid leaves of absence may be granted upon the recommendation of the Dean and the approval of the Provost and the President.

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