

Claflin University

Orangeburg, South Carolina

FACULTY HANDBOOK



Office of the Provost

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Foreword

The Faculty Handbook represents one of several means adopted by Claflin University to acquaint faculty with pertinent information concerning the institution. This handbook provides a comprehensive view of policies and procedures which govern the faculty's professional actions and interactions in job performance at the University and to which all faculty are held accountable. Thus, each teaching and administrative faculty member should read this document completely and carefully and keep it available for a handy reference at all times.

This document rescinds all prior **Faculty Handbooks** and will remain the policy of the University until amended or replaced.

The statements contained herein shall be interpreted in accordance with all applicable laws.

July, 2015

Chapter One – Introduction

...Organization

... The Claflin University Philosophy

... The Claflin University Vision

... The Claflin University Mission

... The Claflin University Guiding Principles

... The Claflin University Code of Ethics

... The Claflin University Policy Against Discrimination

Compliance with Other Federal Policies and Guidelines

...The Claflin University Intellectual Property Agreement

1.1 Organization

The material contained in the Faculty Handbook is organized by chapter, article, section, and subsection.

Words used have their ordinary and usual meaning unless otherwise defined or unless a technical meaning is clearly implied by the context.

All gender references include both male and female unless a more limited meaning is clearly implied in the context.

1.2 Official Copies and Distribution

The Provost will be responsible for the distribution of the Faculty Handbook to all academic faculty and staff; will maintain an official and current copy; and will be responsible for disseminating new material to the Faculty Handbook subscribers, as necessary. Additional official current copies will be maintained in the Office of the Provost.

1.3 Modifications

Proposals for change (by additions, deletions, and substitutions) of the official policies and provisions of the Faculty Handbook may be submitted as needed by faculty, administration, or the Board of Trustees to the Academic Affairs Committee, through the Provost, for consideration and submission to the full faculty. No modifications to the Faculty Handbook are effective unless approved by the Board of Trustees.

1.4 Philosophy of Claflin University

Claflin University was founded to provide education primarily for a people who were seriously in need of intellectual training and spiritual support. Her founders were humanitarians—courageous men with vision. These qualities are interwoven in the philosophy of Claflin.

From her earliest days, Claflin has been committed to certain principles. The Charter declares not only the academic purpose but also the Christian responsibility of the institution. The University is committed to academic enlightenment for the purpose of social justice. Service and commitment to the development of humanity are core values that guide the work of the institution.

The nucleus of this philosophy is the empowerment of students as future leaders and the development of their intellectual, social, and spiritual potential.

1.5. The Claflin University Vision

Claflin University will be recognized as one of the premier liberal arts institutions in the United States also offering select graduate programs. To that end, the University commits to a concept of excellence in teaching, research, creative expression and service in which students, faculty, staff and administrators drive the quality of educational opportunities toward being the best of the best.

1.6. The Claflin University Mission

Claflin University is a progressive, independent, liberal arts, co-educational, historically Black institution that is affiliated with the United Methodist Church. It was chartered and continues to provide educational excellence and to prepare students without regard to gender, race, religion or ethnic origin. It is committed to offering quality undergraduate programs, select graduate programs, and viable continuing education opportunities.

At the undergraduate level, the University ensures that students receive a liberal arts education designed to produce graduates who understand themselves as well as historical and social forces that impact the world. Their academic experiences will include an understanding of religious and aesthetic values in a universal context and a thorough grounding in their chosen discipline. Their education will incorporate the use of technology and exposure to recent scientific developments and inculcate critical thinking and communication skills in order to prepare them for leadership and service in a global and multicultural society. At the graduate level, students are provided instruction to enhance the analytical and comprehensive research acumen necessary for professional growth and leadership. Continuing education programs create avenues for students to complete their educational objectives and develop skills necessary for their professional and personal fulfillment. Undergirding the Mission is the University's commitment to excellence in all its endeavors.

1.7 The Claflin University Guiding Principles

At the center of everything that we do is a system of values which informs and guides all policies and programs. These values, expressed through our decisions and actions, are defined by five overarching guiding principles:

Commitment to Excellence

Commitment to Valuing People

Commitment to Being Customer Focused

Commitment to Quality Educational Programs

Commitment to Fiscal Responsibility

1.8 The Claflin University Code of Ethics

Claflin University's mission to offer quality undergraduate programs, select graduate programs, and viable continuing education opportunities relies upon the skills, abilities, expertise, commitments, integrity and collective common sense of all employees. This Code of Ethics embodies rules regarding our individual and university responsibilities to our students, faculty, staff, administrators and university stake holders and supporters.

We are cognizant of the importance of our work in being fiscally responsible which affects the quality of academic programs and the overall quality of life for the faculty, administrators, staff and students of the University.

We are personally committed to the highest professional and ethical conduct in furthering the mission of Claflin University and supporting relationships between our institution and supporters.

We hold paramount the trust, confidence and integrity of each member of the Claflin University Family.

We uphold and express through practice, equity and fairness in all aspects of our work in providing high quality academic programs, student services, and outreach.

We are committed to consistently provide the highest quality of programs and services that are innovative and responsive to students and other university customer's needs and requirements.

We uphold the highest standards of honesty, integrity, truthfulness and trustworthiness and shall maintain the highest standards of professionalism in the performance of our duties.

We shall act in good faith, responsibly, with due care, competence, objectivity and diligence.

We shall treat fellow employees in a fair and even-handed manner and foster a culture rich in diversity that is based on trust, mutual respect, teamwork, and integrity. We shall treat all people with civility avoiding harassment and discrimination.

We shall treat all customers fairly, honestly, and objectively. We shall treat clients, colleagues, and competitors with respect regardless of factors such as race, religion and gender, disability, age or national origin.

Staff who deal with issues and matters of personal or sensitive nature shall be committed to maintaining the highest degree of integrity by not disclosing such information to disinterested parties except when authorized or otherwise legally obligated to disclose.

We shall acquire and maintain the professional competence and skills important and relevant to delivering our programs and services to our students, faculty, staff, administrations and other stakeholders.

In communities of which we are members, we will act ethically and as responsible and responsive corporate citizens and comply with all applicable policies, statutes, regulations, and laws.

We shall be accountable to adhering to this code.

1.9 University Policy Against Discrimination

(Articles of Incorporation, Section V) (1869)

No instructor in said University shall ever be required by the Trustees to have any particular complexion or to possess any particular religious opinions as a test of office, and no student shall be refused admission to, or be denied any of the privileges, honors, or degrees of said University on account of race, complexion, or religious opinions which he may entertain: Provided, nevertheless, that this section, in reference only to religious opinions, shall not apply to the theological department of said University.

1.10 Equal Employment Opportunity and Affirmative Action

It is the policy of Claflin University to provide equal employment opportunities and reasonable accommodation to all employees and job applicants regardless of race, color, religion, sex, age, marital status, national origin, political affiliation, disability, veteran status, or other legally protected status in accordance with applicable federal and state laws. The University's policy of equal employment opportunity and nondiscrimination includes, but is not limited to, recruitment, employment, advancement and promotion, training and development, termination, working conditions, compensation, benefits administration, and other terms and conditions of employment.

This policy prohibits any and all harassment on the basis of sex, pregnancy, race, age, disability, or on the basis of any other protected classes. This policy prohibits sexual harassment including unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, or when submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Harassment in any form is a serious offense and will not be tolerated by the University. The University's policies on Equal Employment Opportunity and Harassment are set forth in the Policies and Procedures Manual and the Staff Guidelines.

1.11 Compliance with Federal Regulations

Claflin University is an equal opportunity employer. The University complies with federal and state equal employment opportunity laws and strives to maintain a workplace that is free from all forms of unlawful harassment. The University will not discriminate against any applicant or employee because of race, color, religion, national origin, political affiliation, sex, age, or disability. Claflin University offers equal opportunity in its employment, admissions, educational activities, and all other personnel actions in compliance with all applicable civil rights laws, federal regulations, and other requirements, including those set forth below:

1.11.1 Title VI of the Civil Rights Act of 1964

“No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”

1.11.2 Title VII of the Civil Rights Act of 1964

Claflin University is an equal opportunity employer and does not discriminate on the basis of any grounds prohibited under Title VII of the Civil Rights Act of 1964, including race, color, sex, national origin or religion.

1.11.3 Title IX of the Education Amendments of 1972

“No person in the United States shall, on the basis of sex, be excluded from participation in, be denied benefits of, or be subjected to discrimination under any education program or activity receiving federal financial assistance.”

1.11.4 Section 504 of the Rehabilitation Act of 1973

“No otherwise qualified individual with a disability in the United States...shall, solely by reason of his/her handicap, be excluded from the participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving federal financial assistance.”

1.11.5 Section 303 of the Age Discrimination Act of 1975

“No person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”

1.11.6 The Americans with Disabilities Act (ADA)

Claflin University does not discriminate on the basis of disability as prohibited by the Americans with Disabilities Act.

1.11.7 Family and Medical Leave Act of 1993 (FMLA)

Claflin University provides up to twelve (12) weeks of unpaid/paid leave in a twelve (12) month period for eligible employees under the Family and Medical Leave Act of 1993.

1.11.8 Uniformed Services Employment and Reemployment Rights Act (USERRA)

The Department of Labor has issued regulations on the Uniformed Services Employment and Reemployment Rights Act. This federal law protects the employment and reemployment rights and benefits of service members upon their return to the civilian workforce. It further protects against discrimination and retaliation of service members when they return to the civilian workforce.

1.11.9 Family Educational Rights and Privacy Act (FERPA)

The Family Educational Rights and Privacy Act is a federal law that protects the privacy of student educational records. Employees with access to student records, including financial information, must remain in compliance with the FERPA privacy and security regulations.

1.12. Intellectual Property Agreement

Clafin University is independent, liberal arts, coeducational, historically black institution that is affiliated with the United Methodist Church. At the undergraduate level, the University ensures that students receive a liberal education designed to produce graduates who understand themselves as well as the historical and social forces that affect the world. At the graduate level, students are provided instruction to enhance the analytical and comprehensive research acumen necessary for professional growth and leadership. The intellectual pursuits and activities of its employees, students, and/or other stakeholders may provide opportunities to enter professional products into commerce. Such products may be the subject of a patent application, copyright, or other tangible material, etc., addressed collectively as “intellectual property.” Specifically, this policy sets forth the University’s purpose and basic objectives regarding the management, identification, evaluation, protection, marketing, licensing and/or sale of such intellectual property.

This policy is intended to:

- provide an incentive for creative intellectual effort and the advancement of research, knowledge and societal welfare;
- insure that the rights, privileges and interests of the University and its employees, students and/or other stakeholders are recognized and protected through the development of fair agreements and procedures;
- encourage employees, students and/or stakeholders of the University, to realize the tangible benefits of intellectual property endeavors; and
- advance and encourage further research within the University from funds that may accrue within the University from institution-supported intellectual property endeavors.

Definition of Intellectual Property

Any product created by an employee or agent of Clafin University as the result of activities in which the University provided support for the development of the product may be perceived as intellectual property.

Examples of intellectual property may include, but are not limited to, cures, chemical compounds, inventions, machines, genetically engineered biological organisms, cell lines, clones, and other scientific inventions, trademarks, creative arts, documents, software, books, resource materials, research aids, modules, web-based courses, computerized exams, original films, original musical scores, textbooks, study guides, research bibliographies as well as exams, grants, and other items which facilitate the learning process.

Title 17 and Title 35 of the United States Codes of Laws protect Clafin University’s definition of intellectual property. The South Carolina Ethics Act of the South Carolina Code, 8-13-100

and subsequent codes reinforce these guidelines.

This definition further assumes that any intellectual property created by an employee, agent, consultant, or third party person will be used consistently and for the public good.

Policy and Procedure

- A. Intellectual property products produced at the University shall be used for the greatest possible public benefit and to provide every reasonable incentive to the employees, students and other stakeholders for the disclosure, evaluation and dissemination of such products. When University support makes the research effort possible or when the University provides support for the development of a patentable or copyrightable product, etc., reasonable reimbursement for its costs is expected. To this end, the University encourages the pursuit of patent and/or licensing for such products in the interest of the public, the inventor (researcher), and the University.
- B. Unless otherwise designated by the President, the Chief Administrator of the Sponsored Programs Office is the executive officer responsible for the execution and administration of the policy on intellectual property. The Sponsored Programs Office shall make available reporting, disclosure, confidentiality, approval and other forms and administrative procedures necessary to carry out the provisions of this Intellectual Property Policy.
- C. The Chief Administrator shall appoint three members and the faculty shall elect three members to the Intellectual Property Committee. This Committee shall have the responsibility of recommending to the President or his designee interpretations of the University policy herein stated and changes needed.
- D. As a condition of employment, all faculty members, University employees, and students performing research, shall report to the Chief Administrator of the Sponsored Programs Office of any invention, discovery, product, etc., which they have conceived or developed or which was conceived or developed under their direction and/or work efforts during their employment or enrollment both while employed by the University and thereafter.
- E. In the event of conflicts of interest that arise that may involve the Sponsored Programs Office and/or other unusual conflicts of interest (or perceptions of conflict of interest), the President of the University shall create a standing Intellectual Property Conflict of Interest Committee. The Committee will be chaired by the Vice-President of Fiscal Affairs who will then appoint two (2) members to the Committee; two (2) additional members will be elected by the faculty. This Committee will be vested with the responsibility of reviewing and recommending resolution of conflicts of interest issues that may not be appropriate for review by the Intellectual Property Committee because of actual or potential conflicts of interest that may prevent the Intellectual Property Committee from considering the matter.

- F. Any such invention or discovery (1) which is the result of research engaged in, by or under the direction of any employee of the University and/or having the costs thereof paid from University funds or from funds under the control of or administered by the University, or (2) which is made by an employee of the University and which relates to the inventor's field of work at the University, or (3) which has been developed in whole or in part by the utilization of resources or facilities belonging to the University, shall be assigned to the University. The applicability of the above stated condition in any given case shall be ultimately determined by the President of the University, based upon the recommendation of the Chief Administrator of the Sponsored Programs Office. Thus, the University President is authorized to assign any patent to a University-designated non-profit entity that is established for University benefit and based upon full compliance with this policy regulations promulgated therein, and appropriate state and federal law.
- G. Each invention or discovery reported shall initially be reviewed to determine if it must be assigned to the University under the standards set forth in section E herein. If the invention or discovery is one that must be assigned, it shall be further reviewed to determine whether the University desires to apply for a patent on it in the name of the inventors. In making this determination, the benefits that might accrue to both the University and the inventor shall be considered. The Chief Administrator of the Sponsored Programs Office shall act promptly in carrying out these duties so that the property rights of the inventor and the University may be protected. However, the Chief Administrator of the Sponsored Programs Office may request further development of the invention before final action is taken. If it is determined that the invention or discovery is not assignable and of no interest to the University then, a release shall be executed by the Chief Administrator of the Sponsored Programs Office, upon approval by the University President, in favor of the inventor. If the invention or discovery is assignable, the University shall, in consultation with the inventor, develop and protect the invention, etc., as appropriate.
- H. Is further consideration for the assignment rights set forth herein, the Chief Administrator of the Sponsored Programs Office, acting on behalf of the University President, is authorized to *recommend* entering into an agreement with the inventor (s), their heir (s) or assign (s), the following percentages of the royalties, fees or other financial returns received by the University from such invention less a reduction for overhead costs and the cost of patenting and protection of patent rights. The percentages paid to each party are:

Distribution of Royalties

	<u>1st \$500,000</u>	<u>Over \$500,000</u>
Inventor	45%	45%
University	45%	50%
Sponsored Programs	10%	5%

Any research contracts, grants and consulting agreements from or with the United States Government or its agencies must be honored. Such documents that are at variance with this policy may be referred to the Intellectual Property Committee for recommendations prior to approval.

Conflict of Interest Policy

The University regards its officers, faculty, staff and others acting on the University's behalf to be individuals of high integrity and ethical standards. In this regard, they are expected to avoid potential or actual conflict of interest situations. It is the University's policy that its officers, faculty, staff and others acting on its behalf have the obligation to avoid ethical, legal, financial or other conflicts of interest and to insure that their activities and interests do not conflict with their obligations to the University or the University's best interests. In abiding by this policy, officers, faculty, staff and others acting on the University's behalf are expected to disclose all circumstances, including but not limited to outside activities and financial interests, that might give rise to a conflict. The Sponsored Programs Office shall provide procedures for complying with disclosure and reporting requirements and guidelines relating to implementing this policy as may be appropriate.

Chapter Two: General Administration

...Philosophy of Administration

**...General Administrative Officers
Their Duties and Responsibilities**

2.1 Philosophy of Administration

The University is committed to the belief that input from the administration, faculty, students, and staff should be valued on all important issues affecting the University and that policies which evolve from broad input are more readily supported by all. It, likewise, recognizes the principles which place final authority for many decisions in the President of the University and the Board of Trustees.

The belief in a responsive administration is predicated upon the following principles:

- 1) Persons affected by a policy should:
 - a. know the reasons for the formulation of the policy or for changes in an existing policy.
 - b. be aware of any impending changes in existing policy and of new policies under consideration and avail opportunities to participate in the formulation of new policies; react to proposed changes before they become effective.
- 2) While the entire faculty may participate in the formulation of educational policies, the execution of policy is usually left in the hands of an administrative officer or delegated to a small committee.
- 3) Responsibility must be accompanied by authority and vice-versa.
- 4) In general, proposals to be submitted to the faculty for action should be presented in advance for study, and, if necessary, for intensive study by an appropriate Standing Committee.
- 5) Once a policy or procedure has been officially formulated and adopted, it is incumbent upon everyone to accept the approved policy and to act in accordance with it until it is changed.
- 6) All policies and procedures should be continuously reviewed and evaluated. The administration welcomes suggestions for improvement and questions about policies and procedures from any member of the faculty, staff, student or patron.
- 7) The Faculty may expect:
 - a. Unless there is a special unusual situation, all directives from the administration addressing personnel, procedures, and programs will be in writing and/or Email.
 - b. That administrative staff, Deans and Department Chairs, program directors and other administrators will refrain from initiating, transmitting, or executing policies beyond their normal range of responsibility for which they do not have written directives from the appropriate source.

2.2 General Administrative Officers

Claflin University is governed by a corporate administrative structure. The basic duties are described below. In addition to these, each employee is expected to perform other related duties as assigned.

2.3 The Board of Trustees

The Board of Trustees of Claflin University, within the limits of the provisions of the University Charter and the By-Laws of the Claflin University Board of Trustees, has final authority for University policies and regulations, including:

- Setting general policies for the operation of the University
- Appointing the University president
- Approving the annual budget and requests for capital improvement
- Approving the basic University curriculum
- Approving basic admission and graduation requirements
- Approving students' fees, upon the recommendation of the president
- Regulating the length of the academic year
- Approving faculty appointment, promotion, tenure and dismissal policies

2.4 The President

The President is the chief executive officer of the University and is responsible to the Board of Trustees for the proper execution of all policies, regulations, and general direction of the University. He/she is responsible to the Board of Trustees for the following:

- Establishing an administrative organization that assures a reasonably satisfactory and successful administration and proper supervision of all departments and areas of operation of the University
- Providing an atmosphere of excellence in learning and high quality performance through professional leadership
- Making a continuous analysis of University needs, physical facilities, and programs
- Recommending faculty for promotion, tenure and sabbatical leave to the Board of Trustees
- Supervising the preparation of the University budget and all expenditures
- Maintaining public relations with state, city, and county school officials, the Claflin University International Alumni Association, accrediting associations, and the general public

2.5 The Vice President for Administration

The Executive Vice President has responsibility for representing the President with external and internal groups, working in conjunction with Vice Presidents and others reporting directly to the President to resolve problems impacting the Office of the President, supervising the Office of Human Resources, preparing documents and reports produced and issued by the Office of the President, coordinating the management of correspondence for the Office of the President, coordinating and serving as budget executive for the Office of the President and represents and acts on behalf of the President in every aspect as may be delegated in fulfilling the responsibilities of the Office of the President.

2.6 The Provost

The Provost is the Chief Academic Officer of the University and has responsibility for all academic affairs. This responsibility includes the University's schools, departments, other academic support units, faculty and students. This individual is responsible for the implementation of actions relating to educational policies and academic appointees. He/she shall be responsible for actions taken by the faculty and presides at faculty meetings. This officer reports to and is responsible to the President.

2.7 The Vice President for Institutional Advancement

The Vice President for Institutional Advancement is directly responsible to the President of the University and has primary responsibility for the initiation and implementation of fund-raising activities for the University. This individual also has responsibility for the coordination of such fund-raising programs as the annual fund, alumni giving, major gifts, planned giving, corporate, foundation, and special projects. This individual also provides administrative supervision for the offices of Public Relations and Alumni Relations.

2.8 The Vice President for Fiscal Affairs

The Vice President for Fiscal Affairs is responsible to the President of the University. He/she provides leadership, fiscal management and oversight of financial affairs and resources of the University. Responsible areas of leadership include: Accounting Services, Student Accounts, Purchasing, Payroll, Investments, Budget and Systems Coordination, Risk Management, Physical Plant, Book Store, and Auxiliary Services. The Vice President oversees preparation and the administration of the University's operating budget; regulatory compliance and operational effectiveness; and development of strategies for forecasting expenditures, revenues, and allocation of resources.

2.9 The Vice President for Student Development and Services

The Vice President for Student Development and Services is responsible to the President for the general administration and coordination of student development, relevant support services, functions, and personnel. He/she is expected to contribute significantly to the advancement of the University and the students. Responsible areas of leadership and oversight include: Enrollment Management, Career Development Center, Counseling, Health Center, Educational Equity Programs and Services, Information and Academic Support Center, Office of Student Life, Student Government Association, Student Financial Aid, Freshman College, Department of

Public Safety, Religious Life, and Residential Life.

2.10 The Vice President for Planning, Assessment and Information Services

The Vice President for Planning, Assessment and Information Services is responsible to the President of the University. This individual is responsible for coordinating long range planning; directing Institutional Research, Planning and Assessment; providing statistical data and information for Presidential Reports including Board Reports; developing and applying measures to evaluate the effectiveness of programs campus-wide; monitoring and reviewing regular assessment processes for programs and functions campus-wide; monitoring effectiveness of University standing committees; monitoring all accrediting initiatives campus-wide with respect to institutional effectiveness and compliance; serving as clearing house for all external surveys and reports; developing and implementing the University Testing Program; leading technology planning and implementation as a core competency in all areas including instruction, student services, management, and communication; coordinating annual reports campus-wide and preparing the President's Annual Report.

2.11 The President's Cabinet

Chair: The President

Membership: Provost

Vice Presidents

Executive Administrative Assistant to the President

Purpose: The President's Cabinet is expected to lead the cultural change necessary to move the University to its future state of even greater excellence. Serving as an effective and dependable communications hub for the University, the Cabinet maintains a balance between people's needs and institutional needs. The Cabinet also assures that systems, processes and structures are in place to continuously assess the Institution's effectiveness in meeting accreditation commitments and compliance measures. The members of the Cabinet lead strategic planning efforts for the University and serve as conduits between the University and the world.

2.12 The Administrative Conference

Chair: President

Membership: President's Cabinet

Middle Managers

School Deans

SGA President

Purpose: The Administrative Conference is a forum for coordinating University activities which have a broad focus and impact. This body is used as a vehicle to communicate throughout the institution items discussed in the Administrative Conference meetings that are of interest to the University family. In addition, it is a source of input (sounding board) for people seeking guidance and direction.

Chapter Three: Academic Administration

... Academic Administrators

Their Duties and Responsibilities

3.1 Provost (see Chapter Two)

3.2 Vice Provost for Academic Programs

The Vice Provost for Academic Programs is responsible for the following activities:

- a. Adjudicating of academic student matters.
- b. Ensuring teaching excellence through screening prospective faculty candidates and through orchestrating faculty development training to include working with the Center for Teaching Excellence.
- c. Coordinating the periodic review of academic programs and overseeing the post-tenure review process.
- d. Coordinating the ongoing review and assessment of the general education curriculum.
- e. Interfacing with the Registrar, the Deans of the four schools on issues of scheduling and advisement.
- f. Interfacing with the Deans, the Library Director, and other Assistant Vice Presidents.
- g. Facilitating, encouraging, and engaging in academic grantsmanship.
- h. Managing and coordinating activities of the University related to the development, implementation, and monitoring of the University's strategic plan and assessment plan.
- i. Maintaining close and effective communications with faculty members, staff, and administrators regarding the services and resources of the office.
- j. Developing a list and schedule of analyses and reports to be completed and presented throughout the year.
- k. Designing and implementing internal studies related to various functions of the University.
- l. Exerting every possible effort to protect the confidentiality of certain data entrusted to him.
- m. Performing other such functions as may be assigned by the Provost.

3.3 Vice Provost for Research

The Vice Provost for Research is responsible for the following activities:

- a. The Vice Provost for Research provides university-wide leadership and vision for research, scholarship, creative activities, grant and contract activities, and resource development at the University. Duties include, but are not limited to:
- b. Working with campus constituencies and external funding agencies to identify and

promote opportunities for external funding that builds on faculty strengths and serve institutional goals and priorities.

- c. Developing a comprehensive Undergraduate Research program and directing the Office of Undergraduate Research.
- d. Assisting with developing annual legislative requests for funding in collaboration with the University and the Sponsored Programs Office.
- e. Working closely with the academic deans and collaborating with offices across the University, including the Office of Institutional Advancement to facilitate, encourage, and engage in fundraising activities for academic programs and student scholarships.
- f. Providing leadership in developing and fostering university partnerships with industry and government that support the application and technology transfer of faculty and student research, discovery, and invention.
- g. Assisting the Vice Provost for Academic program in developing strategies to promote a working environment that rewards new ideas and innovation, builds collaborations, encourages teamwork, and promotes diversity.

3.4 Assistant Vice President for Leadership Development

The Assistant Vice President for Leadership Development, reporting to the Provost, is responsible for the following:

- a. Directing a Leadership Development Program at Claflin University.
- b. Coordinating the minor in Leadership Development.
- c. Directing the University's comprehensive efforts in garnering and assisting students in winning scholarships, internships, and fellowships, to include pre-and post-undergraduate study.
- d. Researching and providing accumulated information on opportunities for domestic exchange programs to program areas and offices campus-wide.
- e. Collaborating with other areas on campus to develop a program in community-based leadership.
- f. Assuming responsibility for fiscal management and evaluation of programs within the Office of Leadership Development, to include preparing written semi-annual and annual reports.
- g. Teaching two courses per semester.
- h. Representing the Provost at special events, as requested.
- i. Performing other duties as assigned by the Provost.

3.5 Asst. Vice President for Enrollment Management

The Assistant Vice President for Enrollment Management, reporting to the Vice President for Student Development and Services, shall be responsible for overall recruitment, admission, and records functions of this office, and specifically responsible for the following:

- a. Planning and maintaining effective registration procedures, in consultation with the Provost, the Vice President for Fiscal Affairs, and the Vice President for Student Development and Services.
- b. Receiving grades and disseminating them to students and other appropriate University officials and external entities at designated times and in prescribed formats.
- c. Directing the Office of Admissions and the Office of the Registrar
- d. Monitoring and managing the University's standards for satisfactory academic progress.
- e. Preparing biannual and annual statistics on enrollment and reporting them to the Provost.
- f. Preparing official lists of candidates for graduation for approval and subsequent transmission by the Provost to the faculty.
- g. Planning and managing a marketing-oriented recruiting operation.
- h. Preparing and transmitting transcripts of students' records, as requested and in accordance with relevant laws.
- i. Collaborating with the Admissions Committee in the formulation of pertinent policies governing the admission of students to the University. These policies are then recommended to the Academic Affairs Committee for approval.
- j. Evaluating high school and University records of student applicants and referring doubtful cases to the Admissions Committee for final disposition.
- k. Working with the Admissions Committee in formulating and implementing regulations governing the admission of students to the University. These regulations are recommended to the Academic Affairs Committee for approval.
- l. Receiving senior theses and forwarding to the Library Director so that they can be added to the library collection.

3.6 Executive Director of Professional and Continuing Studies

The Executive Director for Professional and Continuing Studies is appointed by the President on the recommendation of the Provost, reports to the Provost and is a member of the Deans' Council. The Executive Director participates in the University budget planning process and is responsible for controlling budget expenditures within the Office of Professional and Continuing Studies during each fiscal year. The Executive Director in consultation with various other School Deans and departments will devise, plan and implement, improve and enlarge program offerings

for Continuing Education. Additionally, the Executive Director coordinates the recruitment and admission of students for Continuing Education. Each year, the Executive Director is recommended to the President for reappointment or non-reappointment by the Provost.

Specific Duties & Responsibilities Include:

- a. Initiating entrepreneurial approaches to target growth of programs offered through Continuing Education.
- b. Exploring potential new markets through research and in collaboration with appropriate administrators, deans, graduate program chairs, and program managers.
- c. Collaborating with deans, department chairs, graduate program chairs, and program managers to schedule semester course offerings.
- d. Monitoring course offerings and enrollments and makes recommendations for course cancellations.
- e. Reviewing and initiating text changes to college publications to ensure that Continuing Education programs are accurately represented.
- f. Reviewing and certifying the Satisfactory Academic Progress of all graduate students.
- g. Representing Continuing Education with constituents on and off campus.
- h. Assigning, supervising and reviewing the work of staff and student personnel.
- i. Directing the Institution's Summer School Program, to include publication of the Summer School bulletin.

3.7 Library Director

The Library Director is responsible for organizing and managing the human and material resources of the library, in support of the educational mission of the University. The Library Director is responsible for the following:

- a. Planning with the faculty for library reference materials needed in the instructional program of the various departments.
- b. Working with the library staff and Library Committee in formulating library policies for administration and faculty approval.
- c. Publicizing to the faculty new materials acquired for use by the faculty and students.
- d. Providing displays of new materials to encourage reading on the part of students.
- e. Assisting faculty and students in securing sources of information and data.

- f. Facilitating orientation of freshmen to the Library.
- g. Presenting lectures on reference materials and use of library resources.
- h. Arranging for inter-library loans.
- i. Receiving senior theses from the Office of Enrollment Management and adding them to the library collection.

3.8 Dean of Schools

At Claflin University, the Deans are considered to be major administrators and are members of the academic leadership team. Deans have responsibility for the implementation of well-constructed and high quality educational policies. In addition, Deans have responsibility for the effective management of School personnel, programs and financial resources. The overall quality of the academic programs, and of the faculty, staff, students and graduates within the School are matters for which the Dean is accountable. Deans also have the responsibility for fund-raising and for professional activities that support the budgetary/fiscal health of the School and which serve to enhance the reputation of the School. Deans report directly to the Provost. All deans should hold the rank of professor. Additionally, anyone hired as Dean is eligible to apply for tenure during the second year of the appointment. Each year the Dean is recommended to the President for reappointment or non-reappointment by the Provost.

The duties and responsibilities of the Dean include, but are not limited to the following activities in three broad categories:

3.8.1 Administrative/Fiscal Management and Fund Raising

- a. Receiving and reviewing of applications for promotion, tenure and sabbatical leave.
- b. Conducting evaluations of department chairs and faculty including performance portfolios.
- c. Coordinating the recruitment and selection of faculty and staff for the School.
- d. Processing and recommending salary increments chairs and faculty.
- e. Monitoring the assessment of graduating undergraduate and, where applicable, graduate students.
- f. Reviewing departmental schedules to determine fairness to faculty and students, and to ensure the smooth interfacing of courses needed by students from the various departments, and submitting departmental schedules to the Provost.
- g. Initiating the development of long range plans and curriculum review and submitting updates, as necessary.
- h. Monitoring and assisting with the development of program budgets

- i. Facilitating pursuit of accreditation for non-accredited programs, where possible, and continued accreditation of previously accredited program.
- j. Serving as a mentor to those faculty members who are aspiring toward the acquisition of leadership roles in academe.
- k. Serving as a role model to the School faculty for continued research and scholarship involvement
- l. Securing agreed upon percentage of the operational budget for the School

3.8.2. Institutional Leadership

- a. Demonstrating initiative in improving the academic programs of University and acting as an adviser to the Provost in academic matters, particularly in his/her School.
- b. Facilitating the accomplishment of the institutional long range planning goals.
- c. Ensuring that the academic standards of University are maintained
- d. Insuring that the University's prestige is enhanced through professional activities, research, publication, and creative and scholarly activities.
- e. Participating in non-mandatory cultural and professional activities of the School and University and encouraging the attendance of other members of their faculty at University-sponsored activities.
- f. Convening regular School meetings that should deal primarily with the academic program. Copies of the minutes of School meetings should be filed with the Office of the Provost and the Office of the President.
- g. Preparing an annual report for the School and submitting it to the Provost.
- h. Performing other duties as assigned by the Provost.

3.8.3 Instructional Leadership

- a. Providing leadership in the area of curriculum improvement and development to include reviewing, assessing, revising and when needed deleting programs.
- b. Monitoring the accreditation standards for disciplines within the School.
- c. Developing and maintaining contingency plans through which unforeseen changes within the academic setting may be accommodated.
- d. Implementing a well-defined academic advisement program for students.
- e. Assisting with the implementation of effective student recruitment and community outreach programs for attracting qualified students for programs in the School.
- f. Providing leadership to faculty in the writing of proposals, in research and in other scholarly/creative activities.

- g. Assisting the Office of Alumni Affairs with follow-up mechanisms for tracking graduates of the School.
- h. Providing leadership in the implementation of student outcomes assessment in the schools
- i. Helping to formulate educational policy for his/her School and presenting it to the Provost and/or the Academic Affairs Committee for consideration.
- j. Recommending for degrees students who have satisfied the requirements in their major field and who have the approval of their Department Chair.
- k. Preparing an annual report for the School and submitting it to the Provost.
- l. Performing other duties as assigned by the Provost.

3.9 Department Chairs

The Department Chairs are appointed on an annual basis, and renewal is based upon a review of the administrator evaluations received by the faculty of the unit in conjunction with the recommendations of the Dean. Each year, the Department Chair is recommended to the President for reappointment or non-reappointment by the Provost. In carrying out his/her functions, the Department Chair is responsible for:

- a. Exercising academic leadership in teaching, research, and other activities of the Department.
- b. Organizing and administering the academic program of the Department.
- c. Recruiting and mentoring and maintaining faculty and other personnel.
- d. Developing a Department budget to be approved by the Dean and submitted to the Provost; also, administering the Department budget.
- e. Encouraging and monitoring the professional development of each faculty member.
- f. Evaluating the performance of faculty members within his/her department and making recommendations to the Dean concerning promotion, tenure, sabbatical leave, dismissal, or non-reappointment.
- g. Recruiting students and coordinating activities directed toward student retention.
- h. Providing a system of academic advising for students.
- i. Recommending students for graduation when they have met all program requirements.
- j. Constructing and recommending a schedule of classes to be offered in the Department each semester.

- k. Encouraging the attendance of faculty at University-sponsored functions.
- l. Calling and presiding over monthly meetings of the department during each academic year and submitting copies of minutes of these meetings to the Dean and the Provost.
- m. Administering University policies and procedures.
- n. Recommending library books to be purchased to meet departmental needs.
- o. Encouraging and monitoring faculty proposals for contracts and grants.
- p. Completing inventories of departmental equipment annually or as required.
- q. Preparing and submitting annual Department reports and such other reports as may be required by the University.
- r. Preparing and implementing the assessment plan of the Department and submitting yearly updates.
- s. Reviewing current offerings and syllabi, textbooks, and other instructional materials.
- t. Seeing that regular office hours are kept and that administrative responsibilities are carried out.
- u. Protecting the confidentiality of certain data entrusted to him/her.
- v. Performing other duties as assigned by the Dean or by the Provost.

Chapter Four: The Role of the Faculty in University Governance

...General

...Departmental, School, Faculty Meetings

...Committees

Their Purposes and Guidelines

4.0 GENERAL

Claflin University embraces the concept of participatory governance as a process of providing meaningful access and input, consultation, and recommendations leading to decision-making in all major components of the University. Claflin University encourages a spirit of collegiality in decision making, enabling the University to be more inclusive and effective.

The individuals who participate in the governance of Claflin University are the faculty, students, staff, alumni, administrators, the President, and the Board of Trustees. Each group may have varying degrees of influence in the decision-making process, depending upon the issue under discussion.

The faculty has primary responsibility in areas of curriculum, determination of degree requirements, recommending students for degrees, methods of instruction and subject matter, research, faculty status and those areas of student life related to academics and educational processes.

4.1 Department Meetings

Program meetings are held at least once a month throughout the academic year. The schedule and agenda for program meetings are established by the Department Chair, in consultation with Department faculty. Recommendations or requests formulated within a program are forwarded to the School for further consideration.

4.2 School Meetings

School meetings are held at least once a month throughout the academic year. The agenda is established by the Dean, in consultation with the Department Chairs or other School faculty or the Provost. Recommendations and proposals formulated or approved at this level are forwarded to the appropriate University committee, to the faculty, or to the administration for approval.

4.3 Faculty Meetings

The faculty at Claflin University includes all full-time, part-time, adjunct, ranked, and administrative faculty as defined in Chapter 5.3 of the Faculty Handbook. Faculty Meetings will take place monthly throughout the academic year to consider matters of academically related concern and to formulate positions and generate information to be shared with the faculty and administrative bodies. The Provost will convene all Faculty Meetings.

The voting members of the Faculty Meetings consist of all full-time ranked and administrative faculty who will receive information and/or take action on matters received from committees, the Schools, the Provost, the President, or Trustees, upon request and in accordance with policies and procedures of the University, as well as on matters originating from the faculty. Additional faculty meetings may be called as necessary by the Provost. Except in extenuating circumstances, appropriate time for discussion and/or voting on topical issues will be reserved on each agenda issued by the Office of the Provost. Attending Faculty Meetings is a contractual obligation for all full-time and administrative faculty.

All members of the full-time and administrative Faculty are expected to attend all formal academic exercises of the University. Academic exercises include, but are not necessarily limited to, Matriculation Day Convocation, Founders' Day Convocation, Spring Convocation, Honors Convocation, Baccalaureate Convocation and Commencement Convocation.

In addition, full attendance of and participation by the Faculty are expected at all departmental and School meetings. Faculty members on committees are also expected to attend committee meetings.

4.3.1 Procedures of the Faculty Meetings

The following procedures will govern the action of the Faculty Meeting as a deliberative body:

- a. The Provost of the University or his/her designee will preside at all Faculty Meetings.
- b. A quorum, defined as a simple majority of members of the faculty eligible to vote, is required to be in attendance at a meeting of the faculty in order for official action to be taken. A quorum, once established, cannot be defeated by the removal of members from a duly constituted meeting.
- c. For action items, the faculty should normally have at least five calendar day's prior notice. Such notice may be through distribution of an agenda or consideration of an item at a previous meeting.
- d. The Provost of the University will forward all actions of the faculty to the President, as the Chief Executive Officer of the University, for final institutional consideration. Decisions of the President and, when necessary, of the Board of Trustees, will be sent to the faculty from the Office of the Provost.
- e. The faculty will meet on call by the Provost at the request of one-third of the faculty with the consent of the Provost of the University or at the request of the President.
- f. Roberts' Rules of Order apply in any instance in which the faculty has not established an alternative procedure. A parliamentarian will be elected from the faculty for a one-year term at the regular Faculty Meeting at which committee members are elected. The parliamentarian's function is to advise the chair on questions of procedure in conducting a meeting.

4.4. Committees Inclusive of Faculty

Faculty members make significant contributions to the University through participation in a variety of University-wide committees. Each committee will establish rules and procedures for conducting its business in accordance with the general procedures and rules set forth in the Faculty Handbook and with parliamentary guidance provided by Roberts' Rules of Order.

4.5. Faculty Standing Committees

4.5.1 Academic Affairs Committee

Personnel: Vice Provost for Academic Programs (Chair), Executive Director of Professional and

Continuing Studies, Assistant Vice President for Leadership Development, Vice Provost for Research all Deans, Library Director, Assistant Vice President for Enrollment Management, Registrar, Director of TRIO Programs, Director of the Alice Carson Tisdale Honors College, six members elected from the faculty, and three students appointed by the Student Government Association.

Duties: To consider and decide upon recommendations from the faculty and other appropriate sources relative to general academic policy, and other matters pertaining to the curriculum and concerns of the University, including requirements for admission and graduation, number and identification of departments and divisions, deletion or addition of courses, majors and minors, and matters of general academic interest to the faculty and the University. Actions of this Committee may go to the general faculty, may be reviewed by the President, and may go to the Board of Trustees.

4.5.2 Admissions Committee

Personnel: Assistant Vice President for Enrollment Management (Chair), Registrar, Director of Admissions, Director of the Alice Carson Tisdale Honors College, Director of Financial Aid, Director of TRIO Programs, three faculty members, and two students appointed by the Student Government Association.

Duties: To recommend and implement policies for the admission of students to the University within the framework established by the Board of Trustees; to readmit students previously suspended for academic deficiencies, or to deny such readmissions; and to assist the Office of Admissions and Records in other matters relative to policy. This committee shall report to the faculty or the Academic Affairs Committee through the Vice President for Student Development and Services in consultation with the Provost.

4.5.3 Athletics Committee

Personnel: Vice President for Student Development and Services, Director of Athletics, Faculty Athletic Representative (FAR), five members of the faculty excluding the FAR, Compliance Coordinator, Senior Women Administrator I Athletics Department and two student-athletes appointed by the President. The FAR shall serve as the Committee Chair.

Duties: To provide advice and oversight of the intercollegiate athletic program for the President and the Athletics Director. The committee will also work with the Athletic Director and staff in formulating an institutional strategic plan for the athletics department. The committee shall report directly to the President.

4.5.4 Faculty Grievance Committee

Personnel: Five tenured members from the full-time faculty, three members to be elected by the Faculty and two members to be appointed by the President. The Chair of the Committee will be appointed by the President.

Duties: To hear cases involving alleged violations of faculty contractual rights and other faculty grievances excluding tenure and promotion decisions (see section 5.9.3 below regarding tenure and promotion). A faculty member having a grievance against another faculty member should refer to the "Grievance Procedure for Faculty" section below (section

8.1). This committee shall report its findings to the President.

4.5.5 Financial Aid Committee

Personnel: Director of Financial Aid (Chair), one Business Office representative selected by the Vice President for Fiscal Affairs, Director of TRIO Programs, Assistant Vice President for Enrollment Management, Executive Director for Professional and Continuing Studies, Director of the Alice Carson Tisdale Honors University, four members appointed from the faculty, and two students appointed by the Student Government Association.

Duties: To recommend and implement, within the framework of federal and state regulations and University policy, policies for the awarding of financial aid to students and to hear students' appeals regarding non-awards. The Committee shall also report to the Vice President for Student Development and Services and the faculty.

4.5.6 Library Committee

Personnel: Library Director, one assistant librarian selected by the Library Director, one member from each School, and three students appointed by the Student Government Association. The members shall elect the Chair of the committee.

Duties: To consider and recommend policies governing library utilization and acquisitions. This committee shall report to the Provost and the faculty.

4.5.7 Religious Life Committee

Personnel: University Chaplain (Chair), Assistant Vice President for Student Development and Services, three students appointed by the Student Government Association, and three members of the faculty/staff.

Duties: To promote and implement programs designed to minister to the spiritual needs of the University community and to plan, and implement activities for Religious Emphasis Week and Power Hour Services; and to inform the University community about religious events. This Committee shall report to the Vice President for Student Development and Services.

4.5.8 Program Committee

Personnel: Dean of the School of Humanities and Social Sciences (Chair), five members of the faculty, the Director of the Video Studio, one representative from Student Development and Services, one representative from Institutional Advancement and the Public Relations Director, one representative from the library, Chief of Public Safety, two student representatives appointed by the Student Government Association, and one representative appointed by the President. Ex-officio members include the Provost and the Vice Presidents.

Duties: To sponsor programs to stimulate and reinforce the cultural and intellectual environment of the campus and community. In addition, the objective of sponsored programs and concomitant activities (e.g., speakers, musicals, dramas, etc.) is to project a positive and favorable image of Claflin University. The Committee will implement its responsibilities through two sub-committees (a) Faculty Lecture Series Committee and (b) Lyceum

Committee.

4.5.9 Nominating Committee

Personnel: Vice Provost for Academic Programs (Chair) or his/her designee and the six elected members of the Academic Affairs Committee.

Duties: To nominate at least one faculty member for each position requiring an election. No faculty member will be nominated for more than two committees. The Nominating Committee will recommend the members of the other committees under its jurisdiction.

4.5.10 Student Affairs Committee

Personnel: Vice President for Student Development and Services (Chair), Assistant Vice President for Student Development and Services, Director of Residential Life, Vice President for Fiscal Affairs, Coordinator of Student Activities, three faculty members and two students approved by the Student Government Association.

Duties: The committee shall be concerned with the development of the following:

- A. Policies and practices in regard to student-faculty relationships:
 - a. Freedom of expression
 - b. Protection against improper disclosure
- B. Policies and practices concerning student records
- C. Policies and practices concerning student affairs, such as:
 - a. Freedom from arbitrary discrimination
 - b. Freedom of association
 - c. Student participation in institutional government
 - d. Student publications
- D. Policies and practices in procedural standards in non-academic disciplinary proceedings.
- E. Recommendations and suggestions from the Student Government Association.
- F. Appointment of members of the Student Code of Conduct Judicial Board.

4.5.11 Peer Review Committee

Personnel: Five full-time, tenured faculties, three of whom must possess, at a minimum, the rank of Associate Professor. Three of the five are elected at large by the faculty. The remaining two are appointed by the Provost. Committee members shall be elected for staggered terms (one member - three years; two members - two years; two members - one year). The Chair shall be appointed by the Provost. A school representative may be requested to serve as a non-voting member of the committee, and/or to act as a resource person involving matters pertaining to a particular person.

Duties: To review all applications for promotion and tenure, and post-tenure and make appropriate recommendations to the Provost. To review all applicants in the port-tenure review process and make appropriate recommendations to the Provost. A committee member should absent him/herself from any voting process that may represent a conflict of interest.

4.5.12 Professional and Continuing Education Committee

Personnel: Executive Director of Professional and Continuing Studies, Vice Provost for Academic Programs, four School Deans, the chairs of involved programs, the Registrar, two members of the faculty, and two student representatives enrolled in the program.

Duties: To review the activities of the Professional and Continuing Studies area pertaining to (a) curriculum (b) recruitment (c) long-range goals (d) faculty (e) other matters related to the smooth functioning of the area.

4.5.13 Employment Benefits Committee

Personnel: Vice President for Administration, Vice President for Fiscal Affairs, Vice Provost for Academic Programs, Director of Human Resources, three faculty members and three staff members.

Duties: To consider and make recommendations regarding changes in employee benefits and the policies and procedures governing their delivery. This committee shall report to the President and the Faculty-Staff Assembly.

4.5.14 Faculty Development Committee

Personnel: Director of the Center for Excellence in Teaching (Chair), Faculty Development Coordinator, and 4 faculty members appointed by the Provost and the Deans, two faculty members elected by the faculty, and two students appointed by the Student Government Association.

Duties: To provide oversight of faculty development activities at the Institution, including the Center for Excellence in Teaching; To make recommendations to the Provost for the allocation of funds for research and professional development and selection of faculty for inclusion in faculty development activities; and to approve the annual report of the Center; and monitor the implementation of the relevant grants.

4.5.15 Council for Code of Honor

The Claflin University Council for the Code of Honor shall be comprised of seven students. Four will be nominated by the Deans, one by the Executive Director of Professional and Continuing Studies, one by the Vice President for Student Development and Services, and one graduate student who must be in good standing. Nominated undergraduate students must be sophomores or above with a minimum grade point average of 2.5. Each member may serve a term of two years. The first appointment cycle will be staggered so that one-half of the Council is appointed for a one-year term and the other half for a two-year term. Students shall be recommended to the Provost for approval by the President. A faculty consul shall be appointed to advise the Council for the Code of Honor. The Council for the Code of Honor shall hear, deliberate, adjudicate and make recommendations to the Provost for final disposition.

4.5.16 General Education Committee

Personnel: The Vice Provost for Academic Programs or his/her designee will chair the General Education Committee. The Dean for Humanities and Social Science shall select two faculty

members for the committee; the Deans of the other three schools will select one faculty member for the committee. In addition the Director of Continuing Education and the University Registrar will be members of the committee.

Duties: To conduct an ongoing review of the general education curriculum and assessment process. Findings from the assessment of the core curriculum will be used to make improvements to the curriculum.

4.5.17 Institutional Review Board

Personnel: The Institutional Review Board (IRB) reports to the Vice Provost for Academic Programs. Members are selected by the Vice Provost for Academic Programs in compliance with the membership criteria in the Code of Federal Regulations Title 45, Public Welfare Department of Health And Human Services, Part 46, Protection of Human Subjects. The IRB will consist of a minimum of five members, one of whom must be a scientist, one of whom must be a non-scientist and one of whom must not be affiliated with the University or a member of the immediate family of anyone affiliated with the University.

Duties: Two members appointed by the Provost and two members elected by the faculty. To protect the rights and welfare of human subjects in research studies conducted under the auspices of Claflin University (CU). The IRB has the authority to approve, require modifications in, or disapprove all research activities that fall within its jurisdiction. The IRB independently approves or disapproves a research protocol based on whether or not human subjects are adequately protected.

4.5.18 Intellectual Property Committee

Personnel: Three members appointed by the President and three members elected by faculty.

Duties: To recommend to the President or his designee interpretations of the University Intellectual Property Policy herein stated and changes needed.

4.5.19 Intellectual Property Conflict of Interest Committee

Personnel: Vice President for Fiscal affairs (Chair), two members appointed by the Vice President for Fiscal Affairs, and two members elected by the faculty.

Duties: In the event of conflicts of interest that arise that may involve the Office of Sponsored Programs and/or other unusual conflicts of interest (or perceptions of conflict of interest), the President of the University shall create a standing committee. This Committee will be vested with the responsibility of reviewing and recommending resolution of conflicts of interest issues that may not be appropriate for review by the Intellectual Property Committee because of actual or potential conflicts of interest that may prevent the Intellectual Property Committee from considering the matter.

4.6 Faculty Representative to the Board of Trustees

Personnel: One faculty member will be elected by the faculty through the Nominating Committee process. The faculty member will be elected for a term of one academic year and may not serve consecutive terms.

Duties: To report to the Board of Trustees on faculty activities based on input given at the Faculty Meetings and by the faculty.

4.7 Guidelines for Committee Activities

- a. It is the duty of the committee Chair or convener to assume full responsibility for arranging an initial meeting of the committee at such time as will be mutually agreeable to the majority of the members in a timely manner after the committee is officially appointed.
- b. Each committee should choose a member as secretary and elect a Chair as required.
- c. The secretary of every committee should furnish a written report within five working days after each committee meeting to the President, Provost, and any other administrative officer or group to whom the committee is responsible, and should keep written minutes of the proceedings of all meetings.
- d. Written reports should contain any recommendations for change in policy where official action is needed.
- e. At the end of each academic year, the secretary of the committee shall turn in a summary of the committee's activities for the year, together with recommendations for further action.
- f. The President of the University is an ex-officio member of all committees.
- g. Frequency and length of meetings should be governed by the quest for qualitative and expeditious outcomes, findings, actions, or recommendations.
- h. It is the responsibility of the chair of a committee to give timely notification to faculty serving on that committee.
- i. Members of the committee must be notified in writing of being appointed to a committee.

Chapter Five: Faculty Expectations and Personnel Policies

- ...Vision Statement**
- ...Teaching, Research, and Community Service Expectations**
- ...Faculty Development and Achievements**
- ...Faculty Ranks and Qualifications Defined**
- ...Faculty Personnel Records**
- ...Faculty Evaluation Procedures**
- ...Promotion and Tenure Qualifications**
- ...Faculty Leave Guidelines**

5.1 Faculty Excellence Vision Statement/Faculty Expectations

Clafin University envisions and seeks a cadre of outstanding, highly motivated faculty who possess the ability to motivate others and who have outstanding interpersonal skills and the prerequisite knowledge base to apply these skills and knowledge to always ensure excellence in teaching and learning and scholarship at the University.

In line with its pursuit of excellence, the University has specific expectations of its faculty. The institution expects that all faculty will:

- a. be effective teachers and advisors
- b. engage in scholarly activities (research, grantsmanship, and other activities as defined by the academic discipline etc.)
- c. render service to the University and the community
- d. be involved in faculty development

All faculty (including Department Chairs) will maintain performance portfolios which will include, but are not limited to, evidence indicators for each of the categories above. The introductory section of the portfolio may be a narrative summary of a faculty member's achievements for a particular year and may also include explanations of any anomalies or citations of special achievements. The performance portfolio represents the faculty member's professional performance and development over a period of several years and is the primary means to support the individual's application for tenure, promotion or merit pay. Through a narrative supported by required and optional documentation, the faculty member provides evidence of performance and professional growth and development in congruence with the University's Statement of Faculty Excellence.

While each performance portfolio follows a common format, each also uniquely reflects the individual faculty member. The fact that the performance portfolio documents the quest for excellence is more important than its appearance or the quantity of information it contains.

5.1.1 Effective Teaching and Advisement

Evidentiary documents for this standard expectation will include: 1. Copies of student and peer evaluations, 2. Copies of syllabi, handouts, exams, and other supplementary materials used in each course taught, 3. Copies of letters citing recognition of teaching excellence, 4. Assessment of student learning objectives for each course taught with discussion of the proposed use of assessments in course improvement and improvement in expected student outcomes. Copies of student work that documents real learning and other supplementary materials should be included.

5.1.2 Research, Scholarship and Grantsmanship

Evidentiary documentation for this section will include, but is not limited to, conference programs and agendas, copies of publications, copies of programs, and copies of grant proposals submitted and funded, etc.

Faculty members are expected to be actively engaged in scholarship. Within a five-year span at least two scholarly works must demonstrate significant peer-review. The University acknowledges that scholarly work is defined in a discipline specific manner. Appropriate scholarship should adhere to accepted standards and norms of the discipline. For example, art exhibits, concerts, recitals, and dramatic productions that reflect a significant level of peer review may be considered in lieu of a refereed paper (e.g. original contributions to the discipline, juried exhibitions, juried performances, commissioned works, subscription concerts, invited or curated exhibitions, and artistic publications with substantial distribution). Books published may also be considered in lieu of refereed papers.

Recognition for scholarship will also be given for publications which fall under the category of the Scholarship of Teaching and Learning.

Faculties are also encouraged to submit one grant proposal to a funding agency every year.

5.1.3 Service to the University and the Community

Evidentiary documentation attesting to service to the University will include, but is not limited to, minutes of meetings, agendas of meetings, letters of appointment to committees or as advisors of campus organizations, and programs indicating involvement and leadership in a campus activity.

Evidentiary documents attesting to service to the community will include, but are not limited to, letters of appointment/membership/election to local, regional or national organizations, programs or events, etc., and other documents that note participation in campus programs which have community impact.

Faculty members are expected to show a measure of involvement in service (participation in at least two committees) to the University and community outreach activities consistent with their academic discipline.

5.1.4 Faculty Development

Evidentiary documents for this section will include records of participation in on-campus or off-campus faculty development activities. Faculty members are expected to have participated in at least one faculty development activity every academic year.

5.1.5 Additional Achievements

The final section will contain documents which sustain or add to the faculty member's performance. This may include local, regional or national recognition, consulting, editorial appointments, etc.

5.1.6 Evaluation of the Performance Portfolio

Each faculty member will maintain a portfolio containing supporting documents for the broad categories cited above. During the process of evaluation, faculty members will submit their portfolios to the appropriate Department Chair, who will, in turn, share this information with the Dean of the School for review and evaluation. The Department Chairs will submit their own portfolios to the Dean. The portfolios will be returned to the faculty members after they have

been assessed according to their performance in the following areas:

- Effective Teaching and Advising
- Research and Grantsmanship
- Service to University and Community
- Faculty Development
- Additional Achievements

Performance in each area will be rated as below expectations, meeting expectations, or exceeding expectations. The overall performance of the faculty will be rated similarly. The evaluation will conclude with specific recommendations as applicable on one or more of the following options:

- a. Remain in Present Position
- b. Probation*
- c. Dismissal
- d. Non-reappointment to position

For regulations governing these options, please consult the appropriate section of the Faculty Handbook.

* For faculty members placed on probation, a detailed Developmental Plan should be generated in consultation with the Department Chair and Dean. This Developmental plan should specify objectives and expected outcomes for the following year to address areas deemed below expectations with regard to performance of faculty duties.

5.2 Personnel Policies: Scope and Application

This chapter becomes a part of every faculty member's contract of employment, except to the extent that an individual faculty member's contract is modified by written mutual agreement between the University and the faculty member as to a specific provision. This chapter is the official statement of policies, obligations, responsibilities, rights, and privileges pertaining to faculty. All faculty are required to be familiar *with* and abide by the terms and provisions of this chapter as a condition of their employment with the University.

5.3 Ranked Faculty

The four academic ranks approved by the University include: Instructor, Assistant Professor, Associate Professor, and Professor. Ranked academic faculty will be employed only under annual, non-tenured, or tenured appointments. Individuals who are neither tenured nor in a tenure-track position are classified as annual appointees. Annual appointments are those made for a period of one year or less. These appointments may be renewed on an annual basis depending on the individual's performance and the needs of the University. Those individuals who are in a tenure-track position but have not as yet been granted tenure are classified as non-tenured or probationary appointees and the contract reads "Non-Tenured". For individuals who have achieved tenure at the University, the contract states "Tenured". Ranked faculty must be employed under the following conditions in addition to those specified elsewhere in this chapter:

- a. must be employed by the University on a full-time basis;

- b. must be employed to perform responsibilities that are at least 50% teaching and research; and
- c. ranked faculty who subsequently become full-time administrators will retain their academic ranks.

5.4 Qualifications for Appointment to Rank

At the time of initial appointment, the President will approve academic rank for academic and administrative faculty, based upon recommendations of the Provost. Satisfaction of degree/experiential requirements will be determined by the Provost.

Degrees and teaching experience must be from regionally accredited postsecondary institutions unless otherwise determined by the Provost. Faculty members with qualifications from universities outside the United States must present evidence of equivalency before a contract will be issued. "Years," with respect to teaching experience, means the number of years spent in full-time teaching. Equivalencies or exceptions to any qualifications will be determined by the Provost, in consultation with the President, and the appropriate Dean. Academic faculty appointed to the ranks of Instructor, Assistant Professor, and Associate Professor must display evidence of potential for promotion.

Earned degrees of appointees to the academic faculty must be in the discipline or field of primary contract responsibility or in one of the appropriate cognate areas for interdisciplinary studies. The Provost will have the responsibility for determining appropriateness of degree field to program area assignment.

Unless otherwise specified, the earned doctorate, for the purposes of Chapter 5, is the appropriate terminal degree for initial appointment of academic faculty in all program areas except those for which disciplinary or regional accrediting agencies make different provision, or those for which doctoral programs are rarely or not at all available. The Provost will have the responsibility for determining the appropriateness of terminal degree requirements or the equivalent.

5.4.1 Instructor

This is a non-tenure track rank. Individuals in this rank receive annual appointments. Unless otherwise stipulated at the time of employment, individuals may receive appointments at the instructor rank for a maximum of three years. The minimum qualifications for appointment of a faculty member to the rank of Instructor are:

- a. **Effective Teaching Ability:** Candidates without teaching experience must demonstrate potential for effectiveness through transcripts, recommendations, personal interviews, and campus presentations. Candidates with experience must also include recommendations from previous supervisor(s).
- b. **Effective Advisement Ability:** Candidates must demonstrate willingness and availability to advise students beyond matters of registration and scheduling.
- c. **Service to the University:** Candidates must demonstrate potential for meaningful service to the University in areas of faculty responsibility.

- d. Service to the Community (local, state, national, or international): Candidates must demonstrate potential for meaningful service to the broader community beyond the University.
- e. Academic Achievement: Candidates must hold the Master's degree and should be working toward the doctorate degree/terminal degree.
- f. Professional Growth: Candidates must demonstrate definite plans for continued professional study and for involvement in professional activities.
- g. Support for the University's Educational Philosophy and Mission: Candidates must demonstrate support for and commitment to the Claflin University's educational philosophy and mission.

5.4.2 Assistant Professor

The minimum qualifications for appointment of a faculty member to the rank of Assistant Professor or promotion to the rank of Assistant Professor are:

- a. Academic Achievement: Candidates for hire must hold the appropriate terminal degree.
- b. Effective Teaching Ability: Candidates seeking employment must meet the same requirements as Instructors. Faculty seeking promotion must demonstrate quality teaching through written evaluations presented in the performance portfolio.
- c. Effective Academic Advisement Ability: Candidates seeking employment must show willingness and availability to advise students beyond matters of registration and scheduling. Faculty seeking promotion must demonstrate quality advising through written evaluations presented in the performance portfolio.
- d. Service to the University: Faculty seeking promotion must demonstrate involvement in University activities, attendance at University events, contributions to committees, and involvement in university life.
- e. Service to the Community (local, state, national, or international): Faculty seeking promotion must demonstrate involvement in the broader community beyond the University.
- f. Professional Growth: Candidates for hire or promotion must hold membership in regional professional organizations as appropriate and demonstrate scholarly activity or creative work. (Also see Faculty Expectations Criteria).
- g. Support for the University's Educational Philosophy and Mission: Candidates for hire or promotion must demonstrate support for and commitment to the educational philosophy and mission of Claflin University as stated in Section 1.1 of the Faculty

Handbook.

- h. Faculty Expectations Criteria: All candidates for contract renewal or promotion must meet the criteria outlined in the Faculty Expectations section of the Faculty Handbook.

5.4.3 Associate Professor

The minimum qualifications for appointment of a faculty member to the rank of Associate Professor or promotion to the rank of Associate Professor are:

- a. Effective Teaching Ability: Candidates with experience must demonstrate superior teaching through recommendations from previous supervisor(s) and by means of a campus presentation. Candidates seeking promotion must demonstrate quality teaching through formal written evaluations.
- b. Effective Advisement Ability: Candidates must demonstrate success as an advisor to students through formal written evaluations. Faculty seeking promotion must demonstrate quality advising through written evaluations.
- c. Service to the University: Faculty seeking promotion must demonstrate significant involvement in University activities, and attend University events. Commitment to committee work must also be demonstrated by regular participation and contributions. Involvement with university life should exist.
- d. Service to the Community (local, state, national, or international). Faculty seeking promotion must demonstrate significant involvement in the broader community beyond the University.
- e. Academic Achievement: Candidates for hire or promotion must hold the terminal degree, except in instances of extraordinary national or international recognition and/or achievement in an area of specialization. Such achievement in place of a terminal degree is determined by the Provost in consultation with the President and the appropriate Dean. Candidates for promotion must have a minimum of five years of full-time teaching experience as an Assistant Professor at Claffin University or another accredited institution. Faculty members, who are requesting permission to use college teaching experience from another institution, must submit evaluations for teaching performance at that institution.
- f. Candidates who demonstrate exceptional performance in the areas of teaching and research/scholarship may petition for early promotion. Such petition must be forwarded, with the dean's approval to the Provost for consideration.
- g. Professional Growth: Candidates for hire or promotion must engage in continuous formal or informal study, participate in professional organizations, demonstrate outstanding ability in research or creative work, and be at least locally recognized in their area of competence. (Also see Faculty Expectations).
- h. Support for University's Educational Philosophy and Mission: Candidates for hire or

promotion must demonstrate support for and commitment to the educational philosophy and mission of Claflin University as stated in Section 1.1 of the Faculty Handbook.

- i. Faculty Expectations Criteria: All candidates for contract renewal or promotion must meet the criteria outlined in the Faculty Expectations criteria section of the Faculty Handbook.

5.4.4 Professor

The minimum qualifications for appointment of a faculty member to the rank of professor or promotion to the rank of Professor are:

- a. Documented record of exemplary teaching skills through recommendations from previous supervisors and by means of a campus presentation. Candidates seeking promotion must demonstrate quality teaching through formal, written evaluations.
- b. Effective Academic Advisement Ability: Candidates for hire or promotion must demonstrate recognized success as an advisor to students through formal, written evaluations.
- c. Service to the University: Candidates for promotion must demonstrate significant involvement in University activities, attend University events, and advise student organizations. Commitment to committee work must also be demonstrated by regular participation and contributions. Involvement with university life should exist.
- d. Service to the Community (local, state, national, or international): Candidates for promotion must demonstrate a continuous record of service to the broader community beyond the University community.
- e. Academic Achievement: Candidates for hire or promotion must hold an appropriate terminal degree, except in instances of extraordinary national or international recognition and/or achievement in an area of specialization. Such achievement in place of a terminal degree is determined by the Provost in consultation with the President and the appropriate Dean. Candidates for promotion must have a minimum of five years of full-time teaching experience as an Associate Professor at Claflin University or another accredited institution. Faculty members, who are requesting permission to use college teaching experience from another institution, must submit evaluations for teaching performance at that institution.
- f. Candidates who demonstrate exceptional performance in the areas of teaching and research/scholarship may petition for early promotion. Such petition must be forwarded, with the dean's approval to the Provost for consideration.
- g. Professional Growth: Candidates must continually pursue formal or informal study, participate in professional organizations, be involved in distinguished research or creative work, and be nationally/internationally recognized in their

area of competence. (See Faculty Expectations).

- h. Support for the University's Educational Philosophy and Mission: Candidates for hire or promotion must support and be committed to the educational philosophy and mission of Claflin University as stated in Section 1.1 of the Faculty Handbook.
- i. Faculty Expectations Criteria: All candidates for promotion or contract renewal must meet the criteria outlined in the Faculty Expectations.

5.4.5 Adjunct/Part-time Instructors and Visiting Lecturers, Visiting/Distinguished Artists

When necessary, the University may elect to hire adjunct or part-time instructors to meet short-term needs.

These individuals will be held to the same qualifications and performance standards as full-time hires.

In some instances, a visiting lecturer/professor or visiting/distinguished artist may be brought onboard because of exceptional experience in the field in which he/she is hired. These individuals are considered temporary hires, i.e., year-to-year or semester-to-semester.

5.4.6 Administrative Faculty

The President may appoint a faculty member to an administrative position based on the needs of the University. Faculty members appointed to such positions will retain their faculty rights and privileges. On completion of the assignment, the faculty will return to his/her department and position/tenure status held before the administrative appointment. If an administrator on a 12-month contract returns to a faculty position, his/her salary will be commensurate with sums paid to similar employees of the University as allowed by and pursuant to the policies of the faculty handbook.

5.5 Librarians

Professional Librarians employed by the University and given faculty rank are considered as faculty and must meet the same criteria for re-appointment and promotion as other faculty members, except for the criteria of Effective Teaching Ability, which is replaced by the following criteria:

Effectiveness of a Librarian

To be considered for promotion, a librarian must present substantial evidence of professional as well as interpersonal skills as a librarian. This evidence includes demonstrated competence in the preparation, organization, and presentation of bibliographical instruction to students, effective evaluation of information needs and updating of library collections and resources, and a commitment to work in a positive, professional manner with students, faculty, and representatives of the community in their respective efforts to secure scholarly materials and research information.

5.6 Faculty Personnel Records

5.6.1 Files Maintained in the Office of the Provost

- a. The University maintains official personnel files for each faculty member in the Office of the Provost. This file includes vitae, recommendations, official transcripts of academic work, commendations, reprimands, and correspondence and records dealing with terms and conditions of employment.
- b. The personnel files are available, on a "need to know" basis, to the members of the Board of Trustees, the Administration and its agents; and as otherwise required by law when necessary to allow the University and/or the faculty member to comply with law and standard business practices.
- c. Faculty members may review from their own personnel files, upon request and reasonable notice in the presence of a designated University official, copies of vitae and official transcripts of academic work, placement papers, correspondence with University officials, salary information, and performance evaluations and appraisals, which have previously been discussed with the faculty member. Not available for review by the individual faculty member are original (handwritten) student evaluations.
- d. On a continuing basis, information related to performance and employment shall be placed in the personnel file. In all cases, faculty will be given copies of performance evaluations, commendations, and reprimands. Each faculty member shall be given the opportunity to add supplemental remarks in written form.
- e. A faculty member may submit and have inserted into the personnel file a statement which clarifies any material in the file which he or she believes is inaccurate. Said clarification will be maintained so long as the disputed material is maintained.
- f. It is the responsibility of each faculty member who completes a degree while he or she is employed at the University to have an official transcript, which includes the date on which the degree was conferred, sent to the Office of the Provost. It is also required that faculty members notify the Office of the Provost and the Office of Human Resources of any address changes or any other changes related to personnel records so that such information may be kept current. Faculty members may be asked to provide written authorization to release copies of documents from the employee file to a third party.

5.6.2 Files Maintained in the Office of Human Resources

The Office of Human Resources maintains files for payroll and benefits administration. The following documentations are contained therein: contracts, overloads, tax withholding, I-9 forms and insurance, annuity and long-term disability enrollment forms, and other financial information. All documentation containing medical information required to be kept confidential under the Americans with Disabilities Act will be kept in a secured, confidential file

as required by that Act.

5.6.3 Policy Against Disability Discrimination

Claflin University is an equal opportunity employer. The University complies fully with the Americans with Disabilities Act of 1990.

5.6.4 Immigration Status Policy

All employees hired by the University must present documentation establishing their identity and employment authorization in accordance with the immigration laws of the United States and the mandate from the Department of Homeland Security at the time of hire and upon request of the University at any time after hire, as allowed or required by federal law.

5.7 Evaluation

5.7.1 Faculty Evaluation

Faculty Evaluation is an ongoing process carried out throughout all academic Schools of the University. It is grounded in the Institution's philosophy of excellence by design. The purpose of faculty evaluation is to improve instruction, as well as to provide information which can be used in making personnel decisions (re-appointment, promotion, tenure, non-reappointment, etc.). Approved guidelines can be found in the Office of the Provost.

Faculty Evaluation is (a) based upon established criteria; (b) multifaceted and includes information from several resource areas; (c) seeks to identify strengths and encourages the faculty member to build upon these; and (d) seeks to identify weaknesses and provides assistance for remediation. Every faculty member will maintain a performance portfolio which will contain documentation to support his/her performance in the following areas:

- a. Effective Teaching and Advisement
- b. Research and Grantsmanship
- c. Service to the University and Community
- d. Faculty Development
- e. Additional Achievements

During the process of evaluation, faculty members will submit their performance portfolios to the proper Department Chair. The Department Chairs will, in turn, submit their own portfolios to the Dean, and the Deans will turn in their portfolios to the Provost. Performance in each area cited above will be noted as below expectations, as meeting expectations, or as exceeding expectations. The overall performance of the faculty will be rated similarly. The evaluation will conclude with specific recommendations as applicable on one or more of the following options:

- a. Remain in present position

- b. Probation
- c. Non-reappointment to position
- d. Dismissal

5.7.2 Components of Faculty Performance Evaluation

- A. Administrative Evaluation: Department Chairs and Deans will provide official feedback on faculty members under their jurisdiction on a formal basis. For this purpose, the supervisor will use the information provided in the performance portfolio, along with information from other sources (feedback from students, classroom observations and evaluations), and, as discussed, make the appropriate recommendation, using the appropriate form. Both the administrator and the individual being evaluated are required to sign the designated section of the form. The individual being evaluated has the right to respond to the entire evaluation or any part of it.
- B. Peer Evaluation: The Department Chair, in consultation with the Dean will set up a peer evaluation mechanism for each faculty member within the discipline.
- C. Student Evaluation of Instruction: Student evaluation of faculty instruction will occur generally during the second half of each semester during the week designated on the University calendar. Additional evaluations may be conducted at the request of the faculty concerned, the Department Chair, the concerned Dean, or the Provost.

The Student Evaluation of Instruction will be administered by the Office of Planning, Assessment and Information Services on an approved form selected by that Office. Specific details about the procedure will be disseminated to the faculty every fall and are available in the Office of Planning, Assessment and Information Services.

5.7.3 Faculty Evaluation of Administrators

Evaluation of Department Chairs and Deans will be conducted each year in the spring as a part of the overall evaluation process. Details about the procedure are available in the Planning, Assessment and Information Services Office.

5.8 Promotion

Promotion from one rank to another shall not automatically follow as the required years of faculty experience are attained. Promotions will be made in recognition of academic preparation, teaching experience, and endeavors in artistic production and/or scholarly research. The personal growth of individual instructors and the total contribution made by them to Claflin University are also considered.

To be considered for promotion and/or tenure, a faculty member must show substantial evidence of his/her teaching effectiveness and other specified criteria. There must be evidence that he/she has skill in transmitting knowledge in the appropriate subject area.

During the Fall semester of each academic year, faculty who are eligible and apply to be considered for advancement in rank by September 1 will be reviewed for this purpose. Faculty members seeking promotion will obtain the approved application form and guidelines from the Office of the Provost.

Candidates who demonstrate exceptional performance in the areas of teaching and research/scholarship may petition for early promotion. Such petition must be forwarded, with the dean's approval to the Provost for consideration at least one month in advance of the due date for the application.

5.8.1 Eligibility for Promotion

The minimum qualifications for advancement to one of the three academic ranks—assistant professor, associate professor and professor—are set forth in Section 5.4 of the Faculty Handbook. However, it must be noted that while meeting the minimum requirements is a necessary condition for eligibility for promotion and tenure, it may not be sufficient. These requirements follow:

- a. Time in Rank. Candidates for promotion to the rank of associate professor must have held the rank of assistant professor at Claflin University or another accredited institution or a combination for at least five years. Faculty members, who are requesting permission to use college teaching experience from another institution must submit evaluations for teaching performance at that institution.
- b. Candidates for promotion to the rank of professor must have held the rank of associate professor at Claflin University or another accredited institution or a combination for at least five years. Faculty members, who wish to use college teaching experience from another institution, when requested, must submit evaluations for teaching performance. Additionally, candidates for promotion to the rank of professor will have the scholarship/research portion of their portfolio reviewed by an extramural evaluator. Both the candidate and the Dean of the school will submit two names each to the Peer Review Committee for persons to serve as suggested external evaluators. The Peer Review Committee will make a recommendation to the Provost with regard to the selection of the outside evaluator. The Provost will make the final selection.
- c. Service time will not include time spent on sabbatical, leave of absence, or assignment to administrative duties while holding teaching rank. However, faculty members who have an outstanding record of achievement in scholarship/research and teaching may, with the support of the Department Chair and Dean, petition the Provost to be considered for early promotion.
- d. The qualification in Section 5.4 of the Faculty Handbook will apply to this section.
- e. Demonstrated Effective Teaching Ability.
- f. Demonstrated Effective Advisement Activity.
- g. Professional Development Activities. Consistent growth in scholarly achievement, recognition in the faculty member's discipline and with professional organizations.

- h. Service to the University.
- i. Service to the Community.
- j. Demonstrated support for the Educational Philosophy and Mission of the University.

5.8.2 Outline for Application

An approved application and guidelines outlining the criteria for promotion in rank is available in the Office of the Provost. The following criteria will be used by faculty in organizing the application for promotion. In each area, additional evidence of support is encouraged.

- a. A cover letter to the Department Chair confirming the faculty member's desire to enter the promotion review process.
- b. A title page containing name, rank, and date of submission.
- c. A table of contents listing the entries as they appear in the document.
- d. Current curriculum vita.
- e. An official promotion form duly filled in with appropriate attachments.
- f. Performance portfolios covering the years spent in the present rank (see Faculty Expectations section 5.1).

5.8.3. Time Line and Procedures for Promotion and Tenure

- a. Completed application must be submitted to the Department Chair by September 1.
 - Department Chair submits package, with commentary regarding their recommendation, to the Dean by September 15.
 - Dean forwards package, with commentary regarding their recommendation, to the Provost by October 15, which is transmitted to the Peer Review Committee by November 1.
 - The Peer Review Committee makes recommendations to the Provost no later than December 15.
- b. The Provost makes formal recommendations to the President by February 1. The President will present his recommendation to the Board of Trustees for action during its Spring meeting.

5.9 Tenure

5.9.1 Purpose and Philosophy

Clafin University recognizes the value of tenure as promoting favorable conditions for the exercise of academic freedom and for the orderly development of the University as a community

of teachers and scholars.

In tenure reviews, decisions made by the University are of extreme importance in the Institution's pursuit of academic excellence. Achievement of tenure should never be regarded as a routine or automatic award. It must, rather, reflect and affirm professional competence and performance measured against national standards at comparable institutions. It also takes into consideration the University's continued need for the faculty member's services and the sufficiency of the Institution's financial resources to meet a long-range commitment.

Once tenure is granted, the faculty member is expected to maintain or improve his or her level of performance and undergo post-tenure review every five years. The process for post-tenure review is described below in section 5.13.

5.9.2. Progression Toward Tenure

The normal progression toward tenure shall begin with a probationary tenure-track appointment. Faculty members at Claflin University who have achieved the rank of assistant professor or above become eligible after completion of a probationary period which shall not exceed six years. Therefore, a faculty member must apply for tenure by the sixth year of appointment.

Tenure is defined as the assurance of a continuing full-time faculty position at Claflin University unless the faculty member is removed for cause, resigns or retires, or is terminated as the result of *bona-fide* financial exigency or of discontinuance or reduction of an academic program or department, rendering his/her position unnecessary. The granting of tenure is a major decision and is not automatic.

Candidates for tenure must demonstrate the capacity to work in a responsible manner toward the goals and mission of the institution. Candidates must also continue to demonstrate substantial achievement in teaching, in research and/or scholarly/creative activities and in the area of professional service.

Tenure does not apply to administrative positions or titles.

Any faculty member hired at the institution must wait one year before applying for tenure.

5.9.3. Criteria for Tenure

In addition to demonstrating an acceptable level of achievement in teaching and scholarly activities, a candidate for tenure must show a discernible commitment to Claflin University, its students and its mission and be involved in university life.

- a. Faculty members who are granted tenure or tenure track status must have assignment to a department or area in a discipline in which they hold the appropriate degree.
- b. All applicants for tenure must meet the criteria stated in the Faculty Qualification (5.4) and Faculty Expectations section (5.1) of the Faculty Handbook.
- c. Applicants will follow the criteria in Outline for Applications (5.8.2) and Time Line and Procedures for Promotion and Tenure (5.8.3) of the Faculty Handbook.

- d. Once appointed to a tenure-track position a faculty member at the rank of assistant professor or above, has six years to demonstrate his/her superior qualifications and to present evidence of excellence as a professional in his/her field/discipline. Any tenure-track faculty member who is in their sixth year and fails to stand for tenure shall not be reappointed.
- e. Prior to March 1 of the third year any faculty member in a tenure-track (probationary) appointment shall be formally reviewed by the appropriate department chair and dean. The results of those reviews shall be communicated to the faculty member concerned and to the Provost. Faculty members whose performance is judged not to be making satisfactory progress towards tenure shall be recommended to the Provost to receive a terminal contract.
- f. If within a six year period tenure is not achieved, the faculty member will receive a terminal contract.

5.9.4 Promotion and Tenure Appeals

Promotion and tenure decisions may only be appealed to the President. The faculty member must file a written request for appeal with the Office of the President within ten days of being formally notified in writing by the Provost of denial of either tenure or promotion. Upon receipt of an appeal of a promotion or tenure decision the President may appoint an *ad hoc* appeals committee or a designee to hear the case. At the hearing, only evidence presented to the Peer Review Committee may be presented. The President's decision on all promotion and tenure appeals is final.

5.10 Faculty Development

Clafin University is committed to a program of faculty development which will be coordinated by the Center for Excellence in Teaching. Development opportunities may be provided by the University in the form of faculty institutes and workshops on or off-campus.

Development activities which may receive formal support include: institutional membership in professional organizations, particularly in seminars, workshops, and conferences; research or creative work relative to one's discipline; travel related to one's discipline; advanced graduate study in one's discipline; sabbatical leave. For advanced study, the area of study must be approved by the Department Chair, the Dean, and the Provost. The Faculty member must provide proof of acceptance into a graduate program offering terminal degrees.

Requests for consideration of departmental travel funds are limited by application and have to be approved by the Department Chair, the Division Chair, and the Provost. Requests for consideration of funds from the Center for Excellence in Teaching are made in writing to the Director of the Center, along with recommendations from the appropriate Department Chair, Dean and the Provost. Requests for funds for graduate work are reviewed by the Faculty Development Committee and the Director of the Center on endorsement of the concerned Department Chair, Dean and the Provost.

5.11 Sabbatical Leave

A sabbatical leave is awarded to provide time and resources for qualified, tenured faculty members to revitalize themselves through writing, scholarship, travel, research, and/or further formal educational study which will contribute to the faculty member's ability to discharge his/her obligations to the University. Sabbatical leave must be for the demonstrable benefit of the University in meeting its responsibilities of teaching, scholarship, service, and advancement of knowledge and must contribute to the further development of an individual as a teacher-scholar.

Sabbatical leave is limited by the fiscal resources of the institution and by staffing considerations. Sabbatical leave in a given year will be subject to approval by the Board of Trustees, upon recommendation of the Peer Review Committee, the Provost and the President. Sabbaticals will be approved on the basis of specific requests, including outlines of proposed activities to be pursued during the course of the leave.

5.11.1 Primary Criteria

Based upon purposes cited in the policy, leave proposals will be evaluated by the extent to which they:

- a. Contribute to the applicant's effectiveness in present and/or future teaching responsibilities; e.g., how will the intended travel, study, and/or research make the applicant a more effective teacher in terms of her/his present and/or future responsibilities (Teaching Effectiveness).
- b. Contribute to present and/or future programmatic needs within the member's curricula; e.g., how will the intended travel, research, and/or study plan benefit curricular programs now and in the future (Program Development).
- c. Contribute to the faculty member's effectiveness within her/his area of specialization; e.g., the degree to which he/she professionally profits from the experience. Specifically, how will the intended travel, research, and/or study plan make the applicant more knowledgeable about her/his field (Professional Growth).

5.11.2 Secondary Criteria

The following additional points will be considered in the evaluation of each request for sabbatical leave:

- a. Professional Status.
 - Years of full-time service at the University (minimum of six years and tenured)
 - Time since last leave (minimum of six years)
 - Results of previous leave
 - Years since formal study completed
 - Expectations of applicant's academic rank
 - Meritorious service

b. Internal Constraints

General workload factor
Length of leave
Replacement capacity

c. External Constraints

Partial funding-grants, etc.
Timeliness -- particular time in which study can be accomplished

5.11.3 Proposal Outline

Proposals must contain at least the following material in narrative form:

a. Overview--a 50-word summary of the proposal

1. Background (related research or other past projects)

b. Purpose

1. General goal (overall purpose of leave activities)
2. Specific objectives (answerable questions and measurable outcomes)

c. Need - Rationale

1. Justification
2. Significance

d. Plan of Action/Research Methodology (Procedures)

1. Briefly outline activities or research design which will be utilized to achieve indicated outcomes and anticipated results
2. Time Line
I. Semester/Semesters of leave requested
II. Identification of major dates and deadlines. How project effort is to be distributed through time.

e. Resource Needs

f. Evaluation -- Results expected and how applicant and institution can evaluate the leave. Criteria, benchmarks, recommendations, etc.

g. Anticipated value in relation to self, program, institution.

h. Statement affirming that the applicant will return to the University upon completion of leave and will provide a detailed written report of professional activities and accomplishments to the Provost within 30 days of return to service.

5.11.4 Review Time-Frame

The following time frame governs the submission and consideration of sabbatical proposals:

Applications for sabbatical leave should be submitted to the Provost no later than October 15 of the academic year preceding the anticipated sabbatical. The application will be forwarded from the Provost to the Peer Review Committee by November 1. The application should include a description of the proposed sabbatical, indicating scholarly projects or travel itinerary. Under extraordinary circumstances (to be determined by the President) exceptions to this may be granted.

The applicant must request the Department Chair and the Dean to submit supporting statements to the Provost, stating how the leave will affect the academic load of the School, whether a temporary replacement will be necessary, and how a replacement maybe found.

Upon review of the sabbatical leave request and the recommendation from the Faculty Peer Review Committee, the Provost forwards recommendations to the President for his comments and transmittal to the Board of Trustees. The final decision about sabbatical leave will be made by the Board of Trustees.

The candidate for leave will be notified of the decision of the Board by the Provost on or before May 1 of the academic year preceding the anticipated sabbatical leave.

5.11.5 Conditions

Sabbatical leave is subject to the following conditions:

- a. Sabbatical leave may be granted for a period of one semester at full pay or for two semesters at half pay.
- b. Medical Insurance and Life Insurance -- Participant will continue to pay the individual contribution through payroll deduction or personal check. Life Insurance provided by the University will be continued.
- c. Retirement Plan - University and faculty contributions will be based on the actual amount of compensation received during the sabbatical leave.
- d. Normally, sabbatical leave for faculty cannot begin until the end of the academic year in which the application has been made and approved.
- e. A faculty member on sabbatical leave is relieved from all teaching, research, administrative functions, and committee work for the leave period so that full time may be devoted to the purpose for which the leave is granted.
- f. Additional income (for example, grants-in-aid or fellowships) -- may be accepted during the leave, provided the activity for which the income is received contributes to the individual's professional development or future usefulness to the University, and provided that such acceptance will not detract from the accomplishment of the task(s) set forth in the sabbatical leave proposal as determined by the University.

- g. Sabbatical leave cannot be granted where the ongoing program of instruction or research will be jeopardized. Administrative supervisors must attest to the ability of the academic unit to adjust the responsibilities of the person on leave. (Replacement for academic year, only.)
- h. If, after a leave has been awarded, significant changes are made in objectives, locations, or other important aspects of the project design, these changes must be approved by the faculty member's division chairperson, the Provost.
- i. The University may request the person receiving a sabbatical leave in one fiscal year to postpone it to a subsequent year. Otherwise, if he/she wishes to delay his/her leave until the next fiscal year, he/she must reapply and his/her application will be considered along with others received at the time.
- j. A faculty member receiving a sabbatical leave must return to active duty as a member of the faculty for a period of one year or, upon default, repay the University for the amount of salary and other benefits received during the leave.
- k. Upon return to the University following sabbatical, a formal report on the sabbatical must be filed with the Department Chair, the Dean, and the Office of the Provost.

5.12 Faculty Leave of Absence

All requests for leaves of absence must be submitted through the Department Chair and the Dean to the Provost and then forwarded to the President of the University. If the request is approved up the line, the President will forward it with his recommendation to the Board of Trustees if the request is for one semester or more. In making this recommendation, the President will be guided by the following policies:

- a. A leave of absence will ordinarily not be granted for more than a year at a time, except for military leave or some forms of foreign assignment. In all cases, the leave granted cannot be for more than three years under any circumstance.
- b. The reason for the leave of absence should be related to the service which the instructor renders at the University. Justifiable purposes for a leave of absence will include such items as further academic study, work on a special project, or appointment as an exchange instructor.
- c. An applicant should have been a member of the University faculty for at least three years before requesting a leave, unless such a request for a leave is of an unusual or emergency nature.
- d. The faculty member, while on leave, will be responsible for all contributions to the health plan should he or she desire to remain a member of them. If the faculty member enters the Armed Services directly from his or her teaching position and returns to a similar position within one year of discharge, the University will provide its contribution. All other leaves except sabbatical leaves will be without pay.

- e. In view of the difficulty of securing satisfactory replacements, a request should not be made for a leave to begin in the middle of the academic year subject to the requirements of federal law and University policy.

5.13 Post Tenure Review

Every tenured faculty member including Department chairs must undergo the Post Tenure Review every five years. The application is due March 1 of the sixth year after tenure is achieved. The process, in line with Claflin University's focus on faculty excellence and accountability, ensures that senior instructors at the University are making the expected contribution towards elevating the teaching and learning process. The process involves:

- a) An application
- b) A performance portfolio encompassing the period since the award of tenure
- c) A detailed plan of action for the next five years

5.13.1 Post Tenure Process

All Post Tenure Review applications will be submitted in the spring to the concerned Department Chair who will forward it to the Dean with the appropriate comments/endorsement. The Dean will review the package and forward it to the Provost for onward transmittal to the Peer Review Committee. The Peer Review Committee will forward its recommendations to the Provost for his/her input and then send to the President for his concurrence.

5.13.2 Post Tenure Process Outcomes

The Peer Review Committee after review of the application will recommend one of the following:

- a) A commendation for exemplary teaching and research.
- b) An endorsement of satisfactory performance.
- c) A finding of unsatisfactory performance.
- d) Faculty members who are deemed to have performed at below expectations will be asked to submit a plan of action to enhance performance. The 3-year plan will be monitored by the Department Chair to ensure implementation and compliance.
- e) Non-Compliance or unsatisfactory performance at the end of the three year period is grounds for dismissal with cause.

Chapter Six: Terms of Employment

- .. .Effect of Contract**
- .. .Non-reappointment of Faculty**
- .. .Disciplinary Period for Faculty**
- .. .Teaching Responsibility and Load**
- .. .Grants and Contracts**
- .. .Advisement**
- .. .Involvement in Curricular Issues**

6.1 General

- a. The specific terms and conditions of every appointment of academic personnel shall be in the form of a written contract, which shall be signed by the President and the faculty member.
- b. Each contract shall set forth terms of employment such as the beginning and ending dates of employment and major services to be rendered.
- c. The written contract shall constitute the whole agreement between the instructor and Claflin University. All such contracts shall be issued upon the undertaking of the parties thereto to be bound by the regulations found in the most current Faculty Handbook and such amendments as may have been made, in writing, thereto.
- d. An initial appointment to a teaching position shall be made on a probationary basis for a period of one academic year or until the end of the academic term for which the appointment was made. Subject to the provisions of 6.1.e the probationary status will continue until the faculty member receives tenure.
- e. A faculty member may serve in a probationary status for six years. Should his/her application for tenure be rejected within that time, the next year of employment shall be a terminal one.

6.2 Notification of Non-Reappointment (tenure-track or annual appointment)

6.2.1 Effect of Contract

The contract entered into between Claflin University and a faculty member shall be binding on both parties. Should just cause for termination occur, however, the University shall have the right to unilaterally terminate the contract. For the purposes of this paragraph "just cause" is defined as set forth in section 6.2.3 (d). No faculty member shall have the right to refuse to perform according to the tenor and the terms of his/her contract and cannot acquire such right by giving notice to Claflin University of intent not to perform. The University reserves the right to all legal and equitable remedies usually available to parties injured by breach of contract.

6.2.2 Disciplinary Period for Faculty whose Performance is Unsatisfactory

If, on the basis of student, peer, and/or supervisory evaluations, the Provost should find the performance of a faculty member to be unsatisfactory, the Provost will send the faculty member a letter with a copy to the Department Chair, Dean and the President. Such persons shall be placed on a professional development plan for a period of time determined by the Provost. However, such time shall not exceed two years and shall be assisted and observed by the Department Chair and the Dean throughout the probationary period. Written critiques of the individual's performance shall be conducted during the probationary period. If these problems persist, such individuals will not be given an additional contract when the current contract expires.

6.2.3 Non-reappointment of Faculty

- a. Non-tenured or tenure-track faculty do not possess a right of yearly reappointment. Their contracts are renewable to them and to Claflin University. They are, however, entitled to the notice of non-reappointment as set out below:
 1. No later than April 1 of the first year of service if the appointment terminates at the end of that academic year; or, if a one-year appointment terminates during the academic year, notice will be given at least one month in advance.
 2. No later than the March 1 of the second or third academic year of service if the appointment terminates at the end of the Spring Semester; or, if the appointment terminates during the academic year, at least two months in advance.
 3. No later than January 2 of the terminal year if the faculty member has been employed for at least three complete (i.e., fourth year and beyond) academic years.
- b. Tenured faculty are entitled to assume that they will be reappointed each year unless the University has valid reasons for termination as listed below in 6.2.3d.
- c. In the event of enrollment decline in a teaching area or department, the institution may exercise administrative prerogative and choose not to offer a contract to non-tenured personnel. The individual will be notified as soon as possible but no later than March 1 prior to the end of his/her current appointment.
- d. Faculty and instructional staff members, with or without tenure, may be dismissed for cause, subject to the right of review and appeal herein provided. Cause includes, but is not limited to, one or more of the following: moral turpitude (which includes lying, cheating or stealing); insubordination; incompetent or ineffective service; neglect of duty; repeated and willful disregard of the requirement of academic freedom; inability or incapacity to perform job duties; commissioning of a crime; misuse of University funds, conduct unbecoming a member of the University community, such as, but not limited to, illegal use of a controlled substance, conducting University business under the influence of alcohol and/or a controlled substance, falsification of document, destruction of property, inciting others to destroy property, willfully disregarding University policies and authority, and the issuance of slanderous statements to a third party which causes injury to students, faculty administration, staff or the University at large.

The following procedure shall be adhered to during the appeal process: Faculty and instructional staff members dismissed for cause shall be so notified by the Provost in writing with a statement of the reasons for such dismissal following a due process meeting. Final official written notification shall be issued by the President of the Institution.

Dismissal for cause is effective immediately.

The faculty or instructional staff member shall have the right to a hearing of his/her case by the Faculty Grievance Committee provided he/she requests such hearing in writing and the request is postmarked not later than ten calendar days after the date indicated on

the letter of dismissal. Such hearing should commence within 30 days after a request for hearing has been received in the absences of exigent circumstances. By filing a request for a hearing, the dismissed member indicates his/her agreement that the Committee receives evidence and hears witnesses called by the dismissed member, the Committee or the University.

The Committee shall hold a closed hearing at which the dismissed member may appear and be heard. He/she shall be permitted to have an advisor of his/her own choosing. He/she may also call witness and present evidence. The University shall request any person within its employ to appear on behalf of the University or dismissed member, but the University shall not be required to force the attendance of such requested witnesses. A professional secretary shall be provided by the Office of the Provost to take minutes of the hearing.

The committee shall submit a written report to the President within 30 days after the hearing. In the event that the Committee does not submit a decision within the time allowed, the President shall have the option to extend the time or disband the Committee and appoint a new Committee to hear the case. Majority and minority reports may be submitted. Such reports shall state the recommendation of the Committee to the President, who will make the final decision. The report submitted to the President shall include the reasons for such recommendation and shall be accompanied by the transcript and all other material considered by the Committee.

The President shall notify the Committee and the dismissed member of his/her decision within ten days after receiving the report from the Committee.

6.2.4 Termination Because of Inability to Perform Job Duties

When clear and convincing medical evidence indicates that, even with reasonable accommodation, a faculty member with tenure or with probationary status is no longer able to perform the essential duties of the position, the appointment may be terminated. Such a decision will be made only after there has been appropriate consultation and after the faculty member, or that faculty member's representative, has been informed of the basis of the proposed termination. The faculty member, or their representative, shall be afforded an opportunity to present the faculty member's position and to respond to the evidence. At the faculty member request, the evidence will be reviewed by the Faculty Grievance Committee prior to a final decision by the President. Severance salary not less than as prescribed will be granted.

6.2.5 Resignations

Generally, accepted standards of professional ethics require faculty members who plan to terminate their services to give notice in writing to their department chair and other appropriate administrative offices in ample time for the University to seek qualified replacements.

As a courtesy to the University, faculty members are asked to discuss their plans as early as possible. If a decision is made to resign after contracts have been issued for the following year, resignations must be made no later than May 15 or 30 days after receiving the contract, whichever

comes later. For reasons of health or other personal emergencies, faculty members with official approval may leave the institution during the contract year.

Persons resigning before the termination of the contractual period without the approval of the appropriate administrative officer shall be released with prejudice, and such shall be stated in a letter that is made a part of the individual's permanent personnel record. These individuals will also be indebted to the University for damages which have been stipulated to be such an amount as is equal to one third of the individual's gross annual salary for the following year.

6.3. Teaching Responsibility and Load

A full teaching load is normally 12-15 hours for faculty in all departments except non-tenure track faculty whose teaching load will be 15 hours. Deans will be responsible for three hours and Department Chairs six hours.

Any faculty member at Claflin University who is on a full-time contract is expected to give full-time work to his/her position. Prior to entering into any contractual arrangement to provide services which include a specified schedule of time spent off-campus during the period of 8:00 a.m. to 5:00 p.m. (Monday through Friday), the faculty shall notify the Department Chair, the Dean, and the Provost. Engaging in outside employment particularly during the period of 8:00 a.m. to 5:00 p.m., without permission which is deemed to interfere with duties at Claflin University shall constitute grounds for dismissal.

In departments with responsibilities for general education courses, all faculty members are expected to share in the load. Department Chairs are responsible for interpreting and implementing this policy.

Teaching responsibilities include the following:

1. Each full-time faculty member shall maintain a significant presence on campus for teaching, office hours, research, committee work, planning activities, meetings, advisement and other faculty responsibilities.
2. Each full-time faculty member shall hold at least 8 office hours per week during the academic year when classes are in session. Faculty members should distribute office hours over at least four (4) days asset to serve the students. Faculty teaching evening or weekend hours shall schedule hours accordingly. Office hours shall be posted and on file with the Department Chair, the Dean and the Provost.
3. Meet assigned classes every period when they are scheduled unless prior approval from the Provost has been granted. In case of an emergency, the appropriate Chair or the Dean is to be notified prior to the class meeting time.
4. Provide academic advisement and support to students.
5. Meet classes on time and conduct class for the entire period from the first day to the final day the class is scheduled to meet.
6. Monitor his/her official registration class list(s) and actual student attendance and report discrepancies as required.

7. Submit a course syllabus for each course that clearly defines expectations and results (including student learning objectives and assessments).
8. Submit grades, records and other reports on or before the date and time that such are required.
9. Support university sanctioned programs, lecture series, cultural activities, seminars and other university functions.
10. Fulfill all contractual obligations such as attending University Faculty Meetings, Convocations, Commencement, Baccalaureate Service, and Founders Day.
11. Receive approval for and order textbooks through the University's bookstore contractor and acquiring other materials and resources through the prescribed manner.

With written approval of the Provost, reductions may be made in the teaching load of program directors/coordinators (3 credit hours) and faculty members with release time for sponsored research (3 credit hours per 25 percent released time).

Among the factors which may be taken into consideration by the dean when computing a faculty member's work load are the following:

- a. The number of class sessions assigned to the instructor per week,
- b. The number of students enrolled in all of the instructor's courses,
- c. The number of so-called "student hours," i.e., the number of students in each course,
- d. The number of different preparations,
- e. The number of student contact hours,
- f. The number of clock hours devoted to other official appointments and duties.

6.4 Grants and Contracts

Faculty are encouraged and expected to conduct research and to write grant proposals (See the section on Faculty Expectations). All institutional release time and institutional compensation matters must be approved by the President, upon recommendation from the Provost. Additional compensation requests will be considered in light of existing federal guidelines and University policy. Any exceptions to these guidelines must be approved by the President, upon recommendation from the Provost.

6.5 Student Advisement

In addition to the work of the Office of Counseling and Placement and the Vice President for Student Development and Services, each faculty member is expected to play a significant role in the total guidance of students. Each student, for his/her period of enrollment, will have a faculty adviser who helps him/her plan a course of study and advises him/her on other academic issues.

Each faculty member will have a number of advisees and must meet with them regularly and during pre-registration and registration.

Faculty members, especially Chairs of departments and Deans, should know thoroughly the academic program of the University. Each instructor should be familiar with the University Catalog and know fully the requirements of his/her department. Each Department Chair is responsible for informing his or her department of changes needed beyond the catalog statement. Each faculty member is also responsible for guiding each of his/her advisees into the courses needed to meet the requirements of the field, and, if he/she wishes to teach, to help him/her become certified in the field of his choice.

Changes in the student's program after he/she has registered are to be made through the Office of Enrollment Management in accordance with prevailing policies; otherwise, the changes do not become official. Forms are provided which require the necessary signatures.

6.6 Functions of Advisors

The extensive literature of the American College Testing Service identifies several major functions of academic advisement:

- a. "Providing students with information on policies, procedures, and programs...
- b. Assisting students in choosing educational and career objectives commensurate with their interests and abilities,
- c. Assisting students in exploring the possible short and long-range consequences of their choices; and
- d. Making students aware of the wide range of services and educational opportunities that may be pertinent to their educational objectives..."

Advisors must meet with their advisees periodically to:

- a. Explain curriculum and graduation requirements.
- b. Meet and converse with freshman advisees individually during the first week of classes.
- c. Check on academic progress of the students at mid-semester.
- d. Help with the selection of courses to meet curricular and graduation requirements during pre-registration for subsequent semesters.
- e. Make sure that qualified candidates for graduation make the necessary application.

6.7 Involvement in Curricular Issues

1. All departments must comply with the general curriculum framework of the University.
2. Any individual with faculty status may initiate recommendations for changes, additions, or deletions in curricula offerings.
3. Modifications of any type must begin within a department or division, and upon a favorable vote thereof, be forwarded to the next highest level to be finally voted upon by the Academic Affairs Committee and then the faculty.

4. In the case of new programs, the President will review the decision of the Academic Affairs Committee, and, upon concurrence, submit a recommendation to the Board of Trustees for its action.

Chapter Seven: Faculty Rights and Benefits

... Statement of Policy

... Salary Information and Pay Periods

... Payroll Deductions

... Fringe Benefits

7.1 Academic Freedom

STATEMENT OF POLICY

Claflin University firmly believes in the principle of academic freedom. This freedom is one of the foundation stones of our democratic way of life, and the University is dedicated to its preservation. Faculty at the University, therefore, have the right and, indeed, the obligation to seek and teach the truth. It is the essential condition for a sound educational program. For these reasons the University endorses this portion of the 1940 Statement of Principles of the American Association of University Professors.

Education occurs only in a situation of mutual confidence between students and faculty. Administrators and trustees are responsible for the integrity of education, but they must not impose particular views and methods upon instructors. The instructor has the obligation to present all sides of issues in order for students to formulate patterns of belief in their search for truth. This implies that faculty members must be well informed on all sides of questions and issues to be discussed and must not substitute false statements as a means to an end.

Nothing in this section may be construed as giving license to disruptive behavior, verbal assault, purposeful distortion of known facts, or attempts to undermine university policies.

For the reasons described above the University endorses the following statement excerpted from the *1940 Statement of Principles of Academic Freedom and Tenure* developed by the American Association of University Professors and the American Association of Colleges.

“A statement on Academic Freedom has as its purpose the promotion of public understanding of and support for academic freedom. Such a statement should serve to allow agreement upon procedures within colleges and universities and should serve to ensure the procedures as well. The purpose of colleges and universities as institutions of higher education is to promote the common good and not to serve as a means to further the interest of either the individual teacher or the individual institution.

Essential to these purposes, Academic Freedom applies to the pursuit of both teaching and research. Such freedom is essential to research in that it allows for the advancement of truth. Academic Freedom is essential to teaching in that it protects the rights of the teacher in teaching and protects the rights of the student with regard to learning. Academic Freedom also carries duties which correlate with the rights inherent in the principle. The rights and responsibilities relative to Academic Freedom are as follows.

1. With regard to research, teachers are entitled to full freedom with regard to both research and the publication of research results. This freedom is subject to the adequate performance of other academic duties. However, research for financial return during school hours or *via* university facilities shall be engaged in only with the approval of the University administration.
2. With regard to teaching, teachers are entitled to freedom in discussing his/her subject within the classroom. However, teachers should be mindful not to introduce into his/her teaching controversial material that has no relevance or relationship to the subject matter. Institutions that limit academic freedom because of religious or other aims of the

institution should clearly state those limits in writing at the time of the appointment of the teacher.

3. A college or university teacher is a citizen as well as a member of a learned profession and an office of an institution of higher education. When a college or university teacher speaks as a citizen, he/she should be free from either institutional censorship or discipline. However, the college or university teacher should also bear in mind that his/her special position in the community itself imposes special obligations. As a scholar as well as officer of education, the teacher should always remember that the public may choose to judge his or her profession as well as his/her institution by his or her utterances. For this reason, a teacher should always be accurate, should always exercise appropriate restraint, should always evidence respect for the opinions of others and should always make every effort to communicate that he/she is not an institutional spokesperson.”

7.2 Salary Schedule

GENERAL:

- a. Each contract at Claflin is negotiated at the time of initial employment. Factors taken into consideration in each instance are 1) market forces, 2) credentials of the individual, 3) experience of the individual, 4) special talents or capabilities of the individual, and 5) the salaries of similarly situated faculty already employed.
- b. Cost-of-living pay increases, equity pay, and merit pay occur upon the recommendation of the President (based on evaluations) and approval of the Board of Trustees.

7.2.1 Pay Periods

All salaries for full-time faculty are paid twice a month on the 3rd and 18th of the month. When the designated date arrives, faculty checks will be placed in the faculty mailboxes or forwarded to the bank by direct deposit. If the date on which payment is due falls on a weekend or a holiday, checks will be made available on the preceding business day.

7.2.2 Payroll Deductions

The Business Office must withhold federal and state income taxes from salary payments. At the beginning of employment or at any time when there is a change in the number of dependents claimed for tax exemption, the employee must complete an Employee's Withholding Exemption Certificate (EWEC), Form W-4, and file it in the Office of Human Resources for the purpose of recording this information for the payroll department. No checks for salaries will be issued until the EWEC form and I-9 are on file in this office. Mandatory deduction will be made for Social Security except in those cases as noted by law. All other deductions from the payroll must be authorized by the employee in writing.

In January, the University will issue to each employee a statement showing the total amount of wages paid during the previous calendar year and the total amount withheld for the various taxes.

7.3 Fringe Benefits for Faculty Members

A full description and explanation of the fringe benefits for faculty members can be obtained through the Office of Human Resources.

7.3.1 Grants for Faculty Study

Faculty members have the opportunity to pursue higher studies in their discipline. Please see Chapter 5 for further details.

7.3.2 Faculty Travel

The University encourages faculty travel to and participation in conventions or meetings of professional organizations to which faculty members belong. Faculty members may be provided with a travel allowance plus a per diem for living expenses.

In order to be eligible to receive travel allowance, faculty members should secure the permission of their Department Head and Deans, Provost, and President prior to leaving for meetings or conventions. Where such travel is authorized, expenses will be reimbursed to the instructor following the filing of an expense report with the Business Office upon return. Also see Faculty Development (5.10) for additional details.

7.3.3 Retirement Programs

The retirement program at Claflin includes the Social Security program and TIAA-CREF plans. Social Security plan is mandatory. Details concerning these plans may be obtained from the Office of Human Resources.

7.3.4 Group Insurance

In cooperation with the Board of Higher Education and Ministry of The United Methodist Church and the selected insurance carrier, Claflin makes available to faculty and staff life, hospitalization, and dental insurance. This plan covers both employees and their dependents.

7.3.5 Annual/Sick Leave

Annual leave and sick leave are accrued only by employees on twelve-month appointments.

7.3.6 Holidays and Vacations

Faculty members are entitled to such holidays as may be approved by Claflin University. When a holiday falls on a Saturday, it will be observed on the preceding Friday, except those that are federally prescribed. When it falls on Sunday, it will be observed on the following Monday. In all other cases, holidays will be observed on the days on which they normally fall.

Administrators and faculty with twelve-month contracts of employment are entitled to two calendar weeks of vacation time each year after they have been employed at Claflin University for one year. Preferably, vacations should be taken in the fiscal year earned.

7.3.7 Absence from Campus for Personal Reasons

Faculty members are required to be present at all classes as scheduled. The burden falls upon University employees to notify the Institution of impending absences on their part. Where the employee is aware ahead of time that he/she will be absent, a leave of absence form must be filed with the School Dean. Under emergency conditions—arising without warning— the employee may telephone his/her immediate supervisor and give timely notice of the crisis. An outline of the work to be covered should be submitted to the School Dean in non-emergency situations.

Chapter Eight: Adjusting Complaints and Grievances

.... **Grievance Procedure**

.... **Conflicts of Interest**

.... **Policy on Harassment**

.... **Academic Dishonesty**

8.1. Grievance Procedure-Faculty

Grievances regarding a complaint of discrimination, harassment, or retaliation that involves pregnancy, race, ethnicity, religion, or country of origin, or anything else besides sexual misconduct shall be processed in accordance with the University's Non-Discrimination Notice. Complaints alleging sexual misconduct and sexual harassment shall be processed in accordance with University Policy No. 200.29: Policy on Sexual Misconduct and Harassment.

Complaints which do not meet the criteria for filing a grievance under either the Policy on Sexual Misconduct and Harassment or the Non-Discrimination Notice should be referred to the Provost or appropriate Vice-President in writing, and a copy of the communication should be sent to the Dean. The Provost should provide a ruling within a reasonable period of time. Complaints related to the Provost or appropriate Vice-President should be reported to the University President. If no such ruling is (can be) made by the Provost, or if his/her decision is regarded as unsatisfactory by the faculty member, the matter should be brought to the Faculty Grievance Committee, in writing, with a copy to the Provost. The Faculty Committee should render a ruling within ten working days. If no ruling is made by the Faculty Grievance Committee, or the result is regarded as unsatisfactory by the faculty member, the faculty member may appeal to the President. The decision of the President shall be final.

8.2 Grievance Procedure—Student

A student may file a grievance if he or she believes that a member of the Claflin University faculty, staff, or administration has violated his or her rights. In matters involving sexual misconduct and harassment prohibited by Title IX, the grievance procedure set forth in University Policy No. 200.29: Policy on Sexual Misconduct and Harassment shall control. In matters alleging discrimination on the basis of race, color, religion, age, pregnancy, national origin, or disability, the University's Non-Discrimination Notice controls. All other grievances shall be processed in accordance with the procedures set forth in the Student Handbook.

8.3. Conflicts of Interest in Personnel Decisions

Pursuant to University Policy No. 200.21: Policy on Conflict of Interest, the University prohibits employees from engaging in any conduct that constitutes a conflict of interest. Refer to University Policy No. 200.21 for information regarding actions that may constitute a conflict of interest and the required employee disclosures.

A potential conflict of interest exists whenever any person performing in an official, institutional capacity has the ability to choose among options and the choice may affect the welfare of a member of his or her family or a partner.

Potential conflicts of interest are likely to arise in hiring decisions, funding of grant proposals, reappointment, tenure and promotion decisions, and supervision and evaluation situations.

Because it is impossible to anticipate every circumstance in which a potential conflict of interest may arise, no list of remedies can be definitive. However, certain remedies are generally applicable:

No employee shall directly supervise another employee who is a spouse, partner, or family member. The Provost, in consultation with the President, will determine how to avoid a conflict of interest in such situations, in the case of faculty members. The President will make the determination for other employees.

In circumstances in which an employee has a potential conflict of interest, the employee shall withdraw from the decision-making process until the potential conflict no longer exists. Should the employee disagree that a conflict of interest exists or decline to withdraw from the decision-making process, and the Provost, in consultation with the President, may remove the employee (if a faculty member) from further involvement with the decision. The President shall make this determination in the case of other employees. In each case, the adverse consequences to the University of having a person withdraw from the decision-making process shall be weighed against the benefits of reducing potential conflicts of interest.

8.4 Policy Against Harassment, Including Prohibition of Sexual Harassment

It is the policy of Claflin University that all employees and students have a right to work and/or study in an environment free of discrimination on the basis of race, color, creed, religion, national origin, age, sex, disability, or any other legally protected class.

Any form of harassment is prohibited, including sexual harassment of employees or students. Definitions of sexual harassment and sexual misconduct, as well as examples of conduct that may constitute sexual harassment, are set forth in University Policy No. 200.29: Policy on Sexual Misconduct and Harassment. Examples of prohibited behavior include, but are not limited to:

- Unwelcome sexual advances;
- Requests for sexual favors, whether or not accompanied by promises or threats, with regard to employment or academic relationship;
- Verbal or physical conduct of a sexual nature made to any employee or student that may threaten or insinuate either explicitly or implicitly that any employee's submission to or rejection of sexual advances will in any way influence any personnel or academic decision regarding that person's employment, evaluation, wages, advancement, assigned duties, shifts, or any other condition of employment, career or academic development;
- Any verbal or physical conduct that has the purpose or effect of substantially interfering with the employee's or student's ability to do his or her job; or
- Any verbal or physical conduct that has the purpose or effect of creating an intimidating, hostile, or offensive working or academic environment.

Claflin University will investigate all complaints expeditiously and professionally. Where investigations confirm the allegations, appropriate corrective action will be taken. *Complaints*

involving sexual misconduct or sexual harassment shall be processed in accordance with University Policy No. 200.29: Policy on Sexual Misconduct and Harassment. Complaints of harassment or discrimination that do not involve sexual misconduct shall follow the procedures set forth in the University's Non-Discrimination Notice.

Clafin University will handle all information relating to the complaint and investigation as confidentially as possible.

Retaliation against employees or students for reporting harassment or assisting in the investigation of a complaint *is strictly prohibited*.

8.5 Academic Dishonesty

Clafin University prohibits all forms of academic or scholarly dishonesty, including written or oral examinations, term and research papers or theses, modes of creative expression, and computer-based work. Scholarly dishonesty includes lying, cheating, plagiarism, collusion, and the falsification or misrepresentation of experimental data. All forms of academic dishonesty will be resolved according to the procedures outlined by the Clafin University *Code of Honor* (For social behavior, see *Clafin University Student Handbook: Code of Conduct and Code of Ethics*).

8.5.1 Code of Honor

The Code of Honor Pledge states, “In my enrollment at Clafin University, I do hereby solemnly pledge that I will adhere to the Code of Honor. *As a Clafin University Student, I do solemnly pledge to uphold the integrity of Clafin University. I will not participate in nor tolerate dishonesty in any academic endeavor.*”

8.5.2 Code of Honor Definitions and Violations

1. Academic Dishonesty – This includes any other act (not specifically covered in previous provisions) that compromises the integrity of a student or intrudes on, violates, or disturbs the academic environment of the University Community. Examples include attempting or agreeing to commit, or assisting or facilitating the commission of, any scholastic dishonesty, failing to appear or testify without good cause when requested by the Council for the Code of Honor, failing to keep information about cases confidential, supplying false information to the Council for the Code of Honor and accusing a student of a violation of this Code in bad faith.
2. Cheating – This act implies intent to deceive. It includes all actions, electronic or other devices and deceptions used in the attempt to commit this act. Examples include, but are not limited to, copying answers from another student's exam and using a cheat sheet or crib notes in an exam.
3. Collusion – This is the act of working together on an academic undertaking for which a student is individually responsible. Examples include, but are not limited to, sharing information in labs that are to be done individually.

4. Plagiarism – Plagiarism is representing the words or ideas of someone else as one’s own. Examples include, but are not limited to, failing to properly cite direct quotes, the false utilization of copyrighted material and the failure to give credit for someone else’s ideas.

8.5.3 Procedures for Reporting Code of Honor Violations

Any member of the Claflin family (student, faculty, staff, or administration) who suspects a Code of Honor violation should report the alleged offense directly to the Provost who will authorize an investigation.

8.5.4 Council for the Code of Honor

The Claflin University Council for the Code of Honor shall be comprised of seven students. Four will be nominated by the Deans, one by the Director of Continuing and Professional Studies, one by the Vice President for Student Development and Services, and one graduate student who must be in good standing. Nominated undergraduate students must be Sophomores and above with a minimum grade point of 2.5. Each member may serve a term of two years. The first appointment cycle will be staggered in which one-half of the Council is appointed for a one-year term and the other half for a two-year term. Students shall be recommended to the Provost for approval by the President. A faculty consul shall be appointed to advise the Council for the Code of Honor. The Council for the Code of Honor shall hear, deliberate, adjudicate and make recommendations to the Provost for final disposition.

8.5.5 Student Rights and Due Process

In accordance with University procedures, the enforcement of academic integrity rests with each individual school. In all cases involving academic dishonesty, the student charged or suspected shall, at a minimum be accorded the following rights.

1. Prompt and confidential investigation of all charges of academic dishonesty will be conducted within two days, in so far as possible, in a manner that prevents public disclosure of the student’s identity.
2. A written notice of the facts and evidence underlying the charge of academic dishonesty and of the principle(s) of academic integrity said to have been violated must be provided to the student.
3. Reasonable time, not to exceed two weeks may be requested to prepare a written response to the charge.
4. A hearing or meeting at which the student involved may be heard and the accuracy of the charge determined.
5. Review of any adverse determination, may be appealed to the Provost. No sanctions will be imposed until all appeals made by the students have been exhausted.

8.5.6 Sanctions

All proven cases of academic dishonesty shall be penalized as appropriate under the

circumstances. The imposition of any sanction will include a statement of reasons supporting its severity. Recommendation of sanctions for cases of proven dishonesty will be forwarded by the Council for the Code of Honor to the Provost. All proven cases of academic dishonesty will result in a grade of “XF” which shall remain on the student’s transcript for a minimum of two years. After two years, the student may petition the Provost to have the “X” removed; however, the “F” will remain. Other sanctions may include but are not limited to:

- A defined period of probation or suspension with or without the attachment of conditions;
- The withdrawal of University funding;
- Expulsion from the University.

Chapter Nine: Order of Precedence

This document rescinds all prior **Faculty Handbooks** and will remain the policy of the University until amended or replaced.

The University reserves the right to make changes to this Handbook as necessary subject to the approval of the Board of Trustees.

Karl S. Wright
Provost