

A photograph of a brick building with a sign that reads "Claflin University Founded 1869". The building has a gabled roof and a chimney. In the foreground, there is a brick wall with the university name and founding year. Below the wall is a garden bed with red and yellow flowers and two black cylindrical planters. A sidewalk is visible at the bottom of the image.

# **Faculty Handbook 2021**

**Claflin University**  
Founded 1869

**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, and nothing in this Faculty Handbook shall be construed as creating contractual obligations for Claflin University. Nor shall anything herein be construed to alter the at-will nature of any person's employment relationship with Claflin University.*

**THIS IS NOT AN OFFER OF EMPLOYMENT, NOR IS THIS A CONTRACT OF EMPLOYMENT.**

June 2021

# *Chapter One – Introduction*

**Organization**

**Official Copies and Distribution**

**Modifications**

**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 Regulations**

**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 should be understood as inclusive of all genders 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, or administrators to the Academic Affairs Committee, which then forwards it to the Provost. He/she presents proposed changes to the faculty and then to the President for approval. No modifications to the Faculty Handbook are effective unless approved by the Board of Trustees. Notwithstanding any terms that suggest otherwise, nothing in this Faculty Handbook shall be construed to limit or impair the authority of the Board of Trustees.

## **1.4 The Claflin University Philosophy**

Claflin University was founded primarily to provide education 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 Mission**

Claflin University is a comprehensive institution of higher education affiliated with the United Methodist Church. A historically black University founded in 1869, Claflin is committed to providing students with access to exemplary educational opportunities in its undergraduate,

graduate and continuing education programs. Claflin is dedicated to providing a student-centered, liberal arts education grounded in cutting-edge research, experiential learning, state-of-the-art technology, community service, and life-long personal and professional fulfillment.

Claflin is a diverse and inclusive community of students, faculty, staff and administrators who work to cultivate practical wisdom, judgment, knowledge, skills and character needed for globally engaged citizenship and effective leadership.

### **1.6 The Claflin University Vision**

Claflin University will be recognized as a leading 21st Century institution of higher education that develops a diverse and inclusive community of globally engaged visionary leaders.

### **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 Student Centered
- Commitment to Exemplary Educational Programs
- Commitment to Fiscal Accountability

### **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, commitment, 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 stakeholders 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 nurturing 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, high quality academic programs, student services, and outreach.

We are committed to consistently providing the highest quality of programs and services that are innovative and responsive to students and other university customers' 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, gender, disability, age, national origin or any other legally protected characteristic or status.

Employees who deal with issues and matters of a 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. Furthermore, except to the extent authorized to act otherwise by Title IX of the Education Amendments Act of 1972 and regulations issued thereunder (collectively, "Title IX") or by any other applicable law, no employee shall disclose the details of any Title IX investigation, grievance process or grievance procedure. Likewise, all employees shall comply with the confidentiality requirements of the Family Educational Rights and Privacy Act ("FERPA") and all other applicable laws governing the confidentiality of educational records.

We shall acquire and maintain the professional competence and skills important and relevant to delivering our programs and services to our students, faculty, staff, administration, 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 The Claflin 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, sexual orientation, gender identity, 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, and/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. Furthermore, this policy prohibits all harassment based on sex regardless of whether such conduct would constitute “sexual harassment” as that term is defined under Title IX.

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 Other 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, sexual orientation, gender identity, age, disability or any other legally protected characteristic or status. 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 the following non-exhaustive list set forth below:

#### **1.11.1 Title VI of the Civil Rights Act of 1964**

“No person in the United States shall, on the basis 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**

Clafin 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 Act 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)**

Clafin 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)**

Clafin 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 The Claflin University Intellectual Property Agreement**

Claflin University is an 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 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;
- ensure 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.

#### **1.12.1 Definition of Intellectual Property**

Any product created by an employee or agent of Claflin 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 Claflin 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.

### **1.12.2 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 Vice Provost for Research 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 President 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 Office of Vice Provost for Research 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 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 for 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 that meets any or all of the following criteria shall be assigned to the University: (1) 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) made by an employee of the University and which relates to the inventor's field of work at the University, or (3) developed in whole or in part by the utilization of resources or facilities belonging 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 Office of the Vice Provost for Research. 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 F 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 Office of the Vice Provost for Research shall act promptly in carrying out these duties so that the property rights of the inventor and the University may be protected. However, the Office of the Vice Provost for Research 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 Office of the Vice Provost for Research, 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. In further consideration for the assignment rights set forth herein, the Office of the Vice Provost for Research, acting on behalf of the University President, is authorized to recommend entering into an agreement with the inventor(s) or his/her 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 percentage paid to each party is as follows:

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

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 for revision prior to approval.



### **1.12.3 Conflict of Interest Policy**

The University regards its officers, faculty, staff and others acting on the University's behalf as 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 ensure 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**

## **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.

This 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 themselves of opportunities to participate in the formulation of new policies;
  - c. 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 and staff, any student or any patron.
- 7) The Faculty may expect that:
  - a. All directives from the administration addressing personnel, procedures, and programs will be in writing unless there is a special unusual situation.
  - b. 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 unless they 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, but these provisions do not constrain the authority of the University's Board of Trustees or administration. 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 improvements
- 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 appointments, promotions, 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 the 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 optimal public relations with city, county, and state school officials, the Claflin University International Alumni Association, accrediting associations, and the general public

## **2.5 The Vice President for Administration**

The Vice President for Administration 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 representing and acting on behalf of the President in every aspect as may be delegated by 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 fundraising activities for the University. This individual also has responsibility for the coordination of such fundraising programs as the annual fund, alumni giving, major gifts, planned giving, and 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, Bookstore, and Auxiliary Services. The Vice President oversees preparation and 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, 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 a clearinghouse 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, and any other University personnel that the President and any other University personnel that the President deems appropriate.

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 individuals' 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 and 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 Excellence in Teaching.
- 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 and the Deans of the four schools on issues of scheduling and advisement.
- f. Interfacing with the Deans, the Library Director, Program Directors 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 communication with faculty members, staff, and administrators regarding the services and resources of the Office of the Provost. .
- 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/her.
- 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 providing 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, the following:

- a. Working with campus constituencies and external funding agencies to identify and promote opportunities for external funding that builds on faculty strengths and serves institutional goals and priorities.



- b. Developing a comprehensive Undergraduate Research program and directing the Office of Undergraduate Research.
- c. Assisting with developing annual legislative requests for funding in collaboration with the University and the Sponsored Programs Office.
- d. 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.
- e. 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.
- f. Assisting the Vice Provost for Academic Programs 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 Academic Affairs**

The Assistant Vice President for Academic Affairs, reporting to the Provost, is responsible for the following:

- a. Coordinating comprehensive efforts to garner, and assist students in identifying and competing for scholarships, internships, fellowships, domestic study and study abroad.
- b. Coordinating and providing senior-level oversight for all international study and domestic exchanges.
- c. Establishing an institutional identification and development program that increases the number of students selected for national fellowships and accepted by leading institutions and programs.
- d. Researching and providing accumulated information on opportunities for domestic exchange programs to offices and program areas campus-wide.
- e. Assuming responsibility for fiscal management and evaluation of programs within the Office of the Assistant Vice President for Academic Affairs, including writing semi-annual and annual reports.
- f. Coordinating with the Provost in producing the Honors Convocation, Who's Who and Alpha Kappa Mu.
- g. Teaching two courses per academic year.
- h. Representing the Provost at special events, as requested.
- i. Performing other duties as assigned by the President.

### **3.5 Director of Enrollment Management**

The Director of 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 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 them 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 by the Provost to the President for reappointment or non-reappointment.

Specific duties and 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, and program managers.
- c. Collaborating with deans, department chairs, and program managers to schedule semester course offerings.
- d. Monitoring course offerings and enrollments and making recommendations for course cancellations.
- e. Reviewing and initiating text changes to college publications to ensure that Continuing Education programs are accurately represented.
- f. Representing Continuing Education with constituents on and off campus.
- g. Assigning, supervising and reviewing the work of staff and student personnel.
- h. Directing the Institution's Summer School Program.

### **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. Each year, he/she is recommended by the Provost to the President for reappointment or non-reappointment. 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 Alice Carson Tisdale Honors College and adding them to the library collection.

### **3.8 Deans 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 fundraising and for professional activities that support the budgetary/fiscal health of the School and 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 by the Provost to the President for reappointment or non-reappointment.

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 increment for chairs and faculty.
- e. Monitoring the assessment of graduating undergraduate students 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 the pursuit of accreditation for non-accredited programs, where possible, and continued accreditation of previously accredited programs.
- 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.

1. Securing an agreed upon percentage of the operational budget for the School.

### **3.8.2 Institutional Leadership**

- a. Demonstrating initiative in improving the academic programs of the 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 the University are maintained.
- d. Ensuring that the University's prestige is enhanced through professional activities, research, publications, 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 his/her faculty at University-sponsored activities.
- f. Convening regular School meetings that deal primarily with the academic program. Copies of the minutes of School meetings must 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 for

consideration to the Provost and/or the Academic Affairs Committee.

- 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 by the faculty of their respective unit in conjunction with the recommendations of the Dean. Each year, the Department Chair is recommended by the Provost to the President for reappointment or non-reappointment. 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 retaining faculty and other personnel.
- d. Developing a department budget to be approved by the Dean, submitting it to the Provost, and 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.

### **3.10 Academic Program Coordinators**

Department chairs serve as the principal academic administrators for their academic units. In departments with major programs in multiple disciplines, academically qualified program Coordinators are appointed on an annual basis by the Department Chairperson with approvals of the Dean and the Provost. With written approval of the Dean and Provost, Coordinators may receive release time based on the number of faculty and number of majors.

Academic program coordinators assist department chairs with

- a. keeping curricula updated in major programs,
- b. ordering library books for their disciplines,
- c. planning course schedules for specific majors,
- d. ordering textbooks, and communicating with part-time faculty on curriculum and learning resources.
- e. other duties as assigned.

## *Chapter Four: The Role of the Faculty in University Governance*

**General**

**Department Meetings, School Meetings, and Faculty Meetings**

**Committees**



## **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**

Department meetings are held at least once a month throughout the academic year. The schedule and agenda for department meetings are established by the Department Chair, in consultation with department faculty. Recommendations or requests formulated within a department 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, and/or other School faculty, and/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, unranked, ranked, and administrative faculty as defined in Chapter 5 of the [Faculty Handbook](#). Faculty Meetings will take place monthly throughout the academic year to consider matters of academic related concerns 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 unranked, 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 days' 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 Academic Affairs, Vice Provost for Research, all Deans, Library Director, Director of Enrollment Management, 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 Schools, 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: Vice President of Enrollment Management (Chair), 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 University President and the Athletics Director. The committee will also work with the Athletics Director and staff in formulating an institutional strategic plan for the athletics department. The committee shall report directly to the President.

### **4.5.4 Employment Benefits Committee**

Personnel: Vice President for Administration, Vice President for Fiscal Affairs, Vice Provost for Academic Programs, Associate Vice President 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 others as needed.

#### **4.5.5 Faculty Development Committee**

Personnel: Director of the Center for Excellence in Teaching (Chair), Faculty Development Coordinator, and four faculty members appointed by the Provost and the Deans, two faculty members elected by the faculty, two staff members appointed by the Provost 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; to approve the annual report of the Center; and monitor the implementation of relevant grants.

#### **4.5.6 Faculty Grievance Committee**

Personnel: Five tenured members from the full-time faculty. Three members to be elected by the Faculty, 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 5.10.4 below regarding tenure and promotion appeals). 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.

#### **4.5.7 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, Director of Enrollment Management, Executive Director for Professional and Continuing Studies, Director of the Alice Carson Tisdale Honors College, 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.

#### **4.5.8 General Education Committee**

Personnel: Vice Provost for Academic Programs or his/her designee will chair the General Education Committee. The Dean for Humanities and Social Sciences shall select two faculty members for the committee; the Deans of the other three schools will select one faculty member each for the committee. In addition, the Executive 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.

#### **4.5.9 Institutional Review Board**

Personnel: 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. Members are selected by the Provost 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.

Duties: The purpose of the Institutional Review Board (IRB) is to protect the rights and welfare of human subjects in research studies conducted under the auspices of Claflin University. The IRB also 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. The IRB reports to the Vice Provost for Academic Programs.

#### **4.5.10 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. See 1.12.2 in this document for policy and procedures.

#### **4.5.11 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: To hear 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). 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.

#### **4.5.12 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.

#### **4.5.13 Nominating Committee**

Personnel: Vice Provost for Academic Programs or his/her designee (Chair) 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 to the Provost the members of the other committees under its jurisdiction.

#### **4.5.14 Peer Review Committee**

Personnel: Five full-time, tenured faculty members, three of whom must possess, at a minimum, the rank of Associate Professor. One member is elected by each School to serve on this committee for a term of two years. The fifth member is appointed by the Provost to serve a three-year term and to chair the committee. If a vacancy on the committee occurs as a result of a resignation or for any other reason, the vacancy shall be filled by election or appointment by the Provost, as applicable, in accordance with the terms of this Section 4.5.14. 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 applicant.

Duties: To review all applications for promotion, tenure, post-tenure, and sabbatical leave. This committee makes appropriate recommendations to the Provost. A committee member should recuse him/herself from any voting process that may represent a conflict of interest.

#### **4.5.15 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, and (e) other matters related to the smooth functioning of the area.

#### **4.5.16 Program Committee**

Personnel: The Program Committee shall be comprised of a committee chair appointed by the Dean of the School of Humanities and Social Sciences or, at the President's discretion, by the President; two faculty members from the School of Humanities and Social Sciences, one faculty member from each of the other Schools; the Media Specialist; one representative from Student Development and Services; one representative from Institutional Advancement and Communications and Marketing; one representative from the library; one representative from Public Safety; two student representatives appointed by the Student Government Association; and one additional representative appointed by the President. Ex-officio members include the Provost and the Vice Presidents. The committee chair and representatives serve at the

President's discretion, and if a vacancy on the committee occurs as a result of a resignation, a decision of the President or for any other reason, the vacancy shall be filled by appointment, as applicable, in accordance with the terms of this Section 4.5.16.

Duties: To sponsor programs to stimulate and reinforce the cultural and intellectual environment of the campus and community. In addition, the objective of programs presented under this committee's auspices 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.

#### **4.5.17 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.

#### **4.5.18 Student Affairs Committee**

Personnel: Vice President for Student Development and Services or his/her designee (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: To oversee and recommend the development of the following: policies and practices in regard to student-faculty relationships (freedom of expression and protection against improper disclosure), policies and practices concerning student records, policies and practices concerning student affairs, such as freedom from arbitrary discrimination, freedom of association, student participation in institutional government, and student publications, policies and practices in procedural standards in non-academic disciplinary proceedings, recommendations and suggestions from the Student Government Association, and appointment of members of the Student Code of Conduct Judicial Board.

#### **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**

1. 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.
2. Each committee should choose a member as secretary and elect a Chair as required.
3. 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.
4. Written reports should contain any recommendations for change in policy where official action is needed.
5. At the end of 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.
6. The President of the University is an ex-officio member of all committees.
7. Frequency and length of meetings should be governed by the quest for qualitative and expeditious outcomes, findings, actions, or recommendations.
8. It is the responsibility of the chair of a committee to give timely notification of meetings to faculty serving on that committee.
9. Members of the committee must be notified in writing of being appointed to a committee.



## *Chapter Five: Faculty Expectations and Personnel Policies*

**Personnel Policies: Scope and Application**

**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 Personnel Policies: Scope and Application**

This chapter is the official statement of policies, obligations, responsibilities, rights, and privileges pertaining to faculty. Nothing, however, in this Faculty Handbook shall be construed to limit or impair the authority of members of the University administration. They must be familiar with and abide by the terms and provisions of this chapter as a condition of their employment with the University. All faculty members are required to meet the faculty credentials guidelines given below:

- a. Faculty teaching general education courses at the undergraduate level: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- b. Faculty teaching baccalaureate courses: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline).
- c. Faculty teaching graduate and post baccalaureate course work: earned doctorate/terminal degree in the teaching discipline or a related discipline.
- d. For teaching cross listed courses at the undergraduate level, both full-time and part-time faculty members shall have at a minimum, a master's degree in one of the teaching disciplines.
- e. Faculty members at the undergraduate and graduate levels without academic credentials in the teaching discipline, may be assigned to teach a specific course(s) if their background and experience can be used as "justification" for the assignment on approval of the department chair, the dean and the provost.

## **5.2 Faculty Excellence Vision Statement/Faculty Expectations**

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

For more information, see the **Appendices**.

All faculty (including Department Chairs) will maintain annual electronic performance portfolios that 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 that 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 and is the primary means to support the individual's application for reappointment, tenure, promotion and/or merit pay. Through a narrative supported by required and optional documentation, the faculty member provides evidence of performance and professional growth and development.

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.

### **5.2.1 Effective Teaching**

Evidentiary documents for this standard expectation will include the following: (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, emails, and/or cards citing recognition of teaching excellence, and (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 also be included.

### **5.2.3 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. Faculty members are also encouraged to submit minimum of one grant proposal to a funding agency every year.

Examples of scholarly activity may include but are not limited to the following:

- Academic presentations (e.g., academic conferences, professional conferences, on-campus colloquia)
- Academic publications (e.g., academic journals, conference proceedings, scholarly books, textbooks)
- Application of scholarship that results in documented change (e.g., collaboration with local schools, work with community organizations in problem solving, new professional certifications resulting from significant exploration, design of assessment systems/reports that require synthesis of expertise and exploration of data)
- Creation of scholarly materials or models (e.g., significant study that leads to change in University processes, policies, or widely-used materials)
- Creative endeavors, performances, and literary or artistic works
- Grant submissions and awards
- Significant study to expand areas of scholarly expertise promoting cross-disciplinary experiences and/or student research
- Invitational or juried exhibitions
- Patent applications

#### **5.2.4 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 that have community impact.

Faculty members are expected to show a measure of involvement in service to the University and community outreach activities consistent with their academic discipline. Faculty should serve on no more than two standing University committees during an academic year. (See Chapter 4 for a list of university standing committees.)

#### **5.2.5 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 five faculty development activities per academic year.

#### **5.2.6 Additional Achievements**

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

### **5.2.7 Evaluation of the Performance Portfolio**

Each faculty member will maintain an electronic 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 no later than February 15. The department Chair 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.

In extenuating circumstances, requests for time extensions for portfolios should be submitted in writing to the department Chair, the Dean and the Vice Provost for Academic Programs prior to February 15. The portfolios will be returned to the faculty members after they have been assessed according to their performance in the following areas,

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

Their respective Department Chair, Dean and Vice Provost for Academic Programs will append comments to the portfolios and make them available to the respective faculty members in a timely manner.

For more information, see Appendices: Claflin University Annual Faculty Performance Rating Form. Performance in each area will be rated numerically. The overall performance of the faculty member will be rated similarly. The evaluation will conclude with specific recommendations to include 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 will be generated in consultation with the Department Chair and Dean. This Developmental Plan will specify objectives and expected outcomes for the following year to address areas deemed below expectations with regard to performance of faculty duties.

### **5.3 Qualifications for Appointment to Rank and Tenure Track**

At the time of initial appointment, the President will approve tenure/non-tenure track and 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, the appropriate Department Chair and the appropriate Dean.

Academic faculty appointed to tenure-track 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 tenure-track academic faculty in all program areas except those for which disciplinary or regional accrediting agencies make different provisions, 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 Non-tenure Track Faculty**

Adjunct/Part-time Instructors, Instructors, Senior Lecturers, Professional/Practitioners-in-Residence, and Research Scientist.

##### **5.4.1 Adjunct Instructors**

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.

##### **5.4.2 Instructor**

Instructors are non-tenure track faculty members. Individuals in this position receive annual appointments. The minimum qualifications for appointment of a faculty member to the rank of Instructor are

At least a Master's degree in the appropriate discipline. Their primary responsibility is to provide classroom instruction in their area of expertise. If they subsequently earned the terminal degree in the teaching discipline, they may apply for tenure-track positions. They will undergo annual evaluations by their Department Chairs to determine whether or not they should be recommended for reappointment. This is an appointment that may be renewable annually based upon institutional need and annual evaluations.

##### **5.4.3 Senior Lecturer**

The normal minimum requirement for this rank is the Ph.D. or its equivalent in the

appropriate discipline. Special consideration will be given to work and other relevant professional experiences. This appointment is for a non-tenure track position. Terms of appointment will be stated in the contract at the time of the initial appointment. This position is renewable annually (based on institutional need and annual evaluations).

Faculty members hired into a tenure-track position are not eligible to transfer to a non-tenure track position unless approved by the appropriate Department Chair, Dean and Provost.

#### **5.4.4 Professionals/Practitioners-in-Residence**

**Professionals/Practitioners-in-Residence** are non-tenure-track faculty members whose academic backgrounds and career expertise make them valuable contributors to the University's mission. Professionals/Practitioners-in-Residence are under contract primarily to provide classroom instruction in their area of expertise. In addition to instructional activities, they may have additional responsibilities that require the talents and experiences developed in their careers outside of academia. Professionals/Practitioners-in-Residence may hold full-time or part-time appointments. This position is renewable annually based upon institutional need and annual evaluation.

#### **5.4.5 Research Scientist**

Research Scientists pursue grants and contracts along with other research support opportunities and conduct scientific research. Research Scientists typically hold doctoral degrees in disciplines corresponding with their research. Research Scientists are not tenure-track appointments, and, therefore, not eligible for tenure. They may participate in classroom and laboratory instruction and graduate student research consistent with the terms and conditions of the funding for their positions. Their primary role at the University remains scientific research. School Deans and Department Chairs may recommend candidates to the Provost for approval by the University President for maximum terms of three (3) years. Recommendations for appointments are contingent upon available funding. Ordinarily, the terms of their appointments will coincide with the duration of a research grant or contract and also are based upon institutional need and annual evaluation.

#### **5.5 Ranked Faculty**

The four academic ranks approved by the University include the following: Instructor, Assistant Professor, Associate Professor, and Professor. Ranked academic faculty will be employed only under annual, non-tenure track, non-tenured, or tenured appointments. Individuals who are neither tenured nor in a tenure-track position are classified as annual appointees or non-tenure track appointees. Annual appointments and non-tenure track 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 are employed under the following conditions in addition to those specified elsewhere in this chapter:

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

### **5.5.1 Instructor**

Instructors are non-tenure track faculty members. Individuals in this position receive annual appointments. They have a master's degree in the appropriate discipline but do not hold the terminal degree. Their primary responsibility is to provide classroom instruction in their area of expertise. If they subsequently become eligible for a tenure-track position, they may apply for it. They undergo annual evaluations by their department chair to determine whether or not they should be recommended for reappointment. This is an appointment that may be renewable (based upon institutional need and annual evaluations).

### **5.5.2 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 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). Faculty seeking promotion must demonstrate quality teaching through written evaluations presented in the performance portfolio.
- c. Service to the University: Candidates must demonstrate potential for meaningful service to the University in areas of faculty responsibility. Faculty seeking promotion must demonstrate involvement in University activities, attendance at University events, contributions to committees, and involvement in university life.
- d. Service to the Community (local, state, national, or international): Candidates must demonstrate potential for meaningful service to the broader community beyond the University. Faculty seeking promotion must demonstrate involvement in the broader community beyond the University.
- e. 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.)
- f. Support for the University's Educational Philosophy, Vision and Mission: Candidates for hire or promotion must demonstrate support for and commitment to the educational



philosophy, vision and mission of Claflin University as stated in Sections 1.4 through 1.6 of the Faculty Handbook.

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

### **5.5.3 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 a 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 Claflin University or another accredited institution. Faculty members who are requesting permission to use college teaching experience from another institution must submit evaluations of 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 approval of the appropriate Department Chair and Dean 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, Vision and Mission: Candidates for hire or promotion must demonstrate support for and commitment to the educational philosophy, vision 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.

#### **5.5.4 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 request permission to use college teaching experience from another institution, must submit evaluations of 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 approval of the appropriate Department Chair and Dean, 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, Vision and Mission: Candidates for hire or promotion must support and be committed to the educational philosophy, vision and mission of Claflin University as stated in Sections 1.4 through 1.6 of the Faculty Handbook.
- i. Faculty Expectations Criteria: All candidates for promotion or contract renewal must meet the criteria outlined in the Faculty Expectations Criteria Section of the Faculty Handbook.

See Section 5.10.2 for external review information.

### **5.5.5 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.

### **5.6 Librarians**

Professional Librarians employed by the University and given faculty rank are considered as to be 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:

#### **5.6.1 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~~ working in a positive, professional manner with students, faculty, and representatives of the community in their respective efforts to secure scholarly materials and research information.

## **5.7 Faculty Personnel Records**

### **5.7.1 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 agent, 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 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. Original (handwritten) student complaints are not available for review by the individual faculty member.
- 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 that clarifies any material in the file that 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.

### **5.7.2 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.

### **5.7.3 Policy Against Disability Discrimination**

Clafin University is an equal opportunity employer. The University complies fully with the Americans with Disabilities Act and will make reasonable accommodations for employees with disabilities in a manner consistent with applicable law.

### **5.7.4 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 United States Citizenship and Immigration Services at the time of hire and upon request of the University at any time after hire, as allowed or required by federal law.

## **5.8 Evaluation**

### **5.8.1 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 that 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 an electronic performance portfolio that will contain documentation to support his/her performance in the following areas:

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

See **Appendices**:

Non-submission of annual performance portfolios on the due date by both tenured and non-tenured faculty is a violation of the Faculty Handbook and Faculty Contract and is subject to disciplinary actions up to and including termination of employment.

### **5.8.2 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 supervisors will use the information provided in the electronic performance portfolio to make the appropriate recommendation using the applicable sections of the electronic performance portfolio for feedback. 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, may create a schedule that results in a classroom visit to each faculty member in his/her Department by another faculty member for the purpose of observation and evaluation; provided, however, any such peer evaluation should be performed with objectivity and without being encumbered by a conflict of interest.
- C. Student Evaluation of Instruction: Electronic 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 member 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 each fall and each spring. Specific details about the procedure will be placed online each semester by the Office of Planning, Assessment, and Information Services.

### **5.8.3 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.

### **5.9 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 of meeting expectations for research, scholarship and grantsmanship, service to the University and community, and faculty development outlined in faculty evaluation. 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 in writing,

with the Department Chair and Dean's approval, to the Provost for consideration no later than August 1.

### **5.9.1 Eligibility for Promotion and Tenure**

The minimum qualifications for advancement to ranks of Assistant Professor, Associate Professor and Professor are set forth in Sections 5.5.1 through 5.5.3 of the Faculty Handbook. However, it must be noted that while meeting the minimum requirements is a necessary condition for eligibility for promotion, 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 of these, for at least five years. Faculty members, who request permission to use college teaching experience from another institution must submit evaluations of 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 of these, for at least five years. Faculty members, who wish to use college teaching experience from another institution, when requested, must submit evaluations of teaching performance from the previous institution(s). Additionally, candidates for promotion to the rank of Professor will have the scholarship/research portion of their portfolios reviewed by two extramural evaluators. 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 appropriate Department Chair and Dean, petition the Provost to be considered for early promotion.
- d. The qualifications in Section 5.3 of the Faculty Handbook will apply to this section:
  - Demonstrated Effective Teaching Ability and Demonstrated Effective Advisement Activity.
  - Professional Development Activities: Consistent growth in scholarly achievement and recognition within and among the faculty member's discipline and professional organizations.
  - Service to the University.
  - Service to the Community.
  - Demonstrated support for the Educational Philosophy, Vision and Mission of the University.

### **5.9.2 Outline for Application**

Faculty members will be approved by the Office of the Provost when it is time for them to

submit an approved electronic portfolio for promotion and/or tenure. This portfolio will provide information selected from performance portfolios covering the years spent in the present rank (see Faculty Expectations section 5.2).

The following criteria will be used by faculty in organizing the application for promotion. In each area, additional evidence of support is encouraged.

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

### **5.9.3 Timeline and Procedures for Pre-tenure, Promotion and Tenure and Post Tenure**

a. Completed electronic portfolio must be uploaded and submitted to the Department Chair by September 1.

... Department Chair reads the portfolio and submits his/her recommendation in the form of a confidential letter to the Dean by September 15.

... Dean reads the portfolio and submits his/her recommendation in the form of a confidential letter to the Provost by October 15, which is transmitted to the Peer Review Committee by November 1.

...The Peer Review Committee receives access to the electronic portfolio by October 1.  
(Only Peer Review Committee members as independent reviewers write comments in the electronic portfolios of applicants)

... 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/her recommendation to the Board of Trustees for action during its spring meeting.

## **5.10 Tenure**

### **5.10.1 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/her level of performance and undergo post-tenure review every five years. The process for post-tenure review is described below in section 5.14.

### **5.10.2 Progression Towards Tenure**

The normal progression toward tenure shall begin with a probationary tenure-track appointment. Tenured faculty members at Claflin University who have achieved the rank of Assistant Professor or above become eligible after completion of a probationary period that shall not exceed six years. Therefore, a tenure-track 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, research and/or scholarly/creative activities, and professional service.

The Institution may have the scholarship/research portion of the portfolios reviewed by extramural evaluators. Candidates for tenure with the rank of Associate Professor, or who are applying for promotion to full Professor may have the scholarship/research portion of the portfolios reviewed by extramural evaluators.

Tenure does not apply to administrative positions or titles.

Any faculty member hired at the Institution must have taught at Claflin University for at least one full academic year before applying for tenure. Faculty members may apply for early tenure after the first year with the affirmative recommendation of their Department Chair, Dean and Provost.

### **5.10.3 Criteria for Pre-tenure, Tenure, and Post-Tenure Reviews**

#### **Pre-tenure Review**

Faculty members will be notified by the Office of the Provost when it is time for them to submit an approved electronic portfolio for pre-tenure review. This portfolio will provide information selected from performance portfolios covering the years spent in the present rank (see Faculty Expectations section 5.2).

Prior to December 1 of the third year, any tenure-track faculty member in a tenure-track (probationary) appointment shall be formally reviewed by a committee composed of the appropriate Department Chair and/or Dean and a tenured faculty member from the Department/School. The results of those reviews shall be communicated to the faculty member 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.

Non-submission of Pre-Tenure portfolios on the due date by faculty is a violation of the Faculty Handbook and Faculty Contract and is subject to disciplinary actions up to and including termination of employment.

### **Tenure Review**

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.

- i. 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.
- ii. All applicants for tenure must meet the criteria stated in the Faculty Qualifications (5.3) and Faculty Expectations (5.2) sections of the Faculty Handbook. In addition, applicants will follow the criteria in Outline for Applications (5.9.2) and Timeline and Procedures for Pre-tenure, Promotion and Tenure and Post Tenure (5.9.3) of the Faculty Handbook.
- iii. 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 his/her sixth year and fails to stand for tenure shall not be reappointed.
- iv. If tenure is not attained within a six-year period, the faculty member will receive a terminal contract.
- v. Non-submission of Tenure portfolios on the due date by faculty is a violation of the Faculty Handbook and Faculty Contract and is subject to disciplinary actions up to and including termination of employment.

### **Post-Tenure Review**

Every tenured faculty member including Department chairs must undergo the Post Tenure Review every five years. The application is due September 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:

- i. An application
- ii. A performance portfolio encompassing the period since the award of tenure

- iii. A detailed plan of action for the next five years

Non-submission of Post-Tenure portfolios on the due date by tenured faculty is a violation of the Faculty Handbook and Faculty Contract and is subject to disciplinary actions up to and including termination of employment.

#### **5.10.4 Promotion and Tenure Appeals**

Promotion and tenure decisions may be appealed only 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.

#### **5.11 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 that may receive formal support include the following: 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; and 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 subject to the availability of funds and have to be approved by the Department Chair, the Dean, and the Provost. Requests of funds from the Center for Excellence in Teaching are made in writing to the Director of the Center and must be accompanied by 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 for Excellence in Teaching on endorsement of the concerned Department Chair, Dean and the Provost.

#### **5.12 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 that 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 the 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 academic 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.

### **5.12.1 Primary Criteria**

Based upon purposes cited in the policy, sabbatical 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 the intended travel, study, and/or research will 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 faculty member's department; e.g., how the intended travel, research, and/or study plan will 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).

### **5.12.2 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

### **5.12.3 Proposal Outline**

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

- a. Overview--a 50-word summary of the proposal
  - 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. Brief outline of activities or research design to be utilized to achieve indicated outcomes and anticipated results
  - 2. Timeline
    - a. Semester/Semesters of leave requested
    - b. Identification of major dates and deadlines.
- e. Resource Needs
- f. Evaluation -- Results expected and how applicant and institution can evaluate the leave (e.g., 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.

#### **5.12.4 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 by 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 may be 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/her 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.

#### **5.12.5 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 duties, including but not limited to, teaching, advisement, 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 if 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 immediately submitted and approved by the faculty member's Dean and 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 the faculty member's 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.

### **5.13 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/her 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 one 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 academic years under any circumstance.
- b. The reason for the leave of absence should be related to the service ~~which~~ that 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 be a member of the University faculty for at least three years before requesting a leave, unless the request for 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 it. 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.

### **5.14 Post-Tenure Review**

Every tenured faculty member, including Department Chairs and Deans, must undergo the Post-Tenure Review every five years.

The application is due September 1 of the sixth year after tenure is achieved and five years after the most recent post-tenure review for subsequent post-tenure reviews. Non-submission of Post-

Tenure portfolios on the due date by tenured faculty is a violation of the Faculty Handbook and Faculty Contract and is subject to disciplinary actions up to and including termination of employment. 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 the following:

- a) A performance portfolio encompassing the period since the award of tenure for the first Post-Tenure Review and the period since the most recent Post-Tenure Review for subsequent Post-Tenure Reviews
- b) A detailed plan of action for the next five years

#### **5.14.1 Post-Tenure Process**

All Post-Tenure Review portfolios will be submitted by September 1 to the concerned Department Chair, who will review the portfolio and submit her/his confidential letter to the Dean with the appropriate comments/endorsement by September 15. The Dean will review the portfolio and submit her/his confidential letter to the Provost by October 15 for onward transmittal to the Peer Review Committee. The Peer Review Committee will forward its recommendations to the Provost and then to the President for their respective review and approval.

#### **5.14.2 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, and may be, 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 tenure-track 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 the terminal one.

## **6.2 Notification of Non-Reappointment (Tenure-Track and Non-Tenure-Track)**

### **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 academic years, and the faculty member 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. Neither non-tenured nor tenure-track faculty 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:
  - i. 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.
  - ii. No later than 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.
  - iii. 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 6.2.3.D.
- 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 requirements of academic freedom; inability or incapacity to perform job duties; commission 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(s), 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 no 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 absence of exigent circumstances. By filing a request for a hearing, the dismissed member indicates his/her agreement that the Committee receives evidence and interviews 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 witnesses 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 his/her representative, shall be afforded an opportunity to present the faculty member's position and to respond to the evidence. At the faculty member's 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 a 12/15 hour load for a tenure-track faculty in all departments except non-tenure track faculty, whose teaching load will be a 15 hour load. Deans will be responsible for three hours and Department Chairs for 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 that 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 member 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 and 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 office hours, and engage in research, committee work, planning activities, meetings, and other faculty responsibilities.
2. The load of a full-time faculty member may include online courses, Continuing Education courses, graduate courses, and/or extended English or mathematics courses.
3. 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 must distribute office hours over at least four (4) days in order 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.
4. Each faculty member shall 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. Faculty members shall 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.
5. Each faculty member shall provide support to students.

6. Each faculty member shall monitor his/her official registration class list(s) and actual student attendance and report discrepancies as required.
7. Each faculty member shall submit a course syllabus for each course that clearly defines expectations and results (including student learning objectives and assessments).
8. Each faculty member shall submit grades, records and other reports on or before the date and time that such are required.
9. Each faculty member shall support University sanctioned programs including lecture series, cultural activities, seminars and other University functions.
10. Each faculty member shall fulfill all contractual obligations such as attending University Faculty Meetings, Convocations, Commencement, Baccalaureate Service, and Founders' Day.
11. Each faculty member shall receive approval for and order textbooks through the University's bookstore contractor and acquire other materials and resources.

With written approval of the Dean and Provost, reductions may be made in the teaching load of Program Coordinators (3 credit hours) and faculty members with release time for funded research (3 credit hours per 25 percent release time).

Among other factors that may be taken into consideration by the Department Chair, with the approval of the Dean, when computing a faculty member's workload are the following:

- a. The number of class/lab sessions assigned to the instructor per week,
- b. The number of students enrolled in all of the instructor's courses,
- c. The number of different preparations,
- d. The number of writing intensive courses,
- e. The number of student contact hours, including those from all class/lab sessions.

#### **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.

#### **6.7 Involvement in Curricular Issues**

All departments must comply with the General Education curriculum framework of the University.

Any individual with faculty status may initiate recommendations for changes, additions, or

deletions in curricula offerings.

Modifications of any type must begin within a Department or School, and upon a favorable vote thereof, be forwarded to the next level to be finally voted upon by the Academic Affairs Committee and then the faculty.

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**

**Pay Periods**

**Payroll Deductions**

**Fringe Benefits for Faculty Members**



## **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. This 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 interests 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 their subject within the classroom. However, teachers should be mindful not to introduce into their 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 officer 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 an officer of education, the teacher should always remember that the public may choose to judge his/her profession as well as his/her institution by his/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**

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.

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 for the duration of the contract period unless otherwise stipulated. 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.

Full-time faculty on contracts with a duration of less than 12 months who wish to have their payments spread out over the entire year should fill out and submit the appropriate form to the Office of Human Resources.

### **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 (5.11) for more information.

#### **7.3.2 Faculty Travel**

The University encourages faculty travel to and from 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 Heads and Deans, Provost, and President prior to leaving for meetings or conventions and prior to incurring non-refundable expenses associated with such meetings or conventions. Where such travel is authorized, expenses will be reimbursed to the faculty following the filing of an expense report with the Business Office upon return. Also see Faculty Development (5.11) for additional details.

#### **7.3.3 Retirement Programs**

The retirement program at Claflin includes the Social Security program and TIAA-CREF plans. The Social Security plan is mandatory and is subject to the terms and conditions of such plan. Faculty members are not eligible to participate in the TIAA-CREF plan until they begin their second year of employment at the University and such participation shall be subject to the terms and conditions of such plan. 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, medical, vision, and dental insurance. These plans cover both employees and their dependents, subject to the terms and conditions of such plans.

#### **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 when the holiday is 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. (Please refer to the Office of Human Resources)

### **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 or email 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  
For Faculty  
For Students**

**Conflicts of Interest**

**Policy on Harassment**

**Academic Dishonesty**

## **8.1 Grievance Procedure--Faculty**

When a member of the faculty has a grievance, a problem requiring administrative advice or decision, the matter should be discussed first with the relevant Department Chair and then the Dean.

In the event that the grievance is against the Department Chair, the matter should be brought to the Dean, in writing, and a copy of the grievance letter should be sent to the Vice Provost for Academic Affairs. In the event that the grievance is against the Dean, the matter should be brought to the Vice Provost for Academic Affairs, in writing, and a copy of the grievance letter should be sent to the Provost.

If the problem is not resolved within a reasonable period of time or if the faculty member regards the decision as unsatisfactory, the matter should be brought to the Provost, 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.

However, if no such ruling is, or 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 of its first meeting on the case.

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 of the University. The decision of the President shall be final.

## **8.2 Grievance Procedure--Student**

Subject to the terms of the University's Title IX Policy, 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. With the exception of allegations of "sexual harassment" or retaliation under Title IX, the Student Grievance Procedure applies to alleged discrimination on the basis of race, color, religion, sex, age, national origin, disability or any other legally protected characteristic or status as well as relevant issues that are not governed by other specific grievance policies and procedures such as harassment, academic dishonesty, and grade appeals. When filing a student grievance under these procedures, the student is expected to provide clear and convincing evidence for the alleged discriminatory act. In contrast, however, the preponderance of evidence standard shall apply to formal complaints made under the University's Title IX Policy. The person filing the grievance must be the alleged victim of the discriminatory act. A grievance filed under the Student Grievance Procedure may not be filed on behalf of another person.

### **8.2.1 Informal Resolution**

A student may elect to resolve the grievance informally by requesting a conference either verbally or in writing with the person alleged to have violated his or her rights. The discussion is expected to be held within fourteen calendar days of the alleged violation. The accused party must respond to the student in writing within seven calendar days indicating the resolution of the grievance.

### **8.2.2 Formal Resolution**

If the student declines the option of an informal resolution or in cases when a satisfactory resolution is not reached, he or she may file a formal grievance in writing to the appropriate Department Chair in immediate supervision of the person alleged to have committed the violation. If the grievance is against the Department Chair or Program Director, then the student should address the grievance to the Dean or appropriate next-level administrator; if the grievance is against the Dean, then the student should address the grievance to the Vice Provost for Academic Affairs. The written document must include a detailed description of the alleged act, all facts relevant to the violation, and a description of the requested resolution.

The administrator to whom the grievance was addressed will conduct a formal investigation to resolve the issue within fourteen calendar days. Based upon the results of the investigation, the administrator shall make a determination and submit his or her decision in writing within seven calendar days to the student and the person alleged to have caused the grievance. The written determination shall include the rationale for the decision and, if necessary, the subsequent actions to be taken.

### **8.2.3 Appeal Procedures**

In the event that a grievance remains unresolved after the formal resolution process, a student may appeal the grievance to the Provost. The Provost shall then appoint an impartial committee of three to five individuals to conduct a formal investigation to seek additional facts relevant to the issue within fourteen calendar days. The committee shall prepare a detailed written report of the facts and based upon the report, the Provost shall make a determination and submit within seven calendar days his or her decision in writing to the student and the person alleged to have caused the grievance. The written determination shall include the rationale for the decision and, if necessary, the subsequent actions to be taken. The Provost may choose to appoint another administrator to act on his or her behalf.

### **8.3 Conflicts of Interest in Personnel Decisions**

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 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:

1. 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.

2. 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, 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 characteristic or status.

Any form of harassment, including sexual harassment of employees or students, is a serious matter. All faculty and other employees must avoid offensive or inappropriate sexual and/or sexually harassing behavior at work and will be held responsible for ensuring that the workplace is free from sexual or other harassment.

Specifically, Claflin prohibits the following:

- Unwelcome sexual advances of any kind. Individuals must understand that "No" means "No"!
- 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 that any employee's or student'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.
- Any verbal or physical conduct that has the purpose or effect of creating an intimidating, hostile, or offensive working or academic environment.

Such conduct may result in disciplinary action up to and including dismissal.

Other sexually harassing conduct in the workplace, whether physical or verbal, committed by supervisors or non-supervisory personnel is also prohibited. This behavior includes, but is not limited to, commentary about an individual's body, sexually degrading



words to describe an individual, offensive comments, off-color language or jokes, innuendoes, and sexually suggestive objects, books, magazines, photographs, cartoons or other images.

All employees and/or students who have complaints of sexual harassment by anyone, including any supervisors, co-employees, faculty/instructors, students, or visitors, are urged to report such conduct to the Vice President for Student Development and Services and/or the Director of Human Resources and/or the Title IX Coordinator. To the extent the alleged harassment satisfies the definition of “sexual harassment” under Title IX, the allegations will be handled pursuant to the terms of the University’s Title IX Policy.

Finally, if employees feel that the University has not met its obligation under this policy, or if they are not satisfied with the way in which the report of harassment was handled, they should contact the Vice President and General Counsel. An effective no-harassment policy depends on all employees working together to address this very important subject.

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

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

There will be no retaliation against employees or students for reporting sexual harassment or assisting in the investigation of a complaint. However, if after investigating any complaint of harassment or unlawful discrimination, Clafin University learns that an employee or student has provided false information regarding the complaint, disciplinary action may be taken against the individual who provided the false information.

For more information on this subject, see Title IX in the **Appendices** of this document.

## **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 Executive 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. 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 within five business days.
2. 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.
3. Reasonable time, not to exceed two weeks, may be requested to prepare a written response to the charge.
4. A hearing or meeting will be held 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 student 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

## **Appendices**

### **Appendix I: Annual Performance Evaluation in EPF online (100 points)**

Teaching	60 points
Research	20 points
Service	10 points
Faculty Development	10 points
Other	5 additional points (optional)
<b>Total</b>	<b>100 points</b>

### **Appendix II: Information on Title IX**

Claflin University's website states that:

*It is the policy of Claflin University to comply with Title IX of the Education Amendments of 1972, which states, "No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any education program or activity receiving federal financial assistance."*

Under Title IX, discrimination on the basis of sex includes sexual harassment and sexual violence, such as rape, sexual assault, sexual battery and sexual coercion.

Claflin University has a Title IX Coordinator and Deputy Coordinators assigned to comply with the "Governing Law" and to respond to inquiries concerning Title IX.

Detailed information on Title IX is given on Claflin University's web site at [https://www.claflin.edu/docs/default-source/policies-and-procedures/2-human-resources/policy-200-29---sexual-misconduct-and-harassment.pdf?sfvrsn=1382390e\\_18](https://www.claflin.edu/docs/default-source/policies-and-procedures/2-human-resources/policy-200-29---sexual-misconduct-and-harassment.pdf?sfvrsn=1382390e_18)