



# **FACULTY HANDBOOK**

**Chicago Campus**

**Revised 2016**

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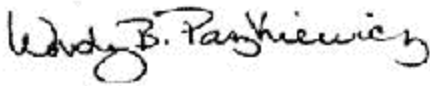
## **Welcome to the Adler University Faculty Community**

As you read through this Faculty Handbook, you will discover much about the University, its history, mission and values. You will also find practical information related to the everyday operations of the University and how they relate to your role and responsibilities as a faculty member.

The Handbook is the outcome of an effective collaboration between the faculty and Office of Academic Affairs at Adler University. It is an excellent example of shared governance. The academic policies and procedures were developed together through a process of robust discussion that led to consensus. As you read the Faculty Constitution in Section I, you will soon understand how the concept of shared governance is at the very foundation of our work.

We believe the Handbook provides a comprehensive framework that will assist us in our work. Please understand that it is everyone's responsibility to review and follow the policies and procedures outlined here. They have been developed to ensure that we are all guided by the same principles and that everyone adheres to the same standards.

The Handbook will be revised regularly according to the provisions in Section VII, and everyone will be notified of the changes.



**Vice President of Academic Affairs  
Adler University**

**Mission and Vision:** <http://www.adler.edu/page/about/mission>

**History:** <http://www.adler.edu/page/about/history/adler-school-history>

## **SECTION I: FACULTY CONSTITUTION**

### **A. Overarching Statement**

The faculty and administration of Adler University are committed to shared governance and the all-encompassing principles of preparing socially responsible practitioners, engaging communities and advancing social justice.

Each campus supports the process of participatory governance among all campuses in order to share mutual concerns and achievements.

The joint effort of an Academic Council reflects the collective commitment to consult on the operation of shared governance as applied on each campus.

### **B. Preamble**

Adler University is a not-for-profit institution of higher education, governed by a Board of Trustees, and committed to continuing the work of Alfred Adler by graduating socially responsible practitioners, engaging communities, and advancing social justice.

Adler University recognizes the critical role that faculty play in achieving its mission and establish this framework for the practice of shared academic governance in order to ensure that members of the faculty may participate meaningfully and effectively in the leadership of all academic pursuits of the institution.

Adler University also fully embraces the principle of Academic Freedom in order to ensure all members of the Adler University community are enabled and encouraged to pursue chosen academic and organizational endeavors and express ideas and perspectives.

Shared governance is understood as a collaborative process that promotes maximum participation in decision making by various constituencies making up the University, balanced with clear accountability for decisions. As one of the key constituencies involved in fulfilling the University's mission, faculty's involvement in shared governance requires participation in key decision-making processes as well as the exercise of primary responsibility for specific areas of decision-making.

This Framework outlines faculty rights and key areas of responsibility and decision making within the shared governance framework.

### **C. Article I: Shared Governance**

The faculty of Adler University recognizes the Board of Trustees as the final institutional authority. At the same time, the interdependence and cooperation of the faculty, administration, and governing board are fundamental to legitimate and effective governance.

It is a guiding principle of shared governance at the University that the faculty and the administration shall collaborate in major decisions affecting the academic welfare of the University. Communication among all groups is essential to ensure full opportunity for appropriate joint planning and effort.

The Board of Trustees delegates the primary responsibility to the faculty in certain areas, and, in others, involves the faculty before making final decisions. The Constitution provides a system for faculty participation in the governance of the University.

In every area it is imperative that all parties engage in consultation and seek consensus that does not require unanimity on decisions before they are made. Where the faculty has primary responsibility, faculty decisions will be upheld except in rare instances and for compelling reasons. The faculty pledges its full cooperation in this endeavor. Any reasons for reversals of decisions should only occur in rare instances and reasons for alternative decisions shall be shared in writing with the Faculty within ten business days.

#### **D. Article II: Academic Freedom**

Academic Freedom is essential to fulfilling the mission of the University. It functions to protect the members of the University from interference by external, internal and non-academic constraints. Academic freedom is the unqualified right of every faculty member to the full freedom of inquiry, discourse, teaching and learning, research, and publication.

With due regard for the law of the land and the forms of academic self-government, faculty members are entitled to freedom in scholarship and research and in the publication, display or performance of the results, subject to the adequate performance of their other academic duties; are entitled to freedom to teach, profess and discuss material in the classroom while maintaining standards of professional conduct; are free to speak, research, write and discuss, both on and off campus, without fear of retaliation.

Academic freedom carries a reciprocal obligation to respect and maintain the academic freedom of every other member of the University. This freedom also extends not only to the regular members of the University, but to all who are invited to participate in its forum. Suppression of this freedom, whether by institution of the state, the officers of the University, or the action of private individuals or groups, would prevent the University from carrying out its primary functions. Faculty members who believe that their academic freedom has been infringed shall be entitled to follow applicable grievance procedures.

At the same time, Faculty members, when they act as representatives of the University, have a responsibility to speak and act in keeping with the mission and values of the University.

#### **E. Article III: Function of the Faculty**

The Adler University Faculty shall have authority to develop, implement, and govern academic policies and procedures of each respective campus, in collaboration with the Chief Academic Officer (as defined in the bylaws), the President and the Board of Trustees.

More specifically, the Faculty shall have primary responsibility for and formulate policies and operating procedures governing the following areas:

1. Academic Curriculum and Programs including:
  - a) The establishment and direction of all academic programs.
  - b) Approval and development of curricula and program requirements for all degrees and other academic programs (e.g., certificates, specializations, tracks, concentrations, etc.) offered by Adler University and shall determine the content of all courses, in such curricula or programs.

- c) Approval of changes to course offerings, and establishment and review of ongoing assessment using available data on student learning outcomes and/or performance.
  - d) The assurance of consistency in the level and quality of learning and assessment activities and in the expectations of student performance.
  - e) Nomination of all students to whom degrees or certificates shall be granted.
2. Academic Policies and Procedures including:
- a) Development of appropriate academic policies and procedures that impact the curriculum and the program (Admissions, Academic Standards, Student Retention and Dismissal, Graduation Requirements).
  - b) Collaboration in the development of policies relative to intellectual property.
  - c) Development of policies defining academic freedom.

3. Faculty Performance Standards and Policies for:

- a) Collaboration in the development of faculty personnel policies and involvement in their implementation, including those related to criteria for appointment, performance evaluation, promotion, and disciplinary action toward members of the faculty, in compliance with all applicable provisions of federal, state, provincial and local law.

The Faculty shall have equally shared responsibilities with the administration (Chief Academic Officer and the President).

4. Faculty Governance Process and Procedures that support all of the domains:

- a) Collaborate in policy proposals and decisions pertinent to areas such as long-range planning, creation of new programs, utilization of existing resources, and allocation of resources through the budgeting process.
- b) Input into the nomination of the individual members of the Board of Trustees.
- c) The input into appointment of the president and selection of academic administrators, and evaluation of Department Chairs and/or Program Directors.

5. Faculty Governance will also serve additional function as follows:

- a) Collaboration with those programs and/or services that support and enhance the student experience relative to the academic process.
- b) Discuss, and make recommendations to any appropriate body within Adler University regarding any matter of interest to the institution.
- c) Request information through appropriate channels from any member of the institution and expect that those requests are responded to in a timely manner.

In the interests of shared governance, proposed decisions or recommendations being considered by the Faculty in areas where faculty do not have primary responsibility, but where the faculty may be directly

impacted, academic leadership on the campus will consult with its faculty so as to allow for input and feedback prior to the decision being made.

**F. Article IV: Faculty Grievance Rights**

A grievance may be filed by a faculty member in relation to administrative actions which the Faculty member deems to be a violation of University policies and procedures, their rights related to their contract, the *Faculty Constitution*, employment/labor law or an infringement upon the exercise of rights guaranteed by the laws or constitution of the state/province or by the United States or Canada. For example, areas of grievance may include, but are not limited to, unfair application of the University's policies and procedures on a faculty member, issues bearing on the academic freedom of a faculty member or disciplinary measures taken against a faculty member. Personal conflicts with other University employees or complaints concerning standard operating procedures are not usually subject to the grievance procedure.

While it is hoped that most grievances will be resolved quickly through appropriate informal channels, a formal approved procedure is available to faculty should such informal methods not succeed.

Faculty members may express a grievance through the established procedures with the assurance of a timely and thorough consideration. Grievants are assured freedom from reprisal for filing of their grievance.

**G. Article V: Amendments**

**Section 1: Definition and Procedures**

As used in this Article, the term "amendment" includes any addition to, alteration, or repeal of any part of the Constitution of the Faculty.

Amendments to the Constitution of the Faculty will be developed by Faculty and in collaboration with the Chief Academic Officer as applicable, assent by the President and approval by the Board of Trustees.

Amendments to the Constitution of the Faculty may be adopted only by the affirmative vote of at least three-quarters of the Voting Members of the Faculty Councils of Adler's Campuses, with a quorum being present.

No such amendment shall be adopted unless notice of the terms of such amendment shall have been furnished to each Voting Member of the Faculty Councils (as defined above) in accordance with the bylaws.

**H. Article VI: Ratification**

**Section 1: Procedures**

This Constitution of the Faculty shall become effective when adopted by affirmative vote of at least three-quarters of the Voting Members of the Faculty Councils of Adler's Campuses, the Chief Academic Officers and the President have assented, and the Board of Trustees has approved.

**I. Article VII: Academic Council**

**Section 1: Definition**

The Academic Council is composed of the past Faculty Council chairs or designee and the current Faculty Council Chairs from each campus, the faculty member-at-large from each campus, and the Chief Academic Officer of each campus serving *ex officio*. A shared online platform that is mutually agreed upon will be used as a central file of meeting agendas and minutes to be submitted and maintained by the past Faculty Chairs or designee.



## **Section 2: Purpose**

The Academic Council shall meet regularly to discuss academic issues central to curriculum and programs, academic policies, teaching and learning, service to students, service to the institution, service to the community, professional development, and faculty governance that impact all three campuses. Meetings will be scheduled once per semester, alternating host campuses, or can be cancelled when not needed.

## **J. Article VIII: Faculty Council: Definition, Membership, and Voting**

### **Section 1. Definition of Faculty Appointments and Membership**

Faculty appointments are assigned by the President of the University. Voting membership in Faculty Council is granted by a vote of the Faculty Council, as outlined in the Bylaws.

### **Section 2. The Faculty Council**

“Faculty Council” refers to all individuals who have been granted voting status by each respective Faculty Council campus. Each Faculty Council reserves the right to meet in closed session with only Voting Members present. Members of administration and staff are invited guests of the faculty council and present by invitation only.

### **Section 3. Rights and Responsibilities of Voting Members**

All Voting Members shall have one vote. Voting Members shall be expected to assume all roles and responsibilities as outlined in the Constitution and Bylaws.

## **K. Article IX: Faculty Council Meetings**

Meetings of the Faculty Council shall be held on a regular basis as outlined in the Bylaws.

## **L. Article X: Academic Departments and Programs**

### **Section 1: Statement of Purpose**

The degrees and other academic programs offered by the University will be administered through a structure of departments and programs, developed collaboratively by administration and faculty.

## **M. Article XI: Campus Faculty Governance Operational Frameworks**

The Faculty Council of each Adler University campus in consultation with the Chief Academic Officer of the campus has the right and responsibility to organize faculty governance structures, systems and practices in a manner specific to the needs of the respective campus.

In fulfilling this right and responsibility, voting members of the Faculty Council on each Adler University Campus will develop, adopt, amend or repeal bylaws or other governance frameworks over time as they see fit, which are developed to guide the shared governance process on each campus. No bylaw or other framework shall be adopted that is not consistent with the Constitution of the Faculty and without the affirmative vote of at least two-thirds of Voting Members, a quorum being present. Notice of the proposed new or amended bylaws or framework, or of the proposed repeal shall have been furnished to each Voting Member as is designated in the bylaws or frameworks of each campus.

Bylaws and frameworks are to be made in collaboration with the Chief Academic Officer and/or their designated representatives.

Campus governance structures and systems, including bylaws, do not require approval of the Board of Trustees. Any impasse on campus governance structures and systems including by-laws, between the faculty and the Chief Academic Officer can be appealed to the President for review and a decision.

## **SECTION II: BYLAWS OF THE FACULTY CONSTITUTION**

The Faculty Constitution Bylaws are being developed at this time.

## **SECTION III: FACULTY POLICIES AND PROCEDURES**

### **A. Definition of Faculty Appointments and Membership**

Faculty appointments are assigned by the President of the University. Voting membership in Faculty Council is granted by a vote of the Faculty Council, as outlined in the Bylaws.

### **B. Types of Faculty**

#### **1) Core/Teaching Faculty**

Core/Teaching Faculty hold an annual contract with the University, are associated with an academic program, are responsible for engaging in one or more areas of faculty responsibilities, and must be appropriately credentialed in their content area.

#### **2) Adjunct Faculty**

Adjunct Faculty members are temporary, contracted term-to-term for teaching and other specific assignments, and must be appropriately credentialed in the content area. No benefits are accrued to Adjunct Faculty.

#### **3) Administrative Faculty**

Administrative faculty are members of the University who hold a terminal degree in their field and perform administrative functions within one or more academic departments, but are entitled to faculty status because of the nature of their responsibilities. The category of administrative faculty includes department chairs and associate chairs; program directors; training directors, and associate training directors.

#### **4) Administrator with Faculty Rank**

Administrators with faculty rank are members of the University who hold a terminal degree in their field and whose positions include oversight for one or more campuses within the University as well as management of its broader educational goals. The category of administrators with faculty rank includes those faculty in the position of Associate Vice President or above.

#### **5) Visiting Faculty**

The University supplements its regular teaching faculty with qualified visiting faculty. Visiting Faculty are persons who may be well-known in their area of specialization. Their appointment for a limited period of time enhances and enriches the educational experience of Adler students.

#### **6) Distinguished Service Professor**

The title of Distinguished Service Professor may be given to members of the faculty or external scholars who have provided years of distinguished service to the University or to their field of study.

#### **7) Professor Emerita/Emeritus**

The title of Professor Emerita/Emeritus may be awarded to faculty members who have been honorably retired after rendering distinguished service to the University.

## C. Faculty Qualifications

### Added 2018

#### Introduction

Adler University ensures that all faculty members are well-qualified to teach students enrolled at our three campuses. The Faculty Qualification policy establishes the minimum standard for ensuring all faculty members are qualified to teach courses to which they are assigned. This policy complies with the [Assumed Practices of the Higher Learning Commission](#).

#### Minimum Qualifications for Faculty Members

Qualification to teach a course is generally based on the highest earned degree in the teaching field related to the academic program. Terminally-degreed faculty are preferred for all levels of instruction at Adler University. Persons recommended for instructional faculty positions at Adler University must possess:

Doctoral Programs: Instructional faculty in doctoral programs at Adler University must possess an earned doctoral degree and a record of scholarship appropriate to the discipline.

Master Programs: A member of the faculty may be deemed academically qualified if they have earned:

- A terminal degree in the teaching field; or
- A terminal degree in a closely related field, as defined by the academic department; or
- A terminal degree in any discipline with at least eighteen graduate credit hours in the teaching field or a closely related field, as defined by the academic department.

Undergraduate Programs: For undergraduate programs, terminally-degreed faculty are preferred. At a minimum, undergraduate instructional faculty must possess a master's degree in the discipline OR a master's degree plus 18 graduate credit hours in the discipline.

#### Tested Experience Criteria

Evaluation of earned academic credentials is the primary method for determining faculty qualifications. However, other credentials may be considered. Specifically, and per HLC guidance, Adler will allow "Tested Experience" to replace Earned Degrees as a sufficient faculty qualification. The Tested Experience criteria that qualify faculty to teach courses for Adler, in place of the HLC-specified academic degree credentials, are:

Minimum of a master's degree plus one or more of the following:

- Possession and maintenance of a widely accepted credential or certification that is the generally recognized industry standard (as determined by the department chairperson and approved by the Academic Dean).
- Three years of experience in a field specifically related to the course to be taught (as determined by the department chair and approved by the Academic Dean).
- Possession of a specific skill set (as determined by the department chair and approved by the Academic Dean) in a field for which no widely accepted credential or certification exists.

- Five years of college or university teaching in a field specifically related to the course to be taught (as determined by the department chair and approved by the Academic Dean).

### **Documentation of Qualifications**

The responsibility for ensuring appropriate credentials for all teaching faculty teaching lies with the applicable campus Academic Dean and department chair. Copies of all credentials and transcripts will be maintained by the Human Resources Department.

### **D. Procedures for Faculty Recruitment and Appointment**

Recruitment of faculty members is conducted through coordinated efforts with Departmental Faculty Search Committees and Human Resources. (Please see the Faculty Recruitment and Hiring Procedures in Appendix E.)

#### **Search Process for Administrative Faculty**

In addition to involvement in searches for faculty vacancies, faculty will also participate in searches for administrative faculty. In these instances, given the administrative responsibilities involved in the position, the search committee will include administrative faculty, as well as two (2) teaching faculty members. The VPAA will chair the search committee for department chair vacancies and a department chair will lead the search committee for a program director vacancy.

The recommendation to hire an applicant will be made by the search committee to the Vice President of Academic Affairs and the President for approval.

### **E. Teaching Faculty Responsibilities** *(approved by Faculty Council, June 17 2014)*

As an institution that stresses the primacy of instruction, the University recognizes that excellence in teaching is the faculty member's priority. In addition, the faculty member has a responsibility to participate in the day-to-day operations of the institution. These responsibilities presume that the faculty member is consistently available for teaching, advising, collaboration, and participation in departmental and institutional governance. The faculty member also engages in service outside the Adler community and the pursuit of scholarly or creative activities according to the appropriate academic discipline. Teaching and advising responsibilities account for at least 50% of teaching faculty activities. The remaining 50% is divided between service and scholarly or creative activities based on faculty goals and departmental needs, as negotiated with the Department Chair, with a minimum of 10% in either area.

In fulfilling all professional responsibilities, faculty agree to:

1. Adhere to non-discriminatory practices in interacting with others and to adhere to appropriate professional ethical codes.
2. Show due respect for the rights of others when professionally and appropriately expressing differing opinions or ideas.
3. Preserve confidentiality required in academic, personnel, and administrative deliberations.
4. Hold oneself and others accountable for professional responsibilities and agreed upon commitments.
5. Avoid unauthorized use of University resources or facilities for personal, commercial, or political purposes.
6. Comply with all applicable University regulations and procedures.
7. Create a climate that encourages students' learning and where free and open discussion of all content and issues relevant to a course can take place.
8. Demonstrate respect for students, and guard the confidentiality of the faculty-student relationship according to state and federal regulations.
9. Avoid exploitation of students for personal advantage.
10. Be unflinchingly honest in scholarly and creative activity, refrain from misrepresentation, and respect the

***Faculty Handbook, July 2014 Revision (added to Connect 7.29.2014); Ad Hoc Committee final with HR/VPAA revisions, 2/2016; Faculty Qualifications added 2018***

- intellectual property rights of others by acknowledging any contributions to the faculty member's work.
11. Integrate discipline-specific knowledge and professional experience with the practice of faculty roles and responsibilities.
  12. Uphold academic freedom for faculty and students.

### **Teaching and Advising**

Teaching and advising responsibilities include development of curricula, academic advisement, conducting class at the assigned times and according to the syllabus, evaluating student work impartially, and administering final examinations or projects at the scheduled times. The mentoring relationship between faculty members and their students is an integral part of education.

In fulfilling teaching requirements, faculty agree to:

1. Propose, prescribe, and define areas of study and student learning outcomes, including review of courses, programs, or degrees.
2. Develop and provide a course syllabus by the required deadline(s).
3. Clearly communicate the objectives of the course or program, establish requirements, set standards of achievement, and evaluate students' performance in a timely and constructive fashion. This evaluation must be consistent with the stated standards, and must not be influenced by the student's race, age, sex, religion, sexual orientation, class, disability, ethnicity, political views or perceived agreement with the faculty's opinions.
4. Deliver instruction consistent with the description published in the catalog and with the stated objectives of the course.
5. Differentiate informed professional opinions from cited fact.
6. Meet all classes as scheduled, except under special circumstances approved in advance by the faculty member's supervisor.
7. Make provision for equivalent alternate instruction, supervision of student assistants, and advising during any approved absence.
8. Review feedback from student evaluations and apply it where possible to improve teaching.
9. Guide students in various capacities: as thesis or dissertation advisors, as supervisors of research and/or teaching assistantships, and as program or curriculum advisors.

10. Hold regularly scheduled office hours, be reasonably available for appointments with students, and respond to inquiries in a timely way, as defined by departments. For online or blended courses, this can include online conferencing.
11. Participate actively in the student referral process and assist advisees with any required remediation efforts.
12. Provide students with accurate and current program requirements and academic policies and procedures, in order to help them reach their academic goals.
13. Assist students in furthering their education, employment, or professional development through referrals and letters of recommendation.
14. Provide constructive input into new degree program development.

### **Service**

Faculty service includes active engagement in the operation of the academic institution. Beyond institutional service, faculty are expected to participate in progressive, socially responsible involvement within their profession or the community. In support of community engagement, faculty are encouraged to work with community partners to pursue a collaborative integration of teaching, service, or scholarly/creative activity that not only meets professional responsibilities but also serves the public good.

In fulfilling service requirements, faculty agree to:

1. Participate in an equitable distribution of required committee work and departmental responsibilities, and to actively engage in the institution's governance processes.
2. Develop appropriate academic policies and procedures for the curriculum, department, and the institution.
3. Participate in accreditation activities that apply to their departments.
4. Contribute to student life policies that affect the educational process.
5. Engage in admissions interviews and new student orientations, to attend institution-wide events, and to participate in commencement ceremonies.
6. Maintain active membership in professional organization(s).
7. Attend professional activities.
8. Engage with a community organization, including volunteer activity.
9. Ensure that any professional obligations outside the institution, such as consulting, managing a practice, or holding professional office, do not interfere with primary faculty responsibilities.

### **Scholarly or Creative Activity**

Faculty scholarly or creative activity in all disciplines will be defined as those pursuits which add to the field's knowledge, best practices, or application to real-world settings.

In fulfilling scholarly or creative activity, faculty agree to:

1. Keep abreast of progress in their relevant field(s), to develop and improve scholarly skills, and to devote energies to the extension of knowledge.
2. Maintain active scholarship or creative work, or to contribute to the professional work of the relevant academic discipline.
3. Engage students and/or community partners in collaborative work in areas of scholarship and professional activity.

## **F. Evaluation of Faculty Performance\***

All teaching faculty are evaluated annually by their Department Chair or Program Director, on a timetable set by Human Resources. Faculty performance is measured according to the standards outlined in the Teaching Faculty Responsibilities document.

\*The Faculty Performance Appraisal process is under revision and will be completed in FY16 for implementation in spring/summer 2016 for the 2015-2016 academic year. A Task Force including faculty, the VPAA, and the AVP of Human Resources will work together on this revision process.

## **G. Faculty Workload**

Faculty appointments are usually a full-time, 10 month contract with the expectation that a faculty member will have a regular presence on campus for students and colleagues. The faculty member will be required to teach throughout the calendar year in two fifteen-week semesters in fall and spring, (14 of the 15 must be devoted to in-class instruction), and a Summer Semester consisting of a condensed format teaching session. Courses are scheduled during mornings, afternoons and evenings and also on weekends and a faculty member may need to adjust their schedule accordingly. Faculty members are expected to hold regularly schedule office hours, be reasonably available for appointments with students, and respond to inquiries in a timely way as well as participate in some external professional practice or scholarship activity that informs teaching.

Teaching/advising responsibilities account for at least 70% of teaching faculty activities. The remaining 30% is divided between service and scholarship/creative activities based on faculty goals and departmental needs, with a minimum of 10% for either area, as negotiated with the Department Chair/Program Director. Beyond institutional service, faculty provide service and/or scholarship that serves the larger community and/or profession. In that faculty responsibilities are divided among teaching, service, and scholarship, teaching activities can extend beyond the classroom and occur simultaneously with service and/or scholarship.

## **H. Rank and Promotion**

The assignment of rank recognizes excellence and experience in the performance of teaching, advising, service and scholarship. Faculty eligible for rank have, by continuous appointment, a primary role to instruct, advise, train and evaluate student learning and academic development. The assignment of rank to newly hired and current faculty is made by the Rank, Promotion and Sabbatical Committee (RPSC), a standing committee of the Faculty Council. The University assigns the following ranks to faculty:

**Assistant Professor** is assigned to faculty members with a terminal degree with limited teaching experience.

**Associate Professor** is assigned to faculty members with significant experience and demonstrated excellence in teaching and either service or scholarship.

**Full Professor** is assigned to faculty members with experience and demonstrated excellence in teaching, service and scholarship.

### **Rank and Promotion Checklist (see Appendix B)**

The Rank, Promotion, and Sabbatical Committee has developed a checklist that summarizes the criteria for rank and the expectations for portfolio contents to assist faculty with the process.

### **Rank and Promotion Criteria and Procedures [see Appendix C]**

### **Rank and Promotion Decision Appeal Process [see Appendix D]**

*Faculty Handbook, July 2014 Revision (added to Connect 7.29.2014); Ad Hoc Committee final with HR/ VPAA revisions, 2/2016; Faculty Qualifications added 2018*

An appeal of a rank decision made by the faculty Rank, Promotion, and Sabbatical Committee must be based on an assertion from the candidate that the review process was not followed. After reviewing the Committee's Process, a candidate may appeal a rank decision by submitting a letter to the ad hoc Faculty Appeals Committee Chair. It is the responsibility of the Appeals Committee to examine the part of the review process in question as stated by the candidate in his/her cover letter.

## **I. Progressive Discipline Policy and Procedure (to be revised in spring 2016)**

### **1. General Principles**

At times, corrective steps may be necessary to improve the performance of faculty members in meeting stated responsibilities. In such instances, the primary supervisor provides guidance and correction for the benefit of the faculty member and the University. If needed, the Department Chair works in partnership with the faculty member, the Vice President of Academic Affairs (VPAA), and/or the Associate Vice President (AVP) of Human Resources to develop strategies for remediation. Confidentiality is of paramount importance not only to protect the individual, but also to maintain compliance with legal and regulatory standards. The only exception is allowed when a faculty member has her or his case heard before the faculty Grievance Committee.

### **2. Sanctionable Conduct**

Adler University is committed, consistent with its obligation of responsible management, to investigating and addressing faculty misconduct or neglect of professional responsibilities that rises to the level of Sanctionable Conduct. Adler University will promptly investigate all allegations of Sanctionable Conduct, and, if found to be substantiated, will respond through appropriate corrective and/or disciplinary actions as described below.

Adler University considers that Sanctionable Conduct includes, but is not limited to, the following:

- a. Professional incompetence;
- b. Unethical behavior in teaching, creative endeavors, research, representation of credentials, or other professional activity relevant to the performance or responsibilities of Adler University faculty;
- c. Sustained refusal or failure to perform in an appropriate manner reasonably assigned faculty responsibilities, as outlined in the Faculty Responsibilities Document;
- d. Sustained refusal or failure to comply with established Adler University policies;
- e. Egregious or repeated misuse of the powers of the faculty member's professional position to solicit personal benefits or favors;
- f. Willful abrogation of contract terms;
- g. Harassment, discrimination, or other conduct that is destructive of the rights or academic freedom of other members of the Adler University community;
- h. Violation of law or Adler University policies with respect to the possession, use, and distribution of alcohol, illegal drugs, and controlled substances;
- i. Other criminal conduct manifestly inconsistent with continued faculty appointment.

### **3. Progressive Correctional Steps for Sanctionable Conduct**

Adler University is committed to engaging in a progressive process for addressing sanctionable conduct.

Upon witnessing or receiving a report of Sanctionable Conduct, the witness or recipient will write a report of such conduct and submit it to the VPAA, faculty's primary supervisor, and/or Human Resources to pursue its investigation.



The following information is required in the report:

- a. Description of the sanctionable conduct allegedly committed by the faculty member, including evidence to substantiate the claim;
- b. Name and contact information for the referring party.

The primary supervisor will review the report of sanctionable conduct and determine its validity by meeting with all parties involved in the incident. At any point the primary supervisor of the faculty member alleged to have committed sanctionable conduct is free to consult with the VPAA and/or Human Resources.

If the report is determined to be valid, the primary supervisor will take the following steps:

- a. Meet with the faculty member who has engaged in sanctionable conduct;
- b. Discuss any recommended disciplinary action(s), including remediation, suspension, termination, etc.

#### **4. Remediation**

A. When remediation is recommended, the primary supervisor and faculty member will develop mutually agreed-upon terms of remediation and/or corrective action(s) needed to address the violation, including:

- 1) measurable objectives;
- 2) appropriate timeframe for completion and review;
- 3) At completion of the agreed-upon remediation period, the primary supervisor and faculty member will meet to determine the status of the remediation process:
  - a. If successful, no other action is needed.
  - b. Faculty will receive a final warning that if any future Sanctionable Conduct is determined to be substantiated in the succeeding 12 months; the faculty will be suspended or released from Adler University.
  - c. If a satisfactory conclusion is not reached within the remediation/corrective action timeframe, the primary supervisor will:
    - i) Notify the faculty member of the right to have grievance heard before the faculty Grievance Committee as outlined in the Faculty Handbook.
    - ii) Document the outcome of meetings with all parties involved.
    - iii) Submit copies of all documentation to the faculty member, the VPAA, and HR, and placed in the official personnel file.

#### **5. Termination or Suspension**

If the Sanctionable Conduct is deemed to be grounds for immediate termination or suspension, the faculty member will receive a written notice on this decision, and be notified of the right to have a grievance heard before the faculty Grievance Committee as outlined in the Faculty Handbook;

#### **6. Grievance**

All alleged aggrieved faculty members have the right to have their case heard by the faculty Grievance Committee as outlined in the Faculty Handbook's Grievance Policy and Procedures. Any alleged aggrieved faculty member has the right to waive their right to a hearing before the faculty Grievance Committee.

## **J. Faculty Grievance Policy and Procedure (to be revised in spring 2016)**

### **Grievance Policy**

A grievance may be filed by a faculty member in relation to administrative actions which the faculty member deems to be a violation of his/her rights related to his/her contract, the *Faculty Constitution*, employment/labor law or an infringement upon the exercise of rights guaranteed by the laws or constitution of the state/province or by the United States or Canada. For example, areas of grievance may include, but are not limited to, unfair application of the University's policies and procedures on a faculty member, issues bearing on the academic freedom of a faculty member or disciplinary measures taken against a faculty member. Personal conflicts with other University employees or complaints concerning standard operating procedures are not usually subject to the grievance procedure.

While it is hoped that most grievances will be resolved quickly through appropriate informal channels, a formal approved procedure is available to faculty should such informal methods not succeed.

Faculty members may express a grievance through the established procedures with the assurance of a timely and thorough consideration. Grievants are assured freedom from reprisal for filing of their grievance.

### **Grievance Procedure**

A faculty member (*the grievant or complainant*) who believes that there has been a violation of policies and/or procedures which affect his/her professional rights or academic performance, directly or indirectly, may avail his/herself of the following grievance procedure process (also see chart on page 16):

#### **Step 1: Informal Resolution**

The grievant will make a good faith effort through informal discussion to resolve the issue with the person (*the respondent*) who initiated the action unless this informal discussion is not feasible. It is recommended that the grievant document all discussions and other information relevant to Informal Resolution efforts.

#### **Step 2: Formal Complaint**

The grievant has the right to appeal such a decision or action where his/her rights have been violated within twenty (20) working days from the faculty member's knowledge of occurrence or failure of informal resolution. The written formal complaint shall include:

- The name and current position within the University of those initiating the appeal.
- A description of the alleged violation of an existing policy and/or procedure and a summary of the harm allegedly caused to the individual complainant.
- A brief summary of prior attempts to resolve the issue, and, where applicable, the date, and person(s) involved in the informal resolution attempt.

The written complaint is filed with the Office of Academic Affairs, and a copy of the complaint is sent to all individuals directly involved or named in the appeal. Confidentiality of this formal complaint shall be maintained by all parties involved in the appeal to the extent possible, but because the complaint must be investigated, absolute confidentiality cannot be guaranteed. Future steps in the Grievance Procedure will generally be limited in scope to the issue presented in writing in the complaint.

**Step 3: Vice President of Academic Affairs Response**

Within ten (10) working days of the filing of the formal complaint, the Vice President of Academic Affairs will respond in writing to the formal written grievance to all individuals directly involved or named in the appeal, recommending 1) whether the grievance meets the criteria of the grievance policy and procedures, and 2) whether a resolution has been reached or no action is recommended.

**Step 4: Request Grievance Committee Convene**

The grievant may request the convening of a Grievance Committee within twenty (20) working days of the date a written response was provided or was supposed to have been provided by the Vice President of Academic Affairs. The request must be made in writing to the Vice President of Academic Affairs who will inform the Chair of the Faculty Council who will convene the Grievance Committee, a pre-appointed committee comprised of three (3) faculty members. If any member has a conflict, the member will recuse themselves, and a new member will be appointed by the Chair of the Faculty Council. One member of the Committee will be designated as chair. If the Vice President of Academic Affairs is immediately involved in the grievance, the President or his/her designee will carry out these responsibilities.

**Step 5: Grievance Committee Deliberates**

Within ten (10) working days of appointment, the Grievance Committee will meet. The Committee will hear the grievant, the respondent, and witnesses identified by each party and will examine all evidence it deems necessary including written report(s) from Step 3. The rights of both parties will be observed and privacy and confidentiality will be protected to the extent possible. Permanent files of the Grievance Committee, which will include testimony and evidence that was reviewed, along with the final recommendation of the committee, shall be maintained indefinitely by the Office of Academic Affairs and shall be available only to those specifically authorized by the Vice President of Academic Affairs.

Both complaining part and respondent have a right to present information. Neither party may be represented by an attorney in the hearing nor shall any stenographic record be made. No person shall tape record any portion of the hearing. The Committee shall have the right to seek legal counsel for advice.

After thorough review, the Grievance Committee will share in writing with the grievant, the respondent, the Vice President for Academic Affairs and the President of School, the final recommendation, and the rationale for reaching the decision.

**Step 6: Administrative Action**

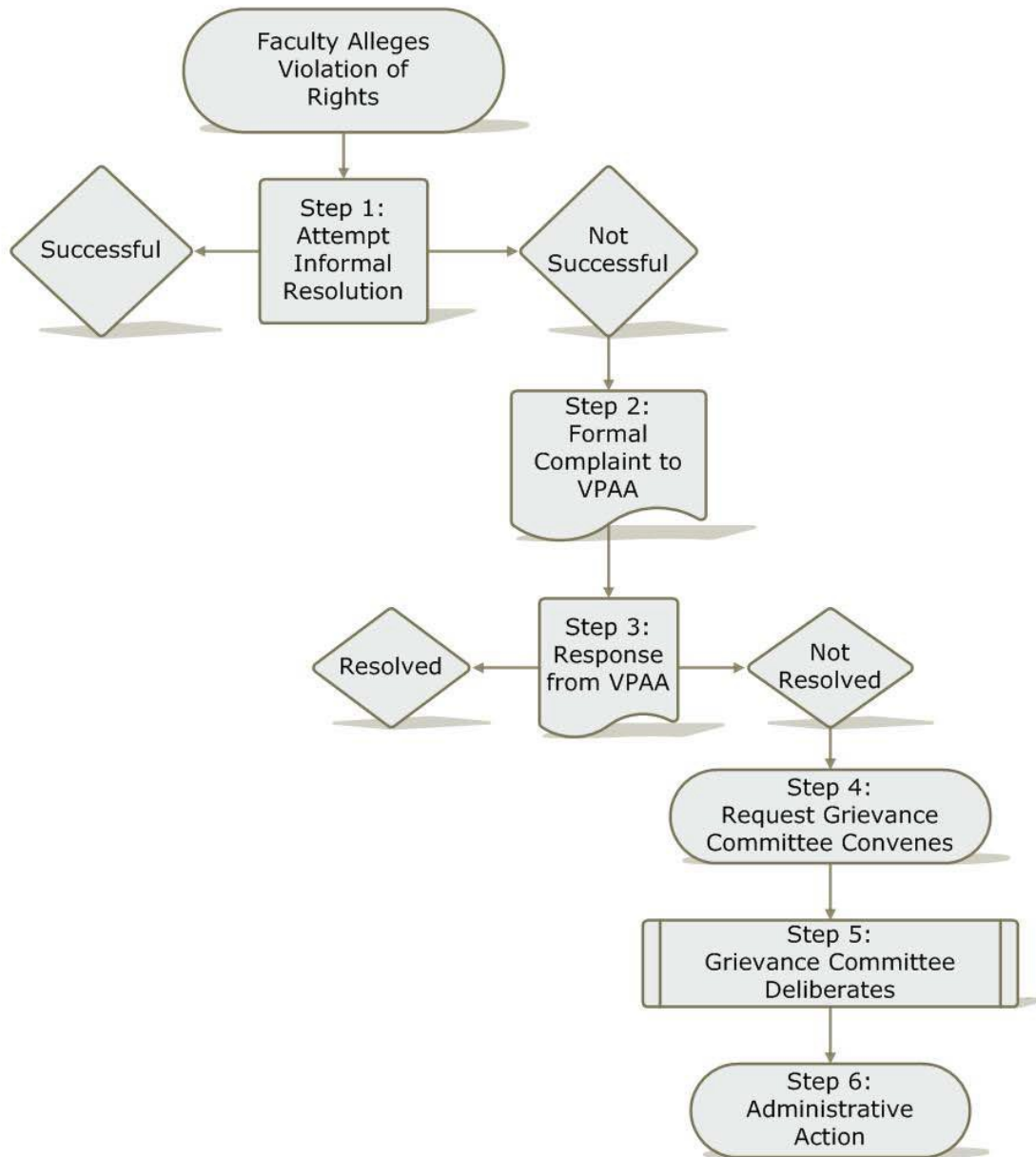
The Vice President of Academic Affairs will act on the recommendation of the Grievance Committee and forward the committee's recommendation to the President of Adler University. The President shall have the final authority to confirm or reject the recommendations. The President will send written notice of the decision to the grievant, the respondent, the Chair of the Grievance Committee and the Vice President for Academic Affairs.

If the President is immediately involved in the grievance, the Chair of the Board of Trustees or his/her designee will carry out the above responsibilities.

No reprisal of any kind will be taken by the Board, an administrator, or any employee of the University against any person bringing a grievance under this procedure.

# Faculty Grievance Procedure

## Flow Chart



## **K. Academic Freedom**

The faculty of Adler University are committed to shared governance and the all-encompassing principles of preparing socially responsible practitioners, engaging communities and advancing social justice. Academic freedom is an integral feature of shared governance. Academic freedom is the unqualified right of every faculty member to the full freedom of inquiry, discourse, teaching and learning, research, and publication. See the Faculty Constitution for the full statement on Academic Freedom.

## **L. Intellectual Property Policy [see Appendix A]**

- 1. Policy Statement:** Research and the development of original works and creations that require Intellectual Property protection are a vital part of the academic community. Adler University recognizes and acknowledges that it may create or commission the creation of such works on its behalf and seeks to incorporate in this Policy the traditional commitment to Faculty and Student ownership in Scholarly Work.
- 2. Applicability:** This policy applies to all campuses of Adler University and their respective Staff, Faculty, Student-Employees, Consultants, Community Partners and Students.

## **M. Copyright Policy**

It is the policy of the Adler University to comply with federal copyright law and all related law codified at 17 U.S.C. §101 et seq. All faculty, staff and students must adhere to University copyright policy and are expected to seek consultation and advice from the Library when using the copyrighted works of others in the course of instruction.

Adler University is committed to fostering an environment that provides for the fair use of copyrighted works to achieve the goals of teaching, service, and research, while remaining in compliance with applicable laws. Adler University users of copyrighted works are accorded the rights and privileges pursuant to 17 U.S.C. §§107 (Fair Use), 108 (Reproduction by Libraries and Archives), 109 (First Sale Doctrine and Transfers), 110 (Teaching Exception) and other statutory exemptions and limitations to the exclusive rights granted to the owner of a copyright protected work.

It is the policy of Adler University to inform and educate faculty, students and staff regarding federal copyright law, the rights of copyright owners, the legal obligation of the University to comply with applicable law, and the rights of the University community to use copyrighted works.

Under Adler University Copyright Policy, faculty, staff, and students retain all rights in copyrightable materials they create, except when special circumstances or contractual arrangements prevail, including:

The work is a “work for hire” under copyright law, or the author was commissioned in writing by the University to develop the materials as part of the author’s regularly compensated duties;

Conditions restricting copyright privileges are contained in grant or contract funding.

## **N. Library Privileges Policy**

All members of the faculty have access to Library resources both on campus and off-site.

Faculty members are encouraged to provide recommendations to the Library for the acquisition of needed resources and to request any items that should be put on reserve. Books may normally be borrowed for the duration of a trimester, subject to recall only if needed by others. Contact the Library for further details.

## **SECTION IV: Curricular Policies and Procedures**

### **A. Statement of Student Responsibilities** *(approved by Faculty Council December 3, 2013)*

The University expects that students will:

- 1) Adhere to all applicable University policies and procedures.
- 2) Uphold all rules applicable to conduct in off-campus settings including clinical, field, internship, or in-service activities.
- 3) Abide by all local, state, and federal laws.
- 4) Maintain academic honesty and integrity.
- 5) Comply with all ethical and professional standards applicable to their program of study.
- 6) Contribute actively to the process of learning, including complying with attendance or participation requirements, completing assignments, and preparing for class.
- 7) Conduct themselves in an ethical, professional, and civil manner.
- 8) Demonstrate respect for the rights of others.
- 9) Regularly monitor their student accounts.

### **B. Academic Statuses** *(approved by Faculty Council Oct 15, 2013)*

#### **Academic Good Standing**

To remain in Academic Good Standing, a student must:

- 1) Maintain consistent enrollment.
- 2) Take a course load that ensures steady movement toward degree completion within the maximum time limits outlined in the Catalog.
- 3) Meet all academic, comportment, and professional standards as well as applicable program requirements.
- 4) Maintain a minimum cumulative grade point average of 3.0 on a 4.0 scale.

Note: The Department of Education additionally requires that students keep their accounts current, and successfully complete ("B" grade or better) 70 percent of attempted coursework in each term, to be eligible for federal student financial aid.

#### **Academic Alert** *(Advisor-Level)*

Students with a minimum cumulative GPA of 3.0 who earn a B- grade for the first time will be placed on *Academic Alert* status for the following semester. *[No notation on transcript.]*

#### **Academic Warning** *(Advisor-Level)*

Students will be placed on *Academic Warning* when they meet any of the following conditions:

- 1) Earn a first grade of C with a minimum cumulative GPA of 3.0.
- 2) Earn a second B- with a minimum cumulative GPA of 3.0.

This status will be in effect for one semester subsequent to the receipt of the second low grade. *[No notation on transcript.]*

**Academic Probation (Department Level)**

Students will be placed on *Academic Probation* the first time they meet any of the following conditions:

- 1) Earn a second grade of C.
- 2) Earn a single D, F, NC, or NP grade without a prior history of low grades (B- or C).
- 3) Earn three (3) or more grades of B-.
- 4) Fall below a minimum cumulative GPA of 3.0 on a 4.0 scale.

Students on Academic Probation shall have a maximum of two (2) consecutive semesters following the status change in which to address the issue that generated probationary status. *[No notation on transcript.]*

**Academic Dismissal (Institutional Level)**

Students may be subject to *Academic Dismissal* when they meet any of the following conditions:

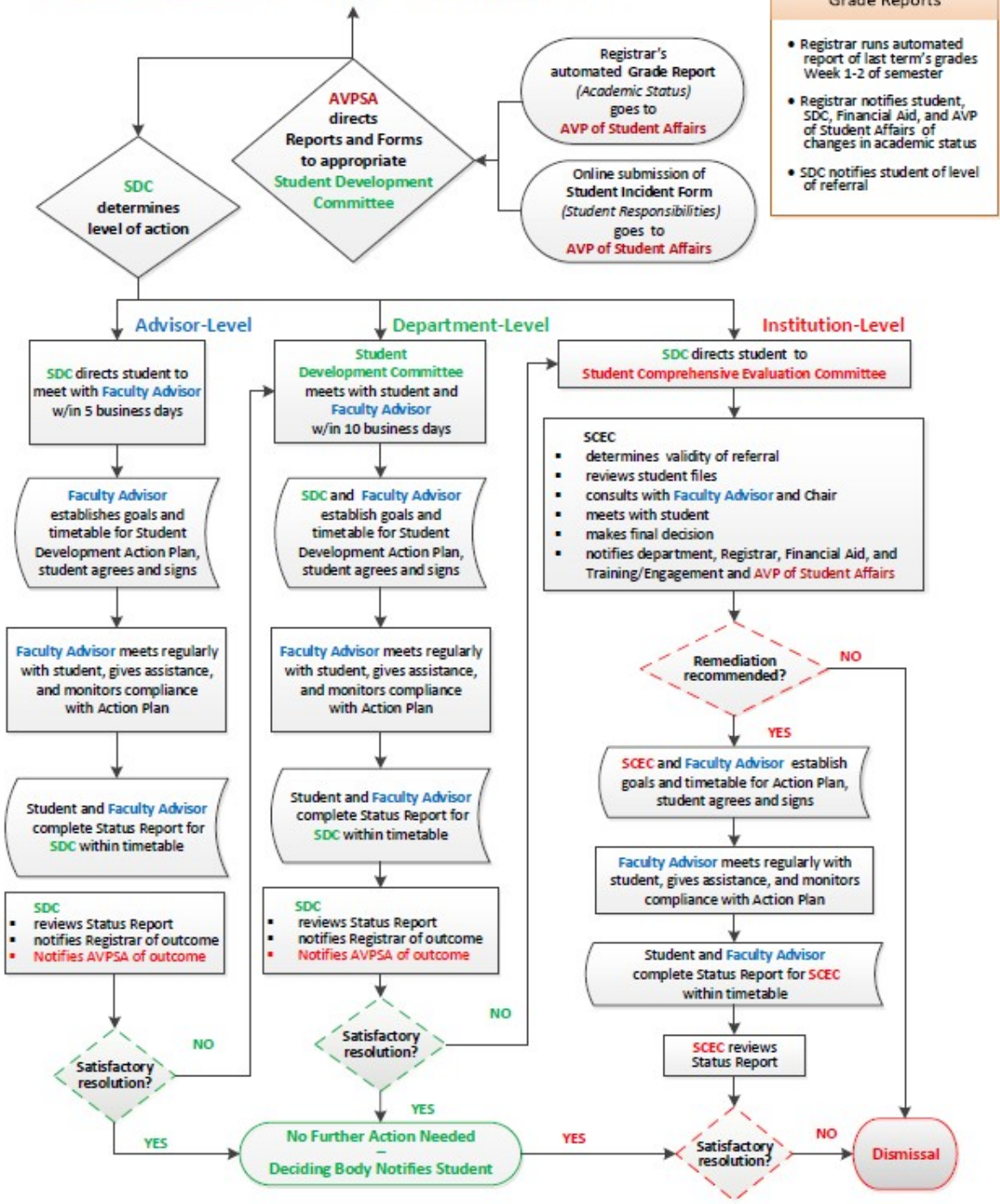
- 1) Earn two (2) or more grades of D, F, or NC.
- 2) Earn a third grade of C.
- 3) Fail to maintain a minimum cumulative GPA of 3.0 on a 4.0 scale for two (2) semesters.
- 4) Fail to comply with any prior academic remediation plan.

The transcript of a student who has been dismissed will carry the notation "Academic Dismissal." Students who have been dismissed are ineligible to re-apply to the University.

**C. Student Referral Process (approved by Faculty Council May 6, 2014)**



# Student Referral Process





#### **D. Satisfactory Academic Progress**

To maintain satisfactory progress, students must remain consistently registered until completion of all degree requirements and take a course load that ensures steady movement toward degree completion within the maximum time limits for the program.

Students who fail to register each term may be administratively withdrawn from the University, and “administrative withdrawal” will be indicated on the transcript.

Master’s students should complete a minimum of twelve (12) credit hours every twelve (12) months and must satisfactorily complete all of the requirements for graduation within five (5) years of the date of first registration following admission to the program. For degree programs with more than sixty (60) total credits, students may need to take up to fourteen (14) credits every twelve (12) months to complete their degree requirements within five (5) years.

Doctoral students should complete at least eighteen (18) credit hours every twelve (12) months and must satisfactorily complete all requirements for graduation within seven (7) years of the date of first registration following admission to the program. Students enrolled in dissertation or internship are considered to be maintaining minimum credit requirements for satisfactory academic progress.

#### **E. Credit Hour Policy**

Adler University assigns and awards credit hours that conform to commonly accepted practices in higher education and that comply with federal standards.

At Adler University, a credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than:

1. One hour of classroom or direct faculty instruction and a minimum of two (2) hours of out-of-class student work each week for approximately fifteen (15) weeks for one semester.
2. At least an equivalent amount of work as required in paragraph (1) of this definition for other activities as established by an institution, including laboratory work, internships, practica, studio work, and other academic work leading toward to the award of credit hours.

Adler University operates on a semester calendar. A semester is defined as a term of fifteen (15) weeks. Instruction is scheduled over three terms. Fall and spring terms are full semesters. The summer semester is comprised of full semester courses and courses that are offered in two sessions: Summer I and Summer II. Adler University also offers courses throughout the academic year in sessions of varying lengths shorter than the full semester.

For traditional **lecture-discussion and seminar courses**, a one-credit hour class meets for no less than sixty (60) minutes per week over the course of a semester.

A one-credit class requires a minimum of:

- 15 contact hours per semester.
- 30 hours of outside work per semester.
- A total of 45 hours of student engagement per one-credit course, per semester.

A two-credit class requires a minimum of:

- 30 contact hours per semester.
- 60 hours of outside work per semester.
- A total of 90 hours of student engagement per two-credit course, per semester.

A three-credit class requires a minimum of:

- 45 contact hours per semester.
- 90 hours of outside work/semester.
- A total of 135 hours of student engagement per three-credit course, per semester.

### **Short-Term Courses**

Half-semester courses (eight weeks), summer session courses, and other courses offered over an abbreviated period of time will require the same amount of classroom and out-of-class work per credit hour as required of semester-long courses, with work distributed over the shorter period of time.

### **Practicum, Field Work, and Internship**

Require the completion of an institutionally sanctioned academic activity that is equivalent to the amount of work stipulated in paragraph (1) that may occur over a different amount of time.

### **Independent Study**

Will represent a minimum of three (3) hours of student work per week throughout the course of the semester or the equivalent work distributed over a different period of time.

### **Online and Hybrid Courses**

The expectation of contact time and student effort outside the class is the same in all formats of a course whether online, a hybrid of face-to-face contact with some content delivered by electronic means, or traditional.

## **F. Grading of Students**

### **1. Evaluation and Grading of Students at the Chicago Campus**

The faculty plays an integral role in effective and responsible instruction and training in providing careful, detailed, timely and thoughtful feedback and evaluation of students work. The policies pertinent to grading, as outlined in the Academic Catalog, are as follows:

Traditional letter grades are given for most courses offered. A limited number of courses are evaluated on a credit/no-credit basis. The grading system for the Chicago Campus is as follows:

Grade	Description	Grade Point
A	Excellent	4.0
A-		3.75
B+		3.5
B	Satisfactory	3.0
B-	Marginal	2.75
C	At Risk	2.0
D	Unsatisfactory	1.0
F	Failure	0.0
CR	Credit	0.0
NC	No Credit	0.0
I	Incomplete	N/A
IP	In Progress	N/A
AU	Audit	N/A
W	Withdrawal	N/A
TR	Transfer	N/A

Grade Scale	
95 – 100%	A
90 – 94%	A-
85 – 89%	B+
80 – 84%	B
77 – 79%	B-
70 – 76%	C
60 – 69%	D
Below 59%	F

Only two (2) grades of C, and no grades of D, F, NC, or AU may be counted toward completion of degree requirements. A maximum of six (6) credit hours may be repeated to remediate deficient grades and qualify for graduation. Both the original course grade and the repeated course grade will be calculated in the overall GPA, and both will appear on the transcript.

(Approved by the Faculty Council on June 2, 2015.)

## 2. In Progress

A temporary grade of “IP” (In Progress) can be given to students who are engaged in field experiences, thesis, or courses in which completion of work may typically be expected to exceed the end of the term. The “IP” will be removed from the transcript when the final grade has been posted. The maximum time frame to complete course requirements for an IP grade is the final date of the subsequent term.

## 3. Incomplete

An “I” (Incomplete) grade will be granted only in exceptional situations when requirements for a course cannot be completed in the time allowed. An incomplete grade is allowed only with the written consent of the instructor and indicates that the student has presented a satisfactory reason for receiving an incomplete grade. Students must request an incomplete prior to the due date of the final requirement of the class in question.

For an incomplete to be granted, students must file a completed Incomplete Grade Agreement form with instructor. The form states specifically what the student must do to satisfy the course requirements, including the instructor's grading criteria and the agreed upon completion date. The maximum time limit for finishing incomplete work is the end of the following term. The student and instructor must sign the agreement. The instructor must submit the form to the Office of the Registrar.

Receipt of one or more incomplete grades may preclude a student from enrolling in subsequent terms, may render the student ineligible for federal student aid, and may result in the student being referred to the Student Comprehensive Evaluation Committee (SCEC).

If the coursework is not successfully completed within the time limit established by the instructor (less than one term, or within one term following the course), the incomplete grade will be changes to an "F" (Fail) or NC (no credit).

#### **4. Credit/No Credit**

A grade of "CR" (Credit) is assigned upon satisfactory completion of undergraduate prerequisite classes, professional development seminars, practicum seminars, practicum/internship requirements, qualifying examinations, the master's thesis, and the doctoral dissertation. A grade of "NC" (No Credit) is assigned upon unsatisfactory performance in a practicum or a course offered on a credit/no credit basis. Grades of "CR" are not used in calculating the grade point average; however, grades of "NC" are used in calculating the grade point average and are considered failing grades for the purposes of academic satisfactory progress.

#### **5. Audit**

Students registered to audit a course will receive, upon successful completion of the course, a designation of "AU" on their transcripts that signifies neither credit nor a grade. Students cannot change an audited course to the credit option after the add/drop period ends. Audited courses do not count toward graduation requirements and are not eligible for financial aid. Once an audited course is completed, it cannot be changed to credit at a later time.

#### **6. Class Attendance**

Students are responsible for maintaining regular and punctual attendance for each class session. Students who expect to miss or arrive late for class should notify the instructor in advance. Students who miss more than two (2) unexcused class sessions, or an accumulation of five (5) hours of class time, due to late arrival or tardiness, may receive a grade of "F" (Fail) and may be required to repeat the course. Students whose absence or tardiness affects the quality of their work or the work of the class may be given a lower grade at the discretion of the faculty instructor.

In those instances in which a class is offered on a weekend intensive format (that is, three or fewer class meetings in a semester), missing one class may result in a grade of "F" (Fail). Due to the unique structure of the practicum seminar courses, students who miss more than one class session in a semester may receive a grade of "NC" (No Credit) and may be referred to the appropriate Student Development Committee for review.

#### **Application of the Attendance Policy**

The above policy establish the obligations of students to adhere to class attendance standards and the rights of instructors to give students lower or failing grades for breaches of the policy. The policy is on

an honor system where students are expected to be present for all classes and will notify the instructor is absent. Faculty may use their discretion on how to track attendance and recognize the honor system.

Instructors consider extenuating circumstances and/or student accommodation needs when applying the class attendance policy and, therefore, have some discretion in providing accommodations to students whose attendance breaches the standard. Thus, instructors may develop an alternative plan for students who are unable to comply with the attendance policy, but only if the plan enables the student to meet the course exit competencies.

In accordance with Title IX of the Education Amendments Act of 1972, the University must treat pregnancy (including, but not limited to, childbirth, false pregnancy, termination of pregnancy, and recovery therefrom) and related conditions as a justification for which no penalty may be imposed for absences deemed medically necessary by the student's physician. Requests for excused absences related to pregnancy or related conditions should be directed to the student's instructor(s), and questions about Title IX should be directed to the University's Title IX Coordinator. Appropriate documentation from the student's physician specifying the length of absence needed for pregnancy or related conditions may be required in order to consider absences excused. At the conclusion of such excused absences, the student shall resume the status held at the time the absences began. Accommodations due to pregnancy or related issues may need to be made in situations where an extended leave is medically necessary.

#### **7. Submission of Grades, Student Evaluations, and Rubrics**

Faculty are expected to submit grades and rubrics each term by the due date established by the Registrar's Office. Faculty who do not submit grades by the established due date will not be approved to teach overloads for the following three terms. If the faculty member has already been assigned to teach an overage, the Department Chair/Program Director or designee will re-assign the course(s). Noncompliance will be noted in the performance appraisal process as well as the comprehensive program review process as appropriate.

The Office of Academic Affairs will monitor the timely submission of grades and send a list of faculty who are not in compliance to the Department Chair/Program Director as soon as possible following the due date.

#### **8. Grade Corrections and Appeals**

Once a grade has been recorded on the student's academic record, additional work cannot be submitted to change the grade. To change an incorrectly recorded grade, students must notify the course instructor. For the grade to be changed, the instructor must secure the approval and signature of their immediate supervisor (Program Director or Department Chair). Grade Change forms should be submitted to the Office of the Registrar. Students may file a grade appeal by following the procedures outlined below:

#### **9. Grade Appeal Criteria (approved by Faculty Council June 16, 2015)**

- A.** A student may appeal a final course grade for one or more of the following reasons:
  - 1.** The faculty member violated a specific University rule or policy pertaining to grading, including refusal to discuss a grade with the student;
  - 2.** The faculty member did not provide stated grading criteria and a grading scale, did not follow the stated criteria or grading scale, or applied either of them inconsistently;

3. A clerical or administrative error was made in the process of recording or reporting the grade, and the faculty member has not corrected it;
4. The faculty member did not report any grade for the individual student;
5. The grade reflects discriminatory, biased, abusive, exploitive, or otherwise improper conduct toward the individual student.

## **B. Appeal Process**

For the purpose of this procedure, “days” means academic/business days, not calendar days. Dates when classes are not in session will not count toward the timeline. “Term” means the fall, spring, or summer academic term.

### **1. First Level: Appeal to the Faculty Member**

A student who wishes to appeal a grade for any of the criteria listed above (1. through 5.) must first notify the instructor of record by email that he or she wishes to appeal. The email should explain the student’s reason(s) for questioning the final grade.

The deadline for a student to take the complaint to the faculty member is close of business on the 10<sup>th</sup> business day of the semester following the final grade being appealed.

A student having a verbal discussion of an appeal related to 1. through 5. above must follow up with an email to the instructor summarizing the basis of the appeal. In most cases, the discussion between the student and the instructor should suffice to resolve the issue.

The instructor must respond in writing to the student, copying the Department Chair or Program Director, within five (5) business days of the student’s email concerning the disputed grade.

### **2. Second Level: Appeal to the Department Chair/Program Director**

If the student’s concerns remain unresolved after discussion with the instructor, or if the instructor does not respond, the student may submit a written Grade Appeal Form according to the following process. The Grade Appeal Form must be submitted within ten (10) business days of the response from the instructor.

#### **a. Completion of the Grade Appeal Form, to include:**

- 1) the criterion or criteria for the appeal (see 1. through 5. of the Grade Appeal Criteria above);
- 2) the grounds for challenging the original grade;
- 3) a description of the remedy sought; and,
- 4) full documentation of the informal efforts to resolve the matter taken to date.

#### **b. Submission of the Completed Grade Appeal Form to the:**

- 1) Department Chair or Program Director responsible for the degree program; and
- 2) Instructor of record.

#### **c. Departmental Review (within twenty (20) business days of Grade Appeal Form submission)**

Upon receiving a Grade Appeal Form, the Department Chair or Program Director will review the appeal documents, including the instructor’s response to the student, within the department or program.

The Department Chair or Program Director will determine the outcome of the appeal and communicate it to the student and the instructor. The departmental review process, terminating with notification from the Department Chair or Program Director, is to be completed within twenty (20) business days of Grade Appeal Form submission.

Departmental review may be governed to an extent by accreditation requirements applicable to the program.

**3. Third Level: Appeal to Academic Affairs Grade Appeal Committee**  
(within ten (10) business days of departmental determination)

If the departmental review process does not result in resolution of the student's concerns, the student has ten (10) business days after receiving the determination to direct the Grade Appeal Form and all associated communications to the Grade Appeal Committee, a standing committee that provides a higher level of appeal beyond the department. The Grade Appeal Committee will deliver a decision within twenty (20) business days of Grade Appeal Form and documentation submission to them. The decision of the Grade Appeal Committee is final.

**Commonly-Cited Exception**

If the instructor of record is also serving as Chair or Program Director, the student, after an unsuccessful attempt at resolution with the faculty member, may direct the Grade Appeal Form to the Grade Appeal Committee.

**G. Academic Honesty Policy** (*Approved by Chairs Council June 6, 2011*)

Adler University seeks to establish a climate of honesty and integrity. Any work submitted by a student must represent original work produced by that student. Any source used by a student **must** be documented through required scholarly references and citations, and the extent to which any sources have been used must be apparent to the reader. The University further considers resubmission of work done partially or entirely by another, as well as resubmission of work done by a student in a previous course or for a different professor, to be academic dishonesty. It is the student's responsibility to seek clarification from the course instructor about how much help may be received in completing an assignment, examination, or project and what sources may be used. Students found guilty of academic dishonesty or plagiarism shall be subject to disciplinary action, up to and including dismissal from the University.

In addition, students suspected of academic misconduct, including plagiarism or research misconduct, are subject to a failing grade for the assignment and course, and the potential for immediate dismissal from their program and Adler University.

For the purposes of this policy, **plagiarism** is the submission, in whole or part, of unoriginal material, represented as original and as the work product of the individual student. **Academic misconduct** refers to any action that involves illicit, unauthorized, fraudulent, or inappropriate behaviors designed to aid in whole or part with the completion of required work at the Adler University.

Four types of plagiarism are defined in this policy:

- **Auto-Plagiarism**

Resubmission of work done for one course, assignment, or task for another. **Auto-plagiarism** does not typically involve the submission of the work of others, but, instead, consists of representing as new work that has been previously submitted.

- **Indirect Plagiarism**  
Defined as minimally rephrasing, paraphrasing or revising the work of others without proper citation or credit.
- **Direct Plagiarism**  
Defined as substantial utilization of the published or unpublished work of others without permission, citation, or credit. Also known as “cut and paste” or “patchwriting.”
- **Fraudulent Plagiarism**  
Defined as purchasing or otherwise acquiring a work in its entirety and submitting it as one’s own is considered the most extreme and egregious form of plagiarism.

**Research misconduct** involves the misrepresentation of data or material in research, and is defined as follows:

- **Data fabrication** involves the intentional production of study or research data and representing such data as genuine.
- **Data falsification** involves the intentional alteration of study or research data and representing such data as genuine.
- **Data manipulation** involves the suppression or changing of study data to facilitate a desired outcome.
- **Withholding data or materials** involves the refusal to make available for inspection, raw data and sources for student research.
- **Misrepresentation of how much effort was expended, or the extent of original contribution made to a research project** in which multiple contributors took part.

For the purpose of this policy, acts of academic misconduct are grouped into four (4) categories, enumerated in ascending order of perceived severity and perceived seriousness per event.

- I. **Simple Academic Misconduct** consists of auto-plagiarism, inadvertent indirect plagiarism, and misrepresentation of contribution to research.
- II. **Moderate Academic Misconduct** consists of indirect plagiarism, inadvertent direct plagiarism and/or withholding data or resources in research.
- III. **Significant Academic Misconduct** consists of direct plagiarism, significant or repeated indirect plagiarism, and/or data manipulation.
- IV. **Severe Academic Misconduct** consists of fraudulent plagiarism, extensive “cut and paste” plagiarism, data fabrication, and/or data falsification.

Violations of these policies will result in referral to the appropriate Student Development Committee. Depending on the severity of academic misconduct, the level of training, and circumstances associated with the misconduct, consequences will range from failure on specific assignments or required supplemental education to dismissal from the student’s program and Adler University.



## H. Student Information, Rights, and Privacy

### **Family Education Rights and Privacy Act (FERPA) – United States**

The Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, sets forth requirements regarding the privacy of student records and affords students certain rights with respect to their education records. Although FERPA contains exceptions for the release of “directory information” without a student’s prior written consent, students have the right to request that even such directory information be withheld from disclosure to third parties. Applicants who are not admitted to the University or who do not matriculate following admission have no right of access to their submitted education records.

Education records include any information or documentation that is recorded in any way, including records produced by handwriting, computer, email, audio, and video, among others. Educational records contain information directly related to a student, and are maintained by Adler University or any party acting on its behalf. Adler University does not maintain education records in one central office. Education records are maintained in the Office of the Registrar and in the respective academic program and department offices. Other education records are maintained in Financial Aid (financial aid information), Student Accounts (financial account payment information), Student Affairs, the Office of Community Engagement, the Training Department, and other offices. Questions regarding individual student records should be directed to the appropriate department.

Adler does not release copies of students’ transcripts from other institutions. Students are encouraged to contact their previous institutions for copies of their transcripts.

FERPA provides students the following rights:

1. To inspect and review educational records by submitting a written request to the Office of the Registrar. Requests can take up to 45 days. Students should submit to the Office of the Registrar, Dean, head of the academic department, or other appropriate official, written requests that identify the record(s) they wish to inspect. The University official will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the University official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be addressed.
2. To request the amendment of the student’s educational records that the student believes are inaccurate or misleading. Students may ask the University to amend a record that they believe is inaccurate. The student should write the University official responsible for the record, clearly identify the part of the record they want changed, and specify why it is inaccurate. If the University decides not to amend the record as requested by the student, the University will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.
3. To consent to disclosures of personally identifiable information contained in the student’s education records, except to the extent that FERPA authorizes disclosure without consent, such as directory information. One exception, which permits disclosure without consent, is disclosure to school officials with legitimate educational interests. A school official is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including law enforcement unit personnel and health staff), or a person or company with whom the University has contracted (such as an attorney, auditor, or collection agent). A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility.

Students who believe their privacy has been violated have the right to file a written grievance with the Office of the Registrar by following the procedures of the Grievance Appeal Policy posted online at [adler.edu](http://adler.edu).

Students are informed of their rights under FERPA each October by the Office of the Registrar. The annual FERPA notice is located on the Office of the Registrar page on Adler Connect. For the annual notice please go to <https://connect.adler.edu/studentservices/registrar>.

Given the restrictions of FERPA, Adler University faculty and staff and any entity acting on behalf of Adler University should assume that all students must provide written consent that follows the format specified in FERPA before any education records may be released to anyone other than the student. Information cannot be released to any third party, including a student's parents, relatives, and friends. Particularly sensitive information includes a student's Social Security number, race or ethnicity, gender, nationality, academic performance, disciplinary records, and grades.

### **Directory Information**

Certain information classified by Adler University as "directory information" may be disclosed to the public at the discretion of the appropriate Adler University representative without obtaining the student's permission. The items classified as directory information include:

- Student's full name;
- Local and permanent addresses;
- Local and permanent phone numbers;
- Adler University email address;
- Date and place of birth;
- Major and minor field(s) of study, including the college, division, department or program in which the student is enrolled;
- Dates of attendance and graduation, and degrees received;
- Previous colleges/universities attended;
- Degrees earned at previous colleges/universities;

Adler University reserves the right to ask for additional information, such as a written release from a student, before releasing directory information.

Students may restrict the release of any item of information considered directory information by submitting a written request via their Adler University email account to their campus's Office of the Registrar. The decision to restrict directory information will apply to all requests for directory information from within and outside Adler University, including prospective employers. These restrictions will remain in effect until the Office of the Registrar is informed in writing to remove the restrictions.

### **Commencement/Graduation Activities**

The Degree Completion and Graduation Application signals that a student is nearing completion of their degree program. By signing the Degree Completion and Graduation Application, the student is giving permission to the University to print the following information in any Adler University graduation program and/or announce this information at any Adler University commencement ceremony: the student's name, the Adler degree, and the student's major.

If a restriction on directory information request was previously submitted, the student's signature and/or submission of the Degree Completion and Graduation Application temporarily releases (for graduation ceremony/program purposes only) the directory information restrictions enacted by the student so that the information can be published in any Adler University graduation program and/or announced at any Adler University commencement ceremony. In addition, the student's signature permits Adler University to release the student's name and address to the external photography vendor with whom Adler contracts, and to have the vendor place graduation photographs of the student on its website. The recording of the graduation ceremony could also appear on the Adler University website and/or social media sites including but not limited to YouTube, Twitter, and Facebook.

If there are questions about how the information will be used for graduation or commencement purposes, please speak with the Office of the Registrar before signing and submitting the Degree Completion and Graduation Application.

### **Deceased Student Records**

Adler University does not permit the release of education record information of a deceased student unless required by law and/or authorized by the executor of the deceased student's estate, or parents, or next of kin, if an executor has not been appointed. Inquiries regarding this policy should be made to the Office of the Registrar.

### **Mailing Lists**

Adler University does not release the names, addresses, phone numbers, or email addresses of its current or former students as mailing lists unless required to by law (i.e., the Solomon Amendment).

### **Additional Questions**

The Office of the Registrar is the compliance office for FERPA at Adler University. If there are additional questions, please your campus Office of the Registrar.

### **Personal Information Protection Act (PIPA) – Vancouver Campus**

British Columbia's Personal Information Protection Act (PIPA) sets out the rules for how private sector and nonprofit organizations, such as Adler University, may collect, use, or disclose information about its students.

Adler University collects relevant personal information about its students and has processes in place to protect the privacy of these records. Student records will not be disclosed to a third party unless the student has given written consent or the request qualifies as a legal exception. To release their information to a third party, students must complete and submit the FERPA – PIPA document release form online at [adler.edu](http://adler.edu).

Students have access to their academic file through the Office of the Registrar. Students who wish to see the contents of their academic file should submit a written request to the Office of the Registrar. The Office of the Registrar can take up to 30 days to respond to a student request. Students can submit correspondence to be filed in their academic file to the Office of the Registrar.

Students who believe that their privacy rights have been violated have the right to file a written complaint to the University Commissioner. The designated University Commissioner is the Vancouver Campus Executive Dean. The Commissioner can conduct an investigation and will respond to the complaint in writing. For questions about confidentiality of records and privacy of students, please contact the Executive Dean of the Vancouver Campus at 604.482.5510. If the concern is not resolved with the University Commissioner,

students can contact the Office of the Information and Privacy Commissioner for British Columbia at [info@oipc.bc.ca](mailto:info@oipc.bc.ca).

## I. Student Complaint Policy and Log

Any informal or verbal complaint from a student will be considered by the institutional officer who is responsible for the area in which the complaint is made. If the informal complaint is not satisfactorily resolved, the student may decide to submit a formal complaint through the Office of Student Affairs.

### Student Complaint Process

**Step 1:** The Student completes the “*Written Student Complaint Form*” and submits to the Office of Student Affairs at [studentservices@adler.edu](mailto:studentservices@adler.edu).

**Step 2:** The Office of Student Affairs will respond in writing to acknowledge that they have received the complaint and will direct it to the institutional officer who is responsible for the area in which the complaint is made.

**Step 3:** The institutional officer has thirty (30) days to respond to the complaint and will inform the student and the Office of Student Affairs of their decision.

**Step 4:** If the complaint is not resolved to the student’s satisfaction, the student can follow the Grievance procedures to appeal the decision.

Adler University provides published policies on the **General Student Grievance and Appeal Procedure, Academic Standards, and the Student Referral Process** in the **Adler Student Handbook**. These procedures include provisions for formally resolving issues and will **not** be considered as complaints that are to be included in the log of student complaints.

The Office of Student Affairs will maintain a log entry on a student complaint which includes:

1. The date the complaint was submitted.
2. The nature of the complaint.
3. The steps taken to resolve the complaint.
4. The date and the final decision regarding the complaint, including referral to outside agencies. and
5. Any other external actions initiated by the student to resolve the complaint, if known by Adler University (e.g. lawsuit, EEOC investigation, etc.).

The information in the log of student complaints, which is maintained by the Office of Student Affairs, is confidential. It will be made available for outside review by the Department of Education, the Higher Learning Commission and etc. However, steps will be taken to ensure the anonymity of any student who files a complaint.

The purpose of an outside review can include but is not limited to:

1. Establish that Adler University processes complaints in a timely manner;
2. Demonstrates fairness and attention to student concerns; and
3. To identify any pattern in the complaints that suggests problems with institutional quality.

## **SECTION V: Academic Department and Program Policies and Procedures**

### **A. Department Chair**

The Department Chair leads the department in the development and implementation of its mission within the scope of the larger institutional mission, and is responsible for the effective operation of the unit. Responsibilities of the **Chair** include, but are not limited to:

#### **1. Leadership**

- a. Regularly convene and consult with the department on matters relating to departmental operation, planning, staffing, budget, and curriculum.
- b. Articulate the goals of the department, and any associated resource needs, to administration.
- c. Inform the department of the perspectives and plans of administration as they might affect the department.
- d. Represent the department program(s) and faculty to the public, both within and outside the institution.
- e. Collaborate with other campus units to ensure ongoing accreditation.
- f. Lead departmental strategic planning initiatives in accord with institutional planning processes.
- g. Adhere to the principles of academic governance, especially the collaborative development of appropriate governance processes.
- h. Work within existing faculty governance structures to achieve departmental goals.

#### **2. Personnel Management**

- a. Manage the selection, mentoring, retention, and regular evaluation of outstanding and diverse faculty and staff, both temporary and continuing.
- b. Present independent analysis regarding recommendations for faculty and staff appointments, reappointments, promotions, terminations, salary adjustments, and professional development.
- c. Work with faculty members to develop and implement plans for their teaching, scholarly or creative activities, and service.
- d. Assist faculty and students in resolving complaints or grievances.

#### **3. Budget Management**

- a. In consultation with the department, establish expenditure priorities, prepare and propose budget requests, and ensure equitable resource allocation within the unit.
- b. Exercise general responsibility for departmental facilities, equipment, and space needs.
- c. Initiate or respond to requests for recommendations from the supervising division on such matters as budget status, budget planning, equipment, facilities, etc.

#### **4. Curriculum and Scheduling**

- a. In consultation with department faculty and appropriate faculty governance structures, oversee curricular development and evaluation, assessment of student learning outcomes, program review, and catalog revisions.
- b. In consultation with department faculty, recommend annual program offerings, scheduling, and instructor assignment.
- c. In consultation with department faculty, initiate or respond to requests for department recommendations on such matters as program curriculum, course scheduling, teaching assignments, etc.

**B. Program Director** responsibilities include, but are not limited to:

1. Monitor student progress and development.
2. Ensure content consistency with accreditation bodies.
3. Conduct and/or oversee annual performance reviews with faculty regarding progress towards their goals.
4. Promote the interests of the department in areas of faculty teaching, service and scholarship.
5. Review and approve core faculty teaching assignments, workload, and overage.
6. Assign adjunct faculty.
7. Participate actively in the selection, interviewing, evaluation and development of adjunct faculty.
8. Make recommendations for annual budget, plan and schedule new class cohorts in consultation with the Department Chair/Program Director if applicable.

**C. Certificate Coordinators, Concentration Coordinators, and Emphasis Coordinators**

Some Faculty members provide leadership for degree, emphases, certificate, and concentration programs. Please refer to the Adler University Catalog for a current list of these programs. In recognition of their administrative duties, these faculty members may receive stipends on an annual basis. The remaining faculty responsibilities are the same as above.

The duties of the Concentration and Emphasis Coordinators are analogous to those of the Program Directors and Department Chairs (listed above) but include the following additional responsibilities:

1. Together with other faculty within the certificate/concentration/emphases, represent the program internally and externally.
2. Together with other faculty within the certificate/concentration/emphases, facilitate the identification of relevant training sites and coordinate the program's offerings to provide the best fit between students' goals and experience and external training and employment opportunities.
3. Together with the Department Chair, revise curricula and courses as necessary to best prepare students for evolution in the field.
4. Together with other faculty within the certificate/concentration/emphases, serve as consultant to faculty and students on clinical competency, licensure, certification, and other professional matters concerning the certificate, concentration, or emphases field.
5. Together with other faculty within the certificate/concentration/emphases, serve as faculty advisor for the certificate, concentration, or emphases student group.

In addition, Program Directors, Emphasis Coordinators, Certificate Coordinators, and Concentration Coordinators have the following responsibilities:

1. Recruit faculty teaching in the curriculum of the program.
2. Evaluate the performance of faculty teaching in the curriculum of the program.
3. Implement the Student Learning Outcome Assessment Plan (SLOAP) for their program including the collection, analysis and reporting of outcome data.
4. Provide oversight of the curriculum of the program.
5. Provide advisement and mentoring to students enrolled in the program and, in conjunction with the Office of Student Affairs, monitor their progress through the program.
6. Develop the schedule of classes each term and provide this information to the Office of the Registrar. Oversee course enrollment in their program each academic term.
7. In coordination with the Director of Admissions, participate in marketing and recruitment for students for the program.
8. Coordinate and attend new student orientation.
9. Coordinate and/or assist in program accreditation activities.

## **SECTION VI: Faculty Professional Development**

### **A. Professional Development Funding**

The purpose of Faculty Professional Development is to provide faculty members with opportunities to pursue activities that would enhance their instruction, professional practice, service, or scholarship and to improve their individual careers as well as their contributions to the broader mission of the University.

Faculty are encouraged to attend conferences and professional association meetings. Prior to attending a conference or meeting, a Faculty member should submit their request for reimbursement to the Vice President of Academic Affairs, who will determine the amount of reimbursement that the University will provide. The Faculty member should submit a budget, reason for attending the conference or meeting, statement indicating how it will benefit the University and, if available, written information on the particular event.

Up to \$1,500 per fiscal year may be made available to all full-time faculty members as a professional development allowance to increase each faculty member's understanding of his/her position. The allowance may be used for activities including, but not limited to, taking courses, purchasing books or attending seminars. Reasonable and customary expenses related to seminar attendance are also covered by the allowance. This amount is prorated from the time a faculty member begins employment; a faculty member who begins employment halfway through a fiscal year will be eligible for one-half of that year's professional development allowance. Faculty members must seek their supervisor's permission in advance for each request. For the Travel Reimbursement Policy and Process please consult the Employee Handbook.

In addition, a faculty member who has a paper or presentation accepted at a national professional meeting or conference, the University will pay reasonable and customary expenses to attend the conference, up to a maximum of \$1,500. To qualify for this presentation-related benefit, the faculty member must list their Adler University affiliation as primary on the paper or presentation, and must submit the presented paper with the expense report. This new benefit supplements the current professional development allowance of \$1,500 for faculty and staff and represents an additional \$1,500 benefit. To qualify for the additional \$1,500, a faculty member must receive approval from his or her supervisor.

It is the faculty member's responsibility to ensure he/she does not exceed the professional spending allowance. Unless a special approval has been granted by the supervisor and the CFO, a faculty member will be required to reimburse the University for the amount that exceeds his/her annual allowance. The reimbursement must be submitted as a check to Accounting and Finance by the end of the fiscal year in which the faculty member exceeded the amount.

The University encourages all employees to continue their professional development through accredited course work, training workshops, seminars, or other continuing/professional educational activities.

### **B. Sabbaticals**

The University encourages sabbatical leaves that allow faculty to take time away from their regular load of School-related activities to engage in personal and professional development activities that align with the mission of Adler and contribute significantly to their work at Adler. This paid leave of absence is limited to Summer Term 1 and a maximum of three (3) awards. All faculty members who are awarded a sabbatical must commit to returning to their regular load in the subsequent Fall Term and sharing the outcomes of their sabbatical with the Adler community within six months.

## **Eligibility**

By May 1st each year, the Vice President for Academic Affairs will determine the number of sabbaticals to be offered for the upcoming year and announce this to the faculty. All full time, core faculty who have had that assignment for a minimum of four (4) years at the University are eligible to apply for a sabbatical leave. Once a faculty member has been awarded a sabbatical, that individual must wait a minimum of five years following the sabbatical term before applying again.

## **Compensation, Benefits and Conditions**

Full salary and benefit coverage is provided during the one-term sabbatical. Faculty receiving a sabbatical must commit to returning to their regular responsibilities at the University for the following full academic year. If the faculty member does not return the following year, the salary paid during the sabbatical will be reimbursed to the University through a payment schedule worked out with Human Resources.

## **Application Procedure**

The faculty member will submit the following sabbatical packet of information to the Office of Academic Affairs:

1. A completed Application for Sabbatical Form (Please see Appendix G).
2. A brief (1-2 page) narrative that describes the activity the faculty member intends to pursue, its value to their growth, its alignment to the Adler University mission, and how its significance will be measured.
3. A letter of support from the applicant's department chair and/or program director (or VPAA in the case of a department chair).

The sabbatical packets will be reviewed by the Rank, Promotion and Sabbatical Committee with the Vice President of Academic Affairs as an ad hoc member. Sabbaticals will be announced by September 1st by the Office of Academic Affairs. The Rank, Promotion and Sabbatical Committee will have the responsibility for ongoing review and recommendation of standard policies and procedures for granting sabbaticals.

**Community Presentation:** Within six months after returning from the sabbatical, the sabbatical recipient, with support from the Office of Academic Affairs, will coordinate an event where the faculty member will share the sabbatical outcomes with the Adler community. The sabbatical recipient will also send an electronic record or summary of the presentation to the Office of Academic Affairs.

## **C. Policy on Overage Payments for Faculty**

Overage and additional pay covers payments in excess of base salary for the following three categories:

1. Overage for teaching above contract requirements and over enrollments.
2. One-time Additional Pay for periodic non-teaching assignments, including independent study, supervision, and/or coordinating a concentration.
3. Ongoing Additional Pay for continuing assignments or any other functions not covered above.

### **CATEGORY 1 – OVERAGE FOR TEACHING ABOVE CONTRACT REQUIREMENTS**

#### **Calendar**

Overage payments will be processed on the third payroll following the start of the new term in which the overage occurs. This pertains to teaching above contract requirements and over-enrollment.

#### **Process and Schedule**

To facilitate timely overage payments, Accounting will follow the schedule outlined below:



1. At the beginning of each fiscal year, the Office of Academic Affairs will create a list of the minimum teaching requirements (in credit hours) for each faculty member. Accounting will review this list with each appropriate Department Chair/Program Director.

Waivers which would reduce the minimum teaching workload are discouraged. Any release time from the standard minimum teaching requirements must be documented by the faculty member's supervisor **AND** approved by the respective Department Chair/Program Director and VPAA.

2. On the 10<sup>th</sup> business day of the new semester, Accounting will obtain the Registrar's Report listing all courses and credit hours taught by each faculty.
3. On the 15<sup>th</sup> business day of the semester, Accounting will:
  - a. Determine the overage payments due for each faculty member, if any;
  - b. Populate the Overage & Additional Pay Form with the relevant information for each faculty member;
  - c. Forward the completed Overage & Additional Pay Forms to each appropriate Department Chair/Program Director for review.
4. In the subsequent two weeks, Accounting will schedule meetings with each Department Chair/Program Director to verify the calculations for overage payments and to make adjustments, if any.
5. By the 25<sup>th</sup> business day of the semester, Accounting will collect approved Overage & Additional Pay Forms signed by each respective Department Chair/Program Director. Accounting will not process any Overage payments without a signed Overage & Additional Pay form.
6. By the 15<sup>th</sup> calendar day of the second month after the start of the semester, overage payments for teaching will be included in each respective faculty member's payroll deposit.

Example to facilitate the understanding of calculating teaching overage payments:

*Example: Dr. Smith is contracted to teach 12 credit hours in FY15. He ends up teaching 7 credit hours in Fall, 8 in Spring and 2 in Summer.*

Fall Calculation:

*12 credit hours per contract – 7 credit hours taught in Fall = 5 credit hours per contract remain to be taught. Therefore, no overage payment is due for Fall.*

Spring Calculation:

*5 credit hours remaining to be taught (from Fall calculation) – 8 credit hours actually taught in Spring = 3 credit hours of overage payment due for Spring.*

*At this point, Dr. Smith has fulfilled his contractual teaching requirements.*

Summer Calculation:

*2 credit hours taught = 2 credit hours of overage payment due for Summer.*

Please note that the University pays for teaching overages only after the faculty member fulfills the teaching requirements for the entire year.

## **CATEGORY 2 – ONE-TIME ADDITIONAL PAY FOR INDEPENDENT STUDY, SUPERVISION AND COORDINATING A CONCENTRATION**

### **Calendar**

Additional Pay for non-teaching assignments will be paid on the 4<sup>th</sup> payroll following the start of the new semester. Non-teaching assignments include: independent study, supervision, coordinating a concentration and any other non-teaching responsibilities that a faculty member is assigned.

### **Process and Schedule**

To facilitate timely payment for non-teaching Additional Pay, Accounting will follow the schedule outlined below:

1. Subsequent to the teaching overage calculated, Accounting will review the Additional Pay items with each Department Chair/Program Director. Accounting will rely on the Department Chairs/Program Directors to indicate assignments, if any, that qualify for Additional Pay but are different from independent study, supervision or concentration.
2. On the 10<sup>th</sup> business day of the new semester, Accounting will obtain the Registrar's Report listing all courses and credit hours taught by each faculty member.
3. By the 25<sup>th</sup> business day of the semester, Accounting will:
  - a. Determine the payments due for each faculty member (if any) for independent study, supervision and coordinating a concentration;
  - b. Populate the Overage & Additional Pay Form with the relevant information for each faculty member;
  - c. Forward the completed Overage & Additional Pay Forms to each appropriate Department Chair/Program Director for review.
4. In the subsequent two weeks, Accounting will schedule meetings with each Department Chair/Program Director to verify the calculations and to make adjustments, if any.
5. By the 35<sup>th</sup> business day of the semester, Accounting will collect approved Overage & Additional Pay Form signed by each respective Department Chair/Program Director. Accounting will not process any payments without a signed Overage & Additional Pay form.
6. On the last business day of the second month after the start of the semester, payments for independent study, supervision and coordinating a concentration will be included in each respective faculty member's payroll deposit.

## **CATEGORY 3 - ONGOING ADDITIONAL PAY FOR ITEMS NOT COVERED UNDER CATEGORIES 1 AND 2**

### **Overview**

Additional Pay for items not covered under categories 1 and 2 will be paid upon request from the Department Chairs/Program Directors. Such assignments include: assuming on-going interim role, or other non-teaching responsibilities by a faculty member.

### **Process and Schedule**

Throughout the year, Department Chairs/Program Directors may authorize "Additional Pay" for particular faculty members for other reasons (additional responsibilities, library assessment management, etc.). To approve "Additional Pay" for any reason, Department Chairs/Program Directors must:

1. Complete a Salary Adjustment Form which can be found on the Human Resources page on Adler Connect.
  - a. The Salary Adjustment Form must describe the reason for the Additional Pay;
  - b. The Salary Adjustment Form must indicate the start and stop dates for the ongoing Additional Pay;
  - c. The Salary Adjustment Form must be signed by the Supervisor (Department Chair/Program Director), the VPAA, the CFO, the AVP of HR and the President (President only if the overage is over \$5,000);
2. Additional Pay will be effective at the next feasible payroll date;
3. Each qualified faculty member will receive an email including the Salary Adjustment Form signed by a respective Department Chair/Program Director.

#### **D. Time Off and Academic Calendar**

During the term of each contract, faculty are expected to be in attendance on campus as specified in the Faculty Responsibilities Document. Any absence during the contract requires approval of the faculty member's direct supervisor.

#### **SECTION VII: Revision of the *Faculty Handbook***

Revisions of the *Faculty Handbook* will be considered and acted upon based on the following procedures:

- The Faculty Council, or a committee appointed by the Faculty Council, shall annually have the responsibility of reviewing the Faculty Handbook and making any revisions necessary.
- Revisions will be presented to the President, Vice President of Academic Affairs and Human Resources for approval.

The *Faculty Handbook* shall remain in effect until amended in accordance with the policies and procedures described above. All amendments so adopted shall be incorporated in the *Faculty Handbook* as a permanent revision to the handbook.

## **APPENDIX A. Intellectual Property Policy (Revised 2014)**

### **1. Policy Statement**

Adler University is committed to providing an intellectual environment in which all members of the academic community — whether they are faculty engaged in life-long professional development, students pursuing educational objectives, or staff dedicated to their own career goals — learn to the fullest extent possible. The University also recognizes and values creativity and innovation as part of this learning process. Similarly, Adler University recognizes the importance of, and wishes to encourage, the transfer of new knowledge, generated at Adler, to the private sector for the public good.

- 1.1 *Scope.* This policy addresses the rights to, interest in, and protection and transfer of intellectual property created by Adler University faculty, staff and students. Issues not directly considered in this policy, including disagreements concerning its application or interpretation, will be addressed and resolved in a manner consistent with applicable law and University policies.
- 1.2 *Governing Principles.* The following principles underlie this policy and should guide its application and interpretation:
  - 1.2.1 *Academic Freedom and Preeminence of Scholarly Activities.* In accordance with the Adler University Academic Freedom policy, the missions of teaching and scholarship have preeminence over that of the transfer and commercialization of research results. Adler University's commitment to its educational mission is primary, and this policy does not diminish the right and obligation of faculty members to disseminate the results of research and creative activity for scholarly purposes.
  - 1.2.2 *Equity and Fair Play.* This policy sets forth general principles and procedures, and it has not been designed to address every conceivable circumstance. Under principles of fair play, the inventor(s)/creator(s) and Adler University mutually operate so that no one will unfairly exploit inadvertent errors or omissions in the written policy. If the need for corrections or exceptions to this policy is identified, appropriate recommendations shall be made to the President.
  - 1.2.3 *Mutual Trust and Goodwill.* Throughout all phases of the creation and implementation of this policy, it is assumed that all members of Adler University community will be guided by a sense of mutual trust and goodwill. In the event of future controversies regarding the rights to intellectual property, the commercialization of particular property, or in the interpretation of this policy, all parties should recognize that mutual trust and goodwill were fundamental tenets in the forging of this policy.
  - 1.2.4 *Transparency.* The principle of transparency promotes both the disclosure and avoidance of actual and apparent conflicts of interest associated with external commercial activities.
- 1.3 *Applicability.* This policy applies to both campuses of Adler University and their respective Staff, Faculty, Student-Employees, Consultants, Community Partners and Students.

### **2. Definitions**

The definition of terms set forth in this Section will apply in this Policy (in addition to terms expressly defined elsewhere herein) including any amendments made to or incorporated herein now or in the future:

- 2.1 *Academic Programs* are specific degrees, certificates or concentrations approved and offered by the University. Academic Programs are defined by program objectives and involve a program curriculum, the associated master course syllabus outlines, admission requirements and completion requirements.
- 2.2 *Adler University resources* means services and all tangible resources including buildings, equipment, facilities, computers, software, personnel, research assistance, and funding of the University.

- 2.3 Agreement means a signed written contract between or among a corporation, business, individual(s) and the University.
- 2.4 Author/Inventor means an individual or group of individuals who invent, author, discover, or are otherwise responsible for the creation of Intellectual Property. An Inventor refers to the creator of an invention that may be patentable. An Author refers to the creator of an original work of authorship that may be subject to copyright protection.
- 2.5 Course Shell is the Learning Management System space provided to a Faculty member, for each course section, to load materials and assignments for a course (online, blended, or face-to-face).
- 2.6 Copyright means a form of protection granted by federal law for original works of authorship that are fixed in a tangible medium of expression, which covers both published and unpublished works.
- 2.7 Employee means any person employed by Adler University who receives a regular salary and whose income is reported as salary to the government. For the avoidance of doubt, Faculty are considered Employees.
- 2.8 Faculty means full-time and part-time Employees hired by Adler University to teach or conduct instructional activities. Faculty includes persons contracted as adjunct or visiting professors or instructors.
- 2.9 Instructor Course Syllabus means a document that is created based on the elements of the corresponding Master Course Syllabus Outline, as well as standards for evaluation of Student learning, and additional information that is the product that reflects the creative work of the Faculty member. This includes individually created instructional material developed by the faculty member for a course.
- 2.10 Intellectual Property or Intellectual Property Rights means all the protections afforded the owner or owners of an original work under law, including all rights associated with patent, Copyright, and trademark registration.
- 2.11 Master Course Syllabus Outline (MCSO) means an institutional document that is the property of the program and/or department and Adler University. At a minimum, this document will include the course title, course description, course objectives and outcomes, ways in which the course objectives are linked to the program outcomes and adequately measured, prerequisites and total credits.
- 2.12 Master Online Course Shell is the online course shell created by a faculty member under an agreement with Adler University. The Master Online Course Shell is designed to be reused by future faculty members.
- 2.13 Online Course Shell is the space provided to a Faculty member who is teaching an online or blended section of a course which is pre-loaded with the content from either a Master Online Course Shell or a previously used Online Course Shell.
- 2.14 Sponsor means a person, private-sector company, organization, or governmental entity, other than Adler University, which provides funding, equipment, or other support to carry out a specified project.
- 2.15 Sponsorship Agreement means a written Agreement between a Sponsor and Adler University that may include other parties including the creator of the work.
- 2.16 Student means an individual who was or is enrolled in a class or program at Adler University at the time the Intellectual Property was created.
- 2.17 Student-Employee means a student who is paid by Adler University for services performed. Graduate assistants and work-study students are Student-Employees. For graduate students who teach, see the definition of "Faculty" above.
- 2.18 Substantial Use of Resources means that resources are provided beyond the normal professional, technology, and technical support supplied by the University to an individual or individuals for development of a project or program.

- 2.19 Works Made for Hire means all copyrightable works created by an Employee within the scope of his or her employment as defined by position description and in cases in which the institution provides the specific authorization or supervision and compensation for the preparation of the work.

### **3. Ownership of Intellectual Property Rights**

The ownership rights to Intellectual Property created by Faculty, Students and Employees will be determined as set forth in this Section 3, but may be modified by an Agreement or other condition described in one of the subsequent sections.

- 3.1 Institutional Works. Intellectual Property Rights in Institutional Works belong to Adler University. Institutional Works are Works Made for Hire in the course and specific scope of employment as defined by position description by employees or by any person with the use of resources of Adler University. The Master Course Syllabus Outline (MCSO) and Academic Programs are specific examples of collegially created Institutional Works. Other examples may be reports, questionnaires or surveys written by a faculty or staff member or committee as a means of gathering or sharing information useful to the development of policies and procedures of the institution, or course catalogs and marketing materials developed by the Admissions, Marketing or Student Services departments. If an Adler University employee creates an institutional work beyond the scope of his or her position description, Adler University and the employee may enter into an agreement to grant the University ownership of the work following agreed-upon compensation. Adler University may enter into a written Agreement with a non-Faculty Employee granting the Employee ownership of a work that the parties agree is of a scholarly nature such as instructional materials prepared for a new academic program, concentration or other educational courseware. For the purposes of this Policy, Scholarly Works are not considered Institutional Works.
- 3.2 Scholarly Works Owned by Author: Scholarly Works include theses, instructional materials (such as textbooks, lecture notes, course handouts, and case vignettes), journal articles, research bulletins, lectures, monographs, plays, poems, literary works, works of art (whether pictorial, graphic, sculptural, or other artistic creation), computer software/programs, electronic works, sound recordings, musical compositions, and similar creations (“Scholarly Works”). Because the Faculty member, Student or Employee who created the work determines the content, approach, direction and conclusions of the work, reflecting research, creativity, and specialized knowledge, Intellectual Property Rights in Scholarly Works belong to the Author of the work, unless the work in question was commissioned by Adler University pursuant to Section 3.15 or otherwise created using University funds specifically directed to the development of such work. Receipt of a grant that is intended to foster faculty and student involvement in research (such as a seed grant) from Adler University will not be considered to be a commission; such grant-supported works will still be considered to be Scholarly Works, owned by the Author/s.
- 3.3 Instructor Course Syllabus: Jointly owned by Adler University and Faculty. The University shall have the right to use Instructor Course Syllabi produced by instructors, but the instructors retain the right of ownership, portability, and future development of the materials. Adler University’s curriculum has evolved over time, so to insist that the University forfeit rights to a course syllabus because the Faculty member who developed it is no longer at the University can potentially impede the University’s overall mission. At the same time, a Faculty member’s primary marketable accomplishments may be the courses he or she has developed at the University. To deny Faculty the option of taking the instructor course syllabi and instructional materials they have developed with them to another institution could negatively affect their future employability.

Therefore,

- 3.3.1 Adler University and the faculty member/s who designed them shall jointly own the Intellectual Property Rights (rights to any copyrightable or patentable materials) for all information contained in Instructor Course Syllabi for courses developed by Faculty.
- 3.3.2 Faculty shall retain the right of ownership, portability, and future development of the instructor course syllabi and instructional materials developed by such Faculty for use in a course as provided in Section 3.2.
- 3.3.3 Upon leaving Adler University, departing Faculty members agree not to claim copyright ownership of new instructional materials produced by a different Adler University instructor for courses initially developed by the departing Faculty member.
- 3.4 Academic Programs: Adler University shall retain the right of ownership, portability, and development of academic programs.
- 3.5 Master Course Syllabus Outline: Adler University shall retain the right of ownership, portability, and development of Master Course Syllabus Outlines.
- 3.6 Course Shells: Adler University shall have the right to use Course Shells, Online Course Shells, and Master Online Course Shells, and their associated content for courses that have been produced by instructors, but the instructors retain the right of ownership, portability, and future development of the materials.
  - 3.6.1 Full rights to any copyrightable or patentable materials from course shells developed by an instructor remain with the instructor who created them.
  - 3.6.2 Upon leaving the University, faculty members agree to leave behind a copy of all Course Shells and Online Course Shells to provide a map for future instructors. Departing faculty members agree not to claim copyright on new materials produced by a different instructor, even if the basis for the new material is the course description and syllabi.
  - 3.6.3 Where the Faculty member has an Agreement with Adler University with regard to the curriculum, instructional materials and associated content for online or blended courses that have been produced by such Faculty member, Master Online Course Shells, the University shall own the Intellectual Property Rights in the Master Online Course Shells only if the written Agreement specifically states that this is the case.
- 3.7 Substantial Use of Resources Owned by Adler University. When Intellectual Property is developed by Adler University Faculty, Employees, Students and others participating in University programs with Substantial Use of Resources, Adler University will own the Intellectual Property (“Institutional Works”). For the purposes of this Policy, Scholarly Works are not considered Institutional Works, except as provided herein. Institutional Works created by Faculty or other Employees are Works Made for Hire.
  - 3.7.1 Materials developed for online or blended courses in conjunction with school staff, including but not limited to instructional designers and multimedia developers, are institutional works. The University owns the final product and the faculty member owns the materials submitted to create the final product.
- 3.8 Continuing Education or Professional Development Courses and Programs Owned by Faculty. Adler University may engage Adler University faculty to deliver continuing education or professional development courses or programs.
  - 3.8.1 Inasmuch as the delivery of continuing education courses and programs by Adler University Faculty is beyond the scope of Faculty members’ specific position descriptions, Faculty members retain the right of use, ownership, portability, and future development of all content and materials related to the continuing education courses or professional development programs they have created, even if the course or program is offered at or through Adler University.

- 3.8.2 Faculty members are under no obligation to provide a copy of these materials for the subsequent use of Adler University.
- 3.9 Personal Works Owned by Author/Inventor. A “Personal Work” is a work created by an Employee or Student Employee outside the scope of his or her employment and without the Substantial Use of Resources of Adler University other than resources that are available to the public or resources for which the Author/Inventor has paid the requisite use fee. Intellectual Property Rights in Personal Works belong to the Author/Inventor who created the work.
- 3.10 Student Works
- 3.10.1 Student Works Owned By Student. A creative work by a Student to meet course requirements using resources of Adler University for which the Student has paid tuition and fees to access courses and programs or using resources available to the public, is the property of the Student (a “Student Work”). Intellectual Property Rights in Student Works belong to the Student who created the work.
- 3.10.2 Student-Employee Works Owned by Adler University. A work created by a Student-Employee during the course and scope of his or her employment with the University is a “Work Made for Hire” or otherwise an Institutional Work. Accordingly, Intellectual Property Rights to such work belong to Adler University unless an Agreement, Sponsorship Agreement, or other condition expressly defined elsewhere herein provides otherwise.
- 3.11 Administrative Works Owned by Adler University. “Administrative Works” are policies and procedures of the institution, course catalogs, marketing materials and other works developed by the Admissions, Marketing or Student Services departments. Adler University shall own the Intellectual Property Rights in Administrative Works.
- 3.12 Method of Course Delivery. Faculty may use the University’s Learning Management System, email or other electronic means to disperse course materials to their students. Method of course delivery or use of the University’s technological resources does not transfer ownership of Intellectual Property to the University. Ownership of works delivered electronically shall be as set forth in this Section 3.
- 3.13 Sponsorship Agreement. The ownership of Intellectual Property Rights in a work created under a Sponsorship Agreement will be determined by the terms of the Sponsorship Agreement. If the Sponsorship Agreement is silent on the issue of ownership of Intellectual Property Rights, ownership will be determined under applicable law.
- 3.14 Collaborative Agreement. Adler University may participate in projects with persons, corporations, community partners and businesses to meet identified student or other needs. Ownership rights pursuant to any collaboration will be addressed by all involved parties pursuant to such agreement or this Policy.
- 3.15 Specially-Commissioned Work Agreements. Intellectual Property Rights to a work specially ordered or commissioned by Adler University from a Faculty member or other Employee, and identified by the University, as a specially-commissioned work at the time the work was commissioned, is a Work Made for Hire and will belong to the University. The University and the Employee will enter into a written Agreement for creation of the specially-commissioned work.

#### **4. Other Factors Affecting Ownership**

- 4.1 Jointly-Created Works. Ownership of works will be determined by separately assessing which of the above categories applies to each author who contributes to a work. Jointly-created works involving the contributions of Faculty, Staff, Students and/or Student Employees must be assessed considering this and other relevant categories of ownership rights as set forth above. If the University determines that joint ownership between the University and the author(s) is appropriate



- (a “Joint Work”), the parties will enter into an Agreement setting forth each party’s rights and responsibilities with regard to such Joint Work.
- 4.2 Sabbatical Works. Intellectual property created during a sabbatical is considered a Scholarly Work. Typical sabbatical plans do not require the use of substantial resources of the University. If the work created as part of an approved sabbatical plan requires resources beyond those normal for a sabbatical, the parties may enter into an Agreement governing ownership of such work.
- 4.3 Use of Adler University’s. Intellectual Property Rights associated with the identity of the University, its logos, trademarks and other indicators of its identity belong to the University. Such rights may be licensed pursuant to reasonable terms and conditions approved by the University. Employees of the University may identify themselves with such title of their position as is usual and customary in the academic community; but any user of the name or logo or other indicator of the University’s identity must take reasonable steps to avoid any confusing, misleading, or false impression of particular sponsorship or endorsement by the University. When necessary, specific disclaimers will be included.
- 4.4 Record-Keeping. Adler University will establish a record-keeping system to monitor the development and use of its Intellectual Property.

## **5. Preservation of Intellectual Property Rights**

- 5.1 Protection of Rights. Adler University and the Authors/Inventors may undertake such efforts as deemed necessary to preserve their rights in original works when they are a sole owner or joint owner of the Intellectual Property Rights. The University may apply for a patent, trademark registration, copyright registration, or other protection available by law on any new work in which the University has Intellectual Property Rights. For Joint Works, the relevant Agreement shall set forth the parties’ obligations with regard to protection of the Intellectual Property.
- 5.2 Payment of Costs. Adler University may pay some or all costs required for obtaining a patent, trademark, Copyright, or other classification on original works for which it owns or jointly owns the Intellectual Property Rights. For Joint Works, the relevant Agreement shall set forth the parties’ obligations with regard to the payment of such costs.

## **6. Copyrights**

- 6.1 General Statement. Copyright owners of original works, regardless of the format of the work, have exclusive rights with respect to their creations. Adler University promotes the recognition and protection of these rights, including the rights of reproduction, preparation of derivative works, distribution, and performance. The University also recognizes that reproduction and use of original works in accordance with fair use limitations can further teaching, research, and public service at colleges and universities. Consistent with its mission, the University supports the creation and sharing of new knowledge for course development and to improve student learning.
- 6.2 Copyright Notice. A Copyright notice will be placed on materials owned by Adler University that will be made available to the public. The date in the notice will be the year in which the materials are first published, i.e. distributed or made available to the public or any sizable audience.
- 6.3 Copyright Registration. Prior to commercialization of works in which Adler University has an ownership interest, such works will be the subject of an application for registration with the relevant government body.
- 6.4 Copyright Compliance. Adler University will develop and implement policies, procedures, processes and practices to be in compliance with federal Copyright laws.

## **7. Commercialization of Intellectual Property**

- 7.1 Right to Commercialize. For Joint Works and works owned solely by Adler University, the University shall be entitled to commercialize the work using its own resources or to enter into Agreements with others to commercialize the work. In the case of Joint Works, the University must make reasonable efforts to advise the Author/Inventor(s) of a Joint Work about such commercialization activities. Methods to do so will be outlined in the relevant Agreement between the parties.
- 7.2 Sharing Proceeds. An Author/Inventor(s) of a Joint Work shall be entitled to share in royalties, licenses, and any other payments from commercialization of the Joint Work in accordance with individual Agreements. The rights and obligations of the parties with regard to costs of protection, licensing and sharing of proceeds from commercialization shall be set forth in the relevant Agreement between the parties.
- 7.3 Dispute Procedures. If a dispute exists as to whether Intellectual Property Rights belong to Adler University or to an employee or other individual, then an ad-hoc committee will be formed (the "Dispute Committee"). The Dispute Committee will consist of (a) the individual who created the Intellectual Property in dispute (or, if more than one individual assisted in the creation, one individual designated by all of the individuals who assisted in the creation), (b) a person designated by the President of Adler University, and (c) a person jointly designated by the individual or designee and the President's designee. The decision of the Dispute Committee will be final and binding on the individual(s) who created the Intellectual Property in dispute and the University.
- 7.4 Notification of Policy. Adler University will provide a copy of this Intellectual Property Policy and any other forms developed to implement this Policy to all Employees, Faculty, Students and interested individuals.
  - 7.4.1 Faculty Governance and Review. Adler University shall appoint a committee comprised of both Faculty (without administrative appointments) and non-Faculty members responsible for periodic revision of this policy, and in the review and recommendation of resolutions to disputes arising under it. Any amendment to this Policy will not affect the rights and obligations of the University and any individual arising prior to the effective date of any such amendment. An amendment to this Policy will become effective thirty (30) days after the earlier of the date that (i) the amendment has been posted on Adler University's website, (ii) a revised Policy incorporating the amendment has been posted on the Adler University website, or (iii) Adler University has informed (via e-mail or otherwise) its Faculty, Students and other affected individuals of the Policy amendment.

## **APPENDIX B. Rank and Promotion Application Checklist**

Rank/Promotion applications should include the following components:

1. A Cover letter that:
  - a. Specifies the requested rank.
  - b. Provides the rationale for why this rank is appropriate.
2. A Portfolio that includes:
  - a. A current CV;
  - b. A statement of teaching philosophy that:
    - Identifies the values, ideals, and theories that underpin the faculty member's approach to teaching.
    - Describe how the above are applied in the classroom and as a teaching philosophy.
  - c. Narrative summary of accomplishments in each area (teaching, service, and scholarship) that justify the rank sought.
  - d. Documentation of evidence of teaching excellence (see criteria below for examples of activities to include which demonstrate that the criteria have been met).
    - Student END OF TERM evaluations for the last three (3) terms must be included.
    - Midterm evaluations may be included (this is optional).
  - e. Documentation of evidence of service to Adler, the community, and profession (see criteria below for examples of activities to include to demonstrate achievement of the criteria).
  - f. Documentation of evidence of scholarship (see criteria below for examples of activities to include to demonstrate achievement of the criteria).
  - g. Completed Annual Performance Evaluations(s).

## **APPENDIX C. Rank, Promotion, and Sabbatical Committee (RPSC) Policy and Procedures**

### **APPLICATION GUIDELINES**

#### **General Statements**

1. Membership on the RPSC is through general election by the Faculty Council. The term of service is 2 years. Faculty who are elected to serve on the RPSC may choose to step down after one year if they wish to apply for rank promotion or sabbatical during what would have been their second year of elected service.
2. The minimum requirement for Assistant Professor at the Adler School of Professional Psychology/Adler University (“Adler”) is a terminal degree in the discipline relevant to the program into which the individual has been hired. Individuals who have not completed the relevant terminal degree will be granted the rank of Instructor.
3. Because Adler has a strong tradition of being a practitioner-scholar-institution, it may be common for new faculty members to have as much or more experience in practice than in teaching. Faculty members who are hired by Adler will be those with a demonstrated or committed value of socially responsible practice, supervision, and/or mentoring, beyond work done solely as a practitioner.
4. In order to perform satisfactorily and participate in professional faculty development at the School, faculty members will be expected to meet the expected levels of skill and effort in teaching and advising as outlined in the performance description below in sections a. Teaching; b. Service; and c. Scholarship. They will also be expected to provide the expected level of service to the school, as defined by the Workload Allocation Committee and each department. Generally, that will mean serving on committees, participating in admissions and recruitment activities, and providing advisement to students in the regular requirements of their programs (such as dissertations, qualifying exams, capstone assignments, and other degree requirements).
5. Excellence in service, for the purpose of consideration for promotion to a senior rank, will include an overall pattern of excellence in service to the school, the profession, and the community which exceeds the expected level (i.e., more than the “fair share” described in the faculty responsibilities), demonstrated in all three domains over time. Excellence in service to the community will include a component of social responsibility and social justice.
6. Excellence in scholarship will be defined according to the standards of the discipline with which the faculty member identifies; and so may vary in terms of the type and setting of publications and presentations. In all disciplines, scholarship will be defined as activities which add to the field’s knowledge, best practices, and applicability to real-world problems and issues. (Minimum requirements for faculty include “keeping abreast” of scholarship in the field and in their areas of teaching.) Excellence in scholarship will reflect a substantive contribution to the extension/expansion of knowledge and/or practice in those areas).
7. Moving into the rank of Associate Professor will ordinarily require time spent at Adler in order to demonstrate excellence in two of the three evaluated domains: teaching, service, and scholarship. It is ordinarily expected that this will take 2-3 years for faculty who are new to academia, or at least one year for those with significant and relevant post-graduation experience.
8. The rank of Full Professor will require demonstration of excellence in all three areas of teaching and advising, scholarship, and service to the school, profession, and community. It is ordinarily expected that this will be possible only after four to five (or more) years at Adler. The exception to this is when a new hire performed at the level of Full Professor at a previous institution, in which case the Full rank will be considered at the point of hire.

## Application and Review Process

- A. At the beginning of each term, the Chair of the RPSC will ask the Human Resources (HR) department for the CVs of all new core faculty members who have been hired since the beginning of the previous term for consideration of assignment of the rank of **Instructor** or **Assistant Professor**. The assignment of the Assistant Professor rank is given if the applicant has completed a terminal degree in the field relevant to the position for which they have been hired. If newly hired core faculty members have not yet earned the relevant terminal degree, they may submit their CV to the RPSC for consideration of the Assistant Professor rank when the terminal degree has been earned.

The RPSC will review the application during the term in which it is received, and communicate its decision prior to the end of the term to the VPAA, faculty applicant, and HR department through a letter from the RPSC.

- B. In addition, any core faculty member may apply for a promotion in rank by submitting a: 1) letter of application, and, 2) an academic portfolio to the Rank and Promotion Committee on or before the dates for that year that have been designated and announced by the RPSC.
- C. RPSC members may not submit a portfolio during their time of service on the Committee.
- D. Submissions will be accepted by the Office of Academic Affairs via the Executive Administrative Assistant to the VPAA by 5:00 p.m. on the third Friday of October and the third Friday of February.
- E. The application materials will be stored and reviewed in a secure location to ensure confidentiality. Portfolios that have been reviewed by the RPSC will be retained in a locked drawer in the administrative hub until 30 days have passed, at which time they will be returned to applicants. During this time period, faculty members may review their portfolio under the supervision of the administrative hub staff only. If faculty members wish to take their portfolio out of the administrative hub before that time, they will forfeit the right to appeal the RPSC decision.
- F. Upon submission, an application will be assigned a *primary reader* and a *recorder*. The primary reader will have the responsibility to present the case for rank in detail to the committee. The recorder will provide a summary of the committee decision. Primary readers and recorders will be assigned to committee members on a rotating basis.
- G. All committee members will review every application, with the following exceptions:
1. if an RPSC member's supervisor has applied for rank promotion, that RPSC member will not vote on whether or not to grant the promotion;
  2. if a supervisee of a RPSC member has applied for promotion, the supervisor of the applicant will not vote on whether or not to grant the promotion;
  3. if a committee member has a conflict of interest beyond those listed, the committee member should disclose the conflict, and the RPSC Chair has the authority to recuse the committee member.
- H. The final decision for the assignment of rank will be made through a vote of the RPSC. For approval, a quorum of four (4) standing committee members is necessary, and a minimum of four (4) RPSC members must agree with a decision. If there is a quorum, but disagreement about the decision such that a consensus of four members is not reached, the Chair has the right to table the discussion until a subsequent meeting when more RPSC members may be present. The VPAA is a standing committee member and does not have a vote.

- I. As a condition of their membership on the Committee, RPSC members agree not to disclose any aspects of portfolio review discussions, or the breakdown or configuration of votes, with applicants or with individuals who are not on the RPSC. A RPSC member may, however, be authorized to share with the applicant suggestions for strengthening his or her portfolio for a future submission.
- J. The RPSC will review all decisions of rank at the end of the process to ensure that decisions have been made in a consistent manner.

### Application Materials

- A. The application letter is a brief statement requesting consideration for an advancement in rank. The cover **letter of application** must include:
  1. A request for consideration of a specific rank; typically, the request will be for either Associate or Full Professor rank. Determination of rank is based on the following criteria:
    - Assistant:** Has earned a terminal degree in the relevant field.
    - Associate:** Has demonstrated excellence in two domains.
    - Full Professor:** Has demonstrated excellence in all three domains.

\*For Excellence in Service, the applicant should demonstrate an overall pattern of excellence in all three service domains (service to Adler, the community, and the profession) over time.
  2. In addition, the letter should include a brief rationale as to why the requested rank is appropriate.
- B. An academic **portfolio** must also be submitted along with the letter of application. All portfolio submissions **MUST** include **ALL** of the following:
  - Current Curriculum Vita.
  - A summary of accomplishments to justify the requested rank.
  - Student **end-of-term** evaluations for the last three (3) terms taught. Midterm evaluations are optional.
  - A statement of teaching philosophy that includes the values, ideals, and theories that underpin the applicant's approach to teaching, as well as a description of how these concepts are applied in the applicant's teaching.
  - Documented evidence of excellence in teaching.
  - Documented evidence of service to the Adler School, community, and profession.
  - Documented evidence of scholarship.
  - Completed Annual Performance Appraisals.

The portfolio provided to the RPSC enables the Committee to get a full picture of the applicant's career contributions to teaching, service, and scholarship. Evaluation will be based entirely on **specific, written documentation** of the applicant's achievements and contributions. Written documentation may include, but is not limited to, syllabi, teaching aids, descriptions of innovative class activities, copies of articles and book chapters, emails, thank you notes, certificates, printed materials from conference brochures or meeting programs, grant award letters, program reviews or applications, etc. One possible portfolio structure might be:

- 1) CV, Narratives, Performance Evaluations;
- 2) Documentation of Teaching/Advising;
- 3) Service to Adler;
- 4) Service to the Community;

- 5) Service to the Profession;
- 6) Scholarship.

The RPSC recommends that faculty provide a narrative for each section that communicates to the Committee what factors and/or rationale the applicant wishes the Committee to consider for that section. Listed below are some ideas for items that the applicant might document in each section. This list is not exhaustive, nor is there an expectation that a faculty member would present documentation of all of these items.

The following is a list of activities and achievements that **may** be considered by the RPSC in evaluating whether the faculty employee's performance in that domain is **exceptional** (demonstrating *excellence*) or only at the level that would be expected for satisfactory employee performance. Written documentation may include items such as syllabi, reports, descriptions of course assignments, emails from students, emails from community members of professional organizations, notifications of awards, printed conference schedules, printed published articles or book chapters, etc.

### **Evaluation Criteria**

Please note that the bullet-points listed below represent common items for inclusion in an academic portfolio that assist the RPSC in determining level of performance. There is no expectation by the RPSC that each bullet-pointed item will be represented in every academic portfolio that is submitted for review. Faculty are encouraged to include any relevant documentation in order to demonstrate their level of performance across any of the three domains (teaching/training, service, and scholarship) under which the academic portfolio is evaluated. The RPSC will fully consider any relevant documentation that applicants choose to include in their academic portfolio, even if not explicitly listed in the following bullet-points.

#### **a1) Teaching**

##### **EXCEPTIONAL Level of Performance**

- Promotes continuous and active student engagement in the classroom and beyond.
- Introduces innovative and effective instructional techniques including, but not limited to, the use of instructional technology, creative projects, guest speakers, and collaborative activities.
- Designs new courses or significantly customizes existing courses.
- Demonstrates innovative measures of assessment.
- Delivers instruction with expertise and enthusiasm.
- Designs activities that encourage critical analysis and synthesis of ideas.
- Inspires students to make connections across the curriculum, including practica and internship experiences.

##### **EXPECTED Level of Performance**

- Prepares complete and clear syllabi according to required guidelines.
- If relevant, meets with online course development staff at least four weeks prior to the beginning of the term to discuss best practices in online instruction.
- Designs assignments to promote active learning and critical thinking.
- Selects appropriate readings that include current research and theory.
- Conducts ongoing revision of course material.
- Meets all class sessions for the times specified in the schedule except under special circumstances approved by the office of Academic Affairs or Program Director.

- Integrates available technology and personal scholarship into courses where appropriate.
- Schedules office hours or arranges for meeting times with students throughout the academic year at times that are convenient to students.
- Presents materials in an organized manner and explains expected learning outcomes.
- Reviews and incorporates student feedback from midterm and final course evaluations that improve teaching.
- Effectively relates clinical experience to classroom activities.
- Employs a variety of effective teaching methods.
- Provides timely and constructive feedback to students.

**BELOW Expected Level of Performance: (does not meet the minimum expectations).**

### **a2) Advisement**

#### **EXCEPTIONAL Level of Performance**

- Develops innovative approaches to advisement that are adopted by other faculty.
- Provides active mentoring, including clarification of career and life goals.
- Includes students in research, publication, or other professional activities.
- Is actively involved in a student organization.
- Provides leadership for student-oriented events.
- Is easily accessible to students outside of class.
- Participates in student conferences.
- Collects data regarding student needs, preferences, and performance that will improve student advising at the Adler School.

#### **EXPECTED Level of Performance**

- Meets with advisees and documents their academic progress at least once per term.
- Demonstrates accurate and current understanding of academic policies and procedures and communicates this effectively to student advisees.
- Maintains current knowledge of significant issues and trends relevant to professional practice in the program or department in which they are teaching.
- Responds in a timely manner to student inquiries by email or by phone.
- Provides accurate, detailed, and timely feedback regarding academic performance to student advisees.
- Assists advisees in selection of appropriate courses and other educational experiences.
- Is available for student consultation as necessary outside of office hours.
- Demonstrates through conduct with students the values, expectations, and standards of a professional in the program or department in which they are teaching.
- Refers students appropriately to institutional and community support services.

**BELOW Expected Level of Performance: (does not meet the minimum expectations).**

### **b) Service to the Adler School, Community, and Profession**

#### **EXCEPTIONAL Level of Performance**

##### **b1) Service to the School**

- Chairs a school-wide committee or leads a significant school initiative.



- Receives an award for service.
- Develops or implements a new Certificate, Concentration, Track, or Program.
- As coordinator of a Certificate, Concentration, Track, or Program, implements a plan to increase enrollment.
- Initiates faculty mentoring or development activities.
- Collaborates with the Training Directors/Coordinators to create new practicum opportunities.
- Builds collaborative professional alliances with colleagues at other institutions.
- Takes an active role in institutional advancement, recruitment, or retention.
- Participates in grant seeking activity.
- Takes initiative and plays an active role in admission activities to support and enhance student recruitment and enrollment.
- Takes initiative and plays an active role in developing and maintaining relationships between the Adler School and Adler School alumni.
- Consistently attends and participates in school-wide retreats or events hosted by the Centers and Institutes for Social Change.

### **b2) Service to the Profession**

- Takes a leadership role in professional organizations or associations, including election to professional office.
- Serves as an invited participant in a professional activity.
- Receives recognition or an award by a professional organization for contributions made.
- Demonstrates a record of professional advocacy.
- Achieves diplomate status or advanced credentials (a description of the criteria for earning the credential should be provided).
- Currently engages in clinical work, particularly with underserved populations.
- Has engaged in supervision of trainees.

### **b3) Service to the Community**

- Assumes a significant, documented role in a community organization or initiative.
- Maintains a record of community involvement and commitment to community service.
- Maintains a record of significant advocacy for a community issue.
- Collaborates with community members on an identified issue.
- Provides public education on mental health-related issues for agencies or members of the community.

## **EXPECTED Level of Performance**

### **Service to the School**

- Participates effectively in at least one major faculty governance and one Departmental committee per academic year.
- Fully engages in the student admissions process.
- Attends and participates in faculty meetings and professional development activities.
- Participates actively in Adler School events.
- Supports and encourages colleagues.
- Attends many events hosted by the Institutes and Centers.

### **Service to the Profession**

- Maintains active membership in professional organizations.

***Faculty Handbook, July 2014 Revision (added to Connect 7.29.2014); Ad Hoc Committee final with HR/VPAA revisions, 2/2016; Faculty Qualifications added 2018***

- Attends professional activities.

#### **Service to the Community**

- Engages with a community organization, including volunteer activity.

**BELOW Expected Level of Performance: (does not meet the minimum expectations).**

### **c) Scholarship**

#### **1) Definition of Scholarship**

Faculty members may demonstrate excellence in scholarship through a variety of endeavors. Scholarship refers to activities that make an original and significant contribution to the faculty member's profession. Scholarship includes both traditional research and creation of knowledge generated by the scholar, which is documented and disseminated to professional communities, the general population, legislators, specific communities, or other stakeholders/interested parties. Dissemination may occur through traditional publication or professional presentations, or may take place through other media, such as journalistic or broadcast outlets, the internet, community presentations, and other forums where knowledge is disseminated.

Note: the concepts attributed to Boyer which are discussed here were drawn from Booth, 2004; Duke & Moss, 2009; Martimianakis et al., 2009; Buskist et al., 2008; and Cheek, 2002. See the References section at the end of this document for a complete list of citations.

**Traditional research** includes, but is not limited to editing, reviewing, and publishing peer reviewed manuscripts, writing or editing books, presenting at conferences, supervising student research, etc.

**Scholarship of Integration** is defined as interpreting and synthesizing knowledge across fields by emphasizing critical analysis and interpretation of that knowledge, generating new connections and insights, and broadening contexts (Boyer, 1990). This may include theory development, critique of existing theory or research, or unique synthesis of research or theory using multiple sources.

**Scholarship of Application** is defined as the bringing together of theory and practice or the extension of knowledge to important individual and institutional problems (Boyer, 1990). Examples include the development of theory driven therapeutic techniques, application of theory to organizational structure or leadership activities, or implementation of research knowledge into public policy.

**Community-Based Research** "...Involves community members in identifying specific community-based problems and environmental conditions to study. Data gathering, analysis, and policy formulation is collaborative. Researchers work with community members to utilize the findings in ways that directly benefit the local community...directed toward democratizing the control of knowledge, the production of knowledge and that this knowledge is aimed at producing positive social change." (Duke & Moss, 2009, p. 32-3).

**Scholarship of Teaching and Learning (SoTL)** "...is a systemic study of teaching and learning that is documented in a public forum and is available for peer review. The goals of SoTL are to enhance student learning and to improve instructional practices in higher education. The scholarship of teaching and learning is distinguishable from scholarly teaching. Scholarly teaching requires knowledge of content and appropriate pedagogy to teach a particular content." Examples of SoTL include teaching portfolios, publications in journals about teaching and learning in higher education,

teaching commentaries in other publications, or facilitation of a presentation or workshop on pedagogy. (North Carolina State University, 2014).

## **2) Examples of Achievements and Accomplishments Demonstrating a Range of Scholarship:**

These examples are not meant to be exhaustive nor definitive as to the scholarship domain they represent. Some may also involve elements of service to the school or profession. It is up to the faculty member to make a case for the area of exceptional performance being demonstrated. More activities, and/or those of a higher quality and level of influence, will provide stronger evidence of excellence in scholarship (i.e., an exceptional level of scholarship).

### **EXCEPTIONAL Level of Performance**

Demonstrates an ongoing and progressive record of scholarship in the following domains:

#### **Traditional Scholarship**

- Serves as chair or committee member on student dissertations or theses, above contractual obligation.
- Presents at professional conferences.
- Authors articles that are published in peer-reviewed journals. Note: if an applicant has ten (10) or more published articles, they may choose a selection of articles to provide in the portfolio. If an applicant has fewer than 10 published articles, they should include a copy of all of them in the portfolio.
- Authors published books or book chapters.
- Edits books.
- Writes reviews of books.
- Publishes reviews of books or assessment instruments.
- Participates in research or assessment activities (initiating faculty's own research projects, assisting with those of colleagues, or mentoring those of students) that advance the mission of the Adler School.
- Organizes and selects peer-reviewed or juried conference presentations or poster fairs.
- Engages in peer-review or other editorial tasks for refereed journals.

#### **Scholarship of Integration**

- Creates/develops a research-supported program or concentration.
- Creates/develops a curriculum for a research-supported program or concentration.
- Create new/innovative courses.
- Creates and presents original CE programming.
- Consults to associations, agencies, communities, or colleagues as an expert.
- Creates and disseminates public education or advocacy talks or written materials that integrate material across disciplines, e.g. psychology, sociology, medicine, public health, the law.
- Serves as an expert commentator on events for the media.
- Provides policy analysis for governing or administrative bodies.

#### **Scholarship of Application**

- Collaborates with internal stakeholders (i.e., the Institutes and Centers) to develop programs or learning activities (e.g., Englewood violence program; Social Exclusion Simulation).

- Assists professional associations in collecting, analyzing, or disseminating data about certification, professional competence, etc.
- Creates, revises, or evaluates guidelines or competencies for associations or certification boards.

#### **Community-Based Research**

- Is involved in a program of engaged scholarship related to community partnerships.
- Collaborates with community partners to develop or evaluate programs.
- Collaborates with community partners to gather/analyze/data, and write/disseminate results.

#### **Scholarship of Teaching and Learning**

- Conducts research concerning best instructional practice.
- Demonstrates a record of scholarly work in best instructional practice.
- Engages in assessment activities that advance the quality of education of an Adler degree or certificate program (including assessment of learning outcomes, as in constructing SLOAP instruments/items based on externally validated criteria).
- Develops an innovative teaching method or medium (e.g., software, visual materials, museum exhibits).

#### **EXPECTED Level of Performance**

- Keeps informed of relevant scholarly developments.
- Applies theory and research related to effective teaching into instruction and training.
- Engages in cooperative work with students in areas of relevant scholarship and professional activities.
- Engages in scholarship that enriches Adler School partnerships.

**BELOW Expected Level of Performance: (does not meet the minimum expectations).**

#### **Additional Considerations about Grant-Writing:**

Although there is less said in the university world about tying grant-writing to rank and promotion guidelines, faculty members applying for advancement typically must be the principal investigator (P.I.) on the grant in order for the grant to be considered in the application. Therefore, the Committee supports the idea that grant funding for research or student support can include the use of such activity as evidence of scholarship for rank and promotion - especially if the grant is peer reviewed. The Committee decided that giving examples of grant-writing as scholarship would be difficult due to the wide variation in these grants across disciplines; however the Committee wants to include the possibility of using such activity as evidence of excellence in scholarship.

#### *Grant Funding and Scholarship:*

Success in grant competitions that involve peer review is (as is the case with publications) taken as a reliable sign of quality work. With faculty research that is funded by multiple sources, it is important for a faculty member to indicate when a grant award is based on the peer review grant process. (Note that funding is not in itself an indicator of academic merit).

The availability of and reliance on external funding varies considerably across fields and it is important that faculty reviewers be told the situation and expectations of the candidate's discipline. This should include listing all grant and contract support (dollar amount) along with funding agency, dates, and the name of the principal investigator.

## References

Booth, A. (2004). Rethinking the scholarly: Developing the scholarship of teaching in history. *Arts & Humanities in Higher Education*, 3(3), 247-266.

Buskist, W., Carlson, J. F., Christopher, A. N., Prieto, L., & Smith, R. A., (2008). Models and exemplars of scholarship in the teaching of psychology. *Teaching of Psychology*, 35, 267-277.

Cheek, J. (2002). Advancing what? Qualitative research, scholarship, and the research imperative. *Qualitative Health Researcher* 12, 1130-1140.

Duke, J., & Moss, C. (2009). Re-visiting scholarly community engagement in the contemporary research assessment environments of Australasian universities. *Contemporary Nurse*, 32(1–2): 30–41.

Martimianakis, M, McNaughton, N., Tait, G., Waddell, A., Lieff, S., Silfer, I., & Hodges, B. (Sep/Oct 2009). The Research Innovation and Scholarship in Education Program: An Innovative Way to Nurture Education. *Academic Psychiatry* 33(5), 364-369.

## **APPENDIX D. Rank and Promotion Decision Appeal Process**

An appeal of a rank decision made by the faculty Rank, Promotion, and Sabbatical Committee (RPSC) must be based on an assertion from the rank promotion applicant (appellant) that (1) the published portfolio review process (delineated in the Faculty Handbook, Appendix C) was not followed (procedural error), or (2) the decision was biased due to the candidate's membership in a particular group (bias error), resulting in discrimination on a basis not demonstrably related to the faculty member's performance, including but not limited to race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, parental status, pregnancy, childbirth, conditions related to pregnancy or childbirth, marital status, age, disability, citizenship, veteran status, and all other characteristics protected by applicable law. After reviewing the RPSC portfolio review procedures, if a candidate wishes to appeal the rank decision, he or she may submit a letter stating the grounds for appeal to the Faculty Council (FC) Chair within thirty (30) calendar days of receiving the rank request response letter from the RPSC.

An appeal letter must indicate the rationale for the appeal, clearly outlining the perceived ways in which the published portfolio review process (delineated in the Faculty Handbook, Appendix C) was not followed, or bias existed due to membership in a particular group. Appeals must be based on a failure by the RPSC to follow the published portfolio review policies and procedures, or demonstrated bias against the candidate, and not on disagreement with the RPSC's evaluation of the contents of the portfolio itself.

Portfolios that have been reviewed by the RPSC will be retained in a locked drawer in the administrative offices area until thirty (30) calendar days have passed, at which time they will be returned to applicants. During this time period, faculty members may review their portfolio under the supervision of the administrative offices area staff only. If a faculty member wishes to take his or her portfolio out of the administrative offices area before that time, he or she will forfeit the right to appeal the RPSC decision.

Upon receipt of an appeal letter, the FC Chair will inform the Executive Committee (EC) and the VPAA that an individual is appealing his or her rank decision. The FC chair will not divulge the name of the appellant, to protect his or her confidentiality.

### **Procedural Error:**

The EC will constitute an ad hoc Faculty Appeal Committee (FAC) to consider the appeal. The FAC will consist of two full-time faculty members, as well as one person who has been designated by the appellant to be his or her advocate on the committee.

The EC will select two full time faculty members to recommend for membership on the FAC. The RPSC will provide the EC with a list of all faculty members who have previously served on the RPSC, and the EC will then strive to identify FAC members who have significant experience in reviewing academic portfolios in the past, but were not members of the RPSC at the time that the appellant's portfolio was originally reviewed. Ideally, the recommended FAC faculty members will have professional/academic experience that is relevant to the appellant's academic portfolio. If possible, all members of the FAC should be of Associate Professor rank or higher; if this is not possible, the FAC members should be of Assistant Professor rank with prior RPSC experience.

Once two suitable FAC members have been identified, the FC Chair will request that the appellant select a third faculty member; this individual will be the third member of the FAC. The FAC will then designate one of these three members to be the chair of the committee.

The Chair of the FAC will inform the RPSC Chair that the appeal is taking place. The FAC chair will obtain the portfolio that was originally reviewed by the RPSC from the administrative offices area; no changes may be made to the

***Faculty Handbook, July 2014 Revision (added to Connect 7.29.2014); Ad Hoc Committee final with HR/VPAA revisions, 2/2016; Faculty Qualifications added 2018***

portfolio between the RPSC review and FAC review. The FAC will then review the portfolio, following the guidelines and procedures laid out in Appendix C of the Faculty Handbook, and make a final decision concerning the rank request. The Appeals Committee may meet with the candidate and/or RPSC to gather information in order to make a final decision.

If a Committee member has a conflict of interest based on the content of the appeal or other circumstances, (e.g., the candidate's supervisee is on the Appeals Committee), he/she may request to be recused and another faculty member or administrator will participate in the decision making. A decision must be reached by the FAC and communicated in writing to the appellant, RPSC Chair, FC Chair, and VPAA within thirty (30) days. This decision is final and may not be appealed by the faculty member.

The candidate may re-apply with a revised portfolio to the RPSC before the next portfolio submission deadline, according to the application guidelines provided in Appendix C.

**Bias Error:**

The procedures for review would be the same as delineated above, with the addition that the HR office would be informed by the FC Chair about the nature of the bias that is being claimed. The HR office will then follow its own relevant procedures with respect to such claims.

## APPENDIX E. FACULTY RECRUITMENT AND HIRING PROCEDURES

1. Hiring Need Identified:
  - A. Department Chair/Program Director identifies faculty positions that meet the needs of the department and its programs and sends a Personnel Requisition Form and a new/updated job description through the Applicant Tracking System (ATS) to the VPAA.
    - 1) Form will include the budget source (cost center, location code, and object code).
    - 2) Search Committee Chair/members.
    - 3) Sourcing sites; all faculty positions will be posted on the University website, on the Chronicle of Higher Ed website, HigherEdJobs.com, and a field specific site (if applicable).
    - 4) Salary range in keeping with University compensation standards.
    - 5) Minimum and preferred requirements for candidate selection and pre-screening.
      - a) Development of qualifying and non-qualifying applicant questions.
      - b) Specific application instructions such as letters of reference, teaching philosophy, etc.
  - B. Personnel Requisition Form will, through the use of workflow, be forwarded for authorization to the CFO and the Associate Vice President of Human Resources.
  - C. Out of budget hiring requests must be approved by the President.
2. Timeline Development for Search Completion:
  - A. Posting Date and Closing Date for the position (if applicable) established.
  - B. Dates for recruiting sources established.
  - C. Date established for applicant pre-screening (based on pre-determined minimum requirements:
    - 1) Department Chair/Program Director develops pre-screening questions (if applicable).
  - D. Date established for the Search Committee to meet to determine evaluation criteria for applicants.
  - E. Date established for the applicant pool to be released to the Search Committee.
  - F. Dates established by Search Committee on availability and interview dates determined.
  - G. Approximate date established for candidate selection no later than thirty (30) days before the start of a semester if applicable.
3. Candidate Collection:
  - A. Human Resources posts the position(s) through the Applicant Tracking System (ATS).
  - B. Applicants apply for the position the Applicant Tracking System.
  - C. Human Resources/Applicant Tracking System conducts initial applicant prescreen.
  - D. Applicant Pool opened for Search Committee of candidates who meet minimum job requirements.
4. Candidate Interviews and Assessment:
  - A. Initial Pre Screen Phone Interview by Human Resources
    - 1) Faculty Search Committee determines list of top candidates to be contacted for pre-screen phone interviews. Position must be posted for a minimum of five (5) business days before candidates are selected.
    - 2) List of candidates to be interviewed sent to Human Resources.
    - 3) Human Resources conducts phone pre-screen interview to determine mutual interest, fit, salary expectations, and any other pre-determined information requested by the Search Committee.
    - 4) Human Resources submits an evaluation on each pre-screen candidate interview to Faculty Search Committee.
    - 5) Faculty Search Committee selects candidates to invite for on-campus interview.



- B. Phone/SKYPE Interview by Faculty Search Committee:
  - 1) Human Resources schedules phone/SKYPE interview with Faculty Search Committee from predetermined interview schedule.
  - 2) At the conclusion of the phone/SKYPE interview, Faculty Search Committees determines:
    - a) Candidates to be invited for an on-campus interview.
    - b) Provides list to Human Resources.
  
- C. On Campus Interview:
  - 1) Human Resources schedules on-campus interview from predetermined interview schedule to include:
    - a) Faculty Search Committee to include a Diversity Committee member;
    - b) Department Chair/Program Director;
    - c) VPAA
    - d) AVP, HR
    - e) Predefined presentation to audiences specified by the Search Committee (may include students and/or other Faculty). Candidate must be given a minimum time period to prepare for the presentation.
    - f) Presentations are announced to the University Community at an acceptable timeframe prior to the presentation.
  - 2) For out of town candidates, Human Resources is authorized to approve reasonable travel expenses including accommodations and meals, if appropriate.
  - 3) Human Resources distributes interview schedule for all interviewers. Candidate's materials will be available to all stakeholders on the Applicant Tracking System (ATS).
  - 4) Human Resources will coordinate the interview process including reserving conference rooms, escorting candidate to each interview, and providing the appropriate evaluation form, etc.
  - 5) Each interviewer is required to complete an evaluation form for the position which must be submitted to Human Resources.
  - 6) The Diversity Committee member is required to submit a Diversity Committee report and evaluation to Human Resources.
  - 7) Human Resources will forward all evaluations to the VPAA, Department Chair/Program Director, Faculty Search Committee, and AVP, HR.

5. Candidate Selection/Search Conclusion:

- A. Human Resources schedules meeting to include:
  - 1) Office of Academic Affairs representative;
  - 2) Department Chair
  - 3) All members of the Search Committee;
  
- B. Participants discuss finalists based only on evaluations received and recommend whether to make an offer for approval by the VPAA
  
- C. VPAA and AVP, HR agree on offer details, including start date (no later than fifteen [15] days prior to the start of a semester) and the salary. Department Chair/Program Director will contact successful candidates to make a verbal offer.
  - 1) Human Resources will check references and initiate a background check before drafting a written offer letter to be signed by AVP, HR.

- D. If no suitable candidate is found, the Applicant Tracking System (ATS) will notify applicants through a turn-down email.
- E. Recruitment Strategy will be reviewed by AVP, HR, VPAA and Department Chair/Program Director.

Appendix F: Master Course Syllabus Outline



CHICAGO CAMPUS

(add DEPARTMENT)

**MASTER COURSE SYLLABUS OUTLINE (MCSO)**

*(Entries in blue will be included in the MCSO and come from a standardized location such as the Registrar's Office or Department.)*

**COURSE SYLLABUS (CS)**

*(Entries in magenta are populated by the instructor after the course is assigned. Ownership of the Course Syllabus is as stated in the Intellectual Property section of the Faculty Handbook.)*

<b>COURSE TITLE:</b>	
<b>COURSE NUMBER AND SECTION:</b>	
<b>CREDIT HOURS:</b>	___ Credit Hours.
<b>COURSE SECTION SCHEDULE:</b>	<i>(Term and Year; Dates and times the section meets)</i>
<b>PREREQUISITES:</b>	
<b>CO-REQUISITES:</b>	
<b>INSTRUCTOR NAME:</b>	
<b>OFFICE HOURS:</b>	
<b>CONTACT INFORMATION:</b>	Email address and phone number

<b>COURSE DESCRIPTION:</b>	<i>Description which is in, or will be in catalog. Must match.</i>
<b>PROGRAM OBJECTIVES/STANDARDS/COMPETENCIES</b>	Include those program objectives/standards/competencies addressed in this course.
<b>COURSE LEARNING OBJECTIVES:</b>	<p>Upon completion of this course, the student should be able to do the following:</p> <p><b>Note:</b> Provide a comprehensive list of all the objectives (4-5) for this course. Objectives should be measurable. Be sure to identify all objectives necessary to reflect appropriate student competencies upon completion of course. <b>All Course Learning Objectives need to be linked to Program Objectives/Standards/Competencies</b></p>

<b>TEXTBOOKS AND MATERIALS</b>	
<b>REQUIRED TEXTBOOK (S)</b>	Name of text, edition number, author, publisher, publication date and ISBN. Use APA style for references.
<b>REQUIRED READINGS</b>	Include a list of all journal articles, book chapters, etc. Use APA style for references. (Readings must be current and relevant to the course material as defined by the field, and/or department faculty involved in teaching the course, with the exception of classical and original readings deemed important for the course).
<b>SUPPLEMENTAL/ADDITIONAL READINGS</b> <b>(Note: This section is optional)</b>	Include all other readings such as books, journal articles, book chapters, etc. Use APA style for references. (Readings must be current and relevant to the course material as defined by the field, and/or department faculty involved in teaching the course, with the exception of classical and original readings deemed important for the course).
<b>REQUIRED RESOURCES &amp; SUPPLIES</b>	Any supplies or equipment required for course, include software and computer platform information
<b>SUPPLEMENTAL/ADDITIONAL</b>	Any supplies or equipment recommended for this course, include

<p><b>RESOURCES &amp; SUPPLIES</b></p> <p>(Note: This section is optional)</p>	<p>software and computer platform information</p>
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<p><b>INSTRUCTIONAL METHODS:</b></p>	<p>Description of how will the instruction be implemented (i.e. lecture, group discussions, role plays, blogs, writing assignments, and so forth).</p>
<p><b>DELIVERY METHOD:</b></p>	<p>On-the ground/on campus; blended; or online</p>
<p><b>ATTENDANCE</b></p>	<p><i>Include University's attendance policy. If the Department/ Program has a stricter policy, include <b>ONLY</b> the Department/Program policy.</i></p> <p>In accordance with Title IX of the Education Amendments Act of 1972, the University must treat pregnancy (including, but not limited to, childbirth, false pregnancy, termination of pregnancy, and recovery therefrom) and related conditions as a justification for which no penalty may be imposed for absences deemed medically necessary by the student's physician. Requests for excused absences related to pregnancy or related conditions should be directed to the student's instructor(s), and questions about Title IX should be directed to the University's Title IX Coordinator. Appropriate documentation from the student's physician specifying the length of absence needed for pregnancy or related conditions may be required in order to consider absences excused. At the conclusion of such excused absences, the student shall resume the status held at the time the absences began. Accommodations due to pregnancy or related issues may need to be made in situations where an extended leave is medically necessary.</p>
<p><b>GRADING AND EVALUATION:</b></p>	<p><i>Include Institutional grading policy from current Catalog. If the Department/ Program has a stricter policy, include <b>ONLY</b> the Department/Program policy.</i></p> <p>Student performance will be evaluated based upon the following criteria. <b>Include a list of all assignments with its value in percentage.</b></p> <p>Attendance alone should not be included as a percentage of the grade, but participation may be included as a grade requirement.</p> <p>Students are expected to complete two course evaluations. One at</p>

	mid-term and one at the end of the term. <i>(This statement must be included in all MCSO/CS).</i>
<b>COURSE RUBRIC:</b>	<i>Include departmental statement regarding course rubrics and list the rubrics for this course (if applicable).</i>
<b>ASSIGNMENTS:</b>	<p>Course assignments need to demonstrate assessment of student learning course learning objectives linked to program objectives/standards/competencies.</p> <p>Include a detailed description of each assignment, grading criteria, and grade value. <i>You may choose to include assignments' grading rubrics in this section.</i></p> <p><b>Note: Weekly assignments should demonstrate compliance with federal credit hour definition [for each semester hour à one (50 mins.) hour of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work for 15 weeks]. 3 SH = 6 hours out-of-class work per week.</b></p>
<b>COURSE POLICIES</b>	<i>If applicable (i.e. late work, make-up policy, participation, classroom expectations)</i>
<b>INSTITUTIONAL AND DEPARTMENT/ PROGRAM POLICIES:</b>	<p>Catalog &amp; Student Handbook:  <a href="http://www.adler.edu/page/campuses/chicago/student-services/catalog-handbook">http://www.adler.edu/page/campuses/chicago/student-services/catalog-handbook</a></p> <p><i>Program Handbook (Departments and Programs will provide this link to their faculty)</i></p>
<b>ACADEMIC HONESTY</b>	Adler University seeks to establish a climate of honesty and integrity. Any work submitted by a student must represent original work produced by that student. Any source used by a student <i>must</i> be documented through required scholarly references and citations, and the extent to which any sources have been used must be apparent to the reader. The University further considers resubmission of work done partially or entirely by another, as well as resubmission of work done by a student in a previous course or for a different professor, to be academic dishonesty. It is the student's responsibility to seek clarification from the course instructor about

	<p>how much help may be received in completing an assignment, examination, or project and what sources may be used. Students found guilty of academic dishonesty or plagiarism shall be subject to disciplinary action, up to and including dismissal from the University.</p> <p>Student Handbook:  <a href="http://www.adler.edu/page/campuses/chicago/student-services/catalog-handbook">http://www.adler.edu/page/campuses/chicago/student-services/catalog-handbook</a></p>
<p>STUDENTS WITH DISABILITIES (ADA Compliance)</p>	<p>It is the policy of Adler University to offer reasonable accommodations to students with qualified disabilities, in accordance with the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973 and the B.C. Human Rights Code. <b>If a student with a disability wishes to receive accommodations in order to participate in the courses, programs, or activities offered by the University, the student may request accommodations by contacting the Associate Vice President of Student Affairs, Mr. Greg MacVarish (gmacvarish@adler.edu).</b> The use of these services is voluntary and confidential. Students must request accommodation prior to the implementation of needed accommodation. Accommodations cannot be applied retroactively.</p> <p>Catalog &amp; Student Handbook:  <a href="http://www.adler.edu/page/campuses/chicago/student-services/catalog-handbook">http://www.adler.edu/page/campuses/chicago/student-services/catalog-handbook</a></p>
<p><b>SEXUAL HARASSMENT AND SEXUAL VIOLENCE POLICY: Disclosure and Mandated Reporting</b></p>	<p>The Adler University Sexual Harassment and Sexual Violence Policy is available at [<a href="http://adler.edu/title9">adler.edu/title9</a>]. <b>This policy addresses how information about sexual violence/sexual misconduct that is shared with any Adler University faculty and staff must be reported to the Title IX Coordinator, Ms. Susan Yasecko (syasecko@adler.edu).</b></p>
<p><b>MINIMUM HARDWARE AND SOFTWARE REQUIREMENTS</b> (if applicable)</p>	<p><i>If your course requires the student to use hardware or software, please list the University's minimum requirements and additional items for specific course.</i></p>






**(OPTIONAL) BIBLIOGRAPHY:** Insert current journal articles and books that may serve as course content references for students. Use APA style.

**APPENDIX G. APPLICATION FOR SABBATICAL**

SUMMER TERM 1 (deadline for submission is May year prior to requested sabbatical)

Name:

Date:

Department:

Date of Hire:

Abstract of Proposed Activity: (to be explained in detail in the attached narrative)

I have read this application and support its going forward for consideration.

Department Chair/VPAA:

Date:

I have read and understand Adler University policy related to sabbaticals. I will return to Adler University to fulfill my full load of responsibilities for the academic year 2013/2014. If I do not return, I will reimburse the University for the full amount of the salary I was paid while on sabbatical.

Applicant:

Date:

APPENDIX H. STUDENT ACCOMMODATION FORM



**STUDENT WITH DISABILITY REQUEST FOR SERVICES AGREEMENT**

*The information on this form is confidential and will be maintained by the Office of Student Affairs.*

**GENERAL STUDENT INFORMATION**

Student Name: \_\_\_\_\_  
Student ID: \_\_\_\_\_  
Home Telephone: \_\_\_\_\_  
Alternate Telephone: \_\_\_\_\_  
Address: \_\_\_\_\_  
E-mail Address: \_\_\_\_\_  
Academic Program: \_\_\_\_\_

1. I understand that I am registering for services with the Office of Student Affairs and that I may be eligible for services such as information, referral, reasonable accommodations and/or other individualized services that may be needed for access to courses, programs, or facilities. If the School is unable to provide the necessary services, I will be referred to other appropriate community agencies.
2. I understand that I am responsible for reviewing the rights and responsibilities pertaining to students, including all policies.
3. I understand that I will not be eligible for services if I do not provide documentation of a diagnosed disability, do not have a diagnosed disability, or do not follow the University's policies and procedures.
4. I understand that if I request accommodations on my behalf, the Office of Student Affairs and the Vice President of Administration may need to consult with other University personnel. I give my permission to have disability related information shared with appropriate Adler University personnel to facilitate such requests.
5. I understand that I must communicate with the Office of Student Affairs prior to the start of each term to ensure accommodations are appropriately implemented.
6. I understand that it is my responsibility to provide my letter of accommodation to the instructor as soon as possible, and no later than the second class session.
7. I have self-identified my disability to the Office of Student Affairs as: \_\_\_\_\_  
\_\_\_\_\_
8. I believe the accommodations I've requested below will equalize my chances of success in the classroom in the following ways:  
\_\_\_\_\_  
\_\_\_\_\_

**ACCOMMODATION REQUESTED**

Academic Year: \_\_\_\_\_ Date: \_\_\_\_\_

Mark the services you believe essential to continue as a student at = Adler University. All accommodations must relate to your specific disability needs.

Classroom:

- Enlarged course material
- Permission to use a tape recorder in class
- Assistance with note taking
- American Sign Language (ASL) interpreting services
- Other (Please provide details below):

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Testing:

- Alternative testing arrangements – Please be specific
- Use of spell check device
- Use of calculator
- Reader for tests
- Other (Please provide details below):

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Other (Please provide details below):

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Please maintain contact with this office until you have been advised that services have been arranged for the term. Please inform our office as soon as possible if you drop a class, so we can suspend services for that class. To revise your form at any point during the semester, please make an appointment.

I acknowledge that I have read and understand the Registration Agreement.

Student Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
 Office of Student Affairs: \_\_\_\_\_ Date: \_\_\_\_\_