



**Loyola Marymount  
University**

**Faculty Handbook  
&  
Handbook Addenda**

Revised Edition  
2019

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## **PREAMBLE**

The Faculty Handbook should be understood as detailing the terms and conditions of employment between the university and faculty members and is incorporated by reference in faculty employment contracts.

This Handbook is meant to reflect, rather than develop, University policy. It is presumed to be accurate in its statement of that policy, as it existed at Loyola Marymount University on the establishing date printed on the title page. An authoritative edition of the Faculty Handbook & Handbook Addenda is published once a year, on the second Wednesday of July. The authoritative copy of the handbook will be distributed to the University community. One authoritative bound copy will be placed in the University library special collections archive.

“Faculty Handbook” refers to sections I through VII of this document, with the Handbook Addenda in Section VIII. The procedures for amending the Faculty Handbook and the Handbook Addenda are in section VII of the Handbook.

## **UNIVERSITY MISSION AND CORE VALUES**

Loyola Marymount University is a premier Catholic university in the Jesuit and Marymount traditions and provides a transformative academic experience for students committed to lives of meaning and purpose. We benefit from our location in Los Angeles, a dynamic city that brings into sharp focus the issues of our time and provides an ideal context for study, research, creative work, and active engagement. We invite men and women diverse in talents, interests, and cultural backgrounds to enrich our educational community and advance our mission:

- The encouragement of learning
- The education of the whole person
- The service of faith and the promotion of justice

The full LMU mission statement can be found at:  
<https://mission.lmu.edu/missionstatement>.

Loyola Marymount University is committed to the following core values that guide us in carrying out our mission and realizing our vision.

### **Academic Excellence**

We hold ourselves to an uncompromising standard of excellence in teaching, learning, creativity and scholarship. We challenge members of the university community to stretch their intellectual boundaries through diverse experiences of engaged, rigorous, critical, expansive and transformative learning.

### **Faith and Reason**

We affirm our commitment to the faith that does justice, which is rooted in our Jesuit and Marymount traditions. Further, we both inherit and contribute to the ever-developing Catholic intellectual tradition, which views the pursuit of truth as



an inherent good, emphasizes both the harmony and creative tension between faith and reason, and embraces ecumenical and interfaith dialogue.

### **Commitment to Students**

We endeavor to educate the whole person by nurturing mind and body while challenging students — intellectually, spiritually, emotionally and socially — to become ethical and compassionate leaders. Our commitment to students does not end at graduation but follows our alumni in their roles as lifelong learners and vital members of our university community.

### **Community**

We foster an inclusive community for faculty, students, staff, administration, alumni, and friends, which is characterized by open dialogue, respect for individual differences, and collaboration across organizational boundaries.

### **Service to Others**

We promote a culture of service in which we apply our knowledge and skills to better the human condition, with a particular emphasis on confronting social injustice and threats to human dignity. In this way, service both flows from the faith that does justice and combines with academic excellence to create transformative experiences for all members of the LMU community.

## **A BRIEF HISTORY OF LOYOLA MARYMOUNT UNIVERSITY**

Loyola Marymount University's pre-history begins with the first institution of higher education in Los Angeles, St. Vincent's College, which opened in 1865. In the early 20<sup>th</sup> century, the Vincentian Fathers decided to close the school, so Bishop Thomas J. Conaty asked the Society of Jesus (Jesuits) to come to Los Angeles. Under the leadership of Richard A. Gleeson, S.J., they opened their school in 1911 in Highland Park with 90 high-school boys and in 1914 added college courses. On February 25, 1918, Loyola College received its charter. Also in 1918 the institution moved to new quarters on Venice Boulevard (now Loyola High School), and two years later the Law School began.

At the invitation of Bishop John J. Cantwell, the Religious of the Sacred Heart of Mary opened Marymount School for high-school girls and younger students in 1923. They moved to a Sunset Boulevard site in Westwood (currently Marymount High School) in 1931. Two years later, Marymount Junior College was incorporated.

The Jesuits experienced similar expansion in enrollment and in 1926 divided the high school and college. The new president, Joseph Sullivan, S.J., added college courses in commerce and finance as well as in civil, mechanical, and electrical engineering. Realizing the need for a more spacious campus, Sullivan launched a capital fund drive, which led to a gift from the developer Harry Culver of 100 acres and the building of St. Robert's and Xavier Halls. In 1929 classes commenced on the new Del Rey site. The following year the school assumed the title of Loyola University of Los Angeles.

The University survived through the Great Depression, even fielding nationally ranked football teams during that era. By 1941 enrollment had increased to 500, but with the entry of the U.S. into World War II the campus was soon emptied of all but 100 students. Except for an Army military training contract, the doors would have closed.

But with the war's end and passage of the G.I. bill, returning veterans boosted enrollment by 1948 to 1,500 students. The following decades brought major construction projects, including a new campus for the downtown Law School. Key features of the 1920s master plan were finally realized, with Sacred Heart Chapel and its imposing clock tower becoming the focal point of the main campus. Guided by President Charles S. Casassa, S.J., the University was developing academically as well, with the establishment of the Graduate Division (1950), an Institute on Human Relations (1953), and the Honors Program (1958). Loyola was on the map as the region's thriving Catholic university.

Meanwhile, Marymount College received its charter in 1948 and began granting bachelor's degrees. But the Westwood campus could no longer accommodate both a high school and college, so in 1960 President Gertrude Cain, R.S.H.M., acquired a new site for the college on the Palos Verdes peninsula. By 1964 Raymunde McKay, R.S.H.M., had assumed leadership. She worked with Father Casassa to bring about the 1968 affiliation of Loyola University and Marymount College and the latter's

relocation to Loyola's campus. Subsequently, she cooperated with Father Casassa's successor, Donald P. Merrifield, S.J., to effect the merger of the two institutions to form co-educational Loyola Marymount University in 1973. The arrival of Marymount faculty also brought to the campus Sisters of St. Joseph of Orange, who were already faculty partners when the College was still at Palos Verdes.

Along with the merger, the early 1970s saw changes in LMU's governance structure. Instead of religious superiors, a majority lay board would now have ultimate authority but would be charged with maintaining the University's Catholic identity and its Jesuit and Marymount character. Toward this end, it was prescribed that a fixed numbers of Jesuits and members of the sisters' communities would serve on the board.

Under these arrangements and under successive leaders, the next four decades witnessed momentous changes at LMU. Father Merrifield's tenure as president, which began as the Catholic world was implementing Vatican Council II, saw a new emphasis on evangelical justice, reflected in part in increased access for previously under-represented groups and new programs for minority students. In terms of physical expansion, Father Merrifield spearheaded the acquisition, with assistance from the Thomas and Dorothy Leavey Foundation, of 28.5 acres contiguous to the original campus where, over time, the spectacular W.H. Hannon Library, McCarthy, Rains, and O'Malley Residence Halls, Leavey Apartments, and Drollinger Parking Garage have been built.

Father Merrifield was succeeded in 1984 by James N. Loughran, S.J., who reduced teaching loads and provided increased support for faculty research and student scholarships, greatly aided in these efforts by a \$45 million bequest from the estate of Liliore Rains. Thomas P. O'Malley, S.J., followed Father Loughran in 1991. He launched a capital fund drive, established endowed chairs, oversaw completion of the Conrad N. Hilton Center for Business, and provided the leadership that resulted in acquisition of University Hall. Becoming president in 1999, Robert B. Lawton, S.J., oversaw an increase in undergraduate enrollment from under 4,000 to 5,600 (and rising). Corresponding increases occurred in the graduate student population, and 100 new tenure-track faculty slots were created. Film & Television and Education were upgraded from departments to professional schools. A successful capital campaign raising over \$400 million helped to fund these and other initiatives and supported Father Lawton's view that LMU was no longer simply a good regional school but was moving ever closer to its destiny as a distinguished Catholic university.

David W. Burcham, former Law School Dean and provost, was inaugurated as LMU's first lay president in 2011, as the University entered its second century. At a time of economic challenge, President Burcham undertook a \$100 million scholarship initiative. Also, he announced a moratorium on building projects, once the new Life Sciences Building was completed, in order to focus on growing LMU's endowment. Early on he articulated two priorities for a new strategic plan: (1) enhancing academic excellence in all its aspects, and (2) promoting LMU's Catholic and Jesuit-Marymount mission and identity. The plan has been approved by the

Board of Trustees and sets a trajectory for at least the coming years of this decade (July 2013). (Those who might like to encounter the personalities and experience the drama underlying the University's first 100 years are invited to consult Kevin Starr's monumental *Loyola Marymount University: a Centennial History*.)

In October 2015, Timothy Law Snyder, Ph.D., was inaugurated as LMU's sixteenth president. President Snyder has been a professor of computational mathematics and a senior administrator at Jesuit institutions for more than 20 years. From 2007 to 2014, he served as Vice President for Academic Affairs at the Loyola University Maryland. He was also Dean of the College of Arts and Sciences at Fairfield University from 2001 to 2007 and Dean of Science at Georgetown University from 1995 to 1999.

## **I. FACULTY OF THE UNIVERSITY**

### **A. TENURE-LINE FACULTY**

At the time of an initial full-time tenure track faculty appointment to the University, the academic department will initiate a request for any advanced rank or for any recognized time that is to be granted towards promotion or tenure for the appointee. Such recommendations are forwarded to the Dean.

The Provost will review the recommendations of the Dean (who will have consulted the department Chair and/or Chair of the search committee) and the Chair of the Committee on Rank and Tenure, or his/her designee, and determine the appropriate rank and recognized time for each individual. Each tenure-track faculty member will receive a written statement of these conditions at the time of first appointment. The experience time recognized will be stated and the exact academic year in which the new faculty member will be eligible to apply for tenure will be indicated. This information will be made known to the Dean, the Chair of the department, and will be made available to the Chair of the Committee on Rank and Tenure. Each individual will also be made aware of the University's policy on early tenure and promotion, which may advance the cycle determined at the time of the first contract.

#### **1. Assistant Professor**

One who is appointed initially as an Assistant Professor at this University should give evidence that she/he has the capacity for excellent teaching, the potential for continued scholarly activity, and the willingness for University service. Other types of experience or professional recognition, besides teaching, may also be considered as contributing to the experience desired of an Assistant Professor.

Normally, the Assistant Professor will have a terminal degree or its equivalent in her/his field.

Teaching ability of the Assistant Professor should be demonstrably good for continued renewal.

The Assistant Professor will be expected to continue to expand her/his abilities, and to keep up to date in her/his discipline. In keeping up in her/his discipline, the Assistant Professor is expected to engage in peer-reviewed scholarly activity and/or creative activities appropriate to the discipline.

The Assistant Professor will be expected to assume a share of the advising of students, of University service, and of other faculty responsibilities as described in the relevant section of the handbook.

## **2. Associate Professor**

The rank of Associate Professor is granted to faculty members who have fulfilled their University responsibilities with success. An initial appointment as Associate Professor is made only after consultation with the appropriate representative(s) of the Committee on Rank and Tenure and after evidence has been given that the new faculty member would meet the same standards required by the committee for promotion to this rank of one already on the faculty. One who, for various reasons, does not meet the standards required for promotion to the rank of Professor may, if she/he has been granted tenure, continue indefinitely in this rank without prejudice.

The Associate Professor will have had, for at least three years prior to appointment or promotion, whatever terminal degree is normally accepted in his/her field. The Associate Professor should demonstrate consistent evidence of excellence in teaching, and be significantly involved in advising students. The Associate Professor's scholarship and creative work should include a body of peer- evaluated work. Faculty in the performing arts should have developed reputations among professional colleagues and critics as able practitioners.

## **3. Professor**

The rank of Professor (or Full Professor) is granted to faculty members who have demonstrated the highest level of fulfillment of the University's ideal of the teaching scholar, actively promoting the well-being of the students, the expanding reputation of the University, and the vitality of the academic community in society. An initial appointment as Full Professor is made only after consultation with the appropriate representative(s) of the Committee on Rank and Tenure and after evidence has been given that the new faculty member would meet the same standards required by the committee for promotion to this rank of one already on the faculty. A Full Professor will normally have twelve years of collegiate teaching (or acceptable related experience).

## **4. President's Professor**

This special rank is bestowed upon individuals whose achievements go beyond those of a tenured full professor. A President's Professor is an individual who has achieved national and international distinction for her/his work in any field or discipline represented in the curricula of the University. Such an individual is typically known beyond her/his own discipline by a wider audience. As such, a President's Professor will have earned prestigious awards, titles, or honors for her/his work. As the title denotes, these individuals are appointed by the President of the University.

## **5. Endowed Chair**

Individuals appointed to the position of Endowed Chair have achieved widespread distinction for their work in a specific discipline or field represented in the curricula

of the University. An Endowed Chair will often have responsibilities beyond those of regular faculty in accordance with the wishes of the endowment donor as agreed to by the University.

## **B. TERM FACULTY**

The category "Term Faculty" applies to full-time, non-tenure-line faculty who are on renewable contracts, either as Clinical Faculty or as full-time Instructors. These positions are non-tenure-track and not eligible for tenure.

### **1. Clinical Faculty**

Programs in some colleges/schools require the hiring of faculty who have substantial expertise as professionals and practitioners outside the sphere of academe. These are referred to as clinical faculty. Upon the recommendation of the department faculty, department Chair and the Dean, faculty may be appointed, full-time, to one of the three ranks within the clinical faculty appointment (Clinical Professor, Clinical Associate Professor, or Clinical Assistant Professor). The appropriate rank will be assigned by the Dean, in consultation with the search committee and/or department Chair. Specific guidelines for procedures of appointment are developed in the college/school and are approved by the Provost.

Depending on programmatic need (including budgetary considerations) and performances, these positions may be reappointed to an unlimited number of consecutive terms. Terms may range from 1-5 years.

### **2. Instructor**

An individual engaged primarily in teaching (and teaching-related duties). Upon recommendation of the department faculty, department Chair, and the Dean, Instructors may be appointed, full-time, on an annual basis. Depending on programmatic need (including budgetary considerations) and performance, faculty in these positions may be reappointed to an unlimited number of consecutive terms.

If an Instructor, in addition to meeting the qualifications for appointment as an Instructor, has at a minimum (a) 5 years of full-time service as an Instructor at the University, or equivalent academic experience, and (b) a record of superior teaching and demonstrable high competence the Instructor may be eligible for promotion to Senior Instructor. With the approval of the Dean and where the applicant demonstrates appropriate levels of experience, departments/programs may hire directly at the level of Senior Instructor.

## **C. CONTINGENT FACULTY**

The category of "Contingent Faculty" refers to part-time faculty and to full-time faculty on short-term contracts that are non-renewable or limited in the number of renewals. These positions are non-tenure-track and are not eligible for tenure.

## **1. Visiting Professorial Rank**

Visiting faculty are full-time, benefits-eligible faculty on short-term appointments. This category may be applied at any appropriate level of professorial rank: Assistant, Associate, or Professor. Ordinarily this rank is applied only to an individual who is appointed to teach on a full-time basis for a semester, or an academic year, and has the qualifications appropriate to this rank at Loyola Marymount University. S/he is understood to be a visitor, but the University recognizes his/her academic standing by using the appropriate professional rank.

Upon the recommendation of the department faculty, department Chair, and Dean, faculty may be appointed, full-time, to one of the three ranks within the visiting faculty appointment (Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor). The visiting faculty member will have full responsibility for teaching assigned courses, as would a full-time permanent member of the staff.

A visiting faculty member may remain with department for a maximum of two years, with reappointment at the option of the University. Exceptions may be made beyond the second year at the recommendation of the department and Dean and of the Provost.

## **2. Postdoctoral Faculty Fellow**

Postdoctoral Faculty Fellows are full-time, benefits-eligible faculty on short-term, non-renewable contracts. The status of Postdoctoral Faculty Fellow is normally limited to holders of recently awarded terminal degrees. The requirements of the particular fellowship program will determine the specific mix of teaching and research duties for the Postdoctoral Faculty Fellow.

## **3. Part-Time Faculty: Lecturer**

The title Lecturer refers to part-time teaching-only faculty, including faculty who teach in the classroom, online, and in the field. A Lecturer will possess the qualifications required for Instructor status or, in technical and professional areas, considerable experience at a significant level in that field.

A faculty member at the rank of Lecturer may apply for promotion to the rank of Senior Lecturer in the eighth term of teaching at LMU. Promotion is not automatic; it follows on the recommendation of the department/program review committee, following a review of the faculty member's application. On the recommendation of the department/program and with the approval of the Dean, part-time faculty may apply for early promotion. With the approval of the Dean and where the applicant demonstrates a level of teaching and/or professional experience commensurate with the rank of Senior Lecturer, departments/programs may hire directly at the rank of Senior Lecturer.



## **D. OTHER FACULTY**

### **1. Emeritus Status**

Emeritus status is an honor conferred by the University on distinguished tenured faculty members and professional librarians. Emeritus status denotes a special relationship with the University, as outlined in this document. Emeritus faculty and professional librarians are involved in the life of the University in various ways as appropriate: as part-time instructors, as researchers and creative artists, and as valued assistants with alumni relationships and development activities.

#### *Eligibility:*

Tenured professors and professional librarians are eligible to be nominated for emeritus status if the following conditions are satisfied:

- Distinguished reputation in the appropriate discipline.
- A record of exemplary service to Loyola Marymount University.
- Nomination by two or more tenured LMU faculty colleagues in the same college or school or, for librarians, by two or more LMU librarians. Additional letters of support from outside the college or school may be submitted.
- Endorsement of the appropriate Dean and the Provost.

#### *Process for Applying:*

Nominations will be accepted beginning in the first semester of the academic year in which retirement occurs. If a retirement decision is made in the second semester, this process may be engaged in the next academic year. With the permission of the individual, nominations are submitted to the Dean and the Provost who will submit separate letters to the President for his consideration. At the discretion of the University President, emeritus status will be conferred on a select group of individuals whose expertise, academic, or professional accomplishments, and renowned service fulfill the Mission of the University in an exemplary manner.

#### *Benefits:*

- Honorary title acknowledging their substantial contributions to LMU: Full professors awarded this honor will be titled Emeritus Professor; Associate Professors awarded this honor will be titled Emeritus Associate Professor; and Professional Librarians awarded this honor will be titled Emeritus Librarian.
- Opportunity to continue to enrich LMU faculty, students, and alumni.
- Salary compensation for part-time teaching will be 50% higher than the going rate per unit for part-time salary at the time of the contract. This method of payment will also apply to summer contracts.
- Email and personal web space, in accordance with current IT resources.
- Borrowing privileges in the University library.
- Access to academic and other facilities.

- Shared office space where feasible.
- Participation in University academic and social events, as appropriate.

## **2. Affiliated Faculty (External)**

Upon the recommendation of the department faculty, department Chair, and Dean to the Provost, the following titles may be conferred to individuals with special expertise or renown who come to the campus on a temporary basis. In special cases, the term "Distinguished" may precede one of the titles below (e.g., Distinguished Professor in Residence). Depending on programmatic need (including budgetary considerations) and performances, Deans may reappoint these positions in consultation with department faculty and the department Chair.

Affiliated faculty titles include, but are not limited to, the following:

- Artist in Residence
- Executive in Residence
- Professor in Residence
- Scholar in Residence
- Writer in Residence

## **3. Affiliated Faculty (Internal)**

Agreements among current LMU faculty or staff members, Program Directors, Departmental Chairs, Deans and the Provost may establish relationships between a faculty or staff member and a program, Institute, Center, or similar organizational units which designate that individual as an "Affiliate." These agreements will establish the terms and conditions of the relationship and must be approved by all involved.

## **4. Teaching Assistant**

The Teaching Assistant is a candidate for an advanced degree at Loyola Marymount University, who is appointed at this rank to teach a limited number of courses. An example of this category is the graduate student Teaching Assistant in the Department of English.

The Teaching Assistant will have full responsibility for teaching and grading in his/her courses, working under the direction of a senior member of the teaching staff.

Supplementary benefits available to the full-time staff are not available to Teaching Assistants, unless stipulated by law or provided by contract.

## **II. FACULTY APPOINTMENTS**

### **A. POLICIES ON APPOINTMENT**

#### **1. Full-Time Faculty**

Appointments of full-time, tenure-track faculty are made by the President on the basis of recommendations by departmental faculty, the departmental Chair, the appropriate Dean, and the Provost. When staffing recommendations have been made, they shall be reported by the Provost to the President. No commitment binding on the University concerning appointment or terms of appointment including rank, salary, and experience credited can be made without approval by the President and incorporated into the records of the case. A request for appointment should carry the endorsement of the faculty of the relevant department. Appointments to the rank of Associate Professor or Professor are made only after the Loyola Marymount University Chair of the Committee on Rank and Tenure has been consulted.

In making appointments, consideration will be given not only to departmental recommendations and preferences, but also to the overall objectives of the college and the University.

At initial appointments leading to tenure, the contract will indicate the amount of experience, if any, which the University has recognized as applicable toward promotion in rank and/or tenure (see above).

#### **2. Joint Appointments**

When a tenure track faculty member is jointly appointed to two academic units (departments and/or programs, within or across schools and/or colleges at LMU), a memorandum of agreement shall be drafted at the beginning of such an appointment that specifies:

1. which unit is primary and which secondary;
2. the proportion of teaching and advising duties assigned to each unit;
3. the proportion of service duties assigned to each unit;
4. which standards for rank and tenure apply, whether those of the primary or secondary unit or a specific hybrid of both;
5. when, how, and to whom the faculty member may request renegotiation of the memorandum of agreement.

In addition, the following standard provisions for joint appointments shall be reflected in the memorandum of agreement:

The Chair or Director of the primary unit is responsible (a) for monitoring the jointly appointed faculty member's workload and expectations so that they do not exceed those of a faculty member appointed to a single unit; (b) for overseeing the evaluation processes for merit, tenure, and advancement in rank of the jointly appointed faculty member; and (c) for taking care that the full range of the faculty

member's contributions to both units is recognized.

For merit review, the Chair or Director of the secondary unit shall write a brief memorandum evaluating the contributions of the faculty member. The faculty member shall attach this memorandum to the Faculty Service Report when submitting it to the Chair or Director of the primary unit, and the Chair/Director and Dean shall take it into account when making their evaluations.

For review for tenure and/or advancement in rank, the faculty member's full application materials shall be made available to the faculty of the secondary unit. The faculty shall meet to deliberate and produce a summary of their deliberations. The Chair/Director shall write a separate letter. This summary and chair/director letter become an additional part of the formal record to be taken into account by the Dean, the Committee on Rank and Tenure, and the Provost. In the case of cross-school/college appointments, the faculty member's full application materials, including the unit deliberation summary and the Chair/Director letter are made available to the Dean for the secondary unit, who submits a letter to the Committee on Rank and Tenure evaluating the faculty member's contributions to the secondary school or college. This letter becomes part of the formal record and is taken into account in the deliberations and recommendations of CRT and the Provost.

The memorandum of agreement shall be signed by the faculty member, the Chair and/or Director and Dean of each academic unit, and the Provost. Copies of the memorandum of agreement shall be incorporated into application materials for tenure and advancement in rank and shall govern the deliberations and recommendations of faculty colleagues in both academic units, the Chairs and/or Directors and Deans of those units, the members of the Committee on Rank and Tenure, and the Provost.

### **3. Term Faculty**

Appointments of term faculty are made by the Provost on the basis of recommendations by departmental faculty, the department Chair, and the appropriate Dean. Policies for term faculty appointments are developed by each college/school, and approved by the Provost. In making appointments, consideration is given to the overall objectives of the college or school, and the University. At the initial appointment of a term faculty member, his or her contract will indicate the amount of experience, if any, which the University has recognized as applicable toward promotion in rank. The Provost holds the final authority concerning the appointment of term faculty.

### **4. Contingent Faculty**

All requests for contingent faculty appointment must be approved by the Dean of the respective college. The initiating department should provide adequate evidential material to support the request, as to the need for the service and as to the qualifications of the requested appointee.

The University is expected to have a record of all persons who have held teaching positions at any level at Loyola Marymount University. Thus, data must be sent to the office of the appropriate Dean and should consist of at least a minimum of information about the individual and his/her qualifications, including vita, application, and supporting documentation. Where there is any likelihood of a continuing relationship, the data provided should be equivalent to that provided for one at a regular professorial rank.

## **5. Documents and Records**

Since teaching is such an important part of a faculty member's responsibility at Loyola Marymount University, it is essential that adequate data be provided to support every action involving each individual, from appointment to tenure or promotion.

In every case the documents provided must indicate in full the qualifications of the individual, both personal and professional, in order to justify any action taken and indicate clearly that it conforms to the standards of these policies enunciated in this section. Even the appointment of an Instructor should be supported in as much detail as possible since evidence for promotion or reference for appointment at other universities will depend in part upon it.

An official file of such documents and other records of the individual's activity and performance will be kept in the Office of the Provost. Such information may be made available to the Committee on Rank and Tenure in connection with its consideration of applications for promotion in rank or advancement to tenure, which will be retained only in the confidential files of that committee and according to its procedures concerning privileged information.

The Provost may specify, from time to time, the type and amount of information that should be provided to his/her office. In order to make the files complete he/she may request information on current faculty members where he/she does not have adequate data. Such information shall be maintained in confidential files and privileged from disclosure to anyone except the President, the affected faculty member, or as required by law. It is the responsibility of the respective department Chairs and/or Deans to accumulate adequate evidential material, as required in this statement or as requested by the Provost, and to see that it is made available to the proper office and to the Committee on Rank and Tenure whenever any action is initiated.

The Deans and department Chairs may keep copies of certain material provided to the Provost, but should maintain it in confidence.

Every faculty member has the right to review material in his/her official file on timely request.

## **B. SALARIES**

### **1. Full-Time Faculty**

The salaries of full-time faculty members are based upon rank, length of time, and merit. Merit is determined by reference to the statement on Faculty Responsibilities (sections III and IV below) as related to each individual case. The University attempts to maintain a salary structure that recognizes the variations between ranks as reflected in the AAUP scales.

It is the objective of the University to make every effort to improve its overall salary levels and to make them reasonably competitive with other private colleges of similar size. The University also tries to adjust its overall salary levels to compensate for cost of living increases. However, the amount available for increases and cost of living adjustments each year is dependent on the total financial resources, considering other competing demands.

Each year, based on the projected funds available for salaries, the respective department Chairs and Deans recommend increases for each full-time faculty member to the Provost. It is understood that the President has the prerogative to make final decisions in all cases.

Should there be a time of crucial financial crisis, the University reserves the right to adjust salaries downward on equitable and proportional basis. The burden of proof would be on the University to show that this is the only practical solution available.

Each spring a contract is issued to each tenure-track faculty and term faculty for the upcoming academic year. The contract indicates rank and salary approved for the year and is, for tenure-track faculty, affirmation of progress towards applying for tenure.

Upon receiving tenure and promotion and when promoted from the rank of associate to full professor, a contract is issued that includes an evergreen clause. From that point forward or in the case of promotion from associate to full, each spring an Annual Faculty Merit Award Letter is issued to each tenured faculty member for the upcoming academic year. The Annual Faculty Merit Award Letter indicates rank and salary approved for the coming year.

Notwithstanding the above, should the terms and conditions change for a tenured faculty member, a contract amendment is issued to document such agreements.

### **2. Visiting Professors**

The salaries of Visiting Faculty are determined by negotiation prior to appointment, but in general should bear some relationship to the salaries of the corresponding Loyola Marymount rank, except that they may not necessarily be the full equivalent of the Loyola Marymount rank. The payment of a somewhat lesser amount is based

on the fact that the visiting faculty member may not carry all responsibilities common to full-time staff, such as curriculum development and committee work.

When a faculty vacancy is approved on either a "Visiting" or a "Tenure Track" status, departmental faculty may first consider "Visiting" faculty members as candidates for this position.

When a faculty position is to be filled by appointment from within, publication of the vacancy, along with appropriate qualifications for the position, should be distributed on campus, giving part-time and visiting faculty the opportunity to apply for such a position.

If a department chooses not to fill the position with a presently "Visiting" faculty member, then it is necessary to conduct a full open search for the faculty position.

### **3. Part-Time Faculty**

The salaries of part-time faculty are set by a variety of factors, including number of courses taught, degree earned, and area of specialization.

### **4. Method of Payment**

The salaries of full-time faculty are paid twice a month: on the fifteenth and on the last day of the month, except when these days fall on a Saturday, Sunday or holiday; then, payment is made on the last working day preceding.

Full-time faculty will receive their pay over a 12-month cycle, in twenty-four equal payments. Should a faculty member leave the University at the end of an academic year, remaining pay is distributed in a lump sum on June 15<sup>th</sup>. Part-time faculty are paid bi-weekly (every other Friday).

## **C. SEVERANCE**

At Loyola Marymount severance may occur under three clearly distinct forms: non-reappointment, termination, and dismissal.

### **1. Non-Reappointment**

All initial appointments to Loyola Marymount University are made with the understanding that both the University and the faculty member will engage in a period of mutual evaluation prior to establishing a permanent association. A severance prerogative rests with both the Appointee and the University.

Appointments of non-tenured faculty are ended by notices of non-reappointment or other language spelled out in individual contracts. This may indicate a number of things, of which dissatisfaction may be only one. Cancellation of a program, declining enrollment, or similar conditions may also lead to non-reappointment.

Notice on non-reappointment for non-tenured faculty is given in writing by the Dean, with a copy to the Provost, in accordance with the following standards:

- a. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least six months in advance of its termination.
- b. Not later than December 15 of the second academic year of service if the appointment expires at the end of that year; or, if an initial appointment terminates during an academic year, at least six months in advance of its termination.
- c. At least twelve months before the expiration of an appointment after two or more years in the institution.

Non-reappointment is decided upon in consultation with the departmental faculty. Notice is given in accord with the standards listed above. Every probationary faculty member is entitled to know the reasons for the non-reappointment, and at his request to have these reasons given in writing. Every faculty member is entitled to due process in appealing such decisions as outlined below. The probationary faculty member who contests the non-reappointment has the obligation to prove that due process or academic freedom has been violated. The faculty member bears the burden of proof.

A faculty member may decide to exercise his/her severance prerogative by not filing an intent to apply for tenure (by the 15<sup>th</sup> of May) or by not submitting a tenure dossier (by the first Monday in October). In such cases, there will be a contract amendment to stipulate that the year during which the faculty member would have been going through the tenure process is the faculty member's terminal year.

## **2. Termination**

Termination is severance action that terminates the service of a tenured or non-tenured faculty member without prejudice to his/her performance, namely: (a) financial exigency or (b) abandonment of a program or department of instruction, for financial cause. Financial exigency is cause for termination of tenured faculty, but only after

- a. The Board of Trustees officially declares a bona fide condition of financial exigency;
- b. Evidence of such financial exigency is presented to the faculty or its designated representative(s).

Due notice of termination shall be given as early as possible, but not later than one year in advance of its effective date. Because the question of individual competence does not arise in cases of termination, the regulations concerning due process



connected with non-reappointment and dismissal do not apply. However, before terminating an appointment because of the abandonment of a program or department of instruction, the institution shall make every effort to place affected faculty members in other suitable positions.

The terminated faculty member has recourse to the grievance procedures, as outlined below. If an appointment is terminated because of financial exigency, or because of the discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years unless the released faculty member has been offered reappointment. The faculty member will have six weeks in which to accept or decline the offer.

### **3. Dismissal**

Dismissal is defined as severance of a tenured or non-tenured faculty member within a contract period by the University for the following reasons:

- a. Incompetence;
- b. Neglect of duty;
- c. Mental or physical incapacity;
- d. Deliberate impediment of the mission and goals of the University; and
- e. Moral turpitude.

The administration carries the burden to prove by a preponderance of evidence the fact upon which the dismissal of a tenured member is based. For the non-tenured faculty member, that burden is carried by the dismissed faculty member.

Prior notice of dismissal is required, except in unusual and compelling circumstances. Whenever it is feasible, the Dean and the department Chair shall discuss the matter with the faculty member prior to the issuance of the notice and attempt to reach a mutually satisfactory resolution. Any faculty member who is to be dismissed shall, upon request, be given written notice stating the reason for dismissal.

### **4. Due Process in Cases of Dismissal, or Protested Non-Reappointment**

In cases of dismissal or non-reappointment which the faculty member deems to be unfair or improper, he/she may appeal to the Grievance Committee and to the Board of Review, according to the procedure (sections V.A.2 through V.A.4 below).

### **III. EVALUATION & REVIEW OF FACULTY**

#### **A. EVALUATION OF FACULTY**

There is recognition in American universities of the individual faculty member's right to know how he or she is evaluated in terms of tenure, advancement and salary decisions. This right to information places upon the University the obligation to collect such information and make it available to the individual. The University will help identify aspects of faculty performance needing improvement, communicate this information to the individual faculty member as soon as possible, and assist the faculty member in methods of improvement.

Department Chairs meet with newly employed faculty members orienting them in all aspects of department and University matters. Special attention is given to the appraisal process, including use of Student Evaluations and Faculty Service Reports.

Individual appraisal sessions are held annually with both tenured and non-tenured faculty members to review Student Evaluations and Faculty Service Reports.

Student evaluations should not carry disproportionate weight in the evaluation of teaching. Faculty are urged to ask their colleagues for evaluation (teaching, counseling, university service, etc.) whenever feasible.

The policy of the University, as recommended by the Deans' Council and the Faculty Senate, is that all faculty are encouraged to avail themselves of all evaluation procedures possible in order to enhance their potential for professional advancement.

Data obtained from all relevant sources are helpful in fair and just judgments of faculty in the evaluation process and in suggesting changes in faculty performance that are helpful in improving instruction. All faculty conduct student evaluations each semester, submit an annual service report, and provide such other information as will be useful in making fair and equitable decisions concerning merit pay, tenure and promotion.

Those faculty who do not choose to submit evaluations and reports will be ineligible for merit pay, rank and tenure advancement in that academic year.

#### **B. STANDARDS TO BE USED IN THE REVIEW OF TENURE-LINE AND TERM FACULTY**

The standards that are used for merit pay are described in detail below (section IV) and in the criteria developed in departments and programs (see Handbook Addendum E). For tenure-track faculty, evaluation includes appraisal of teaching/advising, scholarship, and service. While the above order represents a priority, it may happen that from time to time outstanding service in one area may compensate for less service in another area. Each department Chair and Dean attempts to evaluate the faculty member's total contribution (see procedures in

section III.C). Term faculty members are evaluated according to the conditions stated in their contract. As with tenure-track faculty, the department Chair and Dean are responsible for evaluating a term faculty member's total contribution, making the recommendation to the Provost for merit pay as described in section III.C below.

### **C. PROCEDURES FOR MERIT REVIEW FOR TENURE-LINE AND TERM FACULTY**

Merit reviews are part of the evaluation process and shall be conducted annually in each department at the beginning of the Spring Semester. Every faculty member shall be given a merit review, the results of which shall be used to determine whether and to what extent that faculty member shall be eligible for an annual merit wage adjustment. Annual merit reviews shall be retained and reviewed in connection with application for promotion or advancement to tenure.

- a. Faculty Service Reports are sent to each full-time faculty member, both tenure-track and continuing term faculty, prior to the inter-term, and are generated by the Office of the Provost.
- b. The department Chair will meet privately with each member of the faculty to review services through the past year. At this meeting the department Chair will discuss the faculty member's self-evaluation and service as described in the Faculty Service Report. The department Chair will comment on the faculty member's overall performance. No determination as to merit is to be made at this meeting. Merit recommendations will be made only after the review of all department faculty.
- c. The department Chair will meet with the Dean and discuss the evaluation and ranking for each member of the department and the merit recommendations to be made to the Provost.
- d. The Dean will review the recommendations of all department Chairs and will recommend the amount of merit to be given to each member of the faculty.
- e. The Dean will discuss the salary recommendations with the Provost who adds recommendations judged appropriate.
- f. The Provost will present recommendations to the President for final approval. Where conflicting recommendations have been made, they shall be reported to the President, who will make a final decision.
- g. The Dean and department Chair will be informed of decisions relating to merit. In case of any decision contrary to their recommendations, reasons for such decisions shall be given in writing, upon request, by the Provost.
- h. These procedures will be further specified in an annual memorandum from the Provost.

## **D. POLICIES ON TENURE AND PROMOTION**

### **1. Tenure & Promotion for Tenure-Line Faculty**

Tenure and Promotion are made by the President on the basis of the fulfillment of qualifications by the applicant and upon the recommendation of the respective Departments/Programs, Department Chairs or Program Directors, Deans, the Committee on Rank and Tenure, and the Provost. The initial responsibility of applying for promotion and/or tenure rests with the individual faculty member involved, as spelled out in some detail below in the section on Procedure for Promotion (section III.E.1) and in the Rank and Tenure Resource Manual in the Faculty Handbook Addenda (Handbook Addendum A).

Having carefully reviewed the evidence supporting the candidate's qualifications, fulfillment of faculty responsibilities, the vote of the Department/Program and the recommendation of the Department Chair or Program Director and the College/School Deans, the Committee on Rank and Tenure makes its recommendation to the Provost who adds his/her own evaluation and forwards the tenure file and all related materials to the President.

The final decision on promotion in rank and/or advancement to tenure rests with the President. The Provost will give reasons in writing for denial of tenure, upon request of the applicant.

At Loyola Marymount University, advancement to tenure and promotion to Associate Professor is treated as the same decision. There is no tenure for Clinical Faculty or the Instructor rank. Prior to tenure, the tenure-track faculty member is considered to be on probationary appointment, renewable each year at the option of the University. Proper notice on non-renewal must be given (section II.C.1 above).

The general norm for advancement to tenure is that the individual has performed satisfactorily the duties expected of his/her rank for a probationary period of at least six years, and that he/she is seen by the University, all things considered, as a desirable permanent member of the faculty. There should be reason to believe that the individual will continue to work at a satisfactory level of performance, and generally there should be evidence of continued growth. Application for advancement to tenure will be made at the beginning of the sixth year of full-time probationary service in one or more institutions of higher education.

Normally, tenure will be granted only after the individual has had a total of six years of teaching. When the total years of teaching are six or greater, tenure and promotion to Associate Professor, if granted, takes effect the academic year following application.

The normal probationary period for a faculty member is six years. However, faculty members who have completed at least three years of their probationary period may be granted tenure and promotion when they have met the University, College, and

Department/Program norms for tenure and promotion. Individuals who come to the University with a minimum of two years towards tenure may be candidates for early tenure and promotion after two years of full time teaching.

The process for applying for early tenure and promotion may be initiated by the candidate, Chair/Director or the Dean. An application for early tenure and/or promotion shall be accepted only when the Dean, in consultation with the faculty member's Chair/Director, grants permission. If an early application for tenure and/or promotion is denied, faculty members may not reapply until the final year of their probationary period. Denial of early tenure and/or promotion shall in no way prejudice an application for tenure and promotion in a subsequent year.

Department/Program Standards are the central benchmark by which candidates for tenure and/or promotion are evaluated at all levels of the process.

Departments/Programs, Department Chairs/Program Directors, Deans, the Committee on Rank and Tenure, the Provost, and the President are obligated to evaluate a candidate's file as measured against Department/Program Standards.

Candidates for tenure and promotion to the rank of Associate Professor will be evaluated on their teaching and service performed at LMU since the time of their initial faculty appointment at the University. Candidates for promotion to the rank of Full Professor will be evaluated on their teaching and service performed at LMU since the time of their last promotion. Teaching and service at institutions other than Loyola Marymount will be recognized toward tenure only by specific references made in the initial contract.

While teaching and scholarship and creative works are the most important of these activities, service is also required of every faculty member. These activities are defined in section IV.B.3 below.

All candidates for tenure and/or promotion in rank will be evaluated on their scholarly and/or creative works based on their entire body of work. The expectation is that evidence will be demonstrated of ongoing productivity as clearly and explicitly defined by relevant Department/Program Standards.

If the application for tenure is approved, the status of tenure is effective on August 15 of that same year. If the application for tenure is denied, an appointment will be made for one additional terminal year of probationary service.

Advancement to tenure is made by the President of the University on the basis of the recommendations submitted by the Provost.

## **2. Academic Administrators**

It is the desire of Loyola Marymount University to attract highly qualified persons to administrative positions within the University. When these persons hold academic rank, either at Loyola Marymount University or at other institutions, it is possible to achieve tenure or advance in rank while holding an administrative position.

Tenure-line faculty appointments for academic administrators are made by the President on the basis of the recommendations by departmental faculty, the departmental Chair, the appropriate Dean, and the Provost (see section D.1 above).

Appointments of academic administrators with tenured faculty appointments are governed by sections I.A and II.D.1 above. For academic administrators hired with a faculty appointment without tenure, a minimum of three years of service at Loyola Marymount University and at least three courses taught in the affiliate Department/Program are required before eligibility for tenure and promotion.

Applications for promotion in rank and/or advancement to tenure from academic officers shall follow the procedures for tenure and promotion for tenure-line faculty detailed in the Faculty Handbook and Handbook Addendum A (the Rank & Tenure Resource Manual). Academic administrators applying for tenure and/or promotion shall be evaluated according to departmental standards for quantity and quality of scholarship and/or creative works and for quality of teaching. At the time of appointment to the administrative post or at the time an administrator is advanced to the tenure track, the academic administrator/faculty member, Department Chair, Dean, and Provost shall enter into a Memorandum of Understanding outlining the service and administrative expectations for the administrator/faculty member. For pre-tenure administrators/faculty, the MOU shall also detail the timeline for tenure and promotion, including the minimum number of courses required and the scheduling of pre-tenure reviews. Changes to the MOU may only be made with the agreement of the academic administrator/faculty member, Department Chair, Dean, and Provost.

If denied tenure, the candidate may not re-apply for tenure and loses the tenure-line faculty appointment, though she/he may continue to serve in her/his administrative position. If a tenured administrator's application for advancement in rank to full professor is denied, he/she may not reapply in the subsequent academic year.

### **3. Promotion for Clinical Faculty**

Promotions in rank are based on fulfillment of qualifications and meritorious performance by the applicant, and on the vote and approval of the department faculty, and on the recommendation of the Chair and the respective Dean. A Clinical Faculty member can apply for promotion to the next level (Associate or Full Clinical Professor) after six years of proven performance. On the recommendation of the department/program and with the approval of the dean, clinical faculty may apply for early promotion. The final decision on promotion rests with the Provost. S/he will review evidence of the candidate's qualifications and fulfillment of faculty responsibilities. The evidence to be reviewed includes material in the Candidate's dossier as well as the Department/Program vote and summary, the Department Chair's or Program Director's letter, the Dean's letter, and any other materials defined in the application standards. In those cases where promotion is denied, the Provost will give reasons in writing for such a decision at the request of the applicant.

#### **4. Promotion for Instructors**

Promotions in rank are based on the fulfillment of qualifications and meritorious performance by the applicant, on the vote and approval of the departmental faculty, and on the recommendation of the Chair and respective Dean. The final decision rests with the Provost. An Instructor may apply for promotion to Senior Instructor after a minimum of 5 years of full-time service as an Instructor or equivalent academic experience. On the recommendation of the department/program and with the approval of the Dean, an Instructor may apply for early promotion. The evidence to be reviewed includes material in the Candidate's dossier as well as the Department/Program vote and summary, the Department Chair's or Program Director's letter, the Dean's letter, and any other materials defined in the application standards. In those cases where promotion is denied, the Provost will give reasons in writing for such a decision at the request of the applicant. Instructors denied promotion may be rehired as Instructors and may reapply for promotion after a waiting period of at least one year.

#### **E. PROCEDURES FOR TENURE AND PROMOTION**

##### **1. General Procedures for Tenure and Promotion for Tenure-Line Faculty**

Tenure and promotion in rank at Loyola Marymount University depend in the final instance upon the decision of the President of the University. The President is advised by the Provost who, in turn, is given the recommendations of the respective Departments/Programs, Department Chairs or Program Directors, and Deans, and the Committee on Rank and Tenure.

The following subsections outline several procedures for advancement to tenure and/or promotion in rank. Additional, detailed procedures concerning the Rank and Tenure timeline, Department/Program standards, roles and responsibilities of all involved parties, and application standards appear in the Rank and Tenure Resource Manual in the Faculty Handbook Addenda.

##### **The Role of the Committee on Rank and Tenure**

The primary role of the Committee on Rank and Tenure is to make recommendations to the Provost and President based on a review of the Candidate's application for advancement to tenure and/or promotion in rank. The evidence to be reviewed includes the material in the Candidate's dossier as outlined in the application standards as well as external evaluation letters, Department/Program vote and summary, the Department Chair's or Program Director's letter, the Dean's letter and any other materials defined in the application standards.

The Committee on Rank and Tenure reviews the recommendations of the Department/Program, Department Chair or Program Director, and Dean to ensure that Department/Program Standards and university policies have been applied fully, consistently and equitably in all cases. The recommendation then made by the

Committee on Rank and Tenure is based on its application of the approved Standards of the Candidate's Department, Program, or School.

The results of its votes and its recommendations are recorded and forwarded to the Provost and will not be reconsidered without the introduction of compelling new evidence.

Because of the confidentiality of the Committee deliberations and the secrecy of its votes, no member of the Committee on Rank and Tenure may speak about matters pertaining to its deliberations or recommendations, much less speak for the Committee. Questions concerning the recommendations of the Committee are appropriately addressed to the Provost. The files of the Committee on Rank and Tenure are open to no one but the applicant, the Provost, and the President.

### **External Review**

The Candidate's application will include a number of external review letters solicited from both a list generated by the Candidate and a list generated by the Department Chair or Program Director. The number of external reviews and materials sent to external reviewers are articulated in the Rank and Tenure Resource Manual in the Faculty Handbook Addenda.

The external evaluations will be sent to the Department/Program for its assessment of the candidate and placed in the applicant's file for the normal review process. During the review process, the candidate will have access to the text of the external reviews, with all identifying information removed.

The purpose of the external review is to provide a fair, objective, and confidential assessment of the quality and, where appropriate, contributions of the Candidate's scholarship or professional creative work. Because the sole purpose of the external evaluation is to provide an independent and potentially valuable source of information about one element of the candidate's application, it should be emphasized that the external evaluations are not to be singularly determinative of the recommendation of any review. If the faculty member applying for tenure and/or promotion has reasonable grounds to believe that the external evaluation procedure will result in an evaluation that is substantially less valid or substantially less fair than an evaluation process that is purely internal, then he or she shall appeal according to the procedure outlined in the Rank and Tenure Resource Manual in the Faculty Handbook Addenda.

### **Appeals Process**

Candidates for Tenure and/or Promotion will be given the opportunity to file a "Request for an Independent Review" in response to a negative decision from the President of the University.

An Independent Review Committee comprised of five Full Professors from five Colleges/Schools will be appointed as a standing committee. As described in the



Rank and Tenure Resource Manual in the Faculty Handbook Addenda, the Independent Review Committee is charged with reviewing the merits of the appeal request based on evidence provided by the candidate in support of the stated ground(s) for appeal.

An IRC recommendation in favor of the candidate is an affirmation by the IRC of the merit of the grounds of the appeal. All Independent Review Committee proceedings will be completed by the beginning of the subsequent fall semester. The Independent Review Process takes the place of the Grievance process for the Rank and Tenure process only. If a faculty member's application for advancement in rank to full professor is denied, he/she may not reapply in the subsequent academic year.

### **Early Application for Tenure and Promotion**

The normal probationary period for a faculty member is six years. However, faculty members who have completed at least three years of their probationary period may be granted tenure and/or promotion when they have met the University, College, and Departmental norms for tenure and promotion. Individuals who come to the University with a minimum of two years towards tenure may be candidates for early tenure and/or promotion after two years of full time teaching.

The process for applying for early tenure and/or promotion may be initiated by the candidate, Chair/Director or the Dean. An application for early tenure and/or promotions shall be accepted only when the Dean, in consultation with the faculty member's Chair/Director, grants permission. If an early application for tenure and/or promotion is denied, faculty members may not reapply until the final year of their probationary period. Denial of early tenure and/or promotion shall in no way prejudice an application for tenure and/or promotion in a subsequent year.

### **2. Procedures for Promotion for Term Faculty (Clinical Faculty & Instructors)**

The initial responsibility of applying for promotion in rank rests with the individual faculty member, as spelled out by policies developed in each college/school.

A formal promotion review is required when a Term Faculty member applies for promotion, to be conducted according to the guidelines developed in each college/school. Upon review of a candidate's application, recommendations for promotion of a Term Faculty member should be made by the department and Chair to their respective Dean and the designated faculty promotion review committee for that college/school. The committee reviews the application and submits its recommendation to the Dean, who in turn, submits a recommendation to the Provost.

## **IV. FACULTY RESPONSIBILITIES**

### **A. GENERAL STATEMENT ON FACULTY RESPONSIBILITIES**

Following is a summary of various responsibilities of each faculty member of Loyola Marymount University. Aspects of this summary may also apply to some term faculty members (with the exception of issues of rank and tenure) depending on their contractual obligations; where this is the case, these term faculty may be encouraged, but not required, to participate in the activities required below.

The faculty has a fundamental right and responsibility to participate in University governance in such areas as academic personnel, curriculum and some fiscal matters. Budgets, personnel limitations, as well as the policies of other agencies having jurisdiction over the institution may set limits to the realization of some faculty recommendations.

The faculty sets the requirements for degrees, determines when requirements have been met and authorizes the President and Board to grant the degrees thus achieved. However, the Board of Trustees and its delegated representatives retain the right to make final curriculum decisions on those matters judged to relate to institutional objectives.

In matters concerning academic personnel (issues of hiring, retention, rank and tenure) the voice of the tenure-line faculty, as expressed through departmental recommendations and through recommendations of the Committee on Rank and Tenure, is given great weight, as are the recommendations of the Chair, the Dean and the Provost. Decisions are made by the President after considering all of these recommendations.

In matters concerning the curriculum, heavy responsibility rests with the faculty. Normally, recommendations made by departments will be put into effect, once approved by the appropriate administrators. If the administrator overrules the faculty, the administrator should present to the faculty his/her reasons for the action taken.

The faculty actively participates, through appropriate representation or bodies, in the determination of policies governing salary administration and other significant budgetary matters. In fiscal matters, responsibility ultimately resides with administrative officers, including the Chair, who is the budget administrator in the department. So, while departmental consensus or vote may be sought in issues of expenditures, decisions rest with the budget administrators and administrative officers.

Agencies for faculty participation in the government of the University are established at each level where faculty responsibility is present. The Faculty Senate exists for the presentation of the view of the whole faculty.

Among the means of communication among the faculty, administration and governing board now in use are: circulation of memoranda and reports by board committees; administration and faculty committees; joint ad hoc committees; standing liaison committees; membership of the faculty members on administrative bodies; and representation of faculty members on governing boards.

## **B. SPECIFIC FACULTY RESPONSIBILITIES**

"The University is to recruit faculty who are supportive of its mission and goals... committed to excellence in the classroom, significant scholarship and contributions to their disciplines; the University is to assist individual faculty members with the challenge of combining in one life dedicated teaching, close relationships with students, collegiality and scholarly activity and achievement."

*(LMU Mission, Goals and Objectives)*

Faculty at Loyola Marymount University devote themselves to a life of academic service: service to the students through excellent teaching, service to their disciplines through ongoing scholarly activity, and service to the community, primarily through involvement in the committees of their department, college and the university. Evidence of service in all these areas shall comprise the yearly "Faculty Service Report" for tenure-track faculty is used as a basis for judgments on promotion, tenure, and merit adjustment. The specific duties of continuing Term Faculty are stipulated in the individual faculty contract, and evidence of accomplishment in the areas designated within the contract shall comprise the yearly "Faculty Service Report" is used as a basis for judgments on promotion and merit adjustment.

### **1. Teaching/Advising**

Excellent teaching is central to the University's mission and rooted in the traditions of the founding religious orders. The faculty member plays a vital role in carrying out the mission of the University by challenging and encouraging students to become life-long learners.

The teaching/learning process is broadly defined. It is the responsibility of the faculty member to create an environment that facilitates the learning process. The effective teacher makes the subject inviting, challenges students to think critically, organizes the course content and materials to engage students and enhance the teaching/learning process, and evaluates students' progress toward specific outcomes/goals. The effective teacher knows his/her students, is responsive to them, is available for consultation, and welcomes questioning and opposing views. He/she uses a variety of teaching methods that are suitable for the course and incorporates new developments in the field.

Advising of students on a range of issues, including selection of an academic program, performance in courses, and preparation for a career, is the essential complement to effective teaching inside and outside the classroom. To carry out these responsibilities, office hours must be maintained in accordance with "Faculty

Availability" (section IV.C.11 below). Advising of students should be equitably distributed among faculty members within the departments.

## **2. Scholarship**

The pursuit of knowledge and creativity is essential to the university's mission. Scholarship is the process of pursuing knowledge and creativity so as to participate in growth and further development in any area of study. This can be done through discovery, synthesis, and practice. Whenever appropriate, and as much as possible, scholarly efforts should involve students.

University scholarship is both a process and a product. It serves to create an environment for education that enhances classroom teaching in terms of relevance and of what is taught and how it is taught. It provides opportunities to attract and retain the best faculty members and the best students. Scholarly activities help produce competent graduates at all levels.

To participate in scholarly activities, original work must be done and shared with one's professional peers. The work can be either the work of discovery or the work of synthesis (i.e., applied research). In addition, grant writing that supports scholarship should be considered as contributing to the advancement of knowledge. In all cases, peer review of scholarly or creative work is a necessity.

Various activities such as writing a book, publishing a journal article/conference paper, or creating works of art and literature are considered scholarship. Specific scholarly activities and their rankings are determined by departmental faculties, schools, and colleges in accordance with the generally accepted professional standards of their disciplines. Each department, school, and college defines scholarship according to its discipline and goals.

Scholarship is high on the list of faculty responsibilities at Loyola Marymount University and is a necessary criterion for determining the effectiveness of fulfilling faculty responsibilities.

## **3. Service**

Service contributes to the common good of the University community as well as to the achievement of the University's goals and objectives; it is required of every faculty member. Service includes active involvement, beyond departmental work, in the work of the college and University, in professional organizations, in student activities, and in community services that are consistent with LMU's mission.

Committee work and special University or departmental assignments require diligent attendance, planning, and active contributions from each faculty member. Although secondary to teaching and scholarship, service is crucial as a support to these, and is an essential criterion in determining the effectiveness of fulfilling faculty responsibilities. Departmental faculties, Colleges/Schools, and the Deans' Council will establish definitions and methods of evaluating service.

#### **4. Consulting Work**

In some fields there are opportunities for doing consulting work in education, government, or business. Within reasonable limits, this may provide valuable experience for the faculty member and promote growth and development. It follows, however, that the work done must be of a professional character and commensurate with the faculty member's capabilities, experience, and status.

Since the regular faculty member is considered full time at Loyola Marymount, it should be remembered that his/her first duties are to the University Community and that consulting activities must not diminish effectiveness as a member of the University faculty. Dedication to teaching and service will take most of one's time; thus, consulting work must be subordinate and minimal during the academic year.

In accordance with the guidelines of the AAUP, Loyola Marymount University grants faculty the privilege of engaging in non-university outside employment (consulting, clinic work, and the like) provided that no conflict of interest arises between their obligations to the University and any extra-University employment. Generally, during the academic year, faculty are restricted to no more than one day of the five-day school week for outside activity. Normally, teaching at another institution of higher education is not allowed. In specific cases, a faculty member may make such a request for extra-mural teaching in writing, to the Chair, the Dean, and the Provost. Written approval from the Provost is needed before such extra University teaching can be initiated.

#### **5. Collegiality**

Collegiality is an individual responsibility of every faculty member at Loyola Marymount University. All faculty are expected to adhere to the tenets given in the AAUP Statement on Professional Ethics, specifically in regard to collegiality (section IV.B.7 below).

#### **6. Observance of University Regulations**

This responsibility is stated last, not because it is the least important, but rather because it is self-evident and ought to pervade all other responsibilities and relationships with the University.

An organization can operate effectively and consistently only if it has policies and rules to guide it and its members. At Loyola Marymount, rules pertaining to faculty and administration are established by the action of the Trustees and are summarized in the Faculty Handbook. Such policies as are approved subsequent to publication of this edition will be added as Official Appendices and/or promulgated policies.

Each faculty member and administrative officer should know the regulations that apply to members of the University Community and should make every reasonable

effort to adhere to them. Policy statements are available in the Office of the Provost, Human Resources, or other appropriate offices.

If a faculty member believes there should be an exception to a particular policy or rule, the exception should be requested in advance through the appropriate administrative officer.

## **7. AAUP Statement on Professional Ethics**

The following statement is a revision of the statement originally adopted in 1966 and endorsed by the AAUP in 1987. Subject to the mission and goals of the University, it serves the Loyola Marymount faculty as a guide for the "variety of responsibilities assumed by all members of the profession." (*AAUP Policy Documents & Reports, 1990, pp. 75f.*):

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

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

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

"IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision.

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

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

## **8. Conflict of Interest Guidelines for Faculty**

This set of conflict of interest guidelines is intended to help faculty avoid involvement in real or apparent conflicts of interest and to protect both the faculty and the University from any possible legal prosecutions and reputation defamation:

It is the policy of Loyola Marymount University that the highest standards of conduct and honesty are expected of all faculty of the University. It is the obligation of all members of the faculty to avoid involvement in activities, which conflict with their professional responsibilities as members of the faculty. This document sets forth certain principles governing both actual and potential conflicts of interest. In the area of conflict of interest or the potential for such, faculty members should bear in mind that application of good judgment is essential and that no guidelines can provide direction for all the varied circumstances that could arise. Further, a mechanism is hereby provided for disclosing and resolving actual and apparent conflicts of interest, which occur in the performance of the duties of faculty members. The University reaffirms its commitment to academic freedom, and nothing in this policy should be construed as diminishing that commitment.

### *Scope:*

This policy applies to all full and part-time faculty members, when acting within the scope of their employment by the University.

### *Definition:*

A conflict of interest exists when a faculty member's actions or activities in the scope of his/her employment by the university result in an improper gain or advantage to the faculty member, a family member or a personal or business associate.

*Guidelines:*

1. Each faculty member has a duty to avoid conflicts of interest with the University and to exercise his or her professional responsibilities at the University to the extent required by his or her appointment.
2. Faculty members who have, directly or through family, personal or business connections, an interest in suppliers of goods or services or in contractors or potential contractors with the University may not undertake to act for the University in any transaction involving that interest. No faculty member may participate in the selection, award, or administration of a contract with any party with whom she or he is negotiating respecting potential employment or has any arrangement concerning employment.
3. Faculty members shall avoid outside employment or business activities that create a conflict of time commitment. A conflict of time commitment is considered to exist if outside activities unduly interfere with a faculty member's abilities to fulfill his or her responsibilities to the University.
4. Faculty members shall refrain from personal business or investment activities, including but not limited to the purchase or sale of securities, real property or other goods or services, in which they could use, or might appear to have the opportunity to use, for personal gain, confidential information obtained as a result of their relationship with the University.
5. Faculty members shall refrain from unauthorized disclosure of confidential information concerning: the University's investments; its property development, sale and acquisition; and its purchasing and its contracting activities.
6. Faculty members may use the name of the University for professional identification, but may not represent themselves as speaking for or acting on behalf of the University without authorization.
7. Faculty members may not coerce students or employees of the University to perform services for themselves or others if improper personal gain or benefit would result.
8. It is sound practice to discourage personal gifts from people with whom the University has a business relationship. Such personal gifts of more than nominal value should be tactfully declined or returned to avoid any appearance or suggestion of improper influence. Faculty members involved in the awarding or administration of contracts using federal or other government funds should keep in mind that they are prohibited by law from soliciting or accepting gratuities, favors or anything of monetary value from contractors or potential contractors.
9. A faculty member shall disclose in writing his or her relationship with a member of his or her family, before acting in matters affecting a family member's



employment, evaluation, or advancement in the University. This disclosure shall be made to the appropriate administrator.

10. Each faculty member shall – on an annual basis and whenever a significant change in relevant business, activity, or interest occurs – disclose to the appropriate administrator, any business or financial interest or activity that might constitute a conflict of interest or the potential for such.

## **C. SPECIFIC DUTIES OF TENURE-LINE AND TERM FACULTY**

### **1. Teaching Load and Term of Service**

A faculty member's contract for the academic year covers the period from the beginning of preparation for school through the commencement exercises. Though this period will vary slightly from year to year, in general it will include approximately a nine-month period from late August through the end of May. The faculty member's responsibilities are not completed until all reports are filed according to due date with the appropriate offices.

During the term of contract a full-time faculty member shall consider University employment to be the primary, if not exclusive, vocational activity. Normal full-time faculty load is no more than 12 and not less than 6 teaching hours per semester. Exceptions may be granted.

Full-time members of the faculty are not normally permitted to teach at other institutions on a part-time basis. For such extra-mural teaching they must have the written approval of their department Chair, the Dean and the Provost.

### **2. Academic Schedules**

The schedule of each individual faculty member is arranged by the Chair of the department in consultation with the faculty member, and with approval of the Dean. The tentative schedule of each college is submitted by the Dean to the departmental faculty for verification and/or corrections and recommendations before final publication.

### **3. Course Offerings**

Departmental course offerings should be scheduled in accordance with the general needs of the University as well as with the needs of the departmental majors.

It is University policy that for every course offered, a syllabus describing the goals, outline of content, work required and textbooks required will be maintained in the offices of the Dean and department Chair and will be made available upon request. Each instructor is expected to submit such a syllabus for each course for the term to the departmental Chair by a specified date.

#### **4. Reasonable Accommodations for Disabilities**

Section 504 of the Rehabilitation Act of 1973 of the U.S. Department of Health and Human Services regulations implementing the act states that "no otherwise qualified disabled individual . . . shall, solely by reason of his [or her] disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance," such as Financial Aid. Section 504 administration and compliance are coordinated through Academic Affairs, Disability Support Services for students, and through Human Resources for faculty and staff.

The University provides reasonable accommodation of qualified individuals with mental and/or physical disabilities whose needs are made known. A student seeking an accommodation should contact Disability Support Services. Faculty should not provide accommodations to students who have not been certified by the DSS Office for accommodations and should contact the DSS Office for further information. Faculty and staff seeking an accommodation should contact their supervisor or Human Resources.

The Reasonable Accommodation policy is available by following the link below:  
<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/safetyandhealth/ReasonableAccommodations.pdf>

#### **5. Travel-Study Course Offerings**

A "Travel-Study Course" is defined as a course taken for academic credit in a particular discipline, which, to be successfully completed, requires of the student travel, either domestic or foreign. These programs, which must have the approval of the appropriate Dean, "meet the same academic standards and requirements as regular programs of the Institution. Academic credit is not awarded for travel per se" (cf. Western Association of Schools and Colleges Handbook of Accreditation).

A Travel-Study tour supplements and complements the ordinary lecture. It heightens the effect of the course and deepens understanding. The course discipline dictates the choice of travel, which is strictly related to the course objectives.

#### **6. Department Meetings**

Regular meetings should be held by each academic department of the University. All members of the department, unless excused by the Chair, are expected to attend these meetings. Minutes of the meetings shall be submitted to the members of the department, to the Deans of the colleges served by the department, and to the Provost.

#### **7. College and/or General Faculty Meetings**

University-wide college or faculty meetings are scheduled from time to time. All faculty members conducting classes at the time of these meetings and all

professional librarians are required to attend. Faculty members who have classes scheduled at the time of the meeting should come to the meeting as soon as their classes are dismissed.

Academic Deans of the University may call meetings of the members of their colleges or divisions. All faculty members of the college are expected to attend such meetings.

## **8. Attendance at University Functions**

Members of the faculty are required to be present at all University academic functions, such as Commencement and the University Convocations, at which the presence of faculty is explicitly requested. Permission to be absent from any of these functions must be obtained from the Provost.

Members of the faculty are welcome but not required to attend religious-academic functions such as the Mass of the Holy Spirit and the Commencement Mass.

## **9. Registration Assignments**

Faculty members are expected to assist at registration and/or pre-registration as requested by their Chair or Dean.

## **10. Faculty Moderators of Student Organizations**

Members of the faculty may agree to assist student organizations as sponsors or moderators. All faculty moderators, after approval by the organizations involved, are appointed by the Senior Vice President for Student Affairs. Each student organization shall have at least one faculty moderator. Appointment as faculty moderator must be approved by the President or his designee.

For the use of on-campus facilities, the faculty moderators cooperate with the Assistant Dean for Student Life. They are expected to file an annual report on the officers, membership, activities, financial status, and evaluation of their respective organizations with the Vice President for Student Affairs.

## **11. Faculty Availability**

Each faculty member shall be available to communicate with students at regularly scheduled times to be determined in consultation with the Chair of the department, in accordance with department policy, and consistent with college/school norms.

Faculty members are not required to be on campus on university holidays.

## **12. Absence from Class**

A faculty member who finds it necessary to be absent from class because of an emergency (illness, bereavement, etc.) must notify the Chair and/or Dean to make necessary arrangements for the classes involved.

A faculty member who finds it necessary to be absent from class for other reasons must obtain prior permission from the department Chair and Dean.

### **13. Punctuality**

It is the responsibility of each faculty member to be present in the classroom for the opening of classes. Students customarily are not obligated to wait over ten minutes if the instructor is late. Classes should begin and end at the scheduled time. Schedule changes must be approved by the Chair and Registrar.

### **14. Inappropriate Use of Faculty Status**

No member of the faculty may use the official title of the University, or any of its parts, or refer to any professional connection with the University in any opinion or certificate concerning the merit or credit of any business undertaking or the value of any scientific or practical invention, or in sponsorship of any organization, without the approval of the President and the Board of Trustees.

A faculty member may not be recompensed for tutoring his/her own students.

### **15. Departmental Chairs**

#### **A. Status of Departmental Chairs**

##### *1) Appointment*

The Chair of every department is appointed by the Provost of the University after consultation with the Dean of the College/School and considering the recommendation of the members of the department. Compensation and/or course remissions related to Chairs' additional responsibilities will be decided upon a case-by-case basis as determined by the Provost.

##### *2) Chair of Aerospace Studies*

The Chair of the Department of Aerospace Studies is the officer detailed to the University by the United States Air Force, subject to the approval of the University administration, and is directly responsible to the Provost. He/she administers the Air Force Reserve Officer's Training Corps Program in accordance with the contract between the government and the University.

#### **B. Selection of Departmental Chair**

- 1) Department Chairs' terms of office will begin on May 16<sup>th</sup>. The position of Chair is for a term of three years. The Chair may be reappointed for

additional consecutive terms after a review of members of the department and consultation with administrators as noted below.

- 2) During the latter part of the fall semester, the Dean will inform the Chair and the department faculty in writing that the current Chair's term will expire at the end of the spring semester and that the process of selection of a new Chair will occur during that semester. The Chair will inform the department faculty at the next regular department meeting. The Dean will also invite any faculty member of the department who wishes to meet with him/her to discuss the departmental situation to make an appointment for such a discussion. These discussions will be completed early in the spring semester.
- 3) In early February, the Dean will distribute recommendation forms to all full-time, active, non-terminal faculty members of the department (as defined in Section V.B.5 below) along with the names of any faculty members who do not wish to be considered for the position. The faculty will be asked to state the name(s) of the faculty member(s) whom they would like to recommend for the position of department Chair.
- 4) The Dean will forward the recommendation materials from the department and his/her own recommendation to the Provost, reporting the tally of the department's recommendation both to the department faculty and to the Provost.
- 5) The Provost will review the recommendations of the department and the Dean and then will appoint a Chair.
- 6) In cases in which the final decision differs from that of the department, reasons for the administrative decision will be given to the department by the Provost.
- 7) The administration of each department is the responsibility of the Chair, who should provide leadership for the attainment of departmental objectives.

### **C. Duties and Responsibilities of Department Chairs**

- 1) Prepare an agenda for and preside over all departmental meetings during the academic year.
- 2) Distribute the minutes of all meetings to the faculty of the department, to the Deans of the colleges served by the department, and to the Provost.
- 3) Draw up the teaching schedule of the department after consultation with the individual members of the department and subject to the approval of the Dean.

- 4) Confer with the Dean and departmental faculty on the need for new staff members; in collaboration with faculty, recommend suitable applicants for teaching positions after a departmental review of their dossiers and an interview whenever possible.
- 5) Acquaint new faculty and teaching assistants with departmental and University regulations and procedures. The Chair shall meet with each new faculty appointee at the beginning of the first semester of service to explain the evaluation and merit process.
- 6) Make recommendations to the Dean regarding merit, promotion in rank, advancement to tenure, and renewal of contracts of departmental faculty members.
- 7) Assist faculty in a yearly evaluation of their own performance; also assess, in consultation with the faculty, the effectiveness of the department in the light of its goals and the objectives of the University.
- 8) Encourage active participation in learned societies and recommend research and publication where possible.
- 9) Prepare, in consultation with the departmental faculty, recommendations for the revision of departmental objectives, teaching programs, curricula, and course descriptions for the catalogue.
- 10) Prepare and submit to the Dean proposals for the departmental budget, after consultation with members of the department, and be responsible for the administration of the approved budget.
- 11) Ensure that faculty submit textbook orders for all departmental courses in a timely manner.
- 12) Submit to the Dean each term course descriptions, syllabi, and final examinations for all classes scheduled.
- 13) Keep on file the outline or syllabus for all special studies courses offered by the members of the department.
- 14) Supervise the expenditures of the Library budget for the department.
- 15) Assign to other members of the department such specific duties as will make possible the more effective operation of the department.

## **V. FACULTY RIGHTS**

### **A. GENERAL STATEMENT ON FACULTY RIGHTS**

#### **1. Recognition of the 1940 Statement of Principles regarding Academic Freedom and Tenure**

The University recognizes and fosters a faculty member's right to academic freedom for the primary purpose of education in the development of intellectual and moral habits of thinking correctly, judging accurately, and acting rightly. All these require a free and unhampered search for and the communication of truth to the extent of his/her ability. Therefore, every University professor has not only the right but also the duty to participate freely in this work of searching after and communicating truth. Academic freedom, like other freedoms, is not and cannot be absolute, and must be exercised within the framework of the mission and goals of the University, the academic environment, and with high respect for the moral law, accepted manners, good taste, the objectives of instruction, and a respectful consideration for the non-academic world.

With these considerations in mind, Loyola Marymount University is in this respect guided by the 1940 AAUP Statement of Principles on Academic Freedom and Tenure.

#### **2. Grievance Committee and Grievance Procedure**

Faculty rights relative to non-reappointment, termination, or dismissal are outlined in Section II.C, "Severance," above.

If a faculty member feels he/she has cause for grievance in any matter, he/she may petition the Grievance Committee for redress. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any data which that the petitioner deems pertinent to the case. Cases must be brought to the Grievance Committee within two years of occurrence.

The committee will decide whether or not the facts merit a detailed investigation; if the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision to come forward with evidence in support of their decision. Submission of a petition will not automatically entail investigation or detailed consideration thereof.

The Grievance Committee has the right to receive additional evidence or testimony from the individuals or bodies who are in a position to clarify the matter, subject to the limitations of the type of jurisdiction the Committee is exercising.

If the substance of the grievance involves a decision or action taken by a Standing Committee of the University or a decision or action taken after review and recommendation by such a body, the Grievance Committee will exercise an

appellate function, that is, reviewing the procedures by which the decision was reached and the fairness of their application, according to the relevant sections of this Handbook, appropriate committee statutes, and/or policies of the University. In such cases, the Grievance Committee may recommend that the original decision stand or that the case be reconsidered by the appropriate bodies in light of the Grievance Committee's findings.

If the substance of the grievance involves a decision or action taken without the participation of a University Standing Committee, including decisions or actions of an administrative officer, department Chair, or colleague, the Grievance Committee will exercise an original authority which may include reviewing the substance of the case, interpretations and judgments of the parties, questions of procedure, and the fairness of standards and policies.

In such cases, the Grievance Committee may seek conciliation or may recommend an appropriate resolution of the case.

Members of the Grievance Committee are elected by vote of the entire faculty and librarians, as prescribed by the Committee Bylaws.

The final decision in major and substantive grievance matters rests with the President and the Board of Trustees.

### **3. Grievance of Dismissal**

When a decision to dismiss a faculty member has been made, the faculty member shall be notified thereof in writing prior to the effective date. Such notice shall include the grounds upon which the decision is based, the specific charges, the effective date of the dismissal, and a statement of the grounds upon which the decision is being protested.

### **4. Board of Review**

In cases of termination or dismissal of tenured faculty, the Grievance Committee will decide whether the case can be settled to the satisfaction of both parties by some method of mediation or arbitration, or if it must proceed to formal hearing. If the Grievance Committee refers the matter to a formal Board of Review, or if the faculty member insists upon this, the latter will select a colleague to represent him/her, and the University will designate another faculty member to represent the University. The two faculty members will select a third person, either from the University community or from without, who will be the presiding officer of the three-person Board of Review. The Board may hold joint pre-hearing meetings with the parties in order to (i) clarify the issues, (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.



The Board, in consultation with the President, or the President's appointee, and the faculty member, shall exercise its judgment as to what extent, if any, the hearing shall be public.

The faculty member shall be permitted to have an academic advisor from the University of the member's own choice during the proceedings. The faculty member will be permitted to have counsel of his/her choice. At the request of either party or the hearing committee, a representative of a responsible educational association shall be permitted to attend the proceeding as an observer.

Either party may request of the Chair, in writing and reasonably in advance of the hearing, that a stenographic record be kept of the proceedings. In such event, the University shall arrange and pay for such reporters and the transcript, if required. One copy of the transcript shall be given to the faculty member without cost.

The burden of proof that adequate cause exists rests with the University and will be satisfied only by clear and convincing evidence in the record considered as whole.

The Board shall, upon request, grant brief adjournments to enable either party to investigate evidence about which a valid claim of surprise is made.

The faculty member shall be afforded a reasonable opportunity to obtain necessary witnesses and documentary or other evidence. The administration shall cooperate with the Board in securing witnesses from the University and making available documentary and other evidence at the University.

Each party shall have the right to confront and cross-examine all witnesses. Where a witness cannot or will not appear, but the Board determines that the interest of justice requires admission from that witness's testimony, the Board shall permit written interrogatories or depositions by both parties, if that is feasible, and if not, the written, signed statement of the witness.

In hearing of charges of incompetence, the testimony will include that of qualified faculty members from the University or other institutions of higher education.

The Board shall not be bound by strict rules of legal evidence, which is of probative value in determining the issues involved. Reasonable efforts shall be made to obtain the most reliable evidence available. The findings of fact and the decision will be based solely on the hearing record.

The Board of Review may recommend reinstatement, reinstatement-with-penalty, or dismissal. If the hearing committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President rejects the report, the President will state the reasons for doing so, in writing, to the hearing committee and to the faculty member, and provide an opportunity for response before transmitting the case to the Board of Trustees. If the hearing committee concludes that adequate cause for dismissal has

been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons.

If dismissal or other severe sanction is recommended, the President will, on request of the faculty member, transmit to the Board of Trustees the record of the case. The Trustee's review will be based on record of the committee hearing, and it will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their representatives. The decision of the hearing committee will either be sustained or the proceeding returned to the committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after study of the committee's reconsideration.

## **5. Non-Discrimination in Employment**

Loyola Marymount University is dedicated to fostering the education of the whole person and strives to provide an environment that encourages the search for truth and freedom of inquiry. The University recognizes the important contribution a diverse community of students, faculty, and staff makes towards the advancement of its goals and ideals. The University is committed to providing an environment that is free of discrimination and harassment as defined by federal, state, and local law, as well as by the LMU Statement of Non-Discrimination. Any violations will be treated as serious misconduct and result in appropriate disciplinary action up to and including dismissal from the University.

The full Statement of Non-Discrimination can be found by following the link below:  
<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/equalemploymentopportunities/Statement%20of%20Non-Discrimination.pdf>

## **6. Discriminatory Harassment and Complaint Process**

The University seeks to ensure a positive living, learning and working environment for all LMU community members. Specifically, this policy prohibits unwelcome, harassing conduct on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, legally protected medical condition (cancer-related or genetic characteristic), marital status, sex (including gender identity or gender expression as defined by law, pregnancy, childbirth, breastfeeding or related medical condition), age 40 or over, military or veteran status, sexual orientation, genetic information or any other bases protected by federal (including but not limited to Title VI and Title VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990), state or local law. Students, faculty and staff should be aware of and avoid actions that others may construe as unwelcome and/or harassing.

The Discriminatory Harassment and Complaint Process can be found by following the link below:

<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/equalemploymentopportunities/Discrimination%20Harassment%20and%20Complaint%20Process.pdf>

## **7. Faculty/Student Dating Policy**

As a University dedicated to fostering the dignity of each person, Loyola Marymount University strives to encourage learning and promote justice. The University seeks to create an environment that is free of exploitation and unlawful harassment or discrimination that undermines the integrity of the institution. The Faculty/Staff - Student Dating Policy does not alter, but is in addition to all federal and state laws regulating interpersonal conduct.

The Faculty/Student Dating Policy can be found by following the link below:

<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/generalexpectations/Faculty.Staff%20and%20Student%20Dating.pdf>

## **8. Indemnification**

Pursuant to Section 2802 of the California Labor Code, faculty will be defended and indemnified by the University in the event of actual or threatened legal proceedings that arise out of the specific performance of their professional duties.

## **B. SPECIFIC PRIVILEGES OF TENURE-LINE AND TERM FACULTY**

### **1. Faculty Benefits Program**

The University provides a comprehensive benefits package to faculty. Benefits include but are not limited to: medical/dental/vision coverage, Long Term Disability, Life Insurance, Accidental Death & Dismemberment coverage, Defined Contribution Retirement Plan, and a compliment of voluntary benefits. Details of all benefits including official Summary Plan Descriptions may be found at MYLMU in the Human Resources tab, labeled "Benefits."

The University Comprehensive Benefits Committee reviews proposed major changes to the University's benefits programs.

### **2. Retirement**

The University encourages faculty and staff to plan for retirement. Eligible faculty and staff members receive retirement privileges based upon their years of service and age at retirement.

The Retirement Policy can be found by following the link below:

<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/benefits/LMU%20Retire>

ment%20Policy.pdf

### **3. Tuition Remission**

Tuition remission is available for faculty, their spouses, and their dependent children in accord with University policy.

The Tuition Remission policy for Faculty and Staff is available by following the link below:

<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/benefits/Tuition%20Remission%20Faculty.Staff.pdf>

The Tuition Remission policy for Retirees is available by following the link below:

<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/benefits/Tuition%20Remission%20Retiree.pdf>

The Tuition Remission policy for Spouses and Dependent Children is available by following the link below:

<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/benefits/Tuition%20Remission.Spouse.DepChild.pdf>

### **4. Policy on Travel to Meetings**

The University recognizes that members of its faculty are interested in attending conventions of learned or professional societies as a means of keeping abreast of their fields of teaching and research, and the University will, within its financial resources, support such attendance.

It is presumed that under ordinary circumstances such attendance will not interfere with academic duties. If the situation warrants absence from class, the approval of the department Chair is required.

Faculty members who have research grants from sources outside the University are encouraged to provide for their travel expenses from these grants.

Faculty members may ordinarily expect to receive support for one travel request per academic year; additional requests will be subject to available funds.

In deciding whether a particular request warrants support, the following criteria will be employed:

If the trip is requested by the University (administrative attendance at conventions, etc.), the University will pay the air coach transportation plus the necessary hotel and restaurant expenses when supported by sales slips or invoices for days of the actual meeting only.

If the trip benefits the faculty member, and notably benefits the University (as decided by the University Administration, e.g., the reading of a paper at a convention), the University will pay air coach transportation, registration fee, banquet and other directly related items when supported by sales slips or invoices, but not to exceed the amount specified by the Controller's Office for days of the actual meeting only.

If the trip mainly benefits the faculty member, but has a particular significance and value to the University, e.g., active attendance at conventions, meetings of colleagues, etc., the University will pay one-half the air coach and transportation.

Faculty members using their own automobiles on approved University business will be reimbursed at the current mileage rate approved by the Controller.

The respective Deans are responsible for the administration of this travel policy. Faculty members should discuss proposed plans with the appropriate administrative officer before making final commitments. All expense reports, which should be itemized and accompanied by receipts, must be approved by the appropriate administrative officer before being submitted to the Controller's Office for payment.

If an advance for expenses is authorized, support vouchers must be submitted and approved upon completion of the trip.

## **5. Faculty Voting Procedures**

All full-time, non-terminal faculty have voting rights in their departments, including in matters of the curriculum, departmental policy, personnel decisions, and chair selection. The term "full-time, non-terminal faculty" refers to tenure-line faculty who have a current full-time faculty contract and have not received a notice of non-reappointment. This will include faculty who are on sabbatical or a paid leave of absence. Faculty members must be physically present to vote at the particular meeting. Emeritus faculty and faculty on unpaid leaves of absence do not have voting rights. Also excluded from departmental voting rights are faculty currently holding administrative positions (e.g., in the Office of the Provost), Deans, Associate Deans, and Assistant Deans; Chairs, however, retain voting rights in the department.

### *General Departmental Matters:*

- a. All full-time, non-terminal faculty vote on matters such as curriculum, methods of instruction, research projects of the department, and those aspects of student life which relate directly to the educational process (e.g., systems of awarding and recording students' grades).
- b. By the majority vote of the full-time, active non-terminal faculty members of the department, the vote on these general departmental matters may be extended

to other faculty members of the department, especially term faculty who are encouraged to participate in departmental activities and governance.

- c. By the majority vote of the full-time, active non-terminal faculty members, departments may opt for deciding these general departmental matters in a more informal way, such as by consensus arising from discussion and not by formal motion and vote. A vote for such an option may be taken at the beginning of the academic year or each semester, and its results applied for the duration of the year or semester. If requested by any full-time, active, non-terminal faculty member, a vote will be taken and reported on any given issue.
- d. If a Chair of a department feels compelled to act contrary to the results of a departmental vote, he/she will notify the Dean in writing of the issue, the results of the vote, and his/her decision not to abide by the vote of the department.

*Departmental Personnel:*

- a. All full-time, active, non-terminal faculty make recommendations by anonymous written ballot in the final selection of full-time personnel in the department for hiring by the University. The result of this vote will accompany the Chair's recommendation to the Dean. In cases in which the final administrative decision on hiring differs from the departmental recommendation, reasons for the administrative decision will be given the department by the Dean, with the restriction that there will be no communication of information that is deemed to violate the applicant's right of privacy. In cases of emergency or in those exceptional cases in which a full-time position must be filled when the University is not in session, an effort will be made to consult the appropriate faculty members in a department and when possible to interview candidates and follow the process outlined here.
- b. Faculty members are ineligible to vote for themselves regarding their own termination, promotion in rank or advancement to tenure, and should not be present at the meeting when the matter is discussed or voted upon.
- c. All full-time, active non-terminal faculty make recommendations by anonymous written ballot regarding termination of full-time personnel. The ballots from this vote will be sent to the Dean, along with the Chair's written comments. The Dean will forward the ballots from the departmental vote, the Chair's comments, and the Dean's own written comments to the Provost for action.
- d. All full-time, active, non-terminal faculty make recommendations by anonymous written ballot on the application by a member of the department for advancement to tenure. The ballots from this vote will not be seen by the Chair, who will seal them in an envelope and send them to the Dean; the Dean will open the envelope and count the votes. They will accompany the documents sent by the Dean to the Provost. The results of the departmental ballot may subsequently be made known to the applicant. Ballots will be retained in the files of the Committee on Rank and Tenure for three years. This provision does

not alter any of the other procedures in the faculty member's application for, or the decision process on his/her advancement to tenure.

- e. All full-time, active, non-terminal faculty make recommendations by anonymous written ballot on the application by a member of the department for promotion in rank. The ballots from this vote will not be seen by the Chair, who will seal them in an envelope and send them to the Dean; the Dean will open the envelope and count the votes. The ballots will accompany the documents sent by the Dean to the Provost. Ballots will be retained in the files of the Committee on Rank and Tenure for three years. Results of the ballots are not made available to the applicant. This provision does not alter any of the other procedures in the faculty member's application for, or the decision process on his/her promotion in rank.

## **6. Sabbatical Leave**

Recognizing the necessity for faculty members to acquire new experience to enrich their teaching and also to provide time for research projects and writing, the University supports the principle of sabbatical leave.

A faculty member with the rank of Assistant Professor or above who has served six or more consecutive years at Loyola Marymount as a full-time, tenure-track member of the faculty is eligible for consideration for a sabbatical leave.

A sabbatical leave will normally be granted to work on some project of study, writing, or research associated with the faculty member's work at Loyola Marymount.

Generally, the faculty member is expected to take the sabbatical as scheduled, and no more than two postponements will be granted, unless the faculty member, Dean, and Provost have agreed to a different arrangement.

Eligibility for sabbatical leave continues for every full-time faculty member who returns for at least one full year of full-time teaching before retirement unless illness, injury, or death of the member makes the return impractical or impossible.

*Conditions of the Sabbatical Leave Stipend:*

(1) One semester at full salary; or (2) one academic year at one-half of full salary.

In the case of a sabbatical leave granted to a faculty member who will receive a salary, grant, or stipend from another source for work while on leave, the University may reduce the normal sabbatical salary accordingly. If the faculty member on leave will receive from another source a salary, grant or stipend equal to his/her normal full salary at Loyola Marymount University, the University will not pay any salary to him/her during the sabbatical leave.

The University will, however, make up any differential in income and benefits to those faculty obtaining grants of a size that would reduce their regular income and/or benefits.

Salary is based on that amount calculated for the next year's salary and normal raises and benefits will not be withheld by reason of the sabbatical leave.

Time spent on sabbatical leave counts fully for promotion and, if applicable, for tenure. Details are given in the appropriate policy statement from the Provost.

*Procedure to be Followed by Applicants for Sabbatical Leave:*

Eligibility to apply formally for a sabbatical leave is issued by the Provost. The faculty member should make formal application to the Chair of the department on forms to be provided, accompanied by an outline of the project he/she intends to pursue, and a statement showing how it will increase his/her professional competence and value to the University and his/her qualifications to pursue such a project. The department Chair shall make written comments on the same and shall forward copies of the application and comments to the Dean.

The Dean shall transmit the application with his/her recommendations to the Provost, who shall refer the application to the Committee on Sabbaticals for review.

Final approval (or disapproval for stated cause) is to be given in writing by the Provost.

*Obligation of Faculty Member Who Has Been Granted a Sabbatical Leave:*

The applicant will be required to sign a written statement that he/she will return to the University for one year of full-time service following the completion of the sabbatical leave.

Upon return from sabbatical, a detailed report of the actual results of the project is due by the date indicated on the Sabbatical Timeline, which can be accessed on the Faculty Resource website (Provost Faculty Resources). The Provost will then forward the copy to the Sabbatical Review Committee for its review and comments. The committee's comments will be submitted to the Provost for final approval.

**Pre-tenure Sabbatical Program**

Pre-tenure sabbatical proposals would be accepted from non-tenured assistant professors under three conditions:

1. The faculty member must be an assistant professor on a tenure track, who is able to demonstrate excellent progress toward tenure in teaching and advising, as well as in scholarship and/or creative work and in service at the time of the second year retention review.



A rigorous review by department, Chair, and Dean will be required to confirm that consensus exists about the faculty member's excellent progress in these three areas.

2. The faculty member's department, Chair, and Dean must agree that a suitable part-time faculty replacement for the faculty member is available to meet the department's teaching and advising needs if the sabbatical is granted.

3. The faculty member must demonstrate substantial progress on a scholarly/creative project that can be completed and disseminated no later than the first Monday of October (or the date set for review of tenure and promotion dossiers) of the year in which the tenure and promotion application is received.

For purposes of definition, "dissemination" will mean that the product of the scholarship, research, or creative work will have been published or made available for critical scrutiny by professionals in one's discipline.

Dissemination usually involves some form of juried or invited public dissemination and results in an artifact that is assessed by professionals in one's discipline in specific ways detailed as desirable by departmental statements on scholarship and creative work.

Illustrations of dissemination appropriate to each discipline are available from the departments. These disseminated works should represent significant scholarly and/or creative work, involving major projects. Consequently, more limited projects resulting in presentations at professional meetings typically would not be included.

Once the pre-tenure sabbatical is completed, within six months, a sabbatical report should be submitted to the Dean of the college or school, detailing the results of the sabbatical and evidence of dissemination that has occurred or a plan to complete the work for dissemination. The Dean's assessment of the sabbatical report will be included in his/her evaluation of the promotion/tenure file of the applicant. If the sabbatical did not produce disseminated work as promised, that fact will be noted in the Dean's assessment submitted to the Committee on Rank and Tenure when the tenure review occurs.

#### ADMINISTRATION OF THE PRE-TENURE SABBATICAL PROGRAM:

1. Pre-tenure sabbatical proposals would be submitted and evaluated in Year Three of consecutive service on the tenure-track by the assistant professor. If an accommodation of the traditional tenure schedule was made in the first contract issued that granted "time toward tenure," the Provost will be the final arbiter of when or if a pre-tenure sabbatical proposal can be submitted.

2. If granted, the pre-tenure sabbatical must be taken in the fall or spring semester of the Fourth Year of consecutive service on the tenure-track by the assistant professor. Pre-tenure sabbaticals may not be taken for an entire academic year.

3. If the faculty member takes a pre-tenure sabbatical in Year Four, the faculty member is eligible to take the next sabbatical in Year Eleven, i.e., after 6 consecutive years of additional service not including the year of the sabbatical.

4. The review of the sabbatical project will take place on a schedule determined by the Sabbatical Review Committee and will involve separate assessments of the results of the sabbatical by the Chair, Dean, and Sabbatical Review Committee. These reviews will be based on a Sabbatical Project Report submitted by the faculty recipient of the sabbatical according to a deadline and using report forms supplied by the Sabbatical Review Committee.

## **7. Faculty Leave**

The University recognizes that many faculty are faced with balancing family demands and work obligations. While the University's primary goal is to provide a meaningful educational and student experience, the University also recognizes the need for faculty to be away from the University from time to time for extended periods.

To the extent reasonable and in a manner consistent with the effective and efficient operation of the University, the policy of the University is to support faculty with a need for family medical leaves including leaves related to: pregnancy, childbirth, adoption and parental leaves. This policy also governs faculty leaves relating to: California State military spousal leave, court and other judicial appearances, funeral leave, jury duty, military reserve leave, personal (non-medical) leaves, and workers' compensation leave. Pursuant to the Faculty Leave Policy, the Dean, Department Chairs and other supervisors will make efforts to reasonably accommodate faculty with such needs.

The Faculty Medical and Family Medical Leave Policy is available at:  
<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/facultyresources/Faculty%20FMLA.pdf>

The Faculty Personal Leave Policy is available by following the link below:  
<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/leavesofabsence/Personal%20Leave.pdf>

Other university leave policies can be found on the following website by logging into myLMU:

<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/facultyresources/>

## **8. Procedures for Academic Personnel Leaving the University**

Regulations for academic personnel not scheduled for service during the ensuing semester, whether through leave, retirement, severance, among others, are provided by the Office of the Provost.

## **9. Summer Session Teaching**

Full-time faculty members except Visiting Professors on academic-year contracts, will be given first consideration in the selection of instructors for the Summer Session. Faculty who are interested in teaching in the Summer Session should inform their Chair and the Dean as early as possible in the year. Chairs will use a rotation assignment of Summer Session positions to ensure equitable assignments.

Contractual arrangements to teach in the Summer Session are issued by the Dean independently of regular contract. There is an element of risk in predicting an adequate enrollment; offerings are subject to cancellation if the established minimum number of students does not register.

## **10. Office Space/Communications Technology**

Each faculty member will be provided with appropriate office space and access to communications technology.

## **11. Identification Cards**

Identification Cards are issued by the University to all faculty.

## **12. Credit Unions**

Faculty members are eligible for membership in the affiliated credit unions, from which loans may be negotiated and into which deposits may be invested automatically by payroll deductions.

The University has no responsibility for the operation of the credit unions and there is no assurance by LMU of either its financial stability or continued existence.

# **VI. INSTITUTIONS OF FACULTY & SHARED GOVERNANCE**

## **A. THE FACULTY SENATE**

The Faculty Senate represents the voice of the faculty and its recommendations to the Provost, the President, and the University community. The Faculty Senate is the formal body that approves policies, exercises general oversight, and addresses questions of governance procedure regarding the areas for which the full faculty holds primary responsibility, and that collaborates with or advises the university administration regarding the areas for which the full faculty holds collaborating or advisory responsibility. The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life that relate to the educational process. In keeping with the principles of shared governance that characterize university life, it is expected that the Provost and, where appropriate, the President will communicate to the Senate his/her rationale in writing, if a particular

recommendation is not followed pertaining to the faculty's areas of primary or collaborative responsibility.

The Faculty Senate is an elected body. Its membership and governance and deliberative practices are governed by the Faculty Senate Constitution and Bylaws.

## **B. COMMITTEES OF THE UNIVERSITY**

A lively and vital committee structure, characterized by regular meetings and a membership that engages fully in the tasks at hand, is central to healthy shared governance. It is through committees that stakeholders in the University are able to participate in shaping policies and procedures as well as provide informed advice to the Board of Trustees, the President, the Provost, the Faculty Senate and other entities on campus. Faculty committees shall be, in addition to the Faculty Senate, the structures through which the faculty exercises its authority over the areas for which it has primary responsibility, including: academic policy; the curriculum, including design and assessment; the standards and procedures for the evaluation of teaching and research; faculty status, including the standards, criteria, and procedures for retention, tenure, and promotion; and those aspects of student life that relate to the educational process.

### **1. University Standing Committees**

University Standing Committees represent a range of constituents and conduct work that is continuous rather than single-project focused. In those areas where the faculty holds primary and collaborative responsibility, University Standing Committees report jointly to the Faculty Senate and the Provost. In other areas, University Standing Committees directly advise the President or Provost.

University Standing Committees include:

- Academic Affairs Policy Committee (AAPC)
- Academic Honesty Review Committee (AHRC)
- Academic Planning and Review Committee (APRC)
- Academic Technology Committee (ATC)
- Committee on Excellence in Teaching (CET)
- Committee on Rank and Tenure (CRT)
- University Core Curriculum Committee (UCCC)
- University Policy Committee (UPC)

The full list of University Standing Committees is available in Addendum B to the Faculty Handbook and in the Committee Directory, which is issued annually.

### **2. University Special Committees**

University Special Committees function primarily in an advisory (rather than policy setting) capacity to the President, the faculty and/or the University at large. The full list of University Special Committees is available in Addendum B to the Faculty Handbook and in the Committee Directory, which is issued annually.

### **3. Standing Committees of the Faculty Senate**

Standing Committees of the Faculty Senate perform the ongoing functions and responsibilities of the Senate in particular areas, and advise the Senate on broad policy questions within the areas of primary faculty responsibility.

The Standing Committees of the Faculty Senate include:

- Executive Committee
- Committee on Committees
- Committee on the Economic Status of the Faculty
- Elections Committee
- Faculty Handbook and Academic Life Committee
- Governance and Bylaws Committee
- Grievance Committee

### **4. Bylaws**

All committees of the university shall establish Bylaws to govern their membership and governing and deliberative processes. The Bylaws of the Standing Committees of the Faculty Senate and of those University Standing and Special Committees with majority faculty membership shall be subject to approval by the Faculty Senate. Copies of the Bylaws of the committees shall be kept on file by the Faculty Senate and the Office of the Provost.

### **5. Membership**

Standing and Special Committees that deal with areas considered the primary responsibility of the faculty shall have a majority faculty membership. The representation of faculty on joint faculty/administration committees shall appropriately reflect the degree of the faculty's stake in the issue or area the committee is charged with addressing.

Faculty members of all committees shall be appointed by the President or the Provost on the recommendation of the Faculty Senate as advised by the Committee on Committees.

Committee Bylaws shall designate which committee members serve *ex officio* and shall make explicit whether *ex officio* are voting or non-voting members. Unless otherwise specified in the bylaws, *ex officio* members do not have voting rights on committees that deal with areas considered the primary responsibility of the faculty.

Standing and Special Committees that deal with areas considered the primary responsibility of the faculty shall have a faculty chair, to be elected by the committee. The faculty chair shall set agendas for the committee.

## **6. Annual Reports**

Committee chairs of University Standing Committees and University Special Committees shall submit annual reports to the Provost at the end of each academic year, with copies submitted to the Faculty Senate and the Committee on Committees.

## **VII. PROCEDURES FOR AMENDMENTS**

### **A. FOR AMENDING THE FACULTY HANDBOOK**

Proposed amendments, originated by individual faculty members or by any group of faculty, should be forwarded to the Faculty Senate.

The Faculty Senate will review and possibly modify the proposal, and decide whether to submit the proposed amendment to the faculty at large.

Following faculty discussion and approval, the Faculty Senate will forward the proposal to the Provost.

The Faculty Senate, in consultation with the Provost, will prepare the final draft of the Faculty Senate to forward the proposed amendment to the President for consideration and approval. Upon approval, the modification becomes effective.

It should be noted that, if at any point in this procedure, the proposed amendment is substantively revised, it must be returned to the Faculty Senate for discussion and approval.

In some matters, as in those parts of the Handbook that have been made University Statutes, Trustee approval of amendments is required. Further, the Trustees have the right to make amendments to the Handbook on their own initiative, although this rarely is done, and then only after consultation with the faculty.

All modifications of the Handbook, upon approval, shall be promulgated to all holders of the Handbook. An authoritative edition will be published once a year on the second Wednesday of July. Copies will be distributed to the university community. One authoritative paper bound copy will be placed in the University Library Department of Archives and Special Collections.

### **B. FOR AMENDING THE HANDBOOK ADDENDA**

Corrections and amendments to the acknowledgement, preamble, history, Handbook Addenda, and corresponding table of contents may be initiated by the

staff, administration, or the faculty. Proposed corrections and amendments must be forwarded to the Provost for consideration.

Substantive amendment(s) not originating from the Faculty Senate will be forwarded to the Faculty Senate by the Provost. Such amendment(s) will be posted for 30 days for the purpose of gathering comments and guidance from the faculty at large. The Faculty Senate will review and vote on the amendment(s). The results of the Faculty Senate vote will be sent to the Provost.

The Provost may make non-substantive corrections that do not affect the academic life or scholarly pursuits of the faculty. The Provost will inform the Faculty Senate of proposed corrections receiving consideration. Non-substantive corrections may include corrections such as title changes of administrators and name changes of offices or non-academic departments.

All modifications of the preamble, history, handbook addenda, and corresponding table of contents shall be promulgated to all holders of the Handbook.

An authoritative edition of the Handbook Addenda will be published once a year on the second Wednesday of July. Authoritative copies of the handbook will be distributed to the university community. One authoritative paper bound copy will be placed in the University Department of Archives and Special Collections.

## **VIII. HANDBOOK ADDENDA**

### **A. RANK AND TENURE RESOURCE MANUAL**

**Approved 09 May 2012**

#### **Overview**

The Rank and Tenure Resource Manual, a comprehensive guide to all aspects of tenure and promotion, is designed to bring clarity, consistency, and transparency to practices across the university. The Resource Manual is comprised of several interrelated documents, and should be read in its entirety for full comprehension.

#### **Preamble**

The Faculty at Loyola Marymount University (LMU) actively contributes to the mission and goals of the University through the encouragement of learning, the education of the whole person, and the service of faith and promotion of justice. The University's reputation for academic excellence, its collegial culture, and its commitment to scholarly and creative pursuits reflect the activities of its outstanding faculty.

LMU is committed to multiple forms of scholarship and creative activity including scholarship of discovery, conceptual design, synthesis, engagement, and teaching and learning. These activities comprise the essential criteria for promotion and/or tenure and themselves reflect the mission and goals of the University.

Each Program, Department, College, and School at LMU strives to cultivate a climate in which faculty work together to fulfill those goals that support the mission and goals of the institution. The University recognizes that individual faculty members necessarily represent a spectrum of interests and abilities and that this is embodied in the diversity and excellence in teaching/advising, scholarship/creative work, and service. All faculty members, however, are expected to contribute to the mission and goals of the University in their own way, through these three interlinked areas of responsibility. The formation of LMU faculty members as teachers, scholars, artists, craftspeople, and contributing members of the academic community is embedded in an ethos of *cura personalis*, such that individuals are regarded and respected as whole persons within their faculty roles.

The Rank and Tenure Resource Manual may be amended by action of the Faculty Senate, and with the approval of the President.



## Rank and Tenure Timeline

This timeline is a general guide to the sequence of steps in the rank and tenure process. It should be noted throughout that, when a faculty member's appointment is in an academic program that does not reside in a department, the Dean of the college or school appoints a committee to function in the role of the department, and one of the committee members to serve in the role of the department Chair. The term "Department" hereafter refers in such cases to the committee appointed to function in the role of the department, and the term "Chair" refers to the committee member appointed to serve in the role of Chair, as described in the Procedures, Roles, and Responsibilities section below. See Appendix A for a chronologically organized table of responsibilities in the process.

### CANDIDATE

- **March:** Candidates receive a letter from the Provost informing them of their eligibility to apply for tenure.
- **Not later than May 15:** Candidate sends his/her Confirmation of Intention to Apply for Tenure and for Promotion in Rank.
- **Not later than May 31:** Candidate receives confirmation from Provost's Office that intention to apply for advancement to tenure and/or for promotion to the indicated rank has been submitted.
- **March – June:** The Candidate works with the Department Chair to generate a list of names of individuals to provide external evaluation (see section on Procedures for External Evaluation Process.)
- **May – Early July:** The Candidate, in consultation with the Department Chair, prepares a representative sample of disseminated scholarly or creative material to be sent to the external evaluators.
- **May – September:** The Candidate works on preparing the application, consistent with Section VI, Rank and Tenure Application Standards.
- **One week prior to application deadline:** External review letters are due to the Department Chair.
- **First Monday in October:** Two original sets of the completed application, or one complete uploaded application in Box at the close of the business day, 5:00pm PST, should be submitted to the Department Chair. The Department Chair will be responsible for ensuring that the application is available to department members for timely review.
- **April – May of the following year:** The candidate is informed of the President's decision regarding tenure and/or promotion.

### DEPARTMENT CHAIR

- **March:** A copy of the Candidate's letter from the Provost (candidates for tenure only) goes to the Department Chair.
- **March – June:** The Department Chair works with the Candidate to discuss and develop a list of potential external reviewers. (For details, see section on Procedures for External Evaluation Process.)

- **May – Early July:** The Candidate, in consultation with the Department Chair, prepares a representative sample of scholarly and/or creative material to be sent to the external evaluators.
- **By early July:** Chair sends a formal request to the External Reviewers, along with a representative sample of the Candidate’s disseminated work, the Candidate’s CV, and descriptive information about the University as stated in the Handbook. (For details and letter template, see section on Procedures for External Evaluation Process.)
- **August:** Chair should send reminder to external reviewers (if necessary).
- **One week prior to application deadline:** External review letters are due. One signed external evaluation on letterhead should have been received by the Department Chair by this date.
- **September – First Monday in October:** Chair prepares for departmental discussion; confirms voting members with the Provost’s Office; selects meeting time and Scribe for departmental discussion; sets up process for distributing application material.
- **First Monday in October:** The Chair receives two completed applications, or one complete application uploaded to Box, from the Candidate after the close of the business day, 5:00pm PST, and reviews them to be sure that they are complete. The Chair inserts the external review letters into the application, either inserting copies into both applications if in hard copy or uploading electronic versions to the dossier in Box. If the Candidate has submitted applications in hard copy, the Chair forwards one application to the Dean of the Candidate’s College or School.
- **Mid October – Second Monday in November:** Department faculty meet to discuss the application and vote. Ballots are submitted according to instructions sent from the Provost. The Scribe prepares a summary of the discussion (see section on Procedures for Review of Candidates for Tenure and Promotion). For applications submitted in hard copy, the Chair forwards the original signed Chair evaluation letter and signed Departmental summary to the Dean; in addition, the Chair forwards the application to the Provost’s Office after adding a copy of the signed Chair evaluation letter and a copy of the signed Departmental summary. For applications submitted on Box, the Chair uploads the signed Chair evaluation letter and signed Departmental summary to Box.
- **April – May of the following year:** The Chair is informed of the President’s decision regarding the Candidate’s tenure and/or promotion.

#### DEPARTMENT

- **First Tuesday in October:** Department faculty begin reviewing applications.
- **Mid October – Second Monday in November:** Department faculty meet to discuss the application and vote. Ballots are submitted according to instructions sent from the Provost. The Scribe prepares a summary of the discussion, which is reviewed, discussed, and revised, if necessary (see section on Procedures for Review of Candidates for Tenure and Promotion)

## DEAN

- **Mid October – Late November:** The Dean receives the external review letters and one application for each candidate within their College or School. The Dean receives the Departmental ballots for each candidate within their College or School. The Dean receives the original signed Chair evaluation letters and signed Departmental summaries from the Chair. The Dean then reviews these materials and writes his/her letter of evaluation for each candidate within their College or School. For applications submitted in hard copy, the Dean forwards the candidate's application to the Provost's Office after adding the Dean's evaluation letter, the original signed Chair evaluation letter, the original signed Departmental summary, and any letters from dissenting Departmental faculty members. For applications submitted on Box, the Dean uploads the signed Dean's evaluation letter to Box. The Dean also forwards the Departmental ballots to the Provost's Office.
- **April – May of the following year:** The Dean is informed of the President's decision regarding the Candidate's tenure and/or promotion.

## CHAIR OF COMMITTEE ON RANK AND TENURE

- **Late November - December:** Chair receives Candidates' applications from the Provost's Office, including the Deans' letters and Departmental ballots.
- **December:** Chair advises members of the CRT when they may begin to read all applications.

## COMMITTEE ON RANK AND TENURE

- **January – April:** The CRT deliberates and votes on all applications. (See the CRT section of Procedures for Review of Candidates for Tenure and Promotion.)

## PROVOST'S OFFICE

- **March of each year:** Provost's Office sends letters to individuals who are eligible to apply for advancement to tenure and/or promotion to the indicated rank.
- **Not later than May 15:** Provost's Office receives from the Candidate his/her Confirmation of Intention to Apply for Tenure and for Promotion in Rank.
- **Not later than May 31:** Provost's Office confirms receipt of intention to apply for advancement to tenure and/or promotion to the indicated rank.
- **November:** The Provost's Office receives the candidate's application from the Departmental Chair, who forwards it after adding a copy of the signed Chair evaluation letter and a copy of the signed Departmental summary. The Provost's Office receives from the Dean the Dean's evaluation letter, the original signed Chair evaluation letter, the original signed Departmental summary, and any letters from dissenting Departmental faculty members. The Provost's Office also receives the Departmental ballots from the Dean.

- **Late November – December:** The Provost Office forwards the application and all Departmental ballots to the Chair of the Committee on Rank and Tenure.
- **April:** The Provost receives the letters of recommendation from the CRT, reviews applications and makes recommendations to the President.

#### PRESIDENT

- **April – May:** The President makes the final decisions on promotion and tenure and informs the candidates.

#### APPEALS PROCESS

- **May – June:** Independent appeal process begins. Provost’s Office oversees the independent appeal process for any Candidate who wishes to appeal a negative decision.
- **Upon Completion of the Appeal:** The President considers the appeal, makes the final decision and informs the Candidate.

### **College/School and Departmental Rank & Tenure (R&T) Standards**

Every academic department is responsible for developing standards for the purpose of making recommendations on faculty advancement to tenure and/or promotion in rank. The following statement on Department Standards incorporates and embraces the spirit of the descriptions and expectations that define the Assistant, Associate, and Full Professor at LMU and as stated in the LMU Faculty Handbook. The term “department standards” applies to the program standards of autonomous programs and the school standards of the School of Education.

#### A. ESTABLISHMENT OF STANDARDS

1. Department Standards should take into consideration Loyola Marymount University’s Mission, the College or School’s Mission, the Department Departmental/Program’s Mission, principles of academic freedom, and, if appropriate, accepted practices in professional discipline-specific associations, as well as LMU’s commitments to supporting teaching and scholarship/creative work that crosses disciplinary boundaries.
2. Department Standards must incorporate rank and tenure standards, descriptions of expectations for teaching and advising, scholarship or creative works and service. Regarding scholarly and/or creative works, candidates must be evaluated on the basis of their entire body of work, with the expectation that evidence is demonstrated of ongoing productivity. Department Standards may define or stipulate what constitutes evidence of ongoing productivity.
3. Department Standards for advancement to tenure and/or promotion are submitted to the appropriate College or School Dean, who is responsible for coordinating this process.

4. Autonomous programs in a college or school may develop their own standards with permission of the respective Dean.
5. The School of Education (SOE) will develop School Standards rather than Department Standards.
6. The College or School Dean is responsible for ensuring appropriate consistency in protection of academic freedom, rigor, equity, and balance of Department Standards across the College or School. Therefore, the Dean will review, suggest revisions, and finally approve the Department Standards. Once approved, the Dean forwards the Department Standards to the Provost.
7. The Provost is responsible for ensuring appropriate consistency in protection of academic freedom, rigor, equity, and balance across Colleges and Schools. Therefore, the Provost reviews and, if necessary, returns Department Standards to the appropriate Dean with questions and/or suggestions for revisions. The Provost shall have final say over whether Department Standards conform to the rank and tenure standards, descriptions of expectations for teaching and advising, scholarship or creative works and service. The Provost will approve the final version of a Department's Standards and then submit them to the President for authorization.
8. The President will authorize the final version of the Department or Program Standards and will return them to the Provost for distribution to the respective Dean and Department Chair. A copy of every set of Department and Program Standards will be maintained by the individual College or School.

#### B. EVALUATION OF CANDIDATES BY ESTABLISHED STANDARDS

Candidates for tenure and promotion to the rank of Associate Professor will be evaluated on their teaching and service performed at LMU since the time of their initial faculty appointment at the University. Candidates for promotion to the rank of Full Professor will be evaluated on their teaching and service performed at LMU since the time of their last promotion. All candidates for tenure and/or promotion in rank will be evaluated on their scholarly and/or creative works based on their entire body of work, with the expectation that evidence is demonstrated of ongoing productivity as clearly and explicitly defined by relevant Department Standards. Departmental Standards are the central benchmark by which candidates for tenure and/or promotion are evaluated at all levels of the process. Departments, Department Chairs, Deans, the Committee on Rank and Tenure, the Provost, and the President are obligated to evaluate a candidate's file as measured against Departmental Standards. Candidates for tenure and/or promotion in rank have the right to be evaluated on any set of their own Department's Standards relevant to their advancement to tenure or promotion in rank, in use at the time of, or formally adopted since, their initial appointment to a tenure-track faculty position at LMU.

## C. REVISION AND USE OF DEPARTMENT OR PROGRAM STANDARDS

1. The Department/Program will periodically review Department/Program Standards. The Dean of the School or College must approve minor changes. Significant revisions must undergo the approval process described in Section A.
2. Chairs/Directors will disseminate and discuss the Department/Program Standards as appropriate with their faculty, especially pre-tenure and/or tenured faculty coming up for promotion. Such discussions should be documented and recorded (e.g., Faculty Service Reports, pre-tenure reviews).
3. It is the responsibility of the Provost to ensure the proper functioning of the entire rank and tenure preparation and review process. Thus, the Provost must ensure that the Department Standards chosen by the candidate for his or her evaluation for advancement to tenure and/or promotion have been authorized by the President and that these standards are disseminated and employed as the basis for evaluation at every level of the evaluation process.

Once verified as appropriate by the Provost, the version of departmental standards elected by the Candidate must be employed at each level of evaluation.

### **Procedures, Roles, and Responsibilities for Review of Candidates for Tenure and Promotion**

This section articulates roles and responsibilities of various constituencies during the process of reviewing candidates for tenure and promotion. Certain constituents also have responsibilities prior to the completion of the application dossier and those are articulated in earlier sections of this manual. It should be noted throughout that, when a faculty member's appointment is in an academic program that does not reside in a department, the Dean of the college or school appoints a committee to function in the role of the department, and one of the committee members to serve in the role of the department Chair.

#### **1. Departmental**

These standards are consistent with the LMU Faculty Handbook and are intended to standardize practices, clarify expectations, and increase transparency for Departmental review of faculty across the University.

##### 1) Prior to the Department Meeting

- a. Voting members of the Department will be defined as all tenured and tenure-track members of the department. All members of the department will be provided with a Candidate's file at least seven days prior to the Department meeting. The Department Chair will be responsible for ensuring that the application is available to department members for timely review.

b. The departmental Tenure & Promotion Committee should consist minimally of five faculty members. Departments/Programs unable to provide this quorum will draw the necessary voting members from related departments and/or disciplines, this in consultation with the Candidate, the Dean and Chair of the Department/Program. The additional voting members shall be selected by the Chair and the Dean and subject to the approval of the Candidate. (If agreement cannot be reached as to the additional members, the Provost will make the final determination based on the reasons offered by the Candidate, Chair, and Dean). In some instances it may be necessary that the faculty member serving in the role of Chair for this process is external to the Candidate's department/program.

c. In cases where the Candidate is Department/Program Chair, the Dean of the College or School in consultation with the Candidate shall appoint another tenured member of the Department or Program, or, if necessary, another tenured member of the faculty in the College/School, to serve in the role of Chair for the tenure and/or promotion review process.

d. The Scribe for the Department meeting is appointed by the Chair, in consultation with the Candidate.

## 2) During the Meeting

a. The Chair reminds the voting members to participate in a collegial and ethical manner, and to respect the confidentiality of the faculty discussion.

b. Those voting members of the department unable to be present at the meeting may participate in the discussion virtually, but will not cast a ballot.

## 3) Voting Procedures

a. Following the Departmental process for reviewing the candidate's application, the Chair will then give instructions regarding the ballots and voting procedures. Voting faculty will be given the opportunity to abstain by marking the appropriate box on the ballot. Abstentions do not count for or against the candidate.

b. After all votes have been made, the ballots will be placed in an envelope, which will then be sealed in a separate envelope by the Department Chair or meeting facilitator and signed over the flap in the presence of the voting members of the Department to ensure confidentiality. Once the envelope has been sealed and signed, it will be immediately given to a staff member from the Dean's Office who will deliver it to the Dean of the College or School.

#### 4) After the Meeting

The Scribe will prepare a summary of the discussion regarding a candidate's application for tenure and/or promotion. The contents of the summary should be organized according to the faculty responsibilities of teaching/advising, scholarship/creative works, and service. The summary must be confined only to a faithful rendering of statements (both positive and negative) made during the departmental discussion. The summary does not make any recommendation for or against tenure and promotion. There should be no attributions included in the discussion summary. A draft of the summary is to be circulated by the Scribe for review by the voting members in attendance at the meeting to insure accuracy of the summary. Members of the Department who agree that the summary accurately reflects the discussion will sign the document. Members who do not agree may write a separate letter and should indicate their reasons for not signing the Departmental summary. Such a letter should pertain to the discussion at the meeting on the candidate and the Departmental Standards used for tenure and promotion. The Departmental summary, as well as dissenting letters, will be added to the Candidate's application by the Chair, either in hard copy or uploaded to Box.

## **2. Chair**

Along with the College or School Dean, the Department Chair has the primary role and responsibility for overseeing the tenure and promotion process for faculty in his/her department. The Department Chair is responsible for ensuring that the process as outlined in the Standards for Departmental Review of Candidates applying for Advancement to Tenure and/or Promotion in Rank are shared with Departmental faculty and followed.

It is critical that the Department Chair see the content of the initial faculty contract as it relates to the Chair's role in outlining the faculty member's responsibilities, expectations, and monitoring of the progress of faculty. Any reference to a faculty member's prior experience and body of work as cited in the contract should also be available to the Department Chair.

The following is a list of the Chair's responsibilities:

- 1) The Chair oversees the conduct of the R&T Process on behalf of the Candidate and Department.
- 2) The Chair coordinates the External Evaluation Process. The Chair is responsible for ensuring that the process outlined in Procedures for External Evaluation Process is followed with respect to obtaining the external evaluation materials concerning the Candidate.
- 3) The Chair receives two completed applications from the Candidate, or one complete application uploaded to Box, and reviews them to be sure they are complete. The Chair inserts the external review letters into the application, either inserting copies into both applications if in hard copy or uploading



electronic versions to the dossier in Box. If the Candidate has submitted applications in hard copy, the Chair forwards one copy of the application to the Dean of the candidate's College or School.

- 4) The Chair makes the application available to the other voting members for review.
- 5) The Chair coordinates the procedures and moderates the Department meeting as described above. The Chair appoints the Scribe for the Department meeting in collaboration with the Candidate.
- 6) At the conclusion of the meeting, the Chair seals the ballots in an envelope, signs it, and gives it to a staff member from the Dean's Office.
- 7) The Chair writes a letter of evaluation concerning the candidate, addressed to the Dean of the College or School, and uploads the letter along with the signed Departmental summary to Box or, if the application was submitted in hard copy, forwards the original letter along with the original Departmental summary to the Dean.
- 8) The Chair forwards the application, if in hard copy, to the Provost's Office after adding a copy of the signed Chair evaluation letter and a copy of the signed Departmental summary. The Chair sends extra copies of the application to the Provost for shredding.

#### **Standards for Letters for Candidate Rank and Tenure Applications:**

- Before preparing the letter, the Chair should review previous Chair letters in response to the Candidate's annual Faculty Service Report.
- The Chair should describe supportive measures that have been taken in the past to assist the Candidate in achieving Department Standards in teaching/advising, scholarship/creative works, and service, and formed within the broader mission of the University (e.g., course release, support for attending conferences for professional development, etc.).
- The Chair's letter should focus as much as possible on specific performance of the Candidate in the areas of teaching/advising, scholarship/creative works, and service and avoid generalities. Comments regarding the Candidate's character, personality, values, etc., are not appropriate.
- The Chair's letter in evaluating Candidate performance should be consistent with and address specifically the Department's rank and tenure standards regarding expectations in the areas of teaching/advising, scholarship/creative works, and service, and formed within the broader mission of the University. In the category of service, the Chair also should include his or her assessment of the Candidate's contribution to the effective operation of the Department's responsibilities, including overall performance in contributing to a quality working environment within the Department.

### **3. Dean**

The Dean is responsible for ensuring that all policies and procedures are followed in his/her College or School. This includes sharing elements of the initial faculty contract with the Department Chair as it relates to the Chair's role in outlining faculty members' responsibilities, and expectations, as well as monitoring of the progress of faculty. Any reference to a faculty member's prior professional experience and body of work as cited in the initial contract should also be shared with the Department Chair.

The Dean is also responsible for providing a letter of evaluation concerning the Candidate, addressed to the Provost. For applications submitted in hard copy, the Dean forwards the candidate's application to the Provost's Office after adding a copy of the Dean's evaluation letter, the original signed Chair evaluation letter, the original signed Departmental summary, and any letters from dissenting Departmental faculty members. For applications submitted to Box, the Dean uploads the signed Dean's evaluation letter to Box. The Dean also forwards the Departmental ballots to the Provost's Office.

#### **Standards for College/School Dean Letters for Candidate Rank and Tenure Applications**

- Before preparing the letter, the Dean should review past Chair letters in response to the Candidate's annual FSR, as well as consult as needed with the Candidate's Chair. The Dean should also consider the official Departmental vote on the Candidate, as well as consult with the Chair and other Department members as needed to obtain an accurate picture of the Candidate's overall standing among his/her Departmental peers. The Dean should comment on the findings of the third or fourth year formal review, including identified areas for improvement.
- As with the Chair's letter, the Dean should comment on the supportive measures that have been taken to assist the Candidate in achieving Department Standards in teaching/advising, scholarship/creative works, and service (e.g., course release, support for attending conferences for professional development, etc.).
- The Dean's letter in evaluating Candidate performance should be consistent with and address specifically the Department's rank and tenure standards regarding expectations in the areas of teaching/advising, scholarship, and service.
- The Dean's letter should focus as much as possible on specific performance of the Candidate in the areas of teaching/advising, scholarship/creative works, and service and avoid generalities. This is to be a professional evaluation of a Candidate's qualifications for promotion/tenure.

- The Dean should comment on the Candidate's past contributions and future promise related to Departmental achievements and the effective operation of the Department's responsibilities, to the ongoing operations and activities of the College/School, and to the University.
- The Dean's letter should report the Departmental vote tally.

#### **4. Committee on Rank and Tenure**

The primary role of the Committee on Rank and Tenure (CRT) is to make recommendations to the Provost and President based on a review of the Candidate's application for advancement to tenure and/or promotion in rank. The evidence to be reviewed includes the material in the Candidate's dossier as outlined in the application standards as well as external evaluation letters, Departmental vote and summary, the Department Chair's letter, and the Dean's letter and any other materials defined in the application standards.

The CRT reviews the recommendations of the Department, Chair, and Dean to ensure that Departmental Standards and university policies have been applied consistently and equitably in all cases. The recommendation then made by CRT is based on its application of the Faculty Handbook criteria of teaching/advising, scholarship/creative works, and service as those criteria are articulated in the approved Department Standards of the Candidate's Department, Program, or School.

- 1) Any irregularities in the dossier or in the procedures up to that point in the process should be addressed and corrected before the Candidate's dossier is reviewed by the department.
- 2) Once the Office of the Provost indicates to the CRT Chair and members that the application materials are complete, every member individually reviews the application dossiers and supplementary. Each member reads and reviews all application materials. The Provost also provides appropriate Department Standards for every candidate. Every member of the Committee takes notes independently. The staff member provides each member with a standard review form.
- 3) All formal meetings of the Committee must be conducted with all eligible members attending. The Committee meets on a weekly basis for at least two hours, normally twice a week, reviewing the applications until their deliberations are concluded. Generally, these formal meetings run from mid-January to March or April, depending upon the number of applications and issues encountered. The Chair brings to every meeting a copy of the Faculty Handbook and current Department Standards for every Candidate up for tenure and/or promotion, along with the dossiers as needed.
- 4) After an initial review and discussion of all of the dossiers, sealed envelopes containing the Departmental votes for each Candidate that had

- been hand-delivered by the Provost to the Administrative Specialist are opened in the presence of all seven members. All ballots in every envelope are counted and recorded on the envelope by one member. Another member then verifies this count independently. Each envelope has two signatures to guarantee the accuracy of tallying. All envelopes are processed in the same fashion. Once the vote counts and verifications are completed, they are read out loud, case by case, to the Committee so that all members can register the votes on their respective review form.
- 5) This is the procedure followed by the Committee during the discussion phase:
    - a. The Dean and/or Candidate shall be available at the request of the CRT for consultation.
    - b. Should any questions arise that cannot be answered by the materials contained in the application dossier and supplementary material binder(s), the CRT Chair or representative is asked to consult with the appropriate individual. The CRT may not seek evaluative information on its own outside LMU. This information and copies of any relevant document(s) are brought back to the entire Committee for review and discussion. All responses must become part of the Candidate's dossier. Conversations must be documented and included in the Candidate's dossier.
  - 6) If aspects of an application are in progress (e.g., a pending editor's decision regarding a manuscript or a pending decision made to award or deny a grant proposal), candidates may provide updates to the CRT Chair (in addition to his/her Dean, Chair and Department). The CRT Chair may contact the Candidate through her/his Dean for updates. Such information is accepted until the final date of discussion as it varies every year depending on the number of applications each year. Documentation of additional information submitted to the CRT is placed in the appropriate section of the Candidate's dossier.
  - 7) After the CRT Chair formally indicates the termination of discussions, the members then retire for individual contemplation for a predetermined time. During the recess, the members register their votes independently on ballots provided by the Office of the Provost that are distributed by the CRT Chair once the discussion has been formally closed. At the Committee's next meeting all seven members bring their ballots in a sealed envelope. The members place their votes in envelopes labeled with each Candidate's name that have been laid out on a large conference table in alphabetical order.
  - 8) The Committee then follows the same counting and recording procedure discussed in item #4 above.

- 9) The CRT Chair drafts letters to the Provost that report the results of its deliberations in appropriate detail. These drafts are then shared with the Committee during one or more meetings for collective revision. Final drafts of the letters are then prepared by the Chair and presented to the Committee at a final meeting for signature by all members of the Committee. Once signed, the letters are sealed in separate envelopes. The CRT Chair then hand delivers the letters to the Provost. After the final letters are completed, the Committee meets to collectively write a memo to the Faculty Senate President and the Provost detailing overarching issues encountered during its review of materials and deliberation.

## **5. Provost**

The Provost is responsible for ensuring that policies and procedures are followed with respect to promotion and tenure and for advising the President on individual cases of promotion in rank and advancement to tenure. The Provost receives applications in the Box file sharing system, one copy per candidate. If in hard copy, the Provost receives one set of applications from the Department Chairs and another set of applications from the Deans, including all Deans and Chairs evaluation letters, Departmental summaries, and Departmental ballots. The Provost's Office will forward one application for each candidate and the Departmental ballots to the CRT Chair. If in hard copy, one application is retained in the Provost's Office. The Provost also receives the recommendation letters and CRT ballots from the CRT Chair as specified in the section on the Roles and Responsibilities of the Committee on Rank and Tenure.

In the event of conflicting recommendations from different levels of the review process (for example, the Department, the Department Chair, the College/School Dean and the Committee on Rank and Tenure) the Provost may meet with any or all of the following, either individually or as a group: Chair of the Committee on Rank and Tenure, College or School Dean, the candidate's Department Chair. The goal of such meetings is to help the Provost formulate his/her advice to the President.

In cases of denial of tenure and/or denial of promotion, the Provost is authorized to provide to the Candidate the recommendation of the Committee on Rank and Tenure (but not the count of the vote) and the supporting reasons for that recommendation. This includes all materials in the Candidate's application dossier, including redacted external evaluation letters.

## **6. President**

The final decision on all aspects of the rank and tenure process as well as the final decision on promotion in rank or advancement to tenure in individual cases rests with the President.

## **Policy on Recusal**

### **A. CONFLICT OF INTEREST REQUIRING RECUSAL**

Faculty members or administrators who participate in the evaluation of Candidates for promotion and tenure must avoid any real or perceived conflict of interest in order to ensure an objective and equitable evaluation.

To avoid conflicts of interest, two triggers for self-recusal exist.

First, a member of the Candidate's Department(s), College/School, or of the Committee on Rank and Tenure must recuse himself or herself – and may not vote – from meetings at any Departmental or College/School-wide level if a relationship based on family, romantic involvement, or finance exists or has existed with the Candidate.

Second, significant scholarly or creative collaboration, defined as ongoing co-authorship of publications (or similarly close or extensive collaborative work), which might warrant an inference of probable bias with respect to the candidate's overall body of work, may also present a conflict of interest.

Other causes of conflicts of interest that rise to the level described above may be reason for self-recusal.

When there is a question as to what constitutes significant scholarly or creative collaboration, the individual facing potential recusal shall consult with the appropriate party (Department/Program Chair for department members, Dean for Department/Program Chairs, Provost for Deans, or Chair of CRT for CRT members), who may seek further clarification as deemed necessary, and any decision regarding the existence of significant scholarly or creative collaboration must be recorded in writing and sent to the Candidate, Department Chair, Dean, Chair of CRT, and Provost.

If a Candidate perceives a conflict of interest, a request may be made by the Candidate, the Department/Program Chair or the Dean, in writing that the individual with the perceived conflict of interest recuse himself or herself from the review process. The perceived conflict of interest should be reported to the Dean (if the perceived conflict exists at the level of the Department or the College/School), or the Provost (if the perceived conflict exists at the level of the Dean or the Committee on Rank and Tenure). A Candidate's request for recusal is privileged and confidential. If it is determined that recusal is warranted the Candidate and individual being instructed to recuse himself/herself shall be notified in writing.

### **B. DELIBERATIONS AND VOTING**

For individual faculty members whose participation would be at the level of the department or program and that may fall under the "significant scholarly or

creative collaboration” grounds for recusal, the question of whether or not to recuse himself or herself based on scholarly collaboration is left to the discretion of the individual faculty member.

If the Department/Program Chair or Dean has engaged in significant scholarly or creative collaboration with the candidate, the Chair or Dean must recuse himself or herself from serving in the role of Chair or Dean for that candidate’s dossier. A Department Chair who has recused himself or herself from serving in the role of Department Chair may decide at his or her own discretion whether or not it is appropriate for them to participate in departmental/program discussions and vote.

A Dean who recuses himself or herself from serving in the role of Dean for a particular candidate on grounds of significant scholarly or creative collaboration should not participate in departmental discussions or the department vote.

If a member of the Committee on Rank and Tenure has a conflict of interest as described above, the CRT member must recuse himself or herself from service on the Committee during that academic year altogether, due to the Committee’s practice that all seven members must participate in all deliberations regarding all candidates. He or she will be replaced for the year by a member appointed to serve a one-year term by the President on the recommendation of the Committee on Committees. A CRT member who has recused himself or herself from consideration of the candidate’s application on grounds of significant scholarly or creative collaboration may decide at their own discretion whether or not it is appropriate for them to participate in departmental discussions and/or the department vote as an individual department member.

In the event that a Department Chair, Dean, or CRT member recuses himself or herself from a designated administrative role solely on the grounds of significant scholarly or creative collaboration and that person either is not eligible to or elects not to participate in departmental discussions or the department vote, that person retains the opportunity to submit a separate, personal letter for the dossier.

### **Rank and Tenure Application Standards**

It is essential that Candidates’ applications be as accurate and as concise as possible, while still making the strongest case. In cases where applicants submit a hard copy of the application, the Department Chair shall retain one copy of the application through the completion of departmental deliberations and the addition of the Chair’s letter and the Departmental Summation, at which point the application is forwarded to the Office of the Provost; the second copy of the application, with external review letters added, shall be forwarded immediately to the Dean. In cases of submissions via the file sharing system, access will be granted to different individuals following the schedule detailed in the table below.

## A. APPLICATION DIRECTIONS

To the greatest extent possible, applications for advancement to tenure and/or promotion should consist of an electronic dossier of read only files, in the common format of the time, including primary and supplementary materials. At the Candidate's discretion, hard copies may be used instead.

Applications will be divided into six main sections, according to the Table of Contents (seven sections for those applying for early tenure and/or promotion). The six (or seven) sections should be labeled, paginated within each section, and tabbed when the media permits.

Candidates are encouraged to place supplemental materials in a portable, electronic format, or make them available on a secure, LMU file sharing network.

### **Application Binder with Primary Materials**

#### Table of Contents

1. Letter of Application to the Provost verifying candidate information. (See Sample A below.). Candidates applying for tenure should also include the letter from the Office of the Provost.
2. Curriculum Vitae (See Sample B below.)
3. Narrative (Teaching/Advising, Scholarship/Creative Work, Service). (See Narrative Standards below.)
4. A copy of the appropriate Departmental Standards (see Section III, above).
5. Faculty Service Reports (FSR) and Department Chair's annual review letters for all years since appointment. (Each FSR should be followed by the Chair's Review letter, in reverse chronological order.)
6. Letters to Candidates related to formal reviews and pre-tenure reviews conducted by their Department and College/School Pre-Tenure Review Committees, or in the case of joint appointments, by their Departments.
7. Copies of letters from Candidates requesting early promotion, and in such cases, letters to the Provost from Department Chair(s) and Dean supporting early consideration.

(The external letters will be received by the Department Chair, added to the application, and made available to the Candidate's department.)



## **Supplemental Material (CD/DVD)**

1. Teaching/Advising (Please list courses in reverse chronological order, semester by semester, at current rank.)
  - a. The courses taught while at LMU with the class enrollment indicated for each respective class. Where a Candidate carries less than the standard 3-course load, please indicate specific reasons.
  - b. Statistical Summary Reports for all courses taught are required. In addition, candidates are strongly encouraged to provide all available written Student Course Evaluations for all courses. Student Course Evaluations may be submitted on CD (for applications submitted in hard copy) or uploaded to Box.
  - c. Peer observations of teaching where available.
  - d. A representative selection of course syllabi and other materials OR syllabi from the most recent two years.
  - e. Material related to advising.
2. Scholarly Publications/Creative Work (This section should be consistent with Departmental Standards and aligned with the information listed in your Narrative; Candidates should attempt to provide this information in Box or, for applications submitted in hard copy, on a CD/DVD).
3. Service (Consistent with Departmental Standards, please include relevant and carefully selected evidence that reflects the quality of your service at different levels as highlighted in your Narrative).
4. Candidates may solicit up to three Letters of Recommendation from faculty, former students or other relevant colleagues.

## Sample A: Letter of Application to the Provost

Date

Provost  
1 LMU Drive, Suite 4820  
Los Angeles, CA 90045-2659

Dear (Name of Provost):

Enclosed please find my application for advancement to tenure and/or promotion to the rank of \_\_\_\_\_ professor.

My tenure-track employment with LMU began in Month/Year at the rank of \_\_\_\_\_.

**(If Candidate is already tenured and seeking promotion only)** I was granted tenure in Month/Year and/or promotion to Associate Professor in Month/Year. (The relevant information will be supplied by a letter from the Office of the Provost.)

[Can add personalized text]

If you have any questions, please feel free to contact me at \_\_\_\_\_.

Sincerely,

\_\_\_\_\_  
Assistant/Associate (as appropriate given rank at time of application) Professor  
Department of \_\_\_\_\_\*

\*If the Candidate has a joint appointment, each Department should be identified here.

**Sample B: Curriculum Vitae**

**Name**  
**Department of \_\_\_\_\_**  
**Loyola Marymount University**  
**Los Angeles, CA 90045**  
**310-999-9999**

**EDUCATION**

Terminal Degree (Ph.D, Ed.D, M.F.A. etc.): University, Date.

Master's Degree: University, Date. Bachelor's Degree: University, Date.

**ACADEMIC EMPLOYMENT**

Current Academic Employment

Assistant/Associate Professor of \_\_\_\_\_.

Loyola Marymount University, Date-Present (If tenured, please include when tenure took effect).

Tenure-track teaching position in \_\_\_\_\_.

Prior Academic Employment.

Please provide the following information for each Academic Appointment:

University,

College/School, Department

Period of Appointment

Rank

Date tenure was granted, if appropriate

**PROFESSIONAL EXPERIENCE**

Prior relevant work experience

**TEACHING/ADVISING**

- Courses taught
- Advising Responsibilities

## **SCHOLARSHIP/CREATIVE WORKS**

(Please organize this section using the following format with most recent work cited first.)

- Published/produced/performed/displayed (peer-reviewed or juried or disseminated) and evaluated work
- Grants awarded in support of research, scholarship, creative endeavors, teaching, etc.
- Peer-reviewed or Invited Conference Presentations
- Forthcoming work (It is important to identify clearly the status of the work at the time of submitting the application, such as "under contract," with independently verifiable evidence of acceptance from the publisher/distributor, etc. This evidence should be placed in front of the specific publication/creative work in the dossier.)
- Work under consideration by a publisher, distributor, curator and/or review by a scholarly journal (Again it is important to identify clearly the status such as "under blind review" with independently verifiable evidence from the publisher/distributor, etc. This evidence should be placed in front of the specific publication/creative work in the dossier.)
- Work in progress.

## **PRESENTATIONS**

- "Name of Presentation." Presented at the "Name of Conference," Name of City and Country, Date of Presentation. (Please indicate if this presentation is invited or refereed.)
  - Role at Conference: Paper presenter, commentator/respondent, chair/moderator, and/or organizer.
- Creative Work Presentations/Exhibitions
  - List "Name of Creative Presentation." Presented at the "Name of Conference/Event/Occasion," Name of City and Country, Date of Presentation. (Please indicate if this presentation is invited or juried/refereed.)
  - Indicate the specific creative role, such as acting, directing, etc.

## **RELEVANT UNIVERSITY/PROFESSIONAL/COMMUNITY SERVICE**

- Loyola Marymount University
- College/School
- Department
- Professional
- Community (Please list community service relevant to role as faculty member)

## **RELEVANT HONORS, FELLOWSHIPS AND AWARDS**

- Honors
- Fellowships  
Awards

### **Narrative Standards**

The Narrative is a critical component of a faculty member's application for tenure and/or promotion. Given its importance, Candidates may ask their Mentor or other colleagues for feedback on the Narrative.

The Narrative provides the Candidate with the opportunity to inform the Department, Department Chair, Dean, and the Committee on Rank and Tenure about the Candidate's body of work and any relevant information regarding the Candidate's performance. While it should address each of the faculty responsibilities of teaching/advising, scholarship/creative works, and service individually, it should provide the reader with a discussion of how the Candidate contributes to the Mission and Vision of LMU and his/her Department through the integration of these three areas. The Candidate should address his/her current strengths and areas for continued development as well as future plans. If any areas of concern have been cited in formal reviews, the Candidate may also discuss how these concerns have been addressed.

NOTE: It is important that Candidates for tenure and promotion to the rank of Associate Professor address in the Narrative their teaching and service performed at LMU since the time of their initial faculty appointment at the University. Candidates for promotion to the rank of Full Professor should address their teaching and service performed at LMU since the time of their last promotion. All Candidates for tenure and/or promotion in rank should address their scholarly and/or creative works based on their entire body of work, with the expectation that evidence is demonstrated of ongoing productivity, consistent with Departmental Standards.

### **TEACHING AND ADVISING**

The Narrative regarding teaching should address courses taught, new courses developed or any major revisions to existing courses, plans for future courses, and advising. The Narrative should be an analytical and thoughtful presentation

of the Candidate's teaching philosophy and effectiveness as a teacher and advisor. Any professional workshops and/or study should be clearly described. Candidates may wish to describe their advising duties and responsibilities as appropriate.

#### SCHOLARSHIP AND CREATIVE WORK

The Narrative regarding scholarship should discuss the Candidate's scholarly/creative interests in their body of work and plans for future scholarly/creative work as well as contributions to the discipline.

#### RELEVANT SERVICE

The Narrative regarding service should include service to the Department/Program/School/College and the University, but may also include service to the profession or the community as relevant to the role of the faculty member.

### **Scholarly and/or Creative Works in a Language other than English**

A Candidate for advancement to tenure and promotion whose scholarship and/or creative works include texts and/or performance in a language other than English must include a substantive English abstract of the content of each such item in his or her tenure and/or promotion application. This abstract should be included in addition to, not in lieu of, the item(s).

If the scholarly or creative item is a sole-authored book, edited collection of essays or an anthology, the candidate must include an abstract of each book chapter or piece included in the work. If the book is an edited collection of essays or anthology, the candidate must include an abstract for each entry or section (e.g., an Introduction, Preface, etc.) that s/he has authored or edited. English abstracts may be necessary for some creative works (e.g., a play) but not for others (e.g., a short poem) composed in a language other than English.

The same requirement of an abstract holds for evaluation material of the items included (e.g., review of a digital media exhibit published in a language other than English or a critical review of an artistic event such as a film showing, etc.).

If there is any uncertainty regarding the need for an English abstract, the Candidate should refer the case, in writing, to his or her Dean who will consult, in writing, with the Provost to reach a decision regarding the item(s). The process adopted to resolve the uncertainty should be properly documented and the Candidate should be clearly informed in writing of the decision made by the Provost in time for his or her dossier preparation.

## Procedures for External Evaluation Process

The purpose of the external review is to provide a fair, objective, and confidential assessment of the quality and contributions of the Candidate's scholarship or professional creative work. The Candidate's application will normally include five external review letters, three from names provided by the Candidate, and two from names provided by the Department Chair.

- A. Names provided by the Candidate: The Candidate will submit a list of up to eight names and their professional credentials to the Department Chair, who will work with the Candidate to select three external reviewers, replacing any selected individuals who choose not to participate. The Candidate is encouraged to exclude evaluators who are former professors, former students, and anyone whose opinion might be compromised by a current or former professional relationship (e.g. co-authors, co-workers, mentors, etc.).
- B. Names provided by the Chair: The Department Chair will create a list of five external reviewers and their professional credentials, from which the remaining two external reviewers will be selected. The Candidate will be given the opportunity to review the list, and may request the removal of no more than two names, for reasons of personal or professional bias.
- C. It is the responsibility of the Department Chair to contact the external reviewers and request their participation. In the event that the Department Chair is a Candidate for promotion, the Dean will contact the reviewers. All external reviewers should receive materials from the Department Chair by July 15 of the year of candidacy.
- D. In cases where the reviewer is not a faculty member from a tenure-granting institution, an explanation should be provided as to why the reviewer is being solicited.
- E. The Chair will ensure that any letter submitted in a language other than English shall be translated by an Apostille certified translator at the expense of the College or School. The Apostille certified translation and the original letter will be included in the candidate's dossier.
- F. Faculty applying for tenure and/or promotion should have relevant application materials in the reviewers' hands by July 15th so that they have time to review the file, write a thoughtful assessment of the work, and send their evaluation. To facilitate the process, the Candidate should provide the Chair in early summer with a list of potential reviewers. All reviewers holding an academic appointment should be at or above the rank sought by the Candidate.
- G. The Candidate, in consultation with the Department Chair, will prepare the scholarly and/or creative material to be sent to external reviewers. All materials sent to external reviewers must be consistent with Departmental

Standards. Only material that has been published/produced/performed/displayed (peer-reviewed or juried or disseminated) or is under contract should be included. This material will be sent by the Chair to the chosen reviewers along with:

1. The Candidate's curriculum vitae;
  2. Sufficient descriptive material, including Departmental Standards and the sections of the Faculty Handbook pertaining to rank and tenure, expressing research and publication standards or standards for the creation and dissemination of professional creative work for promotion and tenure, to familiarize the reviewer with Loyola Marymount University's standards;
  3. Instruction by the Chair that the evaluation is to focus on the quality and contributions of the Candidate's scholarly/professional/creative work;
  4. The letter to the reviewer should contain an explicit request that the reviewer state, in the letter, any details related to his or her relationship to the Candidate;
  5. The letter to the reviewer should include an addressed envelope to the Department Chair unless materials are being transmitted electronically.
- H. A sufficient number of letters will have been received if three or more of the solicited letters arrive by the original due date for external letters as defined in this Section, provided at least one of the reviewers is from the Chair's list. Any external letters received after the original due date for external letters as defined in this section must be forwarded to the parties in possession of the application and inserted therein in accordance with Rank and Tenure Resource Manual, Procedures, Roles, and Responsibilities (section 4.6 above).
- I. If the faculty member applying for tenure or promotion has reasonable grounds to believe that the external evaluation procedure will result in an evaluation that is substantially less valid or substantially less fair than an evaluation process that is purely internal, then he or she shall appeal as follows.
- J. He or she shall write a statement detailing reasons and evidence relevant to his or her objection to the external evaluation process. One copy of this statement shall be delivered to the Chair of the Rank and Tenure Committee, whose committee shall render a final decision concerning the appeal. The applicant shall deliver a second copy of the appeal to his or her Chair. This Chair will initiate a discussion of the appeal with other voting members of the



Department or Program, and this Department/Program may communicate recommendations to the Rank and Tenure Committee in a timely manner.

- K. A complete list of the materials submitted to external reviewers shall be compiled by the Candidate and verified by the Department Chair. This list of materials should then be included in the Candidate's dossier along with the evaluation letters.
- L. All evaluation letters should be submitted no later than one week prior to the application deadline to the Department Chair and added to the Candidate's application by the first Tuesday of October. The external reviewers should send their assessment in PDF or electronic form with an accompanying hard-copy form on professional letterhead. E-mail narrative submissions are unacceptable. Each reviewer should also send a short CV with the assessment.

### **Appeals Process**

Candidates for Tenure and/or Promotion will be given the opportunity to file a "Request for an Independent Review" in response to a negative decision from the President of the University. An Independent Review Committee (IRC) comprised of five Full Professors from five Colleges/Schools (eligibility and selection process described below), will be appointed as a standing committee. The IRC is charged with reviewing the merits of the appeal request based on evidence provided by the candidate in support of the stated ground(s) for appeal. An IRC recommendation in favor of the candidate is an affirmation by the IRC of the merit of the grounds of the appeal. All IRC proceedings will be completed by the beginning of the subsequent fall semester.

#### **A. OVERVIEW**

In the independent review process a faculty member has the opportunity to state his or her grounds for an appeal from the enumerated Grounds for Independent Review stated below to the IRC. The IRC will render a recommendation in favor of the appeal if it finds that the faculty member has provided clear and convincing evidence in support of the faculty member's stated ground(s) for review.

#### **B. DEFINITION OF CERTAIN TERMS**

Throughout this document, the terms appeal and independent review are used interchangeably.

#### **Notice of Intent to Seek Independent Review (NOI):**

A brief written statement by a faculty member that he or she plans to appeal a negative decision. It does not need to include any stated grounds for the review.

### **Request for Independent Review:**

A written statement specifying the grounds from the Grounds for Independent Review upon which the faculty member is seeking an appeal of the President's decision.

### **Independent Review Facilitator ("Facilitator"):**

The Faculty Senate President in collaboration with the Provost shall appoint an appropriately trained staff person to serve as a facilitator for all requests for an independent review.

### **Independent Review Advisor ("IR Advisor"):**

The Provost in conjunction with the Faculty Senate President will appoint a tenured faculty member to serve as an IR Advisor. The candidate may once decline working with an appointed Advisor without giving a reason and request a replacement. Those serving in this position will serve a three-year renewable term. The IR Advisor will receive the same training as IRC members. The role of the IR Advisor is to arrange a face-to-face meeting with the faculty member at issue within 10 days after they have been informed of the negative decision. During this meeting, the IR Advisor will explain the independent review process to the faculty member, including timelines and the grounds for independent review.

While it is not the responsibility of the IR Advisor to write the request for an independent review, the IR Advisor should review the request and advise the faculty member.

## **C. INDEPENDENT REVIEW PROCESS**

The Independent Review process is detailed below:

1. If the review of a candidate's application for tenure and/or promotion results in a decision for denial of tenure and/or promotion ("decision"): The candidate will be provided a written statement regarding the reason(s) for the negative decision. The statement should be as specific as reasonably possible regarding the reasons for denial so that all of the factors contributing to the negative decision are clearly communicated to the faculty member. The candidate will be notified of the negative decision and provided with a copy of all written statements of the reason(s) for the negative decision (CRT and Department votes redacted). The faculty member, faculty member's Dean and Chair, as well as, the Facilitator and IR Advisor will be notified by the Provost. The IR Advisor will meet with the faculty member within 10 days after being notified of the negative decision.

2. A candidate receiving a negative decision who desires to seek IRC review shall timely file a "Notice of Intent To Request an Appeal" ("NOI") with the Provost with a copy to the Chair, Dean, Facilitator and IR Advisor, providing notice of his/her intent to submit a request for appeal of the negative decision. The Advisor will meet with the candidate within 10 days after notification of a negative decision by the Provost. The Facilitator will arrange, within the same 10 days, for the faculty member to receive all pertinent documents concerning any negative decision. (The external evaluation letters and CRT vote shall be redacted as to preserve confidentiality.) The NOI must be filed within 10 business days after the Facilitator has provided the candidate with all materials pertinent to the case, and the Advisor has met with the faculty member. Concurrent with completion of these two tasks, the Advisor shall notify both the candidate and the Provost of such facts and that the 45 day time limit to file the appeal has commenced.
3. Once the faculty member has met with the Advisor and received the appropriate documents, he/she has 45 days to file the appeal on one of more of the Grounds for Independent Review (assuming he/she timely filed the NOI) with the IRC. The faculty member should also submit copies of the appeal to the Provost, and the faculty member's Dean and Chair.
4. The appeal process timeline begins after the President has made and communicated his/her decision to the Provost.
  - a. **A Request for Independent Review** must be in writing.
  - b. **Grounds for Independent Review:** The candidate may file a request for Independent Review for the following grounds.

"Significant procedural irregularity" – a deviation from the advancement to tenure and/or promotion in rank review procedures as set out in the Faculty Handbook or in the application of relevant Departmental standards relied upon in the process and which was likely to have significantly affected the decision;

"New and compelling evidence" – new material information that could not, with reasonable diligence on the part of the applicant, have been timely and properly presented which suggests that the denial would have been different had the new material information been timely submitted and considered. This includes new evidence that sheds significant new light on documents already in the candidate's tenure file;

"Unlawful discrimination" – evidence demonstrating that the denial is a product of unlawful employment discrimination prohibited by federal or California law, or was based on unlawful employment discrimination prohibited by federal or California law;

“Threats to academic freedom” – evidence demonstrating that the denial is the product, for example, of unreasonable bias against the candidate’s teaching, scholarship or scholarly/creative work because the doctrinal or empirical basis of the candidate’s teaching, scholarship or scholarly/creative work, although otherwise supported by academic standards, is politically, religiously, or socially unpopular;

“Objectively verifiable factual error” - When the process rests its decision on an erroneous finding of an objectively verifiable material fact.

5. Once the appeal has been filed, the IRC will make its recommendation within 10 days in writing to the candidate, candidate’s Chair, and Dean, the Provost and the President.

#### D. COMPOSITION OF THE INDEPENDENT REVIEW COMMITTEE

1. The IRC will be comprised of five tenured faculty members with the rank of Full Professor from five Colleges/Schools. At least one of the five faculty members should have had experience serving on the Committee on Rank and Tenure. The Faculty Senate President in collaboration with the Provost will select the five faculty members as well as two alternates. The Faculty Senate President should consult with the candidate who has the right to replace one IRC member (without specifying the reason).
2. The Faculty Senate President and Provost will strive for a diverse membership representing Colleges and Schools across the University and should strive to include some past member(s) from the CRT.
3. No IRC member shall participate in an independent review of a faculty member’s application if they have been involved in the department or CRT vote regarding that application. In such a case, the IRC Chair will request one of the alternates to serve for that independent review. If the IRC Chair cannot participate in the independent review, the IRC Chair will designate another committee member to act as IRC Chair for that independent review and the Acting IRC Chair will request an alternate to serve for that independent review.
4. The Faculty Senate President in collaboration with the Provost will appoint one faculty member as the IRC Chair of the committee.
5. The IRC Chair may request that the University’s EEO Officer, or the University’s counsel respond in writing to specific written questions from members of the IRC.
6. Terms of IRC committee membership will normally be three years staggered.

#### E. PROPOSED ORIENTATION/TRAINING

Before the IRC receives the appeal from the candidate, the Provost's Office in collaboration with the EEO officer, will provide an orientation to the review process for all Committee members as well as the facilitator, IR Advisor, and alternates.

#### F. CONSEQUENCES OF INDEPENDENT REVIEW

Should the IRC determine that there are not sufficient grounds to disagree with a negative decision, either because the appeal filed by the candidate fails to state such grounds or because the faculty member has failed to produce clear and convincing evidence for the existence of those grounds, the Chair of the IRC shall so inform the President, Provost, the Chair of the CRT, the faculty member's Dean and Chair, and the faculty member. This concludes the appeals process.

Should the IRC determine that there are sufficient grounds in favor of the candidate's appeal and in opposition to a negative decision, the Chair of the IRC shall so inform the President, Provost, the Chair of the CRT, the faculty member and the faculty member's Dean and Chair and shall provide a letter detailing the reasoning and facts that form the basis for the IRC's conclusions.

#### G. CONSEQUENCES OF IRC RECOMMENDATION IN FAVOR OF THE CANDIDATE'S APPEAL

Should the IRC make a recommendation in favor of the candidate's appeal, the IRC will send its recommendation in writing to the President, Provost, the candidate's Chair and Dean and the candidate. The final decision rests with the LMU President.

#### H. CONSEQUENCES OF IRC RECOMMENDATION AGAINST THE CANDIDATE'S APPEAL

If a candidate is denied tenure, as stipulated in the Faculty Handbook, the candidate is offered a terminal contract for one additional year of employment. If the candidate is denied promotion, s/he may re-apply in conformance with the Faculty Handbook.

#### I. GRIEVANCE

The Independent Review Process takes the place of the Grievance process for the Rank and Tenure process only.

## Appendix A. Rank and Tenure Timeline

Date	Activity Description	Action item for (or recipient)						
		Candidate	Chair	Dean	Provost	Chair of CRT	CRT	President
March of each year	Provost's Office sends letters to individuals who are eligible to apply for advancement to tenure and/or promotion to the indicated rank.	To	cc	cc	A	cc		
Not later than May 15	Candidate sends his/her Confirmation of Intention to Apply for Tenure and/or Promotion in Rank.	A	cc	cc	To			
Not later than May 31	Provost's Office confirms receipt of intention to apply for advancement to tenure and/or promotion to the indicated rank.	To	cc	cc	A			
March – June	Candidate works with the Department Chair to generate a list of names of individuals to provide external evaluation (see section on Procedures for External Evaluation Process).	A	A					
May – Early July	Candidate, in consultation with Department Chair, prepares a representative sample of disseminated scholarly or creative material to be sent to the external evaluators. Candidate includes a list of materials sent in the application dossier.	A	A					
By Early July	Chair sends a formal request to the External Reviewers, along with a representative sample of the Candidate's disseminated work, the Candidate's CV, and descriptive information about the University as stated in the Handbook. (For details and letter template, see section on Procedures for External Evaluation Process.)		A					
May – September	Candidate works on preparing the application, consistent with Section VI, Rank and Tenure Application Standards.	A						
August	Chair should send reminder to external reviewers (if necessary).		A					
September – First Monday in October	Chair prepares for departmental discussion; confirms voting members with Provost's Office; selects meeting time and Scribe for departmental discussion; sets up process for distributing application material.		A		To			
One week prior to application deadline	External review letters are due. One signed external evaluation on letterhead should have been received by the Department Chair by this date.		A					
First Monday in October	Two original sets of the completed application or an uploaded application in Box should be submitted to the Department Chair. The Department Chair will be responsible for ensuring that the application is available to department members for timely review.	A	To					
First Monday in October after 5pm	Chair receives two completed applications or an uploaded application in Box from the Candidate, and reviews them to be sure they are complete. The Chair inserts the external review letters into the applications, and forwards one application to the Dean of the Candidate's College or School.		A	To				
First Tuesday in October	Department faculty begin reviewing applications.		A					

Date	Activity Description	Action item for (or recipient)						
		Candidate	Chair	Dean	Provost	Chair of CRT	CRT	President
Mid October – Second Monday in November	<p>Department faculty meet to discuss the application and vote.</p> <ul style="list-style-type: none"> <li>Ballots are submitted according to instructions sent from the Provost.</li> <li>The Scribe prepares a summary of the discussion, which is reviewed, discussed, and revised, if necessary (see section on Procedures for Review of Candidates for Tenure and Promotion).</li> <li>The Chair uploads to Box or, for applications in hard copy, forwards to the Dean <ul style="list-style-type: none"> <li>the original signed Chair evaluation letter</li> <li>signed Departmental summary.</li> </ul> </li> <li>The Chair forwards the application, only if in hard copy, to the Provost’s Office after adding <ul style="list-style-type: none"> <li>a copy of the signed Chair evaluation letter,</li> <li>a copy of the signed Departmental summary.</li> </ul> </li> </ul>		A	To				
Mid October – Late November	Dean reviews application, departmental ballots, Chair evaluation letter, and Departmental summary and writes his/her letter of evaluation for each candidate within his/her college or school.			A				
Late November	The Dean forwards the Candidate’s application, via Box or in hard copy as appropriate, to the Provost’s Office after adding the Dean’s evaluation letter, the original signed Chair evaluation letter, the original signed Departmental summary, and any letters from dissenting Departmental faculty members. The Dean also forwards the Departmental ballots to the Provost’s Office in hard copy.			A	To			
Late November – December	Provost’s Office forwards the application and all Departmental ballots to the Chair of the Committee on Rank and Tenure.				A	To		
December	The Chair of the Committee on Rank and Tenure advises members of the CRT when they may begin to read all applications.					A	To	
January – April	The CRT deliberates and votes on all applications. (See the CRT section of Procedures for Review of Candidates for Tenure and Promotion.)						A	
April of following year	The Chair of the Committee on Rank and Tenure forwards or uploads letters of recommendation to the Provost.				To	A		
April of following year	Provost reviews applications and CRT letters of recommendation and makes recommendations to the President.				A			To
April – May of following year	President makes final decisions on promotion and tenure and informs the Candidates.	To	cc	cc	cc			A
May – June	Independent appeal process begins. Provost’s Office oversees the independent appeal process for any Candidate who wishes to appeal a negative decision.	A			A			

		Action item for (or recipient)						
Date	Activity Description	Candidate	Chair	Dean	Provost	Chair of CRT	CRT	President
Upon Completion of the Appeal	President considers the appeal, makes the final decision, and informs the Candidate.	To	cc	cc	cc			A



## **B. COMMITTEES OF THE UNIVERSITY**

A lively and vital committee structure, characterized by regular meetings and a membership that engages fully in the tasks at hand, is central to healthy shared governance. It is through committees that stakeholders in the University are able to participate in shaping policies and procedures as well as provide informed advice to the Board of Trustees, the President, the Provost, the Faculty Senate and other entities on campus. The vitality and effectiveness of the committees listed below depend upon how often and to what extent they are used by all members of the University Community.

Faculty appointments to committees are made by the President through the Provost on the recommendation of the Faculty Senate as advised by the Committee on Committees. Committee Bylaws, on file with the Office of the Provost and the Faculty Senate, spell out the specific committee activities, memberships, and procedures in detail. Current committee descriptions and memberships are available in the Committee Directory, which is available online.

### **1. University Standing Committees**

- Academic Affairs Policy Committee (AAPC)
- Academic Honesty Review Committee (AHRC)
- Academic Planning and Review Committee (APRC)
- Academic Technology Committee (ATC)
- Athletic Advisory Board
- Budget Planning Committee
- Committee on Excellence in Teaching (CET)
- Committee on Rank and Tenure (CRT)
- Faculty Awards Committee
- Institutional Animal Care and Use Committee
- Loss Control Committee
- LMU Institutional Review Board (IRB)
- Sabbatical Review Committee
- Student Affairs Committee
- University Core Curriculum Committee (UCCC)
  - UCCC Area Subcommittee: FYS/Rhetorical Arts & Information Literacy
  - UCCC Area Subcommittee: Foundations & Quantitative Reasoning
  - UCCC Area Subcommittee: Explorations
  - UCCC Area Subcommittee: Integrations & Engaged Learning
- University Policy Committee (UPC)
- University-Wide Teacher Education Committee

### **2. Special Committees**

- Center for Ignatian Spirituality Advisory Board
- Children's Center Advisory Board
- Disability Support Services Advisory Board
- Emergency Management Committee

- Enterprise Technology Committee
- Faculty Committee on Mission and Identity
- Frank Sullivan Social Justice Committee
- Honors Advisory Council (HAC)
- Intercultural Advisory Committee
- Intercultural Faculty Committee (IFC)
- International Programs
- Library Committee
- Special Committee on Math & Science Teacher Preparation (MASTeP)
- Status of Women Committee (CSW)
- University Comprehensive Benefits Committee (UCBC)
- Web Advisory Committee

### **3. Committees of the Faculty Senate**

- Faculty Senate Executive Committee
- Faculty Senate Governance & Bylaws Committee
- Faculty Senate Elections Committee
- Committee on Committees
- Committee on the Economic Status of the Faculty (ESOF)
- Faculty Handbook and Academic Life (FHALC)
- Grievance Committee

### **4. Committees of the Board of Trustees**

Committees of the Board of Trustees, each of which includes a faculty representative, advise the Board on issues having to do with the life of the University. They include: Academic Affairs, Audit, Catholic Mission and Identity, Endowment Fund Investment, Facilities Planning and Technology, Finance, Student Life, and any other committee duly struck by the Board.

## **C. ADMINISTRATIVE PROCEDURES GOVERNING THE UNIVERSITY**

### **1. Records Retention & Disposal Policy**

To create a systematic method of storing and managing records throughout their life cycle to ensure efficiency in their creation, use, maintenance and disposition or destruction, and to avoid the storing of duplicate, obsolete, or unnecessary records.

The Records Retention and Disposal Policy-is available by following the link below:  
<https://lmu.app.box.com/s/cdiodch8cbp8qm690egqhbn2o818lwdd>

## **2. Instructional Support**

### **a. University Library**

All Loyola Marymount University faculty members and their spouses have the full use of the University libraries and are invited to avail themselves of their resources.

Books may be borrowed for an indefinite period up to the end of each semester, at which time they should be returned or renewed. Faculty members should not loan library books to students or other registered or nonregistered borrowers.

### **b. Instructional Media Center**

The Instructional Media Center, located on the upper level of the Von der Ahe Library, is a multi-media area for audio-visual materials and equipment. Faculty are invited to acquaint themselves with the facilities which include classrooms and carrels supplied with a variety of equipment. Available also to faculty are media and equipment for instructional purposes. Reservations for use of media and/or equipment are made at the media distribution counter or by phone.

### **c. Academic Resource Center**

The Academic Resource Center, located in Daum Hall on the second floor (on the eastern edge of the campus) is a place where LMU students can enlist the help of specialists and tutors to enhance the learning process. Every LMU student is invited to make use of the ARC's free services and workshops. The Center's full-time specialists in the fields of writing, ESL/reading, mathematics, and study skills, as well as its peer tutoring staff, are ready to work with students to encourage those essential study skills that bring greater academic and personal success. Contact the ARC at [arc@lmu.edu](mailto:arc@lmu.edu) or 310-338-2847 for further assistance.

### **d. Disability Support Services**

Disability Support Services (DSS) located in Daum Hall (second floor) offers resources to enable students with physical, psychological and learning disabilities to achieve maximum independence in their educational goals. Services are offered to students who have established disabilities under federal and state law. DSS also advises students, faculty and staff regarding disability issues, though faculty and staff seeking accommodations should contact Human Resources (see section IV.C.4 above)

### **e. Work Study/Readers**

Readers may be assigned to faculty members by department Chairs. The following norms govern the assignment of readers:

- a. The number of reader hours assigned to a faculty member is determined by the department Chair, who should exercise care that readers are adequately qualified for their assignments.
- b. A faculty member requesting a reader should supply the Chair of the department with the following information:
  - the number of students enrolled in each class;
  - the number written assignments given each week in class;
  - the approximate length of each assignment.
- c. Since compensation for reading services is a form of student financial aid, readers are employed in cooperation with the Office of Financial Aid and the Placement Office.
- d. Application forms for readers may be obtained in the Work Study Office located in Malone.
- e. Student readers' time sheets must be completed and submitted to the appropriate department Chair for approval before the date established by the Controller's Office. The Work Study Office circulates a semester schedule for bi-monthly submission of student time sheets.

**f. Facilities for Meeting or Special Events**

The Office of Conferences and Scheduling has been established to coordinate the reservation of facilities for all activities other than regularly scheduled classes. Appropriate forms for such reservations are available in this office. A charge may be made for an extraordinary cost connected with special events.

**g. Campus Digital Graphics**

LMU has a contract with Campus Digital Graphics as the exclusive provider for all campus printing needs. The Campus Digital Graphics Department offers various methods of high quality digital reproduction. Each of these methods is excellent for certain purposes and the quantity of copies that can be produced economically varies considerably. Campus Digital Graphics also has the most advanced print equipment and offers a certified digital graphic designer to assist your department production needs. Services extend to collating, stapling, folding, laminating, offset, binding and cutting.

Classroom instruction materials to be sold through the Campus Bookstore must be accompanied by a Campus Bookstore requisition before they will be reproduced.

All orders for printing to be done off-campus must be submitted to the appropriate Dean or administrator before any contact or agreement is made. No printing order will be honored unless the requisition is signed by the appropriate Dean. All envelopes and letterheads will be printed according to standard University format.

Requests for personal or other supplementary uses of duplicating facilities by faculty members will be accepted on cash basis at the same rate charged for approved University business.

Copiers are also located in the William H. Hannon Library. They are designed for single copies and for copying materials which cannot be taken from the Library.

### **3. Class Enrollment**

#### **a. Admission to Class**

Official lists of duly registered students are to be obtained by the individual instructors from the Registrar's Office on the first day of class each semester. Students who attend class and whose names do not appear on the official class list should be sent immediately to the Office of the Registrar.

#### **b. Late Admission**

As students are added to the class during the week of late registration, notification will be sent to the professor. During the second week of class a final official class list will be published.

#### **c. Withdrawal from Class**

Before a student may withdraw from a course, he/she must secure the approval of his/her academic advisor and should consult with the instructor. The obligation of the student to consult the advisor and instructor is not just a formality. It is important for the student to discuss the problem before action is taken. Often a student gives up too easily if he/she is having trouble with a course, fails to contact the instructor or does not understand the consequences of a "W". The advisor should try to help the student reach an appropriate decision on withdrawal.

#### **d. Withdrawal from the University**

A student wishing to withdraw from the University secures a withdrawal form from the Office of the Registrar and obtains the specified signatures. The completed form must be returned to the Office of the Registrar. The Registrar will notify the professor and the same procedure as noted above regarding withdrawal from a course should be followed.

#### **e. Leave of Absence**

Undergraduate students who wish to absent themselves for one semester or one year may apply for a Leave of Absence by filing the Leave of Absence form in the Office of the Registrar. Such students need not re-apply for admission to the University, but must notify the Office of the Registrar of their plans to return to the University at least four weeks prior to the opening of the semester in which they plan to return.

## **4. Attendance and Class Meetings**

### **a. Student Attendance**

Regulations concerning student attendance in class are left to the discretion of the instructor. If a student is to receive a failing mark by reason of excessive absence, the instructor should have an accurate record of such absences.

### **b. Changes in Class Hours and Classrooms**

Faculty members are not authorized to change hours of classes assigned or places of class meetings without approval of the department Chair, the Registrar and the Dean.

### **c. Holidays**

The University Calendar indicates official holidays. When a special event leads to a holiday or partial holiday, this holiday or partial holiday does not necessarily extend to the Graduate Division.

## **5. Examinations and Grades**

### **a. Final Examinations**

The dates for the final examination are given in the University Calendar. It is the responsibility of each faculty member to observe the examination schedule published by the Registrar's Office. Final examinations may not be administered outside the scheduled times.

### **b. Copies of Examinations**

Faculty members should retain in a permanent file, copies of their written examinations for five years following date of use.

### **c. Disposal of Examinations**

Faculty members are required to retain student examinations for one month after the beginning of the following semester.

### **d. Improper Conduct During Examinations**

Faculty members have the responsibility of proctoring their examinations and of determining whether or not a student gives or receives illicit help. If cheating occurs, the instructor may impose an appropriate academic penalty. A student who feels that he/she has been unfairly assessed a lower grade for inappropriate conduct during an exam may appeal the case through the Chair and Dean. (Refer to the official University Bulletin for details.)

### **e. Waiver of Examinations**

Members of Alpha Sigma Nu, the Jesuit Honor Society, may request exemption from the final examination at the end of the last semester of the senior year. If the request is granted, the grade given the student is based on his/her performance to the time of the final examination.

### **f. Special Examinations**

In accordance with the regulations governing examinations as recorded in the University Bulletin, students who are absent from a final examination may be allowed on the instructor's approval to take an examination at a later date.

The final grade for such students must be submitted to the Office of the Registrar two days after the instructor receives the delayed examination.

### **g. Submission of Grades**

It is of great importance that midterm deficiencies and final grades be submitted to the Office of the Registrar by the date indicated in the University Calendar.

## **6. Student Appeals and Appeals for Change in Grades**

The following procedures must be followed in the event a student disagrees with and wishes to challenge the validity of a final course grade or a finding that the student has violated any of the University's Academic Honesty and Integrity Regulations.

### **a. General Appeals**

Students wishing to appeal decisions pertaining to academic regulations, as stated in the University Bulletin, may obtain information about appeal procedures from their College Deans and file a written, formal appeal, if necessary.

Usually such appeals will be made directly to a Dean. If a Dean and a student cannot work out a satisfactory solution, the Dean may create a committee of three disinterested persons to investigate the matter and make a recommendation to the Dean. The Dean will normally follow the recommendation of the committee. However, the decision of the Dean is final.

### **b. Final Grade Appeals**

It is understood that, except in rare instances, only the instructor, with the Dean's approval, may change the final grade through the Registrar's Office. The Dean may, however, change the grade if all of the following processes of appeal have been followed. The Dean must notify the instructor, in writing, of the change in final grade.

- a. No later than three weeks into the semester following the issuance of a disputed grade, the student must meet with the instructor to review the reasons for the grade.
- b. If the instructor is not available for discussion or if discussion fails to resolve the problem, the student may ask the appropriate department Chair to meet with both the instructor and the student. If the Chair and the instructor are in agreement about the validity of the grade, the student may appeal to the appropriate Dean. If the Chair cannot agree with the instructor, he will automatically refer the student to the Dean.
- c. The student who appeals beyond the departmental level must file a written appeal to the appropriate Dean.

The Dean, upon receipt of the written appeal, will bring all parties together in an attempt to resolve the matter by mutual agreement. If an agreement cannot be reached at this meeting, the Dean may appoint a committee of three disinterested persons to investigate the matter and make a recommendation to the Dean. The Dean will normally follow the recommendation of the committee; however, the decision of the Dean is final.

## **7. Content of Courses**

### **a. Course Description**

Each faculty member must prepare a course description of his/her offerings each term and send it to the departmental Chair for distribution.

### **b. Adherence to Content**

In preparing courses assigned to them, faculty members should adhere to course content as established by department or college policy and as detailed in a course syllabus or outlined in the University Bulletin.

## **8. Classroom Suggestions**

### **a. Prayer**

In accordance with Loyola Marymount's religious tradition, classes may begin with a prayer led by the instructor or a student.

### **b. Smoking**

It is the policy of Loyola Marymount University to provide a workplace and study environment which is healthy, productive and comfortable for all members of our campus community. Smoking is therefore permitted only outside of University buildings which house offices, work areas and classrooms.



This policy applies to faculty, staff, religious, students and visitors. Additionally, faculty members who wish to smoke must limit their smoking to break and meal periods.

Questions regarding this policy should be directed to Human Resources. The Smoking policy is available by following the link below:  
<https://admin.lmu.edu/secure/hr/hrpoliciesandprocedures/safetyandhealth/Smoking.pdf>

### **c. Care of Classroom**

Instructors should report to the Registrar anything needing attention in their classroom. Faculty members are expected to leave the chalkboards clean and the classroom immediately at the end of class so that the next instructor may have time to prepare for the ensuing session. Thus, end-of-class consultations by students with the instructor should take place outside the classroom.

## **9. Business Procedures**

### **a. Budgets**

The University operates on an annual budget proposed in advance and geared to the fiscal year, which begins on June 1 and ends on May 31. The Dean of each college is required each year to submit her/his budget request for the following year. The budget requests are prepared by the departmental Chairs and submitted to the Dean of the appropriate college for approval. Budget requests are then submitted to the Provost for approval. When the Dean or the department Chair has received the budget as approved, he/she is expected to manage the affairs of the college or the department within the limits of the approved budget.

Requests for additional funds because of any unforeseen expense must be approved by the next line of authority and passed on to the Provost for his/her approval.

### **b. Keys**

Most doors on campus are controlled using the LMU OneCard. Requests for access should be sent to the Dean of the appropriate college. The Dean's office will forward the request to the appropriate office on campus, either the OneCard office for online doors or the Facilities office for offline doors. If the door uses a metal key, this request will also go to the Facilities Office. Duplication of metal keys off campus is prohibited.

If a faculty member loses their OneCard, s/he should report the loss immediately to the OneCard office, either directly or through the OneCard website ([www.lmu.edu/onecard](http://www.lmu.edu/onecard) - click on "Manage Your OneCard".) If a metal key is lost, the faculty member should inform Facilities immediately.

Faculty members who sever their connection with the University will return their OneCard to HR or the OneCard office and any metal keys issued to Facilities.

### **c. Repairs and Maintenance**

A faculty member desiring repair or maintenance work should submit in writing a request for such work to the proctor of the appropriate building. The proctor will submit a written request to Facilities Maintenance. Oral requests will not be considered. Work order forms can be obtained from Facilities Maintenance. Damage to furniture or building facilities is to be reported to the Office of Facilities Maintenance.

### **d. Purchasing**

Purchasing. All purchases are to be initiated through the approved departmental process. It should be approved by the person responsible for the budget to be charged and the budget number should be entered on the request. Purchases on university p-cards or reimbursements should be processed through Concur.

## **D. FACULTY RESOURCE GUIDE**

Please see the Faculty Resource Guide, published annually by the Office of Faculty Affairs, for additional information regarding LMU Administration and on-campus services like the OneCard Office, Public Safety and Parking, and Information Technology Services. The Faculty Resource Guide also has information about LMU policies and assistance provided for teaching, research, and faculty service. In the case of any discrepancy between the Faculty Resource Guide and the Faculty Handbook and Addenda, the Faculty Handbook and Addenda is the authoritative document.

The Faculty Resource Guide can be found on the Faculty Resources page under the Office of the Provost:

<http://www.lmu.edu/academics/provost/resources/facultyresources/>

## **E. MERIT & EVALUATION SYSTEM**

The merit and evaluation system described below will go into effect with the 2017 FSR. Merit awards based on 2016 FSRs will follow the 1994 Faculty Senate Statement on Teaching/Advising, Scholarship, Service, and Merit.

## 1. Evaluation

As per section III.A in the Faculty Handbook, all faculty are required to submit an FSR to be eligible for merit; any faculty member not submitting an FSR shall receive zero merit. The Chair evaluates the faculty member's performance in each of the three areas of responsibility – teaching/advising, scholarship/creative work, and service – on the basis of the information in the FSR and using a 5-point scale:

	<b>Points</b>
Does not meet minimum expectations	0
Needs improvement	1
Good performance	2
Very Good performance	3
Excellent performance	4

The criteria used to evaluate faculty performance in each of the three areas and to assign a rating using the scale above shall be developed following the same process used to develop and approve Department Standards for Rank & Tenure. In most cases, these criteria will be developed at the department level and submitted to the dean for approval; in some cases (e.g., SOE), these criteria will be developed at the college/school level.

## 2. Determining the Merit Category

The individual faculty member receives a rating of 0, 1, 2, 3, or 4 in each of the three categories. For each category, the rating is multiplied by the weight of the category. The default weighting formula is 40-40-20 (with the teaching and scholarship ratings each multiplied by 0.40 and the service rating multiplied by 0.20). Any alternative weighting should only emerge out of consultations between the dean, the faculty member, and the faculty member's chair/program director and should be appropriately documented. The weighted scores are then summed to produce an overall total points score that ranges between 0.0 and 4.0. The faculty member's final score determines the merit award category, as follows:

<b>Total Points</b>	<b>Merit Category</b>
0.00 – 1.39	No merit
1.40 – 1.99	Merit 1
2.00 – 2.79	Merit 2
2.80 – 3.79	Merit 3
3.80 – 4.00	Merit 4

The Chair submits the merit determinations for all department/program faculty to the Dean, who submits them to the Provost, following procedures outlined in section III.C of the Faculty Handbook.

### 3. The Merit Payout Formula

Once the Provost has given final approval for the merit determinations for all faculty in a college/school, the monetary award for each merit category is determined using the approved formula (one of the following three models) for that college/school.

#### A. Uniform Dollar Amounts Across Ranks

Each merit category is assigned a point value, with the relationship between point values determining the relationship between the dollar amounts of the merit increases. The monetary award for each merit category is uniform across all ranks within the college/school. Once all the merit designations have been made, the salary increases are computed so that all the salary increases add up to the college/school's merit pool.

<b>Merit Category</b>	<b>Point Value</b>
No Merit	0
Merit 1	1
Merit 2	2
Merit 3	3
Merit 4	4

#### B. Average Salary in Rank

A weighted point value is assigned to each of the merit categories, the weight being determined by the average salary by rank (the table below uses the average in rank salaries across the university for 2015, where the average university Associate salary is 7.5% higher than that of Assistant and the average university Professor salary is 37% more than Assistant). Once all the merit designations have been made, then the salary increases are computed so that all the salary increases add up to the college/school's merit pool.

<b>Merit Category</b>	<b>Assistant Point Value</b>	<b>Associate Point Value</b>	<b>Professor Point Value</b>
No Merit	0	0.00	0.00
Merit 1	1	1.07 = 1.07 x 1	1.37 = 1.37 x 1
Merit 2	2	2.15 = 1.07 x 2	2.73 = 1.37 x 2
Merit 3	3	3.22 = 1.07 x 3	4.10 = 1.37 x 3
Merit 4	4	4.30 = 1.07 x 4	5.46 = 1.37 x 4

### C. Percentage of Individual Salaries

The salary increase for each merit category is tied to an individual faculty member's salary. Once all the merit designations have been made, the multiplier  $m$  would be determined, so that all the salary increases add up to the college/school's merit pool.

<b>Merit Category</b>	<b>Salary Increase</b>
No Merit	0
Merit 1	$m \times$ Base Salary
Merit 2	$2m \times$ Base Salary
Merit 3	$3m \times$ Base Salary
Merit 4	$5m \times$ Base Salary

### D. Reporting

Data about merit distributions shall be reported annually, including the following breakdowns: by college/school, by rank across the university (including the merit breakdown for chairs), and by gender across the university. Where possible, breakdowns by rank (including chairs) and gender should also be reported within colleges/schools.

### E. Review

The merit system shall be reviewed periodically. At the time of review, faculty in a college/school may choose to adopt a different one of the three payout formulas described above.

## **F. PART-TIME FACULTY HANDBOOK**

### **1. Lecturer**

As defined in the Faculty Handbook (section I.C.3), the title Lecturer refers to part-time teaching-only faculty, including faculty who teach in the classroom, online, and in the field. A Lecturer will possess the qualifications required for Instructor status or, in technical and professional areas, considerable experience at a significant level in that field.

A faculty member at the rank of Lecturer may apply for promotion to the rank of Senior Lecturer in the eighth term of teaching at LMU. Promotion is not automatic; it follows on the recommendation of the department/program review committee, following a review of the faculty member's application. On the recommendation of the department/program and with the approval of the dean, part-time faculty may apply for early promotion. With the approval of the Dean and where the applicant demonstrates a level of teaching and/or professional experience commensurate with the rank of Senior Lecturer, departments/programs may hire directly at the rank of Senior Lecturer.

Current part-time faculty are eligible for an accelerated promotion process, but must go through at least one successful periodic review before becoming eligible to apply for promotion. Deans shall work with Department Chairs and Program Directors to develop a schedule of periodic and promotion reviews according to the seniority of part-time faculty.

### **2. Appointment**

All requests for contingent faculty appointment must be approved by the Dean of the respective college. The initiating department should provide adequate evidential material to support the request, as to the need for the service and as to the qualifications of the requested appointee.

Position announcements for contingent faculty shall be posted on the LMU Human Resources (HR) website, generally at least two weeks prior to the hiring decision. The respective Dean's Office is responsible for the posting of position announcements. All applicants are required to submit a Curriculum Vitae, references, degree or professional expertise verification, and any additional supporting documentation through the HR website. Appointments of Contingent Faculty are made by the Dean on the recommendation of the Department Chair/Program Director or their designee(s).

In situations where expediency is required due to a faculty emergency and/or a late notice of need to hire, the Department Chair/Program Director or their designee(s) will be responsible for carrying out the hiring process. In the case of a part-time faculty opportunity hire of a person of national/international reputation, extraordinary expertise, or renown in the field, the process for hiring may differ, but that process must go forward only with the permission of the Dean.

The University is expected to have a record of all persons who have held teaching positions at any level at Loyola Marymount University. Thus, data must be sent to the office of the appropriate Dean and should consist of at least a minimum of information about the individual and his/her qualifications, including vita, application, and supporting documentation. Where there is any likelihood of a continuing relationship, the data provided should be equivalent to that provided for one at a regular professorial rank.

### **3. Periodic Review**

Periodic reviews are part of the evaluation process. Periodic reviews of Lecturers shall be conducted every third term of teaching, with no more than 1 periodic review per year. Periodic reviews of Senior Lecturers shall be conducted every sixth term of teaching.

For the periodic review, all part-time faculty are required to submit a brief narrative about their teaching as well as an updated CV. In addition, part-time faculty are expected to administer student evaluations in their courses and to submit their syllabi to their chair/director. These teaching-materials will be considered in a manner consistent with how they are used in the annual FSR review for tenure-line and term faculty. The review shall be conducted by the Department Chair or Program Director, who will produce a written evaluation of the faculty member's teaching performance.

### **4. Promotion**

Promotions in rank are based on the fulfillment of qualifications and meritorious performance by the applicant, on the vote and approval of the department/program review committee, and on the recommendation of the Chair and respective Dean. The final decision rests with the Provost. A Lecturer may apply for promotion to Senior Lecturer in the eighth term of teaching at LMU. On the recommendation of the department/program and with the approval of the dean, part-time faculty may apply for early promotion.

A formal promotion review is required when a part-time faculty member applies for promotion to Senior Lecturer. The review shall be conducted by a Promotion Review Committee of at least three people. Full-time faculty, including tenure-line faculty, clinical faculty, and full-time instructors, are eligible to serve on the review committee. Senior Lecturers are also eligible to serve on the review committee, but must be compensated for their service. Members of the review committee shall be elected by department/program vote. In cases where a department/program has fewer than three eligible faculty, an interdepartmental committee will be formed, through consultation among the chair/director, dean, and part-time faculty member.

For the promotion review, the part-time faculty member shall prepare a teaching dossier including: a letter of application to the Provost; a Curriculum Vitae; a

narrative focused on teaching; all periodic review narratives and chair's periodic review letters since initial appointment; list of courses taught at LMU, semester-by-semester, including enrollments, since initial appointment; statistical summary reports from student evaluations for all courses taught (candidates are encouraged to provide written course evaluations); peer observations of teaching where available (consistent with department/program expectations for peer observations for tenure-line and term faculty); a representative selection of course syllabi and other materials; and up to three letters of recommendation from faculty, former students, or other relevant colleagues. Part-time faculty members shall be evaluated on their teaching according to established criteria, which are consistent with the criteria used to evaluate the teaching of tenure-line and term faculty and which are clearly communicated to the part-time faculty member.

In those cases where promotion is denied, the Provost will give reasons in writing for such a decision at the request of the applicant. Lecturers denied promotion may be rehired as Lecturers and may reapply for promotion after a waiting period of at least two terms.

## **5. Specific Duties**

In addition to the general responsibilities as well as the specific responsibilities of the faculty that apply to part-time faculty defined in section IV of the Faculty Handbook, part-time faculty have the following specific duties:

1. To aim for teaching excellence in the spirit of the LMU mission.
2. To adhere to university policies and regulations, as articulated in the Faculty Handbook and Handbook Addenda, by Human Resources, by the university administration, and in college/school and department/program guidelines.
3. To adhere to the standards of professional conduct articulated in the Faculty Handbook.
4. To be reviewed according to an established schedule.
5. To submit a syllabus for each course being taught before the beginning of each semester, according to established department/program guidelines and procedures.
6. To clearly articulate requirements, expectations, and grading policies in course syllabi.
7. To submit textbook orders to the bookstore in a timely manner.
8. To submit grades in a timely manner, adhering to University deadlines.
9. To make reasonable accommodations for students with documented disabilities.
10. To make themselves available to communicate with students at regularly scheduled times to be determined in consultation with the Chair of the department, in accordance with department policy, and consistent with college/school norms.
11. To notify the Chair and/or Dean in cases of absences and to make necessary arrangements for the classes affected.
12. To be present in the classroom for the opening of classes and to conduct classes at the scheduled times.



13. To check their official LMU email accounts on a regular basis.

## **6. Specific Privileges**

In addition to the general faculty rights defined in section V of the Faculty Handbook, part-time faculty have the following specific privileges:

1. Salary and benefits commensurate with rank, experience, and responsibilities.
2. A review process that is both formative and summative, following established guidelines, criteria, and schedule.
3. To participate in college/school- and university-level shared governance.
4. To clear and open lines of communication with elected representatives.
5. To fair compensation for university service.
6. To timely notification in event of non-reappointment or dismissal and to compensation should courses be canceled after an established date relative to the beginning of the semester.
7. Access to office space where an instructor can meet privately with a student.
8. Access to facilities and equipment, including communications technology, along the same standards as full-time faculty.
9. To an identification card issued by the University.
10. To proper orientation and training by the appropriate University officials.

## **7. Ratification & Amendment**

### **A. Ratification**

- i. As an Addendum to the Faculty Handbook, the Part-Time Faculty Handbook must first be approved by Faculty Senate, pursuant to Section VII of the Handbook.
- ii. Following Senate approval, electronic ballots for ratification of the Part-Time Faculty Handbook shall be sent to all active part-time faculty. The Part-Time Faculty Handbook shall take effect if a majority of those responding vote affirmatively.

### **B. Amendments**

- i. Amendments to the Part-Time Faculty Handbook, an Addendum to the Faculty Handbook, must first be approved by Faculty Senate, pursuant to Section VII of the Handbook.
- ii. Following Senate approval, electronic ballots for approval of amendments to the Part-Time Faculty Handbook shall be sent to all active-part-time faculty. Amendments shall be adopted by a majority vote of all those responding.