



# Faculty Handbook

Revised Edition

2015

Updated July 8, 2015

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

## I. FACULTY OF THE UNIVERSITY

### A. FULL-TIME 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.

## **TENURE-LINE FACULTY**

### **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 her/his 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).

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

### **1. Tenure-Track 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 and the Rank and Tenure Resource Manual in the Faculty Handbook Addenda.

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 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 (pages 14, 15 Handbook, below).

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. Applications for promotion in rank and/or advancement to tenure from academic officers are to be considered by the Rank

and Tenure Committee after consultation with the Department/Program and the Dean of the College with which the applicant is affiliated. The Rank and Tenure Committee will forward its recommendation to the President of the University in the usual manner. Generally, at least three years of service at Loyola Marymount University and a total of three courses taught in the affiliate Department/Program must be accomplished before application.

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 on (page 18, Handbook, 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.

### **1. 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, Chair and recommendation of 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. The final decision on promotion rests with the Provost. S/he will review evidence of the candidate's qualifications and fulfillment of faculty responsibilities. Supporting documentation includes votes of the departmental faculty and recommendations of the department Chair and Dean. In those cases where promotion is denied, the Provost will give reasons in writing for such a decision at the request of the applicant.

## **I. PROCEDURES FOR RANK AND TENURE**

### **1. General Procedures**

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 Clinical Faculty**

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.

Upon review of a candidate’s application, recommendations for promotion of a clinical 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.

## **L. 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-track 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.

## **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 the 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" (page 24, Handbook, 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 which 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, student activities, and 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 school 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 (pages 19-20, Handbook, 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 which 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.

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.