

COAS Faculty Governance Document

(As amended through October 31, 2016)

1.0 DEFINITIONS

- 1.1 Positions of academic rank** shall include professor, associate professor, assistant professor, senior instructor, instructor, and continuing lecturer, including positions designated “visiting.”
- 1.2** The **Faculty** shall be composed of the Dean, any Associate Deans and Assistant Deans of the College who hold a faculty appointment, and those employees of the university who hold academic rank in the College of Arts and Sciences at IPFW. A member of the Faculty who serves in more than one major academic unit shall be counted among the Faculty of the unit to which the most service is assigned; a member of the Faculty who serves equally in two or more academic units shall inform the Dean of the College, prior to the annual certification, of the unit in which the Faculty member wishes to be counted.
- 1.3** The **Voting Faculty** shall be composed of those members of the Faculty who are not enrolled in a degree program in the College of Arts and Sciences at IPFW, and who are not in positions designated as “visiting.”
- 1.3.1** Unless stipulated elsewhere in this document, the Voting Faculty have the right to vote in all COAS functions, including in all COAS departments and programs.
- 1.4** The **Instructional Faculty** shall consist of those members of the Faculty at least half of whose duties consist of teaching or scholarly work.
- 1.5** **Associate Members** of the College shall consist of emeritus members of the Faculty, Limited-Term Lecturers, and persons who have academic appointments in the College but who are not Faculty. These individuals shall, if they request, receive notices and minutes of Convocations, Assemblies, and meetings of the Arts and Sciences Council. They may speak, but not vote, at Convocations and Assemblies; with permission, they may speak at meetings of the Arts and Sciences Council.
- 1.6** **Sciences** refers to Biology, Chemistry, Geosciences, Mathematical Sciences, and Physics; **Social Sciences** refers to Anthropology, Communication Sciences and Disorders, Political Science, Psychology, and Sociology; **Humanities** refers to Communication, English and Linguistics, History, International Language and Culture Studies, Philosophy, and Women’s Studies.

2.0 CERTIFICATION

Certification of the names, departmental affiliations, and classifications according to

Section 1, above, of all members of the Faculty shall be made annually, as of February 1 and by February 20, by the Dean to the College Secretary. As personnel changes affect the information in the certification, the Dean shall inform the Secretary. Changes in the eligibility of individuals to vote, speak, or stand for elective office shall be effective immediately, but the February certification shall apply in defining the size and distribution of the Faculty for procedures such as establishing a quorum, establishing a given fraction of the Faculty, and apportionment.

3.0 PARLIAMENTARY AUTHORITY

Except as explicitly provided herein, the Faculty shall conduct its business according to provisions of *Robert's Rules of Order*, as most newly revised.

4.0 BALLOTING

Transferable ballots shall normally be used in all Faculty elections where there are more candidates than vacancies.

5.0 OFFICERS

The *Secretary* shall be a non-Faculty professional selected by the Executive Committee. All elected officers shall be members of the Instructional Voting Faculty and may serve no more than two terms consecutively. Elections shall be conducted in March, with the one-year term of office commencing at the start of the next academic year. The Dean shall be ineligible to stand for College office.

5.1 Presiding Officer. The Presiding Officer shall call and preside at meetings of the Faculty and of the Arts and Sciences Council, and shall perform other duties normally associated with the office.

5.2 Deputy Presiding Officer. The Deputy Presiding Officer shall serve as a member of the Executive and Faculty Affairs Committees, shall act as a liaison between these two committees, and shall carry out the duties of the Presiding Officer in the latter's absence.

5.3 Secretary. The Secretary shall take and provide timely distribution of minutes of meetings of the Faculty and of the Arts and Sciences Council, keep other official records of the Faculty and of the Arts and Sciences Council, and perform other duties normally associated with the office.

5.4 Parliamentarian. The Parliamentarian shall be appointed by the Presiding Officer.

5.5 Sergeant-at-Arms. The Sergeant-at-Arms shall be appointed by the Presiding Officer.

6.0 FACULTY MEETINGS

6.1 Types

6.1.1 Convocations. At least once a semester the Executive Committee will schedule a Convocation of the Arts and Sciences faculty at a time designated by the Dean as a “free period” when the Fort Wayne [Faculty] Senate and the Arts and Sciences Council are not in session. Written notice of the meeting, along with its agenda, shall be circulated to the Faculty at least one week prior to the meeting. The Executive Committee must also convene the Faculty in formal Convocation for the conduct of business when petitioned by at least ten percent of the members of the Voting Faculty. At any Faculty Convocation, any item may be brought up for discussion, and the Arts and Sciences Council and the Dean may be petitioned for action by the convened Voting Faculty; however, actions by the Faculty in Convocation are limited to items specified in the agenda with the exception of a motion to convene a meeting of the College of Arts and Sciences Council.

If a Convocation is called in response to a Faculty petition, it shall be scheduled at the first practicable time, unless a later time is specified in the petition.

A simple majority of the Voting Faculty shall form a quorum for a Convocation. In the absence of a quorum, the Faculty may perform activities specified in the rules of order for such circumstances, as well as conduct business limited to discussion and emendation of questions to be acted upon at subsequent Convocations or submitted for action to the Arts and Sciences Council. In the absence of a quorum, the Faculty in Convocation may not submit questions by ballot to the Voting Faculty, but may petition the Arts and Sciences Council to do so.

6.1.2 Assemblies. Faculty Assemblies may be called by the Dean, by the Presiding Officer, or by the Executive Committee. Assemblies may be called and presided over by the Dean for the purpose of transmitting information to the Faculty. Assemblies may be called by the Executive Committee or the Presiding Officer for the purpose of providing a broad and open forum for the discussion of matters that affect the Faculty. The Presiding Officer will preside at Assemblies called by the Executive Committee or the Presiding Officer.

7.0 POWERS AND RESPONSIBILITIES

The Voting Faculty of the College of Arts and Sciences shall possess and exercise, collectively, all powers and responsibilities delegated to it by the Constitution of the Faculty of Indiana University-Purdue University at Fort Wayne.

8.0 GOVERNING BODY: THE ARTS AND SCIENCES COUNCIL

The Arts and Sciences Council, if called, has the right to exercise the powers and responsibilities of the Voting Faculty. Its decisions in exercising these powers and responsibilities shall be final except under the circumstances specifically described below.

8.1 Membership

8.1.1 Ex officio Members. The Dean of Arts and Sciences, the Presiding Officer, and the Deputy Presiding Officer shall hold membership on the Council.

8.1.2 Elected Members.

8.1.2.1 *Election Procedure.* Council members shall be elected at such time that the Executive Committee determines that the Council is to meet. See Section 8.2.1.

8.1.2.2 *Eligibility.* Any member of the Voting Faculty is eligible for election to the Council.

8.1.2.3 *Term.* The term of office for elected members of the Council is two years.

8.1.2.4 *Allocation of Seats.* One Arts and Sciences Council member shall be allocated to each department for each group of six Voting Faculty or portion thereof in the department (e.g., one member for up to six Voting Faculty, two members for 7 to 12 Voting Faculty, three members for 13 to 18 Voting Faculty). Academic programs in the college housing Voting Faculty who are not otherwise affiliated with departments in the College (e.g., Women's Studies, Gerontology) will be treated as equivalent to departments for the purpose of allocation of Council seats.

8.1.2.5 *Apportionment.* In the event that the Executive Committee determines that the Council shall meet, the apportionment of Council seats to departments shall be undertaken immediately by the Nominations and Elections Committee, using the list of Voting Faculty that is in effect on the first day of Fall semester for a Fall semester election, or the list of Voting Faculty that is in effect on the first day of Spring semester for a Spring semester election. Methods of nomination and election, and of filling seats vacated before the end of a term, shall be determined and implemented by the Voting Faculty of the departments according to methods consistent with generally accepted principles of democratic representation. The names of newly elected members shall be made known to the Secretary within one month of the date when the Executive Committee made a decision to call a meeting of the Council.

8.2 Meetings

8.2.1 Meetings of the Council. On its own initiative the Executive Committee may schedule a meeting of the Council at a time designated by the Dean as a "free period" when the Fort Wayne [Faculty] Senate is not in session. The Executive Committee must also call a meeting of the Council when petitioned by at least ten percent of the members of the Voting Faculty, or by a simple majority of the Voting Faculty at a Convocation of the Faculty following a motion to convene a meeting of the Council. Written notice of the meeting, along with its agenda, shall be circulated to the Faculty at least one week prior to the meeting, and only those items listed on the agenda distributed with the meeting

notice may be considered for action.

- 8.2.2** Attendance. Meetings of the Council will be open to all Faculty members, as observers, and to other persons invited to attend by the Executive Committee. With the permission or at the request of the Executive Committee or the Presiding Officer, nonmembers may address the Council.
- 8.2.3** Quorum. A simple majority of the Council shall form a quorum. In the absence of a quorum at a meeting, the Council may perform the activities specified in the rules of order for such circumstances, as well as conduct business limited to discussion and emendation of questions to be submitted to the members of the Council at a subsequent meeting or through a ballot.
- 8.2.4** Alternates and Proxy Voting. Neither alternates for members nor proxy voting shall be permitted.
- 8.2.5** Ballots. In the absence of a quorum at a Council meeting, a simple majority of those present may vote to submit a question to the members of the Council by ballot. In the presence of a quorum, a simple majority of those present may vote to submit a question either to the members of the Council or to the Voting Faculty by ballot. Passage of questions submitted to ballot shall require a simple majority of those voting. Questions decided by ballot shall have the same parliamentary status as business conducted at a properly called meeting of the Council.

9.0 FACULTY COMMITTEES

9.1 General Provisions

- 9.1.1** Purpose. In order to exercise more effectively its powers and responsibilities, the Faculty shall create appropriate committees, which shall report only to the Faculty unless granted the right to do otherwise.
- 9.1.2** Establishment. Standing committees shall be established only by amendment of this document. Other Faculty committees shall be established only as specified herein.
- 9.1.3** Scope. Outside the purview of this structure are any Dean's policy committee of department chairs and the promotion and tenure committees.

9.2 Standing Committees

Unless otherwise specified in this section, committee members shall be elected from and by the Voting Faculty. Committee terms for students shall be one year and for others shall be two years, beginning at Commencement, with committee members able to succeed themselves for one additional term. Any vacancy in an elected position on a committee shall be filled for the remainder of the unexpired term by a vote of the remaining voting members of the committee, subject to ratification at the next Regular

Meeting of the Arts and Sciences Faculty or the Arts and Sciences Council or by ballot to the Voting Faculty.

9.2.1 Executive Committee

9.2.1.1 *Membership*

9.2.1.1.1 Dean

9.2.1.1.2 Presiding Officer (chairing the committee)

9.2.1.1.3 Deputy Presiding Officer

9.2.1.1.4 Secretary (nonvoting, serving as committee secretary)

9.2.1.1.5 Four members of the Voting Faculty, including at least one from the Social Sciences, one from the Sciences, and one from the Humanities

9.2.1.2 *Charge*

9.2.1.2.1 Shall establish and announce the agenda, time, and place of all Faculty Convocations and Assemblies, and all meetings of the Arts and Sciences Council

9.2.1.2.2 Receive items for consideration from Arts and Sciences committees. The Executive Committee shall place any such item in need of action on the agenda of the next Faculty Convocation or meeting of the Arts and Sciences Council, or shall refer any such item, when necessary, to an Arts and Sciences committee.

9.2.1.2.3 Receive items for consideration from any member of the Arts and Sciences Voting Faculty. The Executive Committee shall consider if such items merit action, and, if appropriate, place any such item on the agenda of the next Faculty Convocation or meeting of the Arts and Sciences Council, or shall refer any such item, when necessary, to an Arts and Sciences committee.

9.2.1.2.4 Receive written questions from any member of the Voting Faculty. The Executive Committee shall ensure that such questions are routed to the proper source, and see that they are placed, if appropriate, on the agenda of the next Faculty Convocation or meeting of the Arts and Sciences Council.

9.2.1.2.5 Assist in the implementation of Arts and Sciences Faculty decisions

9.2.1.2.6 Propose rules for the orderly conduct of College business

9.2.1.2.7 Periodically review the committee structure of the College to encourage efficient Faculty participation

9.2.1.2.8 Propose changes to the College of Arts and Sciences Faculty Governance Document when necessary

9.2.1.2.9 Maintain collaborative communication between the Dean and the other members of the committee about College matters

9.2.2 Curriculum Committee

9.2.2.1 *Membership*

(the chair to be elected each year by the committee from within its membership)

9.2.2.1.1 Dean

9.2.2.1.2 Six members of the Voting Faculty including at least one member from the Sciences, one from the Social Sciences, and one from the Humanities, and no more than one member from any one department

9.2.2.1.3 One student elected by the Voting Faculty from nominations submitted by the departments

9.2.2.1.4 Assistant/Associate Dean (responsible for student affairs)

9.2.2.2 *Charge*

9.2.2.2.1 Receive and make a recommendation of approval or nonapproval of proposals for new course offerings, new academic programs (as used in this charge, “academic programs” shall include degrees, certificates, majors, and minors), and changes in requirements for existing academic programs

9.2.2.2.2 Recommend policy regarding College requirements for academic programs

9.2.3 Faculty Affairs Committee

9.2.3.1 *Membership*

(the chair to be elected each year by the committee from within its membership)

9.2.3.1.1 Deputy Presiding Officer

9.2.3.1.2 Assistant/Associate Dean (responsible for Faculty Affairs)

9.2.3.1.3 Six members of the tenured or tenure-track Voting Faculty including at least one member from the Sciences, one from the Social Sciences, and one from the Humanities, and no more than one member from any one department

9.2.3.2 *Charge*

9.2.3.2.1 Make recommendations to the Arts and Sciences Faculty regarding policies which affect the professional life of the Faculty, including but not limited to promotion and tenure, research support, sabbatical and other leave, professional development, conditions of employment, teaching loads, and university rewards and remuneration.

9.2.3.2.2 Approve promotion and tenure procedures established by and for departments in the College, after confirming that the department addressed Senate recommendations on those procedures.

9.2.3.2.3 Following approval by the Faculty Affairs Committee, departmental promotion and tenure procedure documents shall be ratified at the next Regular Meeting of the Arts and Sciences Faculty or the Arts and Sciences Council, or by ballot to the Voting Faculty.

9.2.3.2.4 Provide feedback on and approve promotion and criteria established by and for departments in the College so that they are in compliance with Senate documents. The review by the college must focus on:

9.2.3.2.4.1 The completeness of the department criteria document.

9.2.3.2.4.2 The explanation of how the department criteria align with the guiding principles of the College. This explanation should reference credible evidence as to the appropriateness of the criteria for the discipline.

9.2.3.2.4.3 If a College rejects the criteria of a department, a thorough explanation of the rejection must be sent to the department.

9.2.3.2.4.4 If there is a disagreement between a department and college about criteria, the Senate Faculty Affairs Committee will arbitrate the disagreement.

9.2.3.2.5 Following approval by the Faculty Affairs Committee, departmental promotion and tenure criteria documents shall be ratified at the next Regular Meeting of the Arts and Sciences Faculty or the Arts and Sciences Council, or by ballot to the Voting Faculty.

9.2.4 Student Affairs Committee

9.2.4.1 *Membership*

(the chair to be elected each year from within the committee membership)

9.2.4.1.1 Assistant/Associate Dean (responsible for Student Affairs)

9.2.4.1.2 Five members of the Voting Faculty

9.2.4.1.3 Two students elected by the Voting Faculty from nominations submitted by departments

9.2.4.2 *Charge*

9.2.4.2.1 Make recommendations to the Arts and Sciences Faculty regarding educational policies that focus on such concerns as the quality of instruction, admission standards, grades and grading, class scheduling and classroom allocation, academic advising, testing and placement, and cocurricular programming

9.2.4.2.2 Review the academic progress of students on probation or review readmission applications at the request of the College office. Student members shall not sit with the committee for this function.

9.2.4.2.3 Make recommendations to the Arts and Sciences Faculty or appropriate bodies regarding concerns initiated by students

9.2.5 Nominations and Elections Committee

9.2.5.1 *Membership*

9.2.5.1.1 Three members of the Voting Faculty

9.2.5.2 *Charge*

9.2.5.2.1 Solicit nominations for Arts and Sciences Council members, officers, committees, and all other posts requiring Arts and Sciences representation

9.2.5.2.2 Conduct elections and publish the results to the Arts and Sciences Faculty

9.2.5.2.3 Administer Faculty referenda

9.2.6 Ombudscommittee

Nominees from among the tenured Voting Faculty will be solicited by the Nominations and Elections Committee. A description of the Ombudscommittee members' roles will accompany that nomination solicitation. An election will be held resulting in the election of three candidates for appointment to the Ombudscommittee. The Dean, in consultation with the other members of the Executive Committee and the current members of the Ombudscommittee, will appoint one of the three candidates to the Ombudscommittee. If any members of the Executive Committee or the Ombudscommittee are among the nominees, they will not participate in the appointment process.

9.2.6.1 *Membership*

9.2.6.1.1 Three tenured members of the Voting Faculty with the stipulation that the committee have both male and female members. Members will serve three-year staggered terms.

9.2.6.2 *Charge*

9.2.6.2.1 The Ombudscommittee is an informal resource within the College. Although the Ombudscommittee is particularly interested in helping those facing discrimination based on gender, race, sexual orientation, marital status, parental status, ethnic background, or any other contractually protected status, anyone experiencing work-related problems may seek the assistance of the Ombudscommittee.

9.2.6.2.2 The resources available through the Ombudscommittee include: information about referrals to other campus resources, advocacy for persons with problems, and direct intervention or mediation in some situations. The Ombudscommittee is not part of the grievance procedures at IPFW nor is it a substitute for grievance procedures. Seeking the assistance of the Ombudscommittee is completely voluntary.

9.2.6.2.3 The Ombudscommittee will be responsible for conducting exit interviews with Faculty who leave the College each year. As a result of these interviews, recommendations may be made to the Dean concerning the environment for Faculty in the College.

9.2.6.2.4 At the end of the academic year the Ombudscommittee will issue an annual report based on that year's exit interviews. That report will be distributed to the Faculty at the next scheduled meeting of the Faculty or the Council.

9.2.7 Assessment Committee

9.2.7.1 *Membership*

9.2.7.1.1 Six members of the Voting Faculty, two from the Sciences, two from the Social Sciences, and two from the Humanities. At least half of the members should be tenured faculty. Members serve two-year staggered terms.

9.2.7.2 *Charge*

9.2.7.2.1 Read and comment upon each department's annual student achievement assessment report. Forward comments to the Assessment Council. Review substantive changes to department procedures for assessing student progress and achievement.

9.3 **Additional Committees**

9.3.1 Subcommittee of Standing Committees. By a majority vote of its members, a standing committee may create subcommittees as the need arises to execute the work of the committee. Subcommittees shall be chaired by a member of the standing committee and report their work through the parent committee.

9.3.2 Ad hoc Committees. Ad hoc committees for short-term needs of the College may be appointed by either the Presiding Officer or by a majority vote of the Arts and Sciences Council or the Voting Faculty of the College.

10.0 REVIEW OF FACULTY ACTIONS

Any business that has been conducted at a Convocation shall be put to a written ballot of the Voting Faculty if such a referendum is requested by twenty percent of those voting at the Convocation or by a petition signed by twenty percent of the Voting Faculty and directed to the Presiding Officer within fourteen calendar days of the Convocation.

Any action taken by the Arts and Sciences Council shall be forced back to that body for mandatory reconsideration if, within fourteen calendar days after the circulation of the Council minutes covering the action, a petition by at least twenty percent of the Voting Faculty stating the objections of the petitioners is received by the Presiding Officer. If the Arts and Sciences Council then reaffirms its original action, the issue must be submitted by ballot to the Voting Faculty. The decision of a simple majority in such a ballot shall be final.

11.0 APPORTIONMENT, ELECTION, AND REPLACEMENT OF SENATORS

11.1 General Allocation. Of the Senate seats allocated to the College, one shall be filled by the Dean, three shall be elected at large, and the remainder shall be allocated to departments.

11.2 At-Large Elections

11.2.1 The terms of the three at-large seats shall be staggered so as to begin in different years.

11.2.2 The Nominations and Elections Committee shall conduct the election in accordance with the constitution and College policies.

11.2.3 Candidates may submit short statements concerning their goals; these statements will be distributed with the ballot.

11.3 Departmental Apportionment and Elections

11.3.1 For the purposes of apportionment and election:

11.3.1.1 The Nominations and Elections Committee will arrange for departments not otherwise allocated a departmental seat to combine with other departments.

11.3.1.2 Faculty and Voting Faculty shall be as defined in the Constitution and as certified by the chief academic officer of IPFW as of February 1 each year.

11.3.2 The apportionment of Senate seats to departments shall be determined by the Nominations and Elections Committee in a timely fashion and in the following manner:

11.3.2.1 For each department, multiply the number of Voting Faculty by the total number of seats allocated to departments, and then divide by the number of Voting Faculty in the College.

11.3.2.2 Assign to each department as many seats as the integer part of the corresponding number.

11.3.2.3 Assign the remaining seats to those departments having the greatest fractional parts, with ties being broken in favor of small departments, and then by lot if necessary. If a department has more carry-over Senators than its apportioned number of seats, the Nominations and Elections Committee shall make adjustments to this policy within the spirit of these provisions.

11.4 Vacancies

11.4.1 Vacated seats shall be assigned by the Nominations and Elections Committee in accordance with the apportionment provisions above.

11.4.2 If a department does not fill a vacant seat within three semester-weeks of being notified of the need to do so, that seat shall be assigned to another department by the Nominations and Elections Committee in accordance with the apportionment provisions above.

12.0 PROCEDURES FOR PROMOTION AND TENURE

Fort Wayne Senate Document SD 14-36 charges each school/division faculty (1) to approve department/program promotion and tenure committee composition and functions (Section 1.1.4) and (2) to establish, with approval by the Senate, school/division promotion and tenure committee composition and functions (Section 1.2.1). The College faculty adopts Senate Document SD 14-35 as College guiding principles regarding promotion and tenure. The following section of the College Governance Document is subordinate to Senate legislation, and revisions to this section require Senate approval.

12.1 Candidates and Their Cases

12.1.1 Each Faculty member must be considered for tenure not later than during the penultimate year of the probationary period.

12.1.2 Each candidate for promotion and/or tenure is responsible for the preparation and submission of the case according to applicable guidelines and schedules. Supporting documentation, such as copies of abstracts, papers, or books cited in the case itself, should be included in a file labeled "Supporting Documentation" but is not considered part of the case. The candidate shall determine the content of the case and of the Supporting Documentation file. No change in the case or the Supporting Documentation file may be made without the consent of the candidate.

12.2 Decision Levels

All cases for promotion and/or tenure shall pass sequentially through the following decision levels before being forwarded to the campus committee:

12.2.1 The department committee, whose composition and functions shall be established according to a procedure adopted by the Faculty of the department and approved by the Arts and Sciences Faculty, subject to Senate review. In establishing their committees, departments should be guided, where possible, by two principles: that all tenured or tenure-track members of the department should be consulted about each case for promotion and/or tenure; and that those persons possessing the same or higher rank or the status to which a candidate aspires should have major responsibility in formulating the department's recommendations.

12.2.1.1 If, by established departmental criteria, fewer than three persons are eligible to serve on the department committee, the department shall submit to the Dean the names of Faculty members from other departments whom it deems suitable to serve on the department committee. From this list, the Dean shall appoint enough Faculty members to bring the committee membership to between three and five.

12.2.1.2 The letter appointing a Faculty member to more than one academic unit shall identify that department whose promotion and tenure process shall apply to the appointee.

12.2.2 The department chair. (Promotion and/or tenure cases of department chairs proceed directly from the department committee to the College committee.)

12.2.3 The College of Arts and Sciences Promotion and Tenure Committee, comprising six tenured Voting Faculty members—two each from the Sciences, the Social Sciences, and the Humanities (as defined in Section 1.6 above).

12.2.3.1 Terms shall be two years. Each year three committee members shall be elected, one from the Humanities, one from the Social Sciences, and one from the Sciences. Committee members whose terms have expired cannot serve on the promotion and tenure committee in the subsequent academic year.

12.2.3.2 The committee members shall be elected as follows: Each department with no continuing committee members shall nominate one tenured Faculty member. Nominees must have prior experience at the department level. If a department has fewer than three tenured Faculty members eligible to serve, the department may choose to submit no nominee. Department chairs or program directors whose departments have pending tenure or promotion cases and members of the campus promotion and tenure committee are ineligible to serve. The Voting Faculty of the College shall elect by preferential ballot the three committee members, one from the Humanities, one from the Sciences, and one from the Social Sciences. The ballot shall identify each candidate's department, rank, and tenure status. The dean may not serve as a committee member nor attend College committee meetings as an observer.

12.2.3.3 The committee shall choose a chair from among its voting members. The first meeting shall be called by the Dean.

12.2.3.4 Each candidate may select from among the tenured or tenure-track faculty a nonvoting representative who will be available to answer questions pertaining to the case. The representative will have the option of making an opening statement. The representative is bound by the same rules of confidentiality as committee members and shall withdraw before the committee's vote is taken. A candidate may not act as the representative before the committee, nor shall a committee member act as representative.

12.2.3.5 Each case is to be duplicated in full and distributed to all committee members by the committee chair. The Supporting Documentation file is to be maintained in confidence by the Arts and Sciences office and made available to committee members upon request.

12.2.3.6 A tie vote of the committee shall be considered neither an endorsement nor a rejection of the candidate's application for promotion and/or tenure.

12.2.4 The Dean of the College of Arts and Sciences. (The Dean's promotion and/or tenure case proceeds directly from the College committee to the campus committee.)

12.3 Operation of Committees

12.3.1 The administrator or committee chair at each level shall inform the candidate in writing of the recommendation and vote on the nomination, with a statement of the reasons therefor, by the time the case is sent forward. The administrator or committee chair shall also send to the previous level(s) a copy of the recommendation and statement of reasons. When the vote is not unanimous, a written statement stipulating the majority opinion and minority opinion must be included. The candidate may submit a written response to the statement to the committee chair within 7 calendar days of the date of the recommendation; this response must proceed with the case. At the same time the case is sent forward to the next level, the committee chair shall also send a copy of the recommendation and statement of reasons, and the candidate's response, if any, to the department chair and the department promotion and tenure committee chair. The committee chair shall distribute copies to committee members.

12.3.2 All committee deliberations shall be confidential. The committee's recommendation and vote shall be communicated only by the chair. Within the committee, individual votes shall be openly declared. Outside the committee, only the total vote shall be disclosed. No abstentions or proxies are allowed. Committee members must be present during deliberations in order to vote. When a committee member must step down due to an extreme personal emergency, the Nominations and Elections Committee shall find a replacement.

12.3.3 All cases except tenure cases in the penultimate year may be withdrawn by the candidate

at any stage.

- 12.3.4** The substantive evaluation of a candidate's qualifications shall occur primarily at the department level. The college committee shall review how well the process has adhered to documented procedures and review the recommendation of the lower levels. This review shall include a consideration of the basis of the decisions from the lower levels. If the committee judges that a decision from a lower level is contrary to the evidence, the committee may include consideration of the evidence in the case as it compares to department criteria.
- 12.3.5** When a candidate has been nominated for both promotion and tenure, separate committee votes shall be taken for each change of status, and separate rationales provided when the votes are not identical. Separate recommendations on each change of status shall similarly be supplied by the department chair and Dean.
- 12.3.6** Committee members shall recuse themselves from considering cases of candidates with whom they share significant credit for research or creative endeavor or other work which is a major part of the candidate's case or if they have other conflicts of interest. The committee will decide if committee members who collaborate with the candidate need to recuse themselves. Any committee member who recuses her/himself shall leave the room during the discussion of that case.
- 12.3.7** The Committee writes a letter of recommendation from the college committee based on the committee's review of the process to this point, and must clearly state and explain the recommendation of the committee including an explanation of agreement or disagreement with the decisions of lower levels.

12.4 Individual Participation

- 12.4.1** No candidate shall serve on any promotion and tenure committee, nor shall any candidate make a recommendation on his or her own case.
- 12.4.2** The department level excepted, no individual shall serve in a voting or recommending role at more than one decision level. In order that this be accomplished, the campus committee shall be filled before the College committee.

12.5 Selection of Arts and Sciences Nominees for the Campus Committee

For the campus committee, the Voting Faculty shall elect by preferential ballot six nominees, at least three of whom shall be full professors. The ballot shall identify each candidate's academic rank.

13.0 AMENDMENTS

Amendment of this document shall require the following:

- 13.1 Publication** of the proposed amendment to all members of the Faculty
- 13.2 Passage** of the proposed amendment by a majority vote at a meeting of the Arts and Sciences Faculty or the Arts and Sciences Council
- 13.3 Ratification** of the proposed amendment via secret ballot by a two-thirds majority of those members of the Voting Faculty who cast ballots
- 13.4 Transmission** of the written amendment to all members of the Faculty

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Amended March 3, 2003
Amended October 9, 2003
Amended April 5, 2004
Amended February 24, 2005
Amended October 16, 2006
Amended April 22, 2010
Amended November 8, 2010
Amended September 8, 2011
Amended November 28, 2011
Amended April 7, 2014
Amended November 17, 2014
Amended October 26, 2015
Amended October 31, 2016