Monterey Institute of International Studies

A Graduate School of Middlebury College

FACULTY HANDBOOK

§

Spring, 2013

THIS FACULTY HANDBOOK IS EFFECTIVE AS OF 6-4-2013

TABLE OF CONTENTS

1. INTRODUCTION 4

1.1 PURPOSE 4

1.2 ACADEMIC POLICY-MAKING AND ADMINISTRATION 4

1.3 GRADUATE SCHOOLS 4

1.4 RESEARCH CENTERS 5

2. ADMINISTRATIVE ROLES 6

2.1 PRESIDENT 6

2.2 PROVOST 6

2.3 SCHOOL DEANS 7

2.4 PROGRAM CHAIRS 8

3. FACULTY ROLES 10

3.1 CURRICULA AND DEGREE PROGRAMS 10

3.2 RESEARCH AND PROFESSIONAL DEVELOPMENT 10

3.3 FACULTY INVOLVEMENT IN EDUCATIONAL SUPPORT 10

3.4 ACADEMIC FREEDOM AND INTELLECTUAL CONTRIBUTION 11

4. FACULTY ORGANIZATION AND GOVERNANCE 12

4.1 FACULTY ASSEMBLY 12

4.2 VOTING PROCEDURES 12

4.3 FACULTY SENATE 13

4.4 SENATE OFFICERS 14

4.5 FACULTY COMMITTEES 15

4.6 FACULTY EVALUATION COMMITTEE 16

4.7 ACADEMIC POLICY, STANDARDS AND INSTRUCTION COMMITTEE 17

4.8 SALARY AND BENEFITS COMMITTEE 17

5. POLICIES AND PROCEDURES FOR MEMBERS OF THE FACULTY 18

5.1 CATEGORIES OF FACULTY 18

5.2 APPOINTMENT TO THE FACULTY 21

5.3 FACULTY RIGHTS AND RESPONSIBILITIES 23

6. EVALUATION OF THE FACULTY 26

6.1 CRITERIA 26

6.2 WEIGHTING CRITERIA 27

6.3 TRACKING 27

6.4 COMMENCEMENT OF EVALUATION PROCESS 27

6.5 ANNUAL REVIEWS 27

6.6 CONTRACT RENEWALS 28

6.7 PROMOTION 28

6.8 THE PROCESS OF EVALUATION 29

6.9 SABBATICAL LEAVES 32

6.10 ROLE OF THE PRESIDENT 33

6.11 LEAVE WITHOUT PAY 33

7. SEPARATION FROM THE INSTITUTE 34

7.1 NON-RETENTION 34

7.2 SEPARATION FOR CAUSE 34

7.3 REDUCTION IN PROGRAM 34

7.4 RESIGNATION 34

8. OTHER FACULTY MATTERS 35

8.1 COMPENSATION AND BENEFITS 35

8.2 JURY DUTY AND SUBPOENAED WORK-RELATED COURT APPEARANCES 35

8.3 OUTSIDE ORGANIZATIONAL ACTIVITY/SOLICITATION 35

8.4 PROCEDURES TO FOLLOW IN CASE OF ILLNESS OR EMERGENCY 35

8.5 GRIEVANCE PROCEDURE 35

8.6 POLICY AND PROCEDURES FOR DISCIPLINE OF REGULAR FACULTY MEMBERS 38

APPENDIX A: FACULTY EVALUATION SCHEDULE 41

APPENDIX B: AAUP GUIDELINES 43

1. INTRODUCTION

1.1 PURPOSE / The purpose of the Faculty Handbook is to define relationships within the academic community of the Monterey Institute of International Studies, a Graduate School of Middlebury College. In particular, it sets forth the responsibilities, duties, and roles of the faculty, and the means by which the faculty as a body, through its committees, through its program chairs, and individually, participate in the governance process, the formulation and administration of academic policies, and personnel actions involving the employment of faculty members.

Portions of the "Employee Handbook" also provide information that applies to faculty members.

The terms of employment of faculty members are determined by reference to the written letter of faculty appointment to the faculty member (which normally states a specific period of appointment); the Faculty Handbook; and those sections of Employee Handbook that apply to faculty.

This Faculty Handbook is the result of a consultative, cooperative approach involving the Faculty Senate, the Faculty Assembly, administrators, the MIIS president, and the Board of Governors of the Monterey Institute. It supersedes the contents of Faculty Handbooks and their revisions that were issued prior to Feb 1, 2012.

1.2 ACADEMIC POLICY-MAKING AND ADMINISTRATION / Academic policies are those relating to the education of students at the Institute. This includes instruction, curriculum development, research, and those support functions at the Institute that have a direct impact on education, such as computer facilities, the library, and audiovisual equipment.

Academic policy-making is a shared responsibility, with the various members of the Institute community contributing according to their respective areas of expertise and integrating their actions with those of the Institute as a whole.

Academic policies are subject to ongoing review and updating. They are officially maintained in the Academic Policies and Standards Manual, access to which is provided to all faculty and students through the Institute's Web site.

1.3 GRADUATE SCHOOLS / To accomplish its mission, the Institute is organized into two schools, each headed by a dean, research centers headed by directors, and various staff to manage academic support functions.

The schools are:

- The Graduate School of International Policy and Management
- The Graduate School of Translation, Interpretation, and Language Education

These schools are autonomous in curricular and academic matters, within the bounds of Institute-wide policies and standards described in this Handbook and in the Academic Policies and Standards Manual.

1.4 RESEARCH CENTERS / The Institute recognizes, encourages, and supports research for the purpose of accomplishing the educational mission of the Institute, enhancing its reputation, and facilitating the professional currency of the faculty. Any research center or project established at the Institute is bound by the laws, regulations, and policies applicable to all staff, faculty, and organizations at the Monterey Institute. The directors of such centers, other than those that report to a school, report to the provost. Certain research center directors and staff members may have faculty appointments, issued in accordance with the appointment procedures described in this Handbook. Current research centers and projects at the Institute are described on the Institute's Web site.

2. ADMINISTRATIVE ROLES

This section describes the major administrative roles at the Institute and outlines the relationship and responsibilities of the Faculty with respect to each. Faculty members shall have a significant role in the selection of the provost and should be consulted in the selection of the president.

2.1 PRESIDENT / The president is the chief executive officer of the Institute and supervises its academic and business affairs. The president of the Institute is appointed by and reports to the president of Middlebury College.

In the process of selecting and appointing a new president of the Institute, the president of Middlebury College should consult the faculty of the Institute for input. The point of contact for such input will be the president of the Faculty Senate.

As part of the process by which the president of the Institute is evaluated, the faculty may be consulted for input. The point of contact for such input will be the president of the Faculty Senate.

The president of the Institute directs the activities of other members of the staff, sees that the decisions and directives of the Monterey Institute Board of Governors and the Middlebury Board of Trustees are implemented, and performs such other functions as the president of Middlebury College and the Board of Governors of the Institute may require.

The president of the Institute appoints the provost and other senior administrators; deans, program chairs, and other academic administrators; and regular faculty members.

The president appoints faculty members in accordance with processes described below.

The president also has the authority to terminate the employment of any faculty member of the Institute. The president terminates the appointment of a faculty member in accordance with due process as defined in this Faculty Handbook.

Staff members are “at will” employees whose positions may be terminated at any time. (See Employee Handbook.)

2.2 PROVOST / The provost is appointed by the president and is the senior academic officer at the Institute. She/he is responsible to the president for the overall management of the academic affairs of the Institute, including instruction, research, and academic support. In the exercise of the duties of the office, the provost meets regularly with the Faculty Senate, appropriate faculty committees, and the school deans.

When the position of provost becomes open, the president shall normally form a search committee, to include at least two (2) faculty representatives, one from

each school, selected by the Faculty Senate. This committee shall establish the selection criteria in conjunction with the president and shall normally conduct an international search.

The committee shall submit a short list to the president, with a request for personal interviews. It is expected that the president shall approve the interviewing of at least three (3) candidates recommended by the committee. These candidates shall be interviewed by the search committee, the regular faculty of the school, the deans, the president, staff representatives, and student representatives.

The search committee shall gather and summarize comments on each candidate and forward a written recommendation to the president for a final decision by the president. The written recommendation by the committee shall include a ranked list of candidates who are acceptable to the committee. The president shall engage in further discussion with the committee if the president disregards the recommendation.

As part of the regular process by which the provost is evaluated by the president, the president shall consult for input the president of the Faculty Senate, and the chairpersons of the Faculty Evaluation Committee and the Academic Policy, Standards, and Instruction Committee.

2.3 SCHOOL DEANS / A school dean provides academic leadership and administrative management for the school. Deans articulate the interests of their schools, as well as coordinate with the other school on policies and decisions requiring collaboration. School deans ensure the effective formulation and implementation of academic policies, curriculum planning and development, budgeting, faculty recruitment and evaluation, and faculty development.

Deans also work with the offices of Institutional Advancement and Alumni Relations; Admissions, Recruiting, and Financial Aid offices; the Registrar's Office; the Business Office; the Communications office, and other academic and administrative services, and with the Board of Governors when necessary or requested.

Deans serve as liaisons with professional associations, as well as with academic, business, and professional communities, helping to increase the visibility of their schools and the Institute as a whole.

School deans may have two appointments. First, they may have a regular faculty appointment, the specific term of which is held in abeyance (does not run) while they serve as dean. Second, as administrators, deans report to the president through the provost. Their appointment is normally for a scheduled term of three (3) years and is renewable. However, the president has the authority to terminate these administrative appointments at any time prior to the three-year term. On termination of the administrative appointment, the faculty contract, if one is held, resumes and the dean has the option to resume regular faculty status under the

faculty contract, unless the president terminates the appointment of a faculty member in accordance with due process as defined in this Faculty Handbook based upon conduct in his role as dean.

The relationships between the school deans and their faculty are the most important links between administrators and faculty at the Institute. It is at the school level that most academic matters arise and that the most important step in faculty evaluation takes place. A basic principle in the governance of the Institute is that school deans consult their faculty on a regular basis. It is at the school level that faculty have the most authority and responsibility, and that mutual respect and consultation are most critical. One factor in establishing and maintaining this relationship is the active participation of faculty in the selection and evaluation of school deans.

When the position of school dean becomes open, a search committee shall be formed, composed of the provost, three regular faculty members of the school selected by the school faculty, and one regular faculty member of the other school selected by that school's faculty. The search committee shall also actively seek input from students. This committee shall establish the selection criteria in conjunction with the provost and shall normally conduct an international search.

The committee shall submit a short list to the president and the provost, with a request for personal interviews. It is expected that the president shall approve the interviewing of at least three (3) candidates recommended by the committee. These candidates shall be interviewed by the search committee, the regular faculty of the school, the other deans, the provost, the president, staff representatives, and student representatives.

The search committee shall gather and summarize comments on each candidate and forward a written recommendation to the president for a final decision by the President. The written recommendation by the committee shall include a ranked list of candidates who are acceptable to the committee. The president shall engage in further discussion with the committee if the president disregards the recommendation.

Evaluation of the deans is conducted by the provost according to guidelines in the Employee Handbook. The provost shall establish a process to solicit input from the faculty of the respective schools. This process of gathering input shall be completed by April 30.

2.4 PROGRAM CHAIRS / Program chairs report to the deans and are appointed, normally for a scheduled three-year term, by the president, who shall consult with all members of the faculty of the relevant program(s) to solicit their suggestions and judgments about possible candidates. The president shall retain the discretion for early termination of the appointment of the chair of the program.

The regular faculty of each school shall establish procedures to evaluate program chairs on an annual basis, based on the description of duties developed by each

program. Evaluations emanating from this process shall be forwarded to the school dean, with the program chair being given an opportunity to respond. This process of gathering input shall be completed by April 30.

3. FACULTY ROLES

As the primary contact point for students at the Institute, faculty members, as teachers, have important responsibilities. Teaching is neither restricted to a narrow subject area nor limited to the classroom; it extends to every student contact and often into the community. Each faculty member should recognize her/his responsibility for campus morale and for the total school experience of the students. Faculty should also become appropriately involved in the promotion and overall development of the Institute, when called upon to do so and in accordance with their schedules and duties.

3.1 CURRICULA AND DEGREE PROGRAMS / The faculty have the primary role in the development and delivery of curricula and their component courses.

3.2 RESEARCH AND PROFESSIONAL DEVELOPMENT / In a professional graduate school, the professional currency of the faculty is critical to effective teaching, academic advising, recruiting of quality students, development activities, and the ability to assist students in their career planning.

The Institute is committed to the principle of professional faculty development, especially in support of effective teaching.

The development of faculty teaching and research capabilities is the joint responsibility of the administration and faculty.

Each school shall develop specific plans for faculty development, to include a budget and a process for allocating such resources. Policies shall address, but shall not be limited to: teaching load; release time for research, administration, and curriculum development; sabbaticals; academic leaves of absence; travel for faculty development and/or conference participation; study for advanced degrees; programs and study to advance the quality of teaching; and awards for research and teaching.

3.3 FACULTY INVOLVEMENT IN EDUCATIONAL SUPPORT/ Certain support functions can have a major impact on the ability of the faculty to accomplish the educational mission of the Institute successfully. Faculty therefore advise and participate in activities including but not limited to:

- recruitment of students;
- development and maintenance of facilities for teaching, learning, and research, including classrooms, the library, computer labs, interpreting labs and audio-visual equipment;
- selection, acquisition, and deployment of specific resources in instructional technology;
- institutional advancement and fundraising;
- the framing and execution of strategic plans;

- development and administration of the process by which faculty are selected, appointed, evaluated and terminated;
- involvement, through their schools, in the process by which resources are allocated at the school and Institute levels.

3.4 ACADEMIC FREEDOM AND INTELLECTUAL CONTRIBUTION / The Monterey Institute of International Studies is a graduate school of Middlebury College, a private, independent educational institution owing allegiance to no party, sect, or interest group. Its overall goal is the promotion of intellectual inquiry and search for improved means of understanding and communication among peoples through free expression.

Recognizing that free inquiry is essential in higher education, the Institute abides by the principles of academic freedom and student rights as advocated by the American Association of University Professors. These principles are contained in Appendix B of this Handbook.

4. FACULTY ORGANIZATION AND GOVERNANCE

4.1 FACULTY ASSEMBLY/ The Faculty Assembly consists of all regular faculty, excluding the president, provost, deans, and associate deans. Visiting faculty, research professors, adjunct faculty and professors emeritae/i are not members of the Faculty Assembly: they may attend the Assembly but are not eligible to vote.

The role of the Faculty Assembly shall be to debate and discuss such matters as may be referred to it from time to time by the Faculty Senate or by any member of the Faculty Assembly.

The Faculty Assembly shall hold three meetings annually: the second week of the fall semester, the second week of the spring semester, and the next to last week of the spring semester.

The meeting held the second week of the spring semester shall mark the start of the year for governance purposes. It shall be used to review the past year and set objectives for the coming year. This meeting shall also be used, in the last year of the two (2) year term of the Senate president, for the Faculty Assembly to elect (or re-elect) the Senate president. The Faculty Senate shall also present its report of activities and accomplishments at this meeting.

The meetings held at the beginning of the fall semester and the end of the spring semester will be used for a report by the Faculty Senate and for faculty to present issues of concern.

Special meetings of the Faculty Assembly may be called by the Senate president for the purpose set forth in the notice thereof. Such notice shall indicate the time and place of the special meeting.

Special meetings of the Faculty Assembly may be called pursuant to a petition of more than one-fourth (¼) of the members of the Faculty Assembly. Such special meetings shall be held at the time and place indicated in the petition.

Except as otherwise provided herein, meetings shall be conducted under *Robert's Rules of Order* (latest edition).

4.2 VOTING PROCEDURES / A Faculty Assembly quorum shall consist of fifty percent (50%) of the eligible Faculty Assembly members plus one member. No votes may take place at a Faculty Assembly meeting without a quorum. If an urgent issue is brought before the Faculty Assembly and there is no quorum, the Faculty Senate shall shortly thereafter conduct a secret electronic mail ballot.

The Faculty Assembly shall elect the Senate president, and the at-large member of both the Faculty Evaluation Committee and the Academic Policy, Standards and Instruction Committee, for two-year terms, and by a simple majority of those present and voting. Voting shall be by secret ballot.

The Faculty Assembly may, by a two-thirds majority vote of all members, dissolve the Faculty Senate. Voting shall be by secret ballot.

The Faculty Assembly, by a two-thirds majority vote of all members present and voting, may vote to reverse previous decisions made by the Assembly.

The Faculty Assembly may, by a simple majority of those present and voting, designate an issue as "significant," for the purpose of the Faculty Assembly's taking up this issue. Any proposed resolutions that involve "significant" issues require a two-thirds majority of the Faculty Assembly present and voting to pass. Any such resolutions passed shall be binding upon the Faculty Senate.

4.3 FACULTY SENATE / The Faculty Senate is the principal representative of the faculty of the Monterey Institute of International Studies.

Except as otherwise provided herein, the Faculty Senate shall have plenary power; that is, complete or full power to make decisions.

The Faculty Senate is composed of the Senate president and three representatives from each school. Only regular faculty with multi-year contracts shall be eligible for election to the Faculty Senate.

Each school shall elect three representatives to the Faculty Senate in a manner to be determined by that school's regular faculty. The three members shall be from different programs within the school except when extraordinary circumstances make this impossible. The election shall be completed before the meeting of the Faculty Assembly in the second week of the fall semester.

The term of a senator shall be two (2) years, beginning with her/his election prior to the meeting of the Faculty Assembly in the second week of the fall semester.

In the event that the Faculty Senate is dissolved, each school shall hold a special election to select its representatives, who shall take office upon election and serve the time remaining in the previous representatives' terms.

In the event that the Faculty Senate is dissolved, the Faculty Assembly shall set a date for the election of the Senate president, who shall serve a term of two (2) years beginning the first day of the month following election.

A school shall have the right to remove one or more of its representatives to the Faculty Senate and to elect another representative to serve the time remaining in the previous representative's term, using a process agreed to by the school's regular faculty.

The Faculty Senate shall schedule open meetings at least once each semester and shall announce such open meetings in appropriate Institute publications. Any member of the Faculty Assembly may attend an open meeting. The Faculty Senate may hold closed meetings, at which attendance shall be by invitation only. The Faculty Senate may take action in closed meetings. Except as otherwise

provided herein, meetings shall be conducted under *Robert's Rules of Order* (latest edition). A quorum shall consist of a majority of the members of the Faculty Senate.

Chairpersons of standing committees serve as ex-officio members of the Faculty Senate. They shall attend Senate meetings when requested to do so. The president of the Senate shall consult with the chair of the Faculty Evaluation Committee as needed. Decisions made by the Academic Policy, Standards and Instruction Committee, other than those that involve specific cases of violation of academic standards, are reviewed by the Senate president, who in turn may, when necessary, consult the Faculty Senate and school faculty members as appropriate.

The provost shall meet frequently and regularly with the Faculty Senate. The president shall also meet with the Faculty Senate at agreed-upon times.

The members of the Senate shall keep their school faculty regularly apprised of current academic policy issues, and receive feedback from them on matters of concern. On those issues for which the Senate desires a vote of the regular faculty, the regular faculty of each school will establish procedures for this purpose.

In addition to its other responsibilities, the Faculty Senate:

- may nominate candidates for honorary degrees. For this purpose, the Faculty Senate shall operate under the general principle that honorary degrees are awarded to recognize individuals whose work exemplifies the qualities of intellect, character, and creativity most valued by the Institute; and to acknowledge individual accomplishments, especially academic accomplishments, and general contributions to society.
- is responsible for the preparation of any recommended revisions to the Faculty Handbook.

4.4 SENATE OFFICERS/ The president and vice-president of the Faculty Senate must be full-time regular faculty members.

The Faculty Assembly shall elect the new Senate president at the meeting of the Faculty Assembly in the second week of the spring semester, thus permitting sufficient time for the relevant program and school to arrange for the president's teaching load reduction. The term of the Senate president shall be two (2) years beginning on the first of July following election the previous semester.

Once the Senate has been constituted in the second week of the fall semester (see above), it shall elect a vice-president to assist the president in the completion of all duties. The vice-president shall normally be from a different school than that of the president. The term of the Senate vice-president shall be two (2) years beginning on election by the Senate prior to the meeting of the Faculty Assembly in the second week of the fall semester.

The president and vice president of the Faculty Senate have the following general duties:

- preside over the work of the Faculty Senate as defined in this Handbook;
- oversee the work of the standing faculty committees and any *ad hoc* faculty committees;
- consult with the president and provost of the Institute on a regular basis, and with the chair of the Board of Governors as required.

There shall be a budget for those activities deemed necessary for the effective operation of the Faculty Senate, approved as part of the Institute's normal budget process. The Faculty Senate president shall maintain an official presence in the form of an office, normally his/her personal faculty office. The vice-president shall assist the president in all duties and shall attend meetings as the representative of the Faculty Senate when the president is unable to do so.

The president and vice-president of the Senate shall receive release time from teaching in agreement with the president of the Institute. As with sabbatical leaves, release time for these positions is dependent on the ability of the school to continue its academic programs given the reduced teaching load of the president and vice-president of the Senate, and the requisite budgetary support. The Senate president may also request a work-study student for specific projects.

4.5 FACULTY COMMITTEES / Standing Committees shall include the Faculty Evaluation Committee and the Academic Policy, Standards, and Instruction Committee. These committees are important elements of faculty governance. They receive instructions from the Faculty Senate, and shall keep the Senate apprised of their work in a timely fashion.

Standing committees shall have the responsibilities and authorities set forth in the committee descriptions below, together with such additional duties and responsibilities as may be assigned them by the Faculty Senate.

A standing committee consists of two faculty members from each school and one member elected at-large by the Faculty Assembly, each with full voting power. Faculty Evaluation Committee members must be regular faculty on multiple-year contracts, and shall not be eligible for promotion or contract renewal during their terms of office. The Academic Policy, Standards, and Instruction Committee shall have a student member with full voting power, selected by the Student Council. The provost and the registrar are *ex officio* members of the Academic Policy, Standards, and Instruction Committee and attend meetings when necessary.

The term of office of each faculty member serving on a standing committee shall be two years, with one-half (½) the membership normally changing each year. If no faculty members can be found to serve a 2 year term in the Faculty Evaluation Committee (due to an application by this faculty member for contract renewal,

sabbatical, or promotion during the 2 year term), then as an exception a faculty member may serve a 1 year term on the FEC.

The faculty of each school shall establish its own procedure for selecting and removing its representatives to standing committees. School faculty who are members of the Faculty Assembly shall be eligible for selection. Members of standing committees shall regularly report back to their schools. In the last week of March, Committee chairs shall inform the Senate President of upcoming vacancies. The Senate president shall then inform the school deans of upcoming vacancies in the Senate, FEC, and APSIC so that nominations can be made and elections held in April. Terms begin the following September. The results shall be announced at the Faculty Assembly in May, at which time any at-large members can be elected.

The Faculty Senate may appoint *ad hoc* committees to help it discharge its functions or to perform periodic functions, and to engage with substantial changes that may affect the nature of the Institute. These may include, but are not limited to:

- Salary and Benefits
- Strategic Planning
- Faculty Development
- Faculty Handbook

4.6 FACULTY EVALUATION COMMITTEE / The Faculty Evaluation Committee shall review all faculty files of faculty applicants for contract renewal, promotion, and sabbatical leave. After ensuring that due process has been observed, the Committee shall make an independent recommendation based on the procedures outlined (on pages 26-28).

The Faculty Evaluation Committee shall review a faculty Annual Review file only when requested to do so by the faculty member in question, or by the respective school dean, or by the provost (see page 28).

The Faculty Evaluation Committee may also evaluate and recommend changes to the current systems and policies governing faculty contracts. It also may evaluate and recommend changes to the process of evaluating faculty performance, with particular attention to any inequities that may arise as a result of separate school policies. Any such recommended changes shall first be approved by the Faculty Senate before forwarding through the provost to the president.

The Faculty Evaluation Committee shall conduct its deliberations in closed meetings. All proceedings of this Committee will respect the privacy of all individuals involved in any evaluation.

4.7 ACADEMIC POLICY, STANDARDS, AND INSTRUCTION COMMITTEE / As described on page 4 of this Handbook, the formulation and administration of academic policies at the Monterey Institute is a shared responsibility of the Board of Governors, the Middlebury Board of Trustees, the president, the provost, the school deans and associate deans, and the faculty.

The Academic Policies, Standards, and Instruction Committee (APSIC) serves as the faculty committee charged with oversight of Part I of the MIIS *Policies and Standards Manual* (PSM). Early in the spring semester, APSIC reviews Part I of the *PSM* in light of its deliberations over the preceding year, recommending changes and amendments to the Faculty Senate and provost for action and approval. Those changes and amendments that are approved by the administration are then included in the new edition of the *PSM*, prepared during the summer for distribution to students at the beginning of the fall semester.

In addition, APSIC:

- evaluates and provides recommendations concerning proposed changes to the curriculum;
- ensures compliance with academic policies and procedures;
- deliberates on grievances and appeals;
- has at least two members serve on any Student Conduct Board dealing with an alleged student violation of academic standards or policies.

APSIC reports its recommendations to the provost and the Senate for action and approval. In the case of curricular and programmatic proposals requiring further deliberation, APSIC consults further with the proposers before forwarding revised recommendations to the provost and Senate.

4.8 SALARY AND BENEFITS COMMITTEE (AD HOC) / When constituted by the Faculty Senate, the primary role of this committee is to review and examine the structure of faculty benefits and salaries and make recommendations to the president. The Committee shall work closely with the Human Resources staff at MIIS, and the benefits and compensation manager in the Human Resources department at Middlebury in the discharge of its responsibilities. Specific tasks and responsibilities are assigned at the time of constitution.

5. POLICIES AND PROCEDURES FOR MEMBERS OF THE FACULTY

5.1 CATEGORIES OF FACULTY / The **Regular Faculty** of the Monterey Institute is committed to excellence in teaching, scholarship, and service to the Institute.

A "regular faculty member" is appointed to the rank of professor, associate professor, or assistant professor as a result of a search conducted by a committee comprising current faculty and administrators. During the search process, input from students and alumni may be sought.

A regular faculty member is appointed to renewable, three- or six-year term. A regular faculty member is eligible to apply for sabbaticals and faculty development grants.

A regular faculty member is appointed to either a full- or a part-time schedule each semester, as stipulated in the letter of appointment and performs such additional tasks as are normally expected of faculty at institutions of higher education. These duties include, but are not limited to, thesis direction and reading; directed study supervision; student advising; attendance at faculty meetings; committee membership and participation in instructional governance.

The regular faculty of each graduate school are responsible for curriculum development and are also expected to be on campus and available to meet with students and colleagues during the academic year and to maintain professional currency in their fields of expertise. The regular faculty members constitute the Faculty Assembly.

A **Lecturer** must fulfill all prerequisites to be appointed to a faculty position, except the terminal degree. Lecturers are subject to the regular contract renewal process, and are eligible to apply for sabbatical leave and development grants.

Lecturers must hold a Master's degree in the field appropriate to their appointment, and must demonstrate to the satisfaction of the regular faculty, dean and provost, the potential for excellence in teaching, professional achievement, and service to the Institute. Having demonstrated such excellence, they may apply for promotion to the rank of Senior Lecturer, after at least five (5) years of experience in full-time teaching in institutions of higher education or equivalent professional service. Alternatively, having earned a doctorate in their field of specialization, lecturers may apply to change tracks and seek appointment at the rank of Assistant Professor. This application will follow the procedures stipulated for requests for promotion in section 6.7.

A **Senior Lecturer** must fulfill all prerequisites to be appointed to a faculty position, except the terminal degree. In addition, Senior Lecturers must have at least 5 (five) years of experience in full-time teaching in institutions of higher education or equivalent professional service. Senior Lecturers are subject to the regular contract renewal process, and are eligible to apply for sabbatical leave and development grants. Senior Lecturers must hold a Master's degree in the field

appropriate to their appointment and must demonstrate to the satisfaction of the regular faculty, dean and provost, the potential for excellence in teaching, professional achievement, and service to the Institute. Having demonstrated such excellence and having earned a doctorate in their field of specialization, they may apply to change tracks and seek appointment at the rank of Assistant or Associate Professor. This application will follow the procedures stipulated for requests for promotion in section 6.7.

Professors of Professional Practice: Appointments to the rank of Professor of Professional Practice are made only to practitioners who have developed to the satisfaction of the regular faculty, dean and provost, a high level of expertise in fields of special importance to MIIS academic programs, and who also demonstrate a deep commitment to teaching and professional practice. Professors of Professional Practice shall normally hold at least a Master's degree. Responsibilities include, but are not limited to, teaching and conducting and supervising professional practice and research. Professors of Professional Practice are normally full time, regular faculty members and are appointed, following the procedures prescribed in section 5.2, at the rank of Assistant, Associate or full Professor, according to relevant experience and qualifications. They are subject to regular evaluation procedures, with quality of teaching and professional practice as the principal criteria, provide service to the Institute, and are eligible to apply for sabbatical leave and development grants.

Affiliated Faculty of the Monterey Institute are engaged in teaching and research. They are either full- or part-time employees each semester, as stipulated in their contracts, and perform such additional tasks as are normally expected of university-affiliated faculty. These may include, but are not limited to, student advising, directed study supervision, curriculum development; attendance at faculty meetings, and maintaining professional currency in their fields of expertise. Affiliated faculty fall into four categories:

a. **Visiting professors** offer expertise that expands the current offerings in the curriculum. For appointment as a visiting professor, a candidate normally must have earned a doctorate, or the highest degree available in the candidate's field of specialization, or have exceptional experience in a professional field that fits the mission of the Institute. He or she must demonstrate to the satisfaction of the dean, outstanding teaching ability. Visiting professors are recruited by the administration (or relevant dean) in consultation with current faculty and are evaluated by the administration. Visiting professors are normally appointed for one- to three-year terms, after which they may be considered, through the regular recruitment and appointment process, for a regular faculty position. Continuing appointments of Visiting professors are strongly discouraged. Visiting faculty are not eligible to apply for sabbatical or faculty development grants, and are not required to contribute service to the Institute.

b. **Adjunct professors** are appointed on an *ad hoc* basis to teach specific course(s) for which they have special expertise. For appointment as an Adjunct professor, a candidate normally must have earned a doctorate, or the highest degree available in the candidate's field of specialization, or have exceptional experience, in a professional field that fits the mission of the Institute. Adjunct professors are recruited and appointed on a semester-to-semester basis by the administration (or relevant dean) in consultation with the Faculty. They must demonstrate outstanding teaching ability in order to be re-appointed. Adjunct professors are evaluated by the administration. Adjunct professors are not eligible to apply for sabbatical or faculty development grants, and are not required to contribute service to the Institute.

c. **Research professors** are members of the staff, not of the faculty. They are appointed to and employed by a research center because of the distinctive contribution they can make to the research program of the Institute. They should have academic and/or professional qualifications comparable to those of faculty. Research professors enjoy staff status, but not regular faculty prerogatives such as voting privileges in the Faculty Assembly. The allowable or required level of participation in school faculty affairs shall be decided by the relevant school dean in consultation with the regular faculty.

d. **Professors emeritae/i** are faculty members who have demonstrated, to the satisfaction of the regular faculty, dean, provost and/or president, excellence in teaching during their tenure at MIIS, maintained professional stature in their field, and made significant contributions to their graduate school. To be eligible for emerita/us status, a faculty member must normally meet the following additional criteria: (a) a minimum of ten years full-time service (or equivalent) at the Institute; (b) a desire and intent, expressed in person or in writing to the Faculty Senate, to maintain contact with the Institute; and (c) confirmation, again expressed in person or in writing to the Faculty Senate, that the candidate will not take a full-time, long-term teaching position at another university after retiring from MIIS. A retiring faculty member is normally nominated for emerita/us status by one or more current faculty members; this nomination is submitted to the faculty senate. Once the faculty senate is satisfied that the criteria are met, the nomination is presented to the Faculty Assembly for approval. The recommendation then proceeds through the provost to the president for final approval. Professors emeritae/i enjoy certain privileges including, but not limited to, library and parking privileges, access to a computer and free use of the Internet. Professors emeritae/i are not eligible to apply for sabbatical or faculty development grants, **do not vote**, and are not expected to contribute service to the Institute.

e. **Instructors in Non-degree Programs** are appointed to teach in specific non-degree programs for which they have relevant qualifications,

experience and expertise. For appointment as an Instructor, a candidate must normally hold a Master's degree and have a minimum of two years experience in the relevant field of specialization. Instructors are appointed to a one-year, renewable contract and are evaluated by the program supervisor. Instructors are not eligible to apply for sabbatical leave or faculty development grants, and do not serve on faculty committees.

5.2 APPOINTMENT TO THE FACULTY / Appointments to the regular faculty are made by the president, after review of the advice of a faculty search committee and of the recommendations of the appropriate school dean and the provost. No appointment to **regular** faculty status is made without an open search and a competitive evaluation following best practices of the Institute, including rigorous interviews with multiple candidates.

When there are vacancies for regular faculty within a school, deans follow the hiring guidelines included in the Employee Handbook, beginning with a discussion with the provost to determine whether and how the vacancy is to be filled.

Appointment of other categories of faculty proceeds as described below:

a. The substantive criteria for regular faculty members are also applied to the appointment of **lecturers, senior lecturers, research professors, or visiting professors**. All such appointments shall be made in consultation with the regular faculty of the school or schools in which the appointments are made, except in the case of emergencies when insufficient time is available to involve faculty in the decision. Nominees are referred to the provost and the president for approval and appointment. Notification to the regular faculty of the school or schools of non-reappointment is not required.

b. Each school shall develop files of available faculty who may be hired as **adjuncts** as needed. All such appointments are made by the school dean, who shall consult the school faculty.

c. In consultation with appropriate faculty, the dean of one of the schools may propose that the president bestow the title of **research professor** on staff members of research centers who meet the criteria set forth in defining this position, above.

In forming a judgment as to the record and the potential of candidates for appointment, primary consideration is given to the following criteria:

a. **Teaching ability**, as evidenced by appropriate references, student evaluations, and recommendations of peers.

b. **Professional competence,** as evidenced by the candidate's educational record; scholarly activities such as publications, research, and papers

presented at professional meetings; and reputation among peers in the field of specialization.

c. **Personal attributes**, such as integrity, initiative, breadth and focus of intellectual interest, and willingness to advise and assist students and participate in Institute activities. This includes a judgment of the candidate's ability to serve as a responsible Institute citizen, a quality colleague to faculty, a quality mentor to students, and a member of the Institute community who fosters its values and complies with its policies.

Appointments to the three ranks are based on review of the various judgments of the members of the committee, the committee, and the administrators, respectively, as to specific qualifications outlined below.

a. For appointment as a **Professor**, a candidate must have earned a doctorate in the relevant field of specialization. He or she must have demonstrated sustained high quality teaching, recognized scholarly and professional achievement (through a record of research, publication, and professional activities) and substantial service to the Institute, and must have at least ten (10) years of full-time teaching in institutions of higher education or equivalent professional service.

b. For appointment as an **Associate Professor**, a candidate must have earned a doctorate in the relevant field of specialization. He or she must have demonstrated sustained high quality teaching, recognized scholarly and professional achievement (through a record of research, publication, and professional activities), and substantial service to the Institute, and must have at least five (5) years of full-time teaching in institutions of higher education or equivalent professional service.

c. For appointment as an **Assistant Professor**, a candidate must have earned a doctorate in the relevant field of specialization. (Exceptions may be made for ABD candidates who will complete their doctorate by a stipulated date, normally not more than twelve (12) months from the date of appointment). He or she must demonstrate the potential for excellence in teaching, scholarly activities, professional achievement, and service to the Institute.

d. Appointments to rank made before July 1, 2011 shall remain unaltered. That is, faculty members who hold an appointment prior to July 1, 2011 at one of the three ranks and do not meet the stipulated criterion in terms of the terminal degree shall retain that rank for the duration of their service at the Institute and may apply for promotion when all other conditions are met.

e. Under special circumstances, based on the recommendation of the school dean after consultation with the school faculty, and the

endorsement of the provost, the president may approve appointment of faculty at any of the above stages and ranks.

In 1982-83, a system of contracts for regular faculty (assistant Professors and above) was instituted in place of tenure. Tenure arrangements contracted before 1982 continue unaltered. Under the contract system, the first and second regular faculty appointments at the Institute are normally for a period of three (3) years each. The third such appointment is normally for six (6) years. All subsequent such appointments are normally for a six-year period.

5.3 FACULTY RIGHTS AND RESPONSIBILITIES/ Quality in teaching is the first and most important responsibility of all Monterey Institute faculty. Criteria for assessing if there is high teaching quality and other faculty responsibilities are described under Section 6 (Evaluation of the Faculty). Consistent with Institute policies, school faculty govern their school's academic programs and curriculum. Each school's faculty has the responsibility to organize itself for this purpose in a manner appropriate to the needs of the school's professional graduate education.

Faculty have **teaching autonomy**, including evaluation of student work, selection of teaching methods, selection of material to be presented, and maintenance of a class atmosphere conducive to learning, all subject to the policies of the Institute.

The Institute encourages a close relationship between teacher and student in the learning process. Overall responsibility for **academic advising** rests with the dean of advising, career and student services, but the school deans and their faculties are expected to play an important role as collaborators in this vital function. Faculty are expected to advise students in terms of the relevant academic disciplines and the students' chosen areas of specific focus. Students who require non-academic counseling should be referred to the director of student affairs, who is responsible for student welfare in the areas of housing, referral services, international student advisement, and other personal counseling as appropriate.

Regular faculty members are expected meaningfully to participate in events and activities that are essential to the Institute, the graduate schools, and the degree programs. These include, but are not limited to orientation, registration, convocation, commencement, committee work, and library development, as assigned.

Faculty members shall submit grades and other reports prior to established deadlines.

All faculty members are expected to hold regularly scheduled **office hours** each week, because these are deemed to be necessary to uphold their instructional and advising obligations. As a courtesy to students and others, faculty members should post notice of their office hours and inform the appropriate school dean's assistant(s) of their schedules each academic term. Faculty are expected to accommodate requests from students with scheduling conflicts for appointments outside regular office hours.

Regular faculty members with full-time appointments are expected to confine their **outside consultancies and non-Institute professional activities** to the equivalent of one (1) day a week during the academic year. They also may teach one course or its equivalent per term at another institution. Full-time faculty members who wish to teach for another institution must first obtain the consent of both the appropriate school dean and the provost. They may not teach any course that is, in the judgment of the dean and provost, in conflict with the interests of the Institute or in direct competition with the activities of the Institute.

Faculty appointments for the academic year normally do not include commitments to **summer teaching**. However, with the approval of her/his dean, a faculty member may teach during the summer term in lieu of equivalent teaching in one of the semesters of the regular academic year. Should a faculty member wish to teach during the summer in addition to teaching during regular terms, she/he may do so at salary and/or under other terms as agreed with his/her dean. Should any faculty member wish to teach or consult elsewhere during the summer, she/he may not teach any course that is, in the judgment of the dean and provost, in conflict with the interests of the Institute or in direct competition with the activities of the Institute, and she/he must provide advance notice as outlined above. Regular faculty in the relevant school should be consulted, if possible, before adjunct or visiting faculty are hired for summer teaching.

Faculty are expected to **conduct their research with integrity** and in line with standards of ethics that are commonly accepted within the academic community for proposing, conducting, or reviewing research, or in reporting research results. For the purpose of this document, we consider the term "research" to encompass both research and scholarship. Research misconduct means falsification, fabrication, plagiarism, retaliation of any kind against a person who in good faith reported or provided information about possible misconduct, or other actions that seriously deviate from commonly accepted standards of ethics It does not include honest error or honest differences in interpretations or judgments of data.

Research involving **human and animal subjects** must first be reviewed by the Middlebury Human Subjects Review Committee (Institutional Review Board), which includes several representatives from MIIS. The committee's procedures and forms are available at http://www.middlebury.edu/academics/resources/irb. Further information may be obtained from the MIIS provost.

Faculty **make recommendations regarding the awarding of degrees**, in accordance with the Institute's degree requirements. All earned academic degrees are conferred by the president of the Monterey Institute upon recommendation of the faculty and approval of the Board of Governors and the President and Fellows of Middlebury College.

The honorary degree awarded by the Institute is the Doctor of Humane Letters, *Honoris Causa*. It is awarded to individuals who meet at least one of the following qualifications:

- conspicuous contributions to international affairs;
- conspicuous contributions to education and/or scholarship;
- conspicuous contributions to the Institute.

Faculty members may **propose candidates for honorary degrees** to the Faculty Senate for recommendation to the president.

6. EVALUATION OF THE FACULTY

Evaluation of the faculty serves several Institute objectives, such as assuring and assessing educational effectiveness, providing performance feedback, developing faculty expertise, improving classroom performance, maintaining fairness, and documenting the basis for employment decisions.

Faculty are formally evaluated according to the procedures outlined below on three specific occasions. First, each year every regular faculty member is given an annual review by her/his school dean. Second, each regular faculty member is evaluated for contract renewal. Third, the evaluation process is applied to all promotions. The evaluation process is based in part on judgments made upon the review of regularly administered end-of-semester student evaluations and upon peer faculty reviews.

6.1 CRITERIA / Evaluation is based on the following criteria:

a. **Effective teaching** entails knowledge of subject matter, including contemporary developments; the ability to communicate effectively, discuss existing data and present insightful interpretations thereof, interest students and evoke responses from them, and broaden the outlook of students by relating course subject matter to other disciplines, where possible; the ability to provide leadership and incentives to graduate students; the maintenance of high academic standards; an interest in developing improved methods of instruction; recognition of the student as an individual; effectiveness in individual student advising and mentoring; participation in school and inter-school curricular development; preparation of the student to function as an effective professional; and submission of required reports, such as grades, on a timely basis.

b. **Research and scholarship** entails the capacity for independent thought; the ability to deal with abstract and complex intellectual problems, as demonstrated by the originality and quality of published contributions to knowledge, as well as presentations of unpublished contributions to knowledge; evidence of recognition of research by national or international peers; the administration of research projects; and the ability to direct student research projects.

c. **Professional stature** is gauged by the achievement of, or progress toward, advanced degrees; continuing study; recognition in one's academic discipline; outside consulting work of high professional caliber; activities in learned and professional societies; continuing professional growth; international professional experience, including lectures on other campuses and before professional groups.

d. **Service to the Institute** includes, but is not limited to, activities related to student recruitment, alumni relations, development, and other revenue-generating activities; and program, school, and Institute-wide committee

service, governance activities, and participation in school and Institute curriculum development.

e. **Other contributions** include contributions to student life; representing the Institute at professional occasions; service to the community and profession; and cooperation with other members of the Institute community.

6.2 WEIGHTING CRITERIA / The above elements are not mutually exclusive. While demonstrated excellence in all is not necessary, outstanding achievement in some and adequate accomplishment in the remainder is expected of all members of the faculty. However, effective teaching is always essential.

All criteria necessarily include the faculty member's behavior as a responsible Institute citizen, including serving as a quality colleague to faculty, a quality mentor to students, and an Institute community member who fosters its values and complies with its policies.

School deans, in consultation with the faculty of each degree program and the provost, shall establish clear guidelines for any weighting of criteria applicable to faculty evaluations in their schools.

6.3 TRACKING / The provost is responsible for recording all information related to the evaluation process, including the calendar and list of faculty to be evaluated, the dates each file was forwarded and received by participants in the process, and the decisions reached at each level.

6.4 COMMENCEMENT OF EVALUATION PROCESS / The provost's office notifies each faculty member in writing, by September 1, of the faculty member's obligations with respect to the particular type of evaluation (annual review, contract renewal, or promotion action) that is to be undertaken in a given year. Appendix A provides a schedule that the provost, Faculty Evaluation Committee, and faculty being reviewed should follow. By the date stipulated on this calendar, faculty members shall submit reports on their activities based on the five criteria described in section 6.1, above. These reports assist the academic administration and the Faculty Evaluation Committee in evaluating the record and the potential of the faculty members. Each school prescribes a template that clearly defines what is expected of faculty in this report.

6.5 ANNUAL REVIEWS /During the academic year, every member of the regular faculty who in the coming academic year is not scheduled for contract renewal review or promotion review receives an annual review. These evaluations are conducted by the appropriate school deans, who rely on the Faculty Activity Reports (FARs) that each faculty member is required to provide annually to the dean. The annual review is based on a process mutually agreed upon with the school faculty, which shall include written comments from the school dean on the faculty member's progress in the five criteria above, his/her strengths, and the areas in which improvement is needed. School deans are responsible for ensuring

that each faculty member has received a copy of this review and has had an opportunity to respond to it in writing. These reviews and any responses shall become part of the faculty member's personnel file. In the event of a disagreement, the evaluated faculty member may request that an annual review be forwarded to the Faculty Evaluation Committee for its independent evaluation. Such assessment shall be added to the faculty member's file. See Appendix A for timetable for Annual Reviews.

6.6 CONTRACT RENEWALS / For faculty on multiple-year contracts, applications for renewal of their contracts shall be reviewed and decision made by no later than 12 months prior to the expiration of their current contract (no later than 30 June, the normal expiration date). This means that for faculty serving a six-academic-year contract, the review and decision shall be completed during their **fifth** academic year of service under such contract, etc. In the case of a decision for non-retention, the faculty member shall be informed by the date indicated in Appendix A during the year preceding the one in which the contract expires. Failure to provide timely notification of such a decision results automatically in the offer of an extension of one academic year to the current contract.

6.7 PROMOTION / Requests for promotions shall be considered according to the schedule in Appendix A. Faculty members may apply and be considered for promotion in accordance with the following schedules and criteria:

a. **Lecturer**, for promotion to **senior lecturer**, at any time after meeting the requirement for appointment to the rank of Senior Lecturer (section 5.1).
b. **Lecturer** or **senior lecturer**, for appointment as **assistant** or **associate professor**, after completion of the doctoral degree (section 5.1).
c. **Assistant professor,** for promotion to **associate professor**, after four (4) years in rank, if at least two (2) of those years have been completed at the Institute, and after a total of at least five (5) years of full-time teaching or equivalent professional experience. Application for promotion can be made in the spring semester of the fifth year and promotion, if awarded, shall become effective at the start of the sixth year.
d. **Associate professor**, for promotion to **professor**, after ten (10) years of full-time teaching at accredited institutions of higher learning and four (4) years in rank as Associate Professor, if at least three (3) of those years have been completed at the Institute, or after equivalent professional experience. Application for promotion can be made in the spring semester of the ninth year and promotion, if awarded, shall commence with the tenth year.

Among the considerations for promotion are the criteria for measuring excellence mentioned in Section 6.1, as well as any further guidance established in each school. The principal determining factors for promotion for all faculty members, however, are excellence in teaching and validation of professional status, as determined by the individual school. Promotion to associate professor or

professor requires evidence of significant contributions to the objectives of the Institute.

All such criteria include the faculty member's behavior as a responsible Institute citizen, including serving as a quality colleague to faculty members, quality mentor to students, and Institute community member who fosters its values and complies with its policies. Early promotion may be considered in cases of exceptional merit.

6.8 THE PROCESS OF EVALUATION / Evaluation of faculty members for the purpose of contract renewal or promotion is a sequential process involving review by a committee of peers, the school dean, the provost, the Faculty Evaluation Committee (FEC), and the president, with opportunities for the faculty member to respond at each stage of the process. In cases of promotion, external reviews by qualified persons of adequate professional/academic standing are also required.

Step 1 — To initiate the evaluation process for promotion or contract renewal, faculty members prepare and submit their professional files to their school deans according to the schedule set forth in Appendix A.

A complete file shall contain, but is not limited to, the following items:

- the annual report of activities based on the criteria in Section 6.1;
- quantitative and qualitative student evaluations;
- samples of publications;
- other evidence of professional currency and activity;
- community service, fundraising, etc.;
- letters of recommendation (optional).

It is the individual faculty member's responsibility to initiate the evaluation process by submitting a complete, well-organized file by the deadline specified in the evaluation schedule (Appendix A). Should timely action not be taken by a faculty member, the school dean shall combine the relevant student course evaluation data and annual reviews into a rudimentary dossier, which is forwarded to the Peer Review Committee.

Step 2 – The process of forming the Peer Review Committees, including the role, if any, of the program chairs, shall be as agreed upon between the dean and the faculty of each school. Members of the committee shall be regular faculty members who, in the judgment of the dean, possess the professional expertise to evaluate the dossier. In the event that for good cause shown to the satisfaction of the provost, a candidate objects to a committee member's participation, the provost shall direct that a replacement be appointed.

The Peer Review Committee shall evaluate the faculty member's record and present to the dean a written report, inclusive of its recommendation (contract renewal/non-renewal, promotion/non-promotion, or approval/non-approval of a sabbatical proposal).

On the same date the Peer Review Committee recommendation is sent to the dean, a copy is forwarded to the faculty member, who has five (5) working days in which to submit a response to the committee's evaluation and/or additional information to the school dean. This period may be extended if the faculty member is unavailable to receive and comment on the report.

Step 2a – The soliciting of external reviews in cases of promotion review shall be the responsibility of the provost. To this end, the faculty member and the school dean shall both submit a list of names, including contact information, of three persons possessing adequate professional/academic expertise and qualifications to evaluate the dossier and to judge also on the basis of the mission of the program with which the candidate is affiliated. External reviewers should be established scholars in the candidate's field, or leaders in the profession. In order to guarantee sufficient time and to facilitate the process, the name lists must be submitted to the provost no later than October 1. The provost shall then obtain a written evaluation from one person on each list. The faculty member will be informed as to who has been asked to write the external evaluations.

The external reviewers shall confine their evaluation to the faculty member's record of scholarship/professional achievement as well as professional stature and present to the provost a written report, inclusive of their recommendation (promotion/non-promotion).

The external reviews shall be obtained in a period of time concurrent with the peer-review process. Letters from outside evaluators are always confidential, meaning, not accessible to the candidate. Restricting access is meant to ensure frank and honest assessments of the candidate. The deans, FEC, provost, and president will have access to all materials submitted in connection with promotion review, including the external evaluations.

Step 3 — The school dean, whose review must explicitly acknowledge the candidate's written response(s), if any, adds his/her evaluation of the faculty member to the file and forwards it to the provost. The dean's final evaluation shall be issued no sooner than five (5) working after receiving the peer evaluation and the external reviews in cases of promotion.

On the same date, a copy of the dean's evaluation is sent by the school dean directly to the faculty member, who has five (5) working days in which to submit, to the provost, a response to the dean's evaluation. This

period may be extended if the faculty member is unavailable to receive and comment on the report.

Step 4 — The provost's concurrence or non-concurrence with the school dean's evaluation of the faculty member is added to the file. The provost, whose review must explicitly acknowledge the candidate's written response to the dean's evaluation, if any, shall issue a written report including evaluation of the file no sooner than five (5) working after receipt of the file from the school dean.

The provost shall submit the evaluation to the Faculty Evaluation Committee. A copy of the provost's evaluation is sent directly to the faculty member, who has five (5) working days in which to respond to the evaluation. This response is directed to the provost with a copy to the Faculty Evaluation Committee. This period may be extended if the faculty member is unavailable to receive and comment on the report.

Step 5 — The Faculty Evaluation Committee will review the file, explicitly acknowledging any written responses and other materials from the faculty member. The Committee may request additional information from any party involved in the case. If the Committee finds that the faculty member has not been accorded due process during the evaluation procedure, it shall forward such a finding to the provost, with copies forwarded to the school dean and to the faculty member on the same date. In doing so, the Committee shall consider whether in its judgment, the evaluation has proceeded in accordance with policies of the Faculty Handbook.

Unless the Faculty Evaluation Committee finds that the faculty member has not been accorded due process during the evaluation procedure, it will then make its own independent evaluation**.** The Committee shall issue its final evaluation no sooner than five (5) working days after receiving the file from the provost. The Faculty Evaluation Committee's independent evaluation may take one of three forms: (a) concurrence with the recommendations of the school dean and/or provost; (b) non-concurrence with the recommendation of the school dean and/or provost; or (c) a recommendation, for reasons stated, that the president invoke the one-year extension provision (see section 6.10) or, under special circumstances, a longer extension to provide the faculty member sufficient time to demonstrate enhanced performance.

Step 6 — The Faculty Evaluation Committee places its finding of due process and its evaluation of the faculty member in the file, with copies forwarded to the faculty member, the school dean and the provost on the same date. The provost then forwards the file to the president. The faculty member has five (5) working days in which to submit a response to the Committee's evaluation and/or additional material to the president. The president, whose review must explicitly acknowledge the candidate's

written response issued following the report of the Faculty Evaluation Committee, if any, shall issue a final report including evaluation of the file and final decision, no sooner than five (5) working days after receipt of the file. This report is added to the file, with copies forwarded to the faculty member, the school dean, and the provost on the same date.

Step 7 — Should the faculty member disagree with the decision of the president, she/he may appeal the decision in writing directly to the president within one (1) week of being notified of the decision. If the president maintains her/his decision, it is final.

A faculty member being evaluated may request an additional five (5) days in addition to the five (5) working days provided, for the purpose of obtaining materials deemed critical to the case.

6.9 SABBATICAL LEAVES / The Institute provides opportunities for professional development and research through faculty sabbatical leaves, subject to available financial resources and program requirements.

After each six (6) year period of full-time (or full-time equivalent) teaching at the Institute, faculty members become eligible to apply for a sabbatical leave. Application for sabbatical leave is made in the fall semester of the sixth year of full-time teaching (or full-time equivalent) and, if granted, leave commences in the seventh year. Before applying for a subsequent sabbatical leave, faculty members must again complete a minimum of six (6) years of full-time (or full-time equivalent) teaching.

Faculty members must make formal application for a sabbatical leave through their school deans, to the provost, who forwards requests to the Faculty Evaluation Committee. The president takes action based on the recommendation of the Faculty Evaluation Committee, school dean, and provost, and on the needs of the Institute. Applications should be made before September 15 of the year preceding the academic year for which the leave is requested. The process for review of sabbatical proposals is the same as the process for review of applications for contract renewal or promotion, beginning with step 2 (page 28).

The principal criteria considered for the granting of sabbatical leave include: the nature and quality of the research or professional project proposed by the candidate for the period of the sabbatical; the utility of the project to the applicant's professional growth and to the reputation and academic programs at the Institute; and the ability of the Institute to continue its academic programs during the absence of the professor seeking a sabbatical. Faculty members who are granted sabbatical leaves normally are obligated to return to their regular teaching positions at the Institute for at least one (1) year following the sabbatical and to give a full report on their research or other activities during the sabbatical.

Schools may modify these criteria for sabbatical leaves to support the specific mission and objectives of the school. In that event, school deans, in consultation

with their faculty and the provost, shall establish clear guidelines for framing such sabbatical leave criteria.

Sabbatical leave may be granted for an entire academic year at fifty percent (50%) of the annual salary or for one (1) semester at full salary. The sabbatical period shall be counted as time served at the Institute for the purposes of calculating promotion and contract renewal periods. The Institute shall continue the faculty member's health and retirement benefits during the sabbatical under the same terms as during regular service at the Institute.

In the event that a faculty member's request for a sabbatical leave is denied, either by a school dean or the provost, the Faculty Evaluation Committee shall evaluate the request independently, based on the Institute criteria and any modifications made therein by the school, as described above.

6.10 ROLE OF THE PRESIDENT / The president of the Institute has final approval/denial authority for all faculty sabbaticals, faculty contract renewals, promotions, faculty terminations, and re-appointments of deans. She/he may elect to offer an extension of an existing contract up to one (1) year, or, under special circumstances, a longer extension in those cases when it is judged that more time is needed to evaluate faculty performance for a contract renewal decision.

6.11 LEAVE WITHOUT PAY / In its continuing efforts to provide its faculty with opportunities for professional research and development, the Institute shall consider options for academic leave without pay on a case-by-case basis. A faculty member may apply for leave without pay, normally before September 15 of the year preceding the academic year in which the leave is requested, by submitting formal written application to the president through the school dean and provost. Leave taken without pay shall not be considered time served at the Institute for purposes of calculating promotion and contract renewal periods, and benefits shall be suspended for the length of the leave. Every effort should be made to schedule a period of leave without pay in a manner that does not disrupt the Institute's academic programs.

7. SEPARATION FROM THE INSTITUTE

7.1 NON-RETENTION / Regular faculty members whose non-retention is decided upon pursuant to the evaluation process are entitled to receive a Notice of Non-Retention. All Notices of Non-Retention shall be in writing and shall be served either personally or by registered or certified mail in accordance with the established schedule (see Appendix A), namely no later than June 30, or approximately a year prior to the expiration of an appointment.

7.2 SEPARATION FOR CAUSE / In addition to non-retention pursuant to the evaluation process outlined in section 6.8, faculty may be separated for cause for engaging in prohibited conduct as listed in the Employee Handbook.

7.3 REDUCTION IN PROGRAM / A critical lack of funds and/or the discontinuance of, or reduction in, a program may necessitate a reduction in faculty. Before any non-renewal of contract is decided upon that ground, the president shall consult the provost, who shall in turn consult with the appropriate school dean and other administrators, as appropriate, in order to seek alternative ways to employ affected faculty members

7.4 RESIGNATION / A member of the faculty is expected to furnish written notice of resignation as early as possible but not later than December 1, if the resignation is to be effective the following academic year. By mutual and written agreement, shorter notice may be given.

8. OTHER FACULTY MATTERS

8.1 COMPENSATION AND BENEFITS / Faculty salaries are set by the president as part of the annual budget process after consideration of input from the provost, the deans and the faculty. Faculty are eligible for employee benefits, and are subject to employee policies, procedures and regulations as described in the Monterey Institute Employee Handbook.

8.2 JURY DUTY AND SUBPOENAED WORK-RELATED COURT APPEARANCES / The Institute recognizes jury duty as a civic obligation and shall excuse all summoned faculty members from work without loss of pay if jury duty is required. However, in most cases, courts agree to delay the jury duty requirement for teachers if that duty falls during an academic semester. Every effort should be made to obtain such a delay in order not to disrupt the academic process. However, should jury duty be required during the academic semester, the following procedure applies:

- Upon presentation of a formal summons, a faculty member shall be excused from work for service as a juror.
- The faculty member shall consult with the school dean to find appropriate substitute(s) for any class time missed or to arrange for a make-up class or classes.
- The same procedures as outlined above shall be followed for faculty members who are served subpoenas for court appearances directly related to their work duties.

8.3 OUTSIDE ORGANIZATIONAL ACTIVITY/SOLICITATION / Because of the Institute's status as a nonprofit organization, no faculty member shall use the Institute's name, resources or services for the purposes of engaging in any partisan political activity, for-profit activity or for non-Institute activities.

8.4 PROCEDURES TO FOLLOW IN CASE OF ILLNESS OR EMERGENCY / Any unexpected development preventing a faculty member from meeting a class should be reported to, and handled by, the appropriate school dean. When a class must be canceled, the dean's assistant should be informed by the faculty member in time to post notice in the scheduled classroom. If an acceptable substitute cannot be found, the class must be made up.

8.5 GRIEVANCE PROCEDURE / A faculty member of the Institute should avail him/herself of the following grievance procedures for any violation of (a) his/her employment contract with the Institute; (b) the Faculty Handbook; (c) other Institute policy; or (d) law, that in his/her employment with the Institute, has materially damaged the faculty member.

However, if a faculty member has a complaint of harassment or other behaviors noted in the Institute’s policy against harassment, the complaint procedure in that policy should be used and s/he should promptly present a complaint under the

Institute's harassment policy set forth above in this Handbook.

Filing a Grievance – The grievance process begins with a written document transmitted by the faculty member to the provost that states:

- the faculty member's name, department, and appointment history;
- the decisions by the Institute and the events that give rise to the grievance;
- the adverse impact on the faculty member;
- the part of his/her contract with the Institute, of the faculty handbook, of other policies, or of law, that have been violated, and in what manner there has been material damage to the faculty member;
- the resolution or remedy that is requested;
- the names of the decision-makers and other persons with knowledge of the matters at issue;
- what the faculty member has done to attempt to resolve the complaint.

Notification of Grievance – The provost shall notify the officer, agent, or representative of the Institute whose decision or actions are at issue. Where the decision or action at issue is by a committee of the Institute, the provost may choose to notify the committee. The president shall be notified.

Efforts to Resolve the Grievance – The provost shall consult with the grieving faculty member and the officer, agent or representative of the Institute whose decision or actions are at issue, in an effort to identify if it is possible to resolve the grievance without a hearing. The provost has the power to propose to the president a resolution of the grievance which, if adopted by the president, shall conclude the grievance unless the grieving faculty member objects.

Faculty Grievance Review Committee – If the provost believes that the matter at issue is properly deemed to be a grievance as defined by this policy, the provost forms a faculty grievance review committee (FGRC), doing so in consultation with the relevant dean and the grieving faculty member. The provost appoints the chair and two other members to the FGRC; presents to the FGRC its charge; convenes the FGRC; and determines all procedural questions that are not resolved by this policy.

The provost solicits suggestions for committee members from the relevant dean and the grieving faculty member and appoints from the Institute faculty community at large, the chair and two other members of the FGRC. The grieving

faculty member may petition the provost to excuse any member for good cause shown to the provost, such as prior knowledge of the grievance facts or demonstrated interest or bias toward or against any person involved in the matter.

Hearings – The provost convenes and charges the FGRC within 30 days of the filing of the grievance, absent exigency or absence of key persons. The provost sets forth, in a charge letter, the procedures of hearing of the grievance and the date for hearing.

The hearing of the grievance shall include the taking of evidence submitted by the grieving faculty member and by any officer, agent or representative of the Institute whose decision or actions are at issue, or other evidence as requested by the chair.

The rules for evidence shall be informal such that all relevant information may be heard by the committee. A record of the hearing shall be kept by the chair, in the form of copies of exhibits and a tape recording of the testimonial evidence.

The hearing shall be closed to any person who is not a party to the grievance or a person called by the chair to give evidence. The chair shall regulate the presence of persons and the calling of persons to give evidence. Questioning of witnesses shall proceed informally except that any party to the grievance may request the chair to allow cross-questioning on important matters that do not intrude into personal privacy. Attorneys are not permitted at the hearings; however, a grieving faculty member may otherwise choose to have the advice of an attorney.

Determination of the Grievance – Before the chair of the FGRC closes the hearing, the chair may request the submission of concluding statements by the parties and/or submission of a closing written statement. The chair shall thereafter convene the FGRC for confidential assessment of the matter and upon conclusion of the assessment meetings, the FGRC shall issue a determination report which shall be issued by majority vote of the FGRC. The FGRC shall endeavor to issue a determination report that answers the charge from the Provost upon the weight of the persuasive evidence.

The report shall be transmitted to the provost, who shall in turn transmit it to the president, grieving faculty member, and such other persons at the Institute whom the provost determines should be informed.

The report and determination of FGRC shall constitute the final determination of the grievance by the Institute upon the passage of thirty days after transmittal of its report to the president, unless the president by then issues a written statement indicating that he is considering the grievance or by then has issued his decision on the grievance.

The written decision of the president shall be transmitted by the provost to the FGRC chair and members, the grieving faculty member, and such other persons at the Institute whom the provost determines should be informed. The written decision of the president shall be the final decision of the Institute.

8.6 POLICY AND PROCEDURES FOR DISCIPLINE OF REGULAR FACULTY MEMBERS /

Policy – In order to protect the values of academic freedom, the integrity of teaching of students and of faculty research, and sound administration of the institution, the Monterey Institute requires the adherence of all faculty members to high standards of professional conduct. In the event that a significant deviation from these standards is believed to have occurred, a faculty member may be required to submit to disciplinary charges, which shall be determined according to the procedures set forth in this policy.

Professional Misconduct – General – Professional misconduct is that which occurs in the course of, arising from, or reasonably related to the faculty member's Institute position, duties, or responsibilities with the Institute, or demonstrably affecting, in a significantly adverse way, the effective performance of Institute functions.

Professional Misconduct-Specific – Professional misconduct includes the following:

- dishonest, illegal or unethical behavior in the faculty member's teaching, research or service duties;
- preventing or obstructing Institute teaching, research, or service functions, or any other lawful function of the Institute;
- acts of sexual or other unlawful harassment;
- neglect of Institute-related duties or responsibilities;
- other professional misconduct of a serious nature, including but not limited to, intentionally inflicting physical harm or other serious harm on a member of the Institute community, knowingly violating an Institute policy regulating behavior of faculty members; and
- attempting to, abetting, or inciting another to, engage in conduct which would violate the above-described forms of misconduct if engaged in by the faculty member.

Disciplinary Procedures – General – Discipline for professional misconduct involves either severe sanction(s) or less than severe sanctions. Proposed

discipline may not be imposed except in compliance with faculty disciplinary procedures. Discipline with other than severe sanctions may be imposed by action of the provost; however, the faculty member may appeal such discipline by resort to faculty grievance procedures.

Severe Sanctions – Defined – Severe sanctions are: a temporary reduction in base salary; suspension from the Institute from all or part of duties without pay for a specified period; and/or termination of appointment for disciplinary reasons.

Faculty Disciplinary Procedures – Specific

(a) Severe Sanctions: In order to initiate procedures for discipline for professional misconduct involving severe sanction(s), the provost will prepare a written statement of charges, the proposed severe sanctions, and a brief summary of relevant facts. The provost will deliver such written statement to the faculty member, together with notice of opportunity to meet and confer with the provost to attempt to resolve the matter by agreement. In the event that the matter is not resolved to the mutual satisfaction of the provost and the faculty member within thirty (30) days of delivery of the written statement, these disciplinary hearing procedures may be invoked by the notice of the provost to the faculty member. Hearings and final determination of the charges will be determined by use of the procedures set forth in the Faculty Grievance Policy, supplemented and altered as follows:

Hearings: A hearing shall be held by a panel consisting of three members appointed by the president from among the regular faculty.

The panel shall rule upon any suggestion that a member or members of the proposed panel should be excluded for cause. Replacements for excused members shall be chosen by the president from among the regular faculty. The hearing panel shall choose its own chair.

The principal responsibilities of the hearing panel are to develop a record, to make findings based on the record, and to forward a recommendation to the president. Unless an extension is granted by the chair upon a showing of good cause, the hearing panel shall begin the hearing within 60 days of the referral of a matter.

The hearing panel shall not be bound by formal rules of evidence. The provost shall have the burden of proving the charge of misconduct. Both the faculty member and the provost shall be permitted to present evidence, to examine all evidence presented, to confront and question all witnesses, and to present arguments orally or in writing. The faculty member may act on his or her own behalf, or may utilize the assistance of another faculty member. The provost shall designate the Institute employee or employees who will participate on behalf of the provost. Such individuals may not be currently working as certified attorneys.

Proceedings shall be tape recorded. Absent the agreement of the parties, the hearing shall be open only to those directly involved in the proceedings.

The president shall review the panel's report and notify the faculty member, the provost, and the panel of a decision as to whether or not the charges are sustained and if so, the discipline to be imposed. The decision of the president shall be final.

(b) Non-Severe Sanctions: In the case of proposed sanctions which are not severe, the provost will prepare a written statement of charges, the proposed sanctions, and a brief summary of relevant facts. In the event that matter is not resolved to mutual satisfaction of the provost and the faculty member within thirty (30) days of delivery of the written statement, the provost may impose discipline which carries other than severe sanction. The provost will thereafter notify the faculty member in writing of the imposition of discipline. The provost may likewise impose sanctions that are not severe, while proceedings for severe sanctions under (a) above are pending. The faculty member may file a grievance with respect to non-severe discipline pursuant to grievance procedures of the Faculty Handbook, in which case the president shall make the determination of the grievance.

APPENDIX A: FACULTY EVALUATION SCHEDULE

(1) By procedure type	*Deadline*
Sabbatical Leave	
Faculty submission	**September 15**
Peer Review Committee	September 30
Dean	October 15
Provost	October 30
FEC	November 30
Administration Notification	**December 15**
Annual Review	
Faculty submission	**January 31**
Dean	March 15
Contract Renewal	
Faculty submission	**October 15**
Peer Review Committee	October 31
Dean	November 30
Provost	January 31
FEC	March 31
Administration Notification	**April 30**
Promotion	
Proposed names of external reviewers submitted by Candidate and Dean to the Provost	October 1
Faculty submission	**January 15**
Peer Review Committee	February 15
Dean	February 28
Provost	March 31
FEC	April 30
Administration Notification	**June 30**

Note: the faculty submission and administration notification dates (bolded above) are unshakeable and immutable. All other deadlines shall be followed, unless in exceptional circumstances when significant delay at one stage will inevitably push back subsequent deadlines.

(2) By participants	***Deadline***
<u>Faculty Submission</u>	
Sabbatical Leave	September 15
Annual Review	January 31
Contract Renewal	October 15
Promotion	January 15
<u>Peer Review Committee Deadline</u>	
Sabbatical Leave	September 30
Contract Renewal	October 31
Promotion	February 15
<u>Dean's Deadline</u>	
Sabbatical Leave	October 15
Annual Review	March 15
Contract Renewal	November 30
Promotion	February 28
<u>Provost's Deadline</u>	
Sabbatical Leave	October 30
Contract Renewal	January 31
Promotion	March 31
<u>FEC Deadline</u>	
Sabbatical Leave	November 30
Contract Renewal	March 31
Promotion	April 30
<u>Administration Notification Deadline</u>	
Sabbatical Leave	December 15
Contract Renewal	April 30
Promotion	June 30

APPENDIX B: AAUP GUIDELINES

This material has been taken from the sections, "1940 Statement of Principles on Academic Freedom and Tenure" and "Student Rights and Freedoms," in the 1995 edition of *AAUP Policy Documents & Reports*.

ACADEMIC FREEDOM

a. Teachers are entitled to full freedom in research and in the publication of results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based on an understanding with the authorities of the institution.

b. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter that has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

c. College and university teachers are citizens, members of learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

STUDENT RIGHTS AND FREEDOMS IN THE CLASSROOM / The professor in the classroom and in conference should encourage free discussion, inquiry, and expression. Student performance should be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to academic standards.

a. Protection of Freedom of Expression — Students should be free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.

b. Protection Against Improper Academic Evaluation — Students should have protection through orderly procedures against prejudiced or capricious academic evaluation. At the same time, they are responsible for maintaining standards of academic performance established for each course in which they are enrolled.

c. Protection Against Improper Disclosure — Information about student view, beliefs, and political associations which professors acquire in the course of their work as instructors, advisers, and counselors should be considered confidential. Protection against improper disclosure is a serious professional obligation. Judgments of ability and character may be provided under appropriate circumstances, normally with the knowledge and consent of the student.