



# The Academic Handbook (January 2016 Update)

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This academic handbook is a statement of current policies and procedures applicable to the faculty adopted variously (as indicated) by the University, the faculty, the administration and/or the trustees. These policies and procedures are not contractual. Therefore, the University, including its trustees, the faculty, and the administration reserve the right to change those sections for which each respectively has responsibility as identified in the handbook itself. Further, the University, including the trustees, reserves the right to add to or delete from this handbook from time to time as they decide is appropriate.

The handbook is divided into four sections and has a Table of Contents with hyperlinks beginning on the next page.

## **BY-LAWS AND STANDING RULES OF THE FACULTY**

(Initially rewritten in 1986-87; Faculty Handbook Committee did review and update in 2004-05; change in the faculty governance structure resulted in large changes in spring 2015; frequently amended by faculty approval.)

## **ACADEMIC POLICIES**

(Written and approved by the faculty.)

## **PERSONNEL POLICIES**

(Some sections by faculty action; others by administrative decision; and some sections developed mutually.)

DePauw University strongly affirms the principles of academic freedom and tenure as stated in the *1940 Statement of Principles on Academic Freedom and Tenure, with 1970 Interpretive Comments* of the American Association of University Professors. (See AAUP *Redbook*, 9th Edition, pp. 3-7.)

## **GENERAL POLICIES**

(Written by the administration; some sections approved or acknowledged by the faculty.)

Contents

- By-Laws and Standing Rules of the Faculty ..... 1**
- I. The Faculty..... 1
- II. Faculty Meetings ..... 1
  - A. Regular and Called..... 1
  - B. All faculty members may attend faculty meetings and participate freely in discussions. .... 1
  - C. Voting ..... 1
  - D. Order of Business ..... 1
  - E. Parliamentary Procedure ..... 2
- III. The Officers ..... 2
  - A. The Presiding Officer ..... 2
  - B. The Chair of the Faculty ..... 2
  - C. The Parliamentarian ..... 2
- IV. Academic Organization and Operations..... 3
  - A. Schools, Departments and the Library ..... 3
  - B. Interdisciplinary, Honors and Competency Programs..... 5
  - C. Dean of the School, Chair of the Department, Director or Coordinator of the Interdisciplinary Program..... 7
- V. Curricular Areas ..... 8
  - A. Definition and Function ..... 8
  - B. List of Curricular Areas ..... 8
  - C. Meetings of the Curricular Areas ..... 9
- VI. Elections..... 9
  - A. Method of Election..... 9
  - B. Vacancies ..... 9
  - C. Special Elections ..... 9
- VII. Committees ..... 9
  - A. Delegation of Powers ..... 10
  - B. Eligibility, Restrictions, Terms ..... 10
  - C. Election of Officers of Faculty Committees..... 11
  - D. Communications and Reports ..... 11
  - E. Creation of New Committees ..... 11
- VIII. Core Faculty Committees ..... 12
  - A. Faculty Priorities and Governance Committee ..... 12
  - B. Curricular Policy and Planning Committee..... 12
  - C. Faculty Personnel Policy and Review Committee ..... 13
  - D. Faculty Development Committee..... 14
  - E. Student Academic Life Committee ..... 15
  - F. Grievance Committee ..... 15
- IX. University-wide Committees..... 16
  - A. University Strategic Planning Committee ..... 16
  - B. Diversity and Equity Committee..... 16
  - C. Sustainability Committee ..... 17
  - D. Honorary Degrees and University Occasions Committee ..... 17
- X. Standing Appointed Committees..... 17
  - A. Resource Allocation Subcommittee ..... 17
  - B. Course and Calendar Oversight Committee ..... 18
  - C. Writing Curriculum Committee (new name listed, vote to be taken February 2016) ..... 18
  - D. Academic Standing/Petitions Committee..... 18
  - E. Student Publications Committee ..... 19
  - F. Athletic Board..... 19
- XI. Ad Hoc Committees ..... 19

A.	Library and Academic Technology Committee .....	19
B.	Advising Committee .....	20
C.	Teacher Education Admissions Committee .....	20
D.	Admission Committee.....	20
E.	Hartman Center Committee .....	21
F.	Nature Park Committee.....	21
G.	Arts Advisory Committee .....	21
XII.	Amendments to and Suspension of By-Laws and Standing Rules .....	22
XIII.	Standing Rules.....	22
XIV.	The Constitution and Authority of the Faculty.....	22
	<b>Academic Policies</b> .....	24
I.	Academic Integrity .....	24
A.	Introduction.....	24
B.	Types of Academic Dishonesty .....	24
C.	Overview of the Process.....	25
D.	The Settlement Process .....	26
E.	Penalties for Academic Dishonesty.....	26
F.	Student Records .....	27
G.	The Academic Integrity Hearing.....	27
H.	Appeals .....	28
II.	Student-Initiated Grievance on Grading and Other Forms of Evaluation by Faculty .....	29
III.	Academic Expectations for DePauw Students .....	30
IV.	Academic Probation and Dismissal.....	30
V.	Class Attendance and Absences .....	31
VI.	Conflict Between Class and Extracurricular Activities .....	32
VII.	Religious Holy Days .....	32
VIII.	Classroom Atmosphere .....	33
IX.	Examinations in Courses .....	35
X.	Statement on the Academic Freedom of Students .....	35
XI.	Timely Feedback .....	38
	<b>Personnel Policies</b> .....	39
I.	Appointment.....	39
A.	Part-Time Faculty Positions .....	39
B.	Full-time Faculty Positions .....	41
II.	Periodic Evaluation (Article written and approved by the faculty) .....	43
A.	Annual Consultation .....	44
B.	Peer Observation of Faculty Members in Probationary Tenure-Track Positions .....	44
C.	Evaluation of Faculty Members in Probationary Tenure-Track Positions .....	44
D.	Evaluation of Faculty Members in Tenured Positions .....	45
E.	Evaluation of Faculty Members in Full-Time Term Appointments .....	45
F.	Evaluation of Librarians Serving in Renewable Term Faculty Positions <i>Return to top of the document</i> .....	46
III.	Guidelines for Term, Interim, Tenure and Promotion Reviews <i>Return to top of the document</i> .....	46
IV.	Procedures for Term, Interim, Tenure, and Promotion Reviews .....	47
A.	Preliminary Steps .....	47
B.	Preparation of Decision File.....	47
C.	Personnel Committee Procedure .....	48
D.	Faculty Personnel Policy and Review Committee Procedure .....	49

V.	Criteria for Decisions on Faculty Status (from 2004-05)	50
A.	Teaching	50
B.	Scholarly and Artistic Work	51
C.	Service	52
D.	Librarians serving as renewable term faculty	52
V.	Criteria for Decisions on Faculty Status (prior to 2004-05)	52
A.	Teaching	53
B.	Professional Growth	53
C.	Service	54
D.	Librarians serving as renewable term faculty	54
VI.	Standards and Procedures for Termination: Release, Dismissal and Non-reappointment	54
A.	Release	55
B.	Dismissal	55
C.	Non-reappointment	56
D.	Procedures for Dismissal or Non-reappointment Based on Complaints	56
VII.	Reconsideration and Review in Release, Dismissal, and Non-Reappointment Cases	57
VIII.	Faculty Grievance Process	57
A.	Overview of the Faculty Grievance Process	57
B.	Persons Covered by the Faculty Grievance Process	57
C.	Petition for Faculty Personnel Policy and Review Committee Review of Actions That Were Not Previously the Subject of a Faculty Personnel Policy and Review Committee Recommendation	57
D.	Petition for Faculty Personnel Policy and Review Committee Review of a Faculty Personnel Policy and Review Committee Recommendation	58
E.	Petition to Grievance Committee	59
F.	Mediation Panel Process	59
G.	The Appeals Panel Process	60
H.	Grievance Committee Membership and Selection	63
I.	Conflicts of Interest	63
J.	Committee and Panel Operating Rules	63
K.	Grievance Procedure Interpretation	64
	Appendices to Personnel Policies	65
	Appendix 1: Faculty Personnel Policy and Review Committee Hearing Procedures for Faculty Sanctions	65
	Appendix 2: Terminal Degrees	66
	Appendix 3: Conflict of Interest Policy and Procedures for Faculty Personnel Matters	66
	INTRODUCTION	66
	DEFINITION	67
	PERSONAL RELATIONSHIPS SUBJECT TO THIS POLICY	67
	CONFLICT OF INTEREST PROCEDURES	67
	CONFIDENTIALITY AND RECORDKEEPING	68
	<b>General Policies</b>	69
I.	Absence from Campus During the Academic Year	69
A.	Absences for Professional Reasons	69
B.	Illness, Emergency Medical and Family Care Reasons for Absences	69
C.	Inclement Weather	69
D.	Reporting Missed Classes and Obtaining Approval for Extended Absences	69
E.	Making Up Canceled Classes	70
F.	Discretionary Personal Absences	70
II.	AIDS Policy	70
III.	Alcohol and Controlled Substance Policy	70
IV.	Alcoholic Beverage Policy for Students	71
Section I		71

Section II: Safe Community Clause .....	72
Section III: Laws of the State of Indiana.....	72
Section IV: Responsible Management of Events Involving Alcohol.....	72
V. Alternate Class Activities for a Scheduled Class Meeting .....	74
VI. Animal Use and Care in Research Policy.....	74
VII. Classroom Observation Policy for Faculty Members on Full-time Term and Part-time Appointments .....	75
A. For Full-Time Term Appointments.....	75
B. For Part-Time Appointments .....	76
VIII. Compensation for Professional Assistance.....	76
IX. Conflict of Interest Policy .....	76
Article I: Purpose .....	76
Article II: Definitions .....	76
Article III: Procedures.....	77
Article IV: Violations.....	78
X. Consensual Relations Policy .....	78
XI. Deceased Student Policy .....	79
Posthumous Degree.....	79
Posthumous Degree Policy.....	79
Posthumous Degree Procedure.....	79
If a posthumous degree is approved: .....	79
Posthumous Award .....	79
XII. Drug Free Workplace .....	80
Voluntary Treatment .....	80
Use of Prescription Drugs .....	80
University Responsibilities .....	80
XIII. Electronic Communications and Acceptable Use Policy .....	81
A. Introduction .....	81
B. Policies .....	81
C. Monitoring and Disclosure .....	83
D. Retention and Archival Storage of Electronic Communications .....	84
E. Acceptance of Electronic Signature.....	84
F. Violations.....	84
G. Relationship to Other University Policies .....	84
H. Definitions.....	84
XIV. Employment Outside the University .....	85
XV. Equal Opportunity Policy.....	85
XVI. Ethical Conduct Statement .....	86
XVII. Exam Proctoring Policy.....	86
XVIII. Faculty Development Benefits .....	87
XIX. Field Trip and Special Event Funds .....	87
Field Trip Funds .....	87
Attendance Policy / Missing Other Classes.....	87
Special Event Funds .....	87
Application Guidelines.....	87
Planning Events and Submitting Receipts.....	88
XX. Harassment Policy.....	88
Definition of Harassment and Notice of Non-Discrimination.....	88
Sexual Harassment .....	89
Reporting Procedure.....	89

Investigation and Resolution of Complaint .....	90
XXI. Hospitality Funds .....	91
XXII. Human Subject Research Policy and Review Procedure .....	92
Introduction .....	92
Human Subject Review Procedures .....	92
Category I Research .....	93
Category II. Expedited Review Research.....	93
Category III. Full Review Research .....	93
Composition of the Board .....	94
General Procedures .....	94
Appendix A .....	94
Appendix B .....	95
XXIII. Insurance and Other Benefits .....	95
XXIV. Intellectual Property Policy .....	95
Preamble.....	95
Rights of Ownership.....	95
II. Staff Works.....	96
III. Faculty Works .....	96
IV. Student Works.....	97
Copyright Notice and Use of the DePauw University Name .....	97
Administration, Interpretation and Dispute Resolution.....	98
XXV. Open Access Policy.....	98
XXVI. Opening Convocation and Commencement .....	99
XXVII. Record Retention and Document Destruction Policy .....	99
Purpose.....	99
Document Retention.....	99
Corporate Records.....	99
Accounting and Corporate Tax Records .....	100
Bank Records .....	100
Payroll and Employment Tax Records.....	100
Employee Records .....	100
Donor and Grant Records.....	100
Legal, Insurance, and Safety Records .....	100
Student Records .....	101
Electronic Documents and Records .....	101
Emergency Planning .....	101
Document Destruction.....	101
Compliance .....	101
XXVIII. Retirement Agreement for a Tenured Faculty Member .....	101
Post Retirement .....	102
Pre-Retirement Arrangements .....	102
XXIX. Student Leave of Absence Procedure .....	104
Requesting a Leave of Absence .....	105
Processing a Leave of Absence .....	105
Returning from a Leave of Absence.....	105
XXX. Student Records Policy -- Access to Records and Release of Information .....	106
XXXI. Whistleblower Policy: Protection for Those Reporting Fraudulent, Dishonest, or Unlawful Behavior .....	107
XXXII. Extended Studies (Winter Term and May Term) .....	109

## **By-Laws and Standing Rules of the Faculty**

(Initially rewritten in 1986-87; Faculty Handbook Committee did review and update in 2004-05; change in the faculty governance structure resulted in large changes in spring 2015; frequently amended by faculty approval.)

### **I. The Faculty**

The faculty consists of the President and those persons appointed to tenure-track, term, or part-time positions with academic rank or nominal rank. (See the Appointment Section of Personnel Policies for a description of the types of faculty positions.)

### **II. Faculty Meetings**

#### **A. Regular and Called**

There shall be one regular voting meeting of the faculty each month of the academic year. Additional meetings when desired may be called by the Chair of the Faculty.

#### **B. All faculty members may attend faculty meetings and participate freely in discussions.**

#### **C. Voting**

1. Full-time faculty members holding positions with academic or nominal rank, including those on sabbatical, pre-tenure, or academic leave, may vote. (See [Article I.B.](#) in the Personnel Policies for a definition of full-time faculty positions.) The President, the Vice President for Academic Affairs, and the Registrar also have voting privileges.
2. Faculty members in Part-Time Faculty Positions with Academic Rank may vote in any semester that their teaching load exceeds the equivalent of 1.5 courses or in any active teaching semester after 12 semesters of teaching service to the University. Librarians serving as part-time renewable term faculty may vote in any semester that their load exceeds the equivalent of 50% of full-time, or in any active semester after 12 semesters of librarianship at the University. All other faculty members in part-time positions may attend faculty meetings and participate in debate, but not vote; however, Senior (Emeriti) Professors are eligible to vote during any semester in which they are teaching at least one course.
3. A quorum shall consist of 40% of the full-time faculty eligible to vote and not on approved leave (rounded to the nearest whole number). This number shall be determined for each semester by the Vice President for Academic Affairs, using the faculty roster as of the Friday immediately preceding the first faculty meeting of each semester. Immediately after the call to order at the first faculty meeting of each semester, the Vice President for Academic Affairs shall announce the quorum requirement for that semester. The next order of business after the call to order at each faculty meeting shall be the verification of a quorum by the Chair of the Faculty; (for the first meeting of the semester, the quorum verification shall occur after the Vice President for Academic Affairs has announced the requirement).
4. All voting in meetings, unless otherwise stipulated, shall be by show of hands. However, at the request of any faculty member the vote shall be by secret ballot.
5. Any voting faculty member may object to including an item on the Consent Agenda. Such an objection will result in full debate of the item under the appropriate order of business.

#### **D. Order of Business**

At all regular voting faculty meetings the following list of items must be included on the agenda, however with the exceptions of the call to order, verification of the quorum, consent agenda and adjournment the order may be adjusted to best facilitate faculty business. The Chair of the Faculty with Faculty Priorities and Governance Committee will consider how to best organize the agenda each month.

1. Call to order and verification of quorum,
2. Consent Agenda,
  - a. Approval of minutes
  - b. Approval of new courses and announcement of course changes (as needed)

- c. Approval of election results (as needed)
- d. Conferring of baccalaureate degrees (as needed)
- e. Other (as needed)
3. Reports from Core Faculty Committees,
4. Reports from other committees,
5. Remarks from the Vice President for Academic Affairs,
6. Remarks from the President,
7. Unfinished business,
8. New business,
9. Announcements, and
10. Adjournment.

### **E. Parliamentary Procedure**

1. The following shall be circulated at least three days before each faculty meeting: copies of the minutes of the last meeting and an agenda including the specific committee motions to be voted on at the next meeting including the exact text of the consent agenda. All committee motions on which there is to be a vote at a faculty meeting must have been announced in the agenda circulated before that meeting.
2. All business shall be conducted according to proper parliamentary procedure as set forth in *Robert's Rules of Order*.

## **III. The Officers**

### **A. The Presiding Officer**

The Chair of the Faculty shall preside at all meetings of the faculty. In the event of absence due to illness, a substitute designated by the Chair of the Faculty shall preside.

### **B. The Chair of the Faculty**

1. The Chair of the Faculty shall be a tenured faculty member elected by the faculty for a term of two years under the election rules provided in [Article VI](#).
2. The Chair of the Faculty shall appoint an assistant to help in preparing the first draft of the minutes of the faculty meeting, with faculty elections, with maintenance of the Academic Handbook, and any other record keeping functions. The Chair, aided by the assistant, shall have responsibility for the tabulation of ballots in any faculty election, and, in cooperation with the office of Academic Affairs, shall be responsible for the Academic Handbook. The Chair shall insure that every faculty member shall have a copy (or access to electronic editions) of all revisions, amendments and new editions of the Academic Handbook. Financial and resource support for the assistant and the functions of the Chair shall be given by the chief academic officer of the University.

### **C. The Parliamentarian**

The Parliamentarian shall be tenured or in at least the seventh year of full-time faculty status elected by the faculty for a term of three years under the election rules provided in [Article VI](#). The Parliamentarian shall advise the Chair on rules of procedure in the faculty meeting and shall have final authority to resolve disputes regarding those rules. In case of vacancy in the office of Parliamentarian, the Chair shall appoint an Interim Parliamentarian and conduct an election for a new Parliamentarian to serve a full term as soon as possible.

## IV. Academic Organization and Operations

### A. Schools, Departments and the Library

1. There are two schools: Asbury College of the Liberal Arts and the School of Music. All academic departments are in the College of Liberal Arts, and the music faculty members are in the School of Music. The Library is a separate non-academic department, which includes all libraries on campus and the University archives.
2. There are twenty departments in the Asbury College of Liberal Arts: Art and Art History, Biology, Chemistry and Biochemistry, Classical Studies, Communication and Theatre, Computer Science, Economics and Management, Education Studies, English, Geosciences, History, Kinesiology, Mathematics, Modern Languages, Philosophy, Physics and Astronomy, Political Science, Psychology, Religious Studies, Sociology and Anthropology. Each department and the School of Music are responsible for the maintenance of an academic program according to which degrees are awarded. (See the [DePauw University Catalog](#) for details.)
3. Academic positions. Faculty members with academic rank are appointed to positions in the School of Music or the Asbury College of Liberal Arts, as outlined in [Article I](#) in the Personnel Policies. (In those cases where the principal duties of the academic appointment are to administer and teach in Interdisciplinary, Honors and Competence Programs, particular rules apply. See below.)
4. Responsibilities: Except when specified by faculty action as described in the University Catalog, Academic Handbook, and/or the appropriate faculty meeting minutes, schools and departments shall have immediate supervision over:
  - a. their respective fields and disciplines and the courses of instruction;
  - b. the definition of teaching positions in those fields and disciplines;
  - c. the proposals for full-time faculty positions;
  - d. the recruitment, appointment, evaluation, tenure, and promotion of their faculty members;
  - e. the definition of major and minor concentrations of studies in their respective fields and disciplines;
  - f. their schedules of courses and laboratories;
  - g. their organizational structure; and
  - h. the support personnel and budget needed to carry out their respective missions.
5. Committees (Approved by the Faculty, March 7, 2005; amended October 5, 2009)
  - a. Personnel Committee

The Personnel Committee is created anew for each specific review.  
(Procedures for this committee are described in [Article IV. C.](#) in the Personnel Policies.)

#### 1. Membership:

- (a) For a faculty member with an appointment in a single department or school, the Personnel Committee shall consist of all tenure-track faculty members, librarians with faculty rank, and term faculty members with significant administrative duties of the department or school except the person being reviewed and those in the first year or last year of service. Probationary tenure-track faculty members, term faculty members with significant administrative duties, and those on leave may excuse themselves from any case without prejudice. For a faculty member with an appointment in two or more departments or programs, the Personnel Committee will be constituted as stipulated in the letter of appointment in keeping with the general spirit of the preceding provision. (For definitions of types of full-time faculty, see [Article I. B.](#) in the Personnel Policies)
- (b) Membership exclusion based on Conflicts of Interest as covered by the policy established by the Faculty Personnel Policy and Review Committee and the Administration and published in [Appendix 3](#) in the Personnel Policies of the Academic Handbook apply.
- (c) If the description and actions above would create a Personnel Committee of two or fewer members, or if they would create a Personnel Committee with less than a majority of tenured members, then additional Personnel Committee members shall be selected from related departments, according to a procedure established by the Faculty Personnel Policy and Review Committee and the Administration. Enough additional members shall be selected so that there are at least three members total and a majority of tenured members.

2. Chair and Organization:

- (a) Normally, the chair of the department or the dean of the school serves as the committee chair and communicates the recommendation of the committee following procedures detailed in [Article IV.C.](#) in the Personnel Policies of the Academic Handbook. In the event that the chair of the department or the dean of the school is the person under review or unable or ineligible to serve as chair, the Vice President for Academic Affairs will designate a member of the department or school as the convener of the first meeting. In this case, the members will elect a chair at their first meeting.
- (b) Prior to the first meeting, the chair or convener shall determine if additional members of the committee will be needed [per section 1(c) above]. At its first meeting, the members of the committee will initiate the process of selecting the additional members.

3. Function and Duties:

The committee makes recommendations regarding interim, term, tenure, and promotion decisions affecting members of the department, following procedures specified in [Article IV.C.](#) in the Personnel Policies of the Academic Handbook. It also makes recommendations regarding the extension of term appointments.

b. Search Committee

The Search Committee is created anew for each search to fill a full-time position and ceases to exist once the position has been filled. This section applies only to searches for full-time positions. (For information about part-time appointments, see [Article I.A.](#) in the Personnel Policies of the Academic Handbook.)

1. Membership:

- (a) Search Committee shall consist of all tenure-track faculty members, librarians with faculty rank, and term faculty members with significant administrative duties of the department except those in their first year or last year of service; there will be additional members, one from each of two other departments, chosen by the Vice President for Academic Affairs, after consultation with the Faculty Personnel Policy and Review Committee, from a list provided by the department. Additional members from other departments are not required in searches for positions lasting one year. In special circumstances, at the request of the Search Committee, the Vice President for Academic Affairs, with the approval of the Faculty Personnel Policy and Review Committee, may appoint additional faculty members from the department to serve on the committee, such as those who are in their first or last year of service. Probationary tenure-track faculty members, term faculty members with significant administrative duties, and those on leave may excuse themselves from any search without prejudice. (For definitions of types of full-time faculty, see [Article I.B.](#) in the Personnel Policies).
- (b) Membership exclusion based on Conflicts of Interest as covered by the policy established by the Faculty Personnel Policy and Review Committee and the Administration and published in [Appendix 3](#) in the Personnel Policies of the Academic Handbook apply.

2. Chair and Organization:

Normally, the chair of the department or the dean of the school shall serve as the chair of the Search Committee. In the event that the chair of the department or the dean of the school is unable or ineligible to serve as chair, the Vice President for Academic Affairs will designate a member of the department or school as the convener of the first meeting. In this case, the members will elect a chair at their first meeting.

3. Function and Duties:

The committee will co-ordinate all facets of the search process, according to the procedures for searches established by the Faculty Personnel Policy and Review Committee and the Administration, in consultation with the Diversity and Equity Committee. It will then make a recommendation for hiring to the Vice President for Academic Affairs based upon all available evidence.

c. Full-Time Position Request Committee

The Full-Time Position Request Committee is created solely to request a position, and exists only until the request has been submitted and processed.

1. Membership:

Requests for a tenure-track or term faculty position shall be made by tenure-track faculty members of the department or school, except those ineligible to participate in the ensuing search (see section (1)b above). Those not tenured or who are on leave may excuse themselves from any case without prejudice. A good faith effort must be made to inform and include in the process all eligible members, whether on leave or not. At the request of the Full-Time Position Request Committee, the Vice President for Academic Affairs, with the approval of the Faculty Personnel Policy and Review Committee, may appoint additional faculty members from the department to serve on the committee. Membership exclusion based on Conflicts of Interest as covered by the policy established by the Faculty Personnel Policy and Review Committee and the Administration and published in [Appendix 3](#) in the Personnel Policies of the Academic Handbook apply.

2. Chair and Organization:

Normally, the chair of the department or the dean of the school shall serve as the chair of the Full-Time Position Request Committee. In the event that the chair of the department or the dean of the school is unable or ineligible to serve as chair, the Vice President for Academic Affairs will designate a member of the department or school as the convener of the first meeting. In this case, the members will elect a chair at their first meeting.

3. Function and Duties:

The Full-Time Position Request Committee submits a request to the Vice President for Academic Affairs for a term position, and to the Curricular Policy and Planning Committee through the Tenure-line Committee for a tenure-track position. Every member of the committee must either sign the request for staffing or a separate opinion.

**B. Interdisciplinary, Honors and Competency Programs**

These programs have been created over a series of years to serve different academic needs. When new studies and programs are established, the faculty members developing the program shall include in their motion to the Curricular Policy and Planning Committee the following:

- A statement describing the selection process, the length of term, and the necessary qualifications for members of the Steering or Executive Committee.
- A statement outlining the selection process, the length of term and the responsibilities of the director or coordinator of the program. When appropriate, this document should also outline the part which the Steering Committee will play in the personnel review of the director of the program.

Existing programs, as of 2005, will include material describing these selection processes, etc. as described above in their next scheduled self-study for review and approval by the Curricular Policy and Planning Committee.

Interdisciplinary	Interdisciplinary	Honors Programs	Competency Programs
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<b>Programs Granting a Major and a Minor</b>	<b>Programs Granting Only a Minor</b>		
Africana Studies Asian Studies Conflict Studies Film Studies Women's, Gender and Sexuality Studies	European Studies Jewish Studies Latin American and Caribbean Studies Russian Studies World Literature (to be approved February 2016)	Environmental Fellows Honor Scholar Management Fellows Media Fellows Science Research Fellows	Oral Communication Quantitative Reasoning Writing

There are nine Interdisciplinary Programs in Asbury College of Liberal Arts associated with the awarding of a degree. These are interdisciplinary academic programs operating outside the departmental structure of governance. Each program has an Executive or Steering Committee responsible for it; each has a director or coordinator for the administration of the program. In addition, there are four Honors Programs and three Competency Programs. All such programs exist in agreement with the University's Mission Statement. They are not, however, academic departments, but exist as extensions of departmental curricular activities.

Interdisciplinary programs that do not offer a major, Honors and Competency Programs may neither request nor define their own, full-time academic positions without support from a school or department; they do not have full-time, ranked academic positions made exclusively to them. They are typically maintained through the cooperation of several academic departments.

#### 1. Executive or Steering Committee

##### a. Interdisciplinary and Honors Programs

- (1) **Function:** The Executive or Steering Committee will oversee and guide the continuance of the program; it shall conduct the self-study and draft the long-term plans and goals as appropriate. It shall make recommendations to the Vice President for Academic Affairs regarding the needs and goals of the curricular program.
- (2) **Responsibilities:** Except when specified by faculty action as described in the University Catalog, the Academic Handbook, and/or the appropriate faculty meeting minutes, the Executive or Steering Committee shall have supervision over
  - the courses of instruction in its respective field or interdisciplinary area;
  - when applicable, the definition of the major or minor concentration;
  - the program's academic structure;
  - the criteria for identifying courses in other departments which may satisfy requirements in the programs and the selection of such courses;
  - the designation of affiliated faculty members; and
  - its organizational structure.

The Executive or Steering Committee is encouraged to provide evidence of participation for the decision file of faculty members teaching in the program.

- (3) **Membership:** The members of the Steering Committee shall be appointed by the Vice President for Academic Affairs based on the recommendations of the director or coordinator of the program and the qualifications set forth when the program was created and/or reviewed during the most recent self-study. Normally the term will be three years.

##### b. Competency Programs

- (1) Function: The Executive or Steering Committee will oversee and guide the program; it shall conduct the self-study and draft the long-term plans and goals as appropriate. It shall make recommendations to the Vice President for Academic Affairs regarding the needs and goals of the program.
- (2) Responsibilities: The Executive or Steering Committee of each Competency Program provides curriculum coherence and development as part of DePauw's general education requirements. In consultation with related academic departments and participating faculty members, these committees have supervision over the selection of courses for inclusion in the program.
- (3) Membership: The members of the Steering Committee shall be appointed by the Vice President for Academic Affairs based on the recommendations of the director or coordinator of the program and the qualifications set forth when the program was created and/or reviewed during the most recent self-study. Normally the term will be three years.

## 2. Director or Coordinator

### a. Interdisciplinary and Honors Programs

The director or coordinator of Interdisciplinary and Honors Programs administers the areas studies or program in consultation with the Steering or Executive Committee. This director oversees the support personnel and the budget needed to carry out the program. Normally the term of office will be three years. The director of an Interdisciplinary Program is a faculty member appointed by the Vice President for Academic Affairs from a department which is participating in the Interdisciplinary Program. The director of an Honors Program may be appointed either from among the members of the faculty or as an administrative appointment.

### b. Competency Programs

These programs have two leadership positions. The Associate Faculty Development Coordinator for each competency program is appointed by the Vice President for Academic Affairs for a three-year term. The coordinator chairs the Steering Committee and has major oversight of the program. The director of the Competency Center is a faculty member having significant administrative duties; in addition, he or she may have an academic position.

Note: There are a number of other elements of the curriculum which are not covered by this section. For example, the following are governed by provisions of this handbook describing faculty committees: Writing Curricular Committee (see Curricular Policy and Planning Committee); Independent Internships (see Course and Calendar Oversight Committee); Off-Campus Study (see Curricular Policy and Planning Committee). For more information on the Interdisciplinary Major, the Business Administration Minor and the International Business Program, see the [DePauw University Catalog](#).

## **C. Dean of the School, Chair of the Department, Director or Coordinator of the Interdisciplinary Program**

1. If selected as a result of a national search, department chairs and the Dean of the School of Music are appointed by the President following the usual faculty search procedures; the term of these appointments will be stipulated at the time of the appointment, after consultation with the members of the department or the school. Renewal may follow the consultation process described for internal appointment. If selected as a result of an internal search, department chairs and the Dean of the School of Music are appointed by the President upon the recommendation of the Vice President for Academic Affairs and the Faculty Personnel Policy and Review Committee after consultation with the members of the department or school; the term of these appointments is three years with the possibility of renewal. Ordinarily, no more than two consecutive terms will be served by a department chair.

Heads of Interdisciplinary, Honors, and Competency Programs are appointed by the Vice President for Academic Affairs. For more details about selection and term length, see the description of these positions in [Article IV.B.](#) above.

A dean, chair, coordinator or director may receive a stipend or have reassigned time from teaching according to an established schedule. If there are co-dean or co-chairs, associate deans or associate chairs, similar arrangements shall be followed.

2. Deans, chairs and program directors are expected to be leaders within the University at large through consultation with the Administration and committees. They meet as a body monthly during the academic year to discuss mutual concerns and share expertise. The Chair of the Faculty also attends the monthly meeting. The body may select officers, organize committees, conduct workshops, etc., to expedite their work.
3. Deans, chairs, directors, and coordinators lead curriculum planning within the school, department, or program. Deans and chairs chair the Personnel Committee; directors and coordinators have no such responsibility. Deans, chairs, directors, and coordinators prepare and administer the school, department, or program budget. In these areas, they should lead, but also consult others in the school, department, or program and involve them in the decision-making process. They are responsible for maintaining good morale within the school, department or program and for encouraging excellence in teaching and other professional activities.
4. Deans, chairs, directors, and coordinators link the school, department, or program and other University constituencies, serving as spokespersons for the school, department, or program's interests, but also interpreting for their discipline the larger needs and goals of the University.
5. Deans or chairs serve as mentors to the members of the school or department, particularly the newer members, informing them of development opportunities, facilitating peer teacher observations, communicating University and departmental expectations, and helping faculty members to meet those expectations.
6. Responsibilities of deans and chairs in the personnel process are described in [Articles II](#) and [Article IV](#) in the Personnel Policies of the Academic Handbook.

## V. Curricular Areas

### A. Definition and Function

There are some committees within the governance structure for which representation from different disciplines facilitates the committee's best work, Curriculum Policy and Planning, Faculty Personnel Policy and Review, Faculty Development, and Course and Calendar Oversight Committees. To ensure perspectives from all areas of the curriculum are represented on such committees, members of the faculty with voting status will choose their curricular home for that purpose. Under this model it is likely that there will be some departments and programs where members choose different curricular areas.

Over the course of a career, changes in faculty member's professional interests and expertise may cause them to switch their area affiliation, it is expected that such changes would be infrequent. Changes must be declared by March 1 each year so curricular affiliations are clear when committees are populated (elected and appointed) for the coming academic year.

The Chair of the Faculty with the assistance of Academic Affairs will make sure lists are up to date and available to faculty members.

### B. List of Curricular Areas

- Arts
- Humanities
- Mathematical, Computational and Natural Sciences
- Social Sciences

### C. Meetings of the Curricular Areas

Committees or members of a Curricular Area may call a meeting when needed. Effort should be made to choose a time that seems likely to make possible the largest attendance at each meeting. All listed members of the Curricular Area must be invited. The group organizing the meeting should distribute an agenda for the meeting and written summary of discussion after the meeting to all Curricular Area members and submit the agenda and written summary to the Chair of the Faculty for appropriate archiving available to all voting members of the faculty.

## VI. Elections

### A. Method of Election

1. By February 15 each spring the Chair of the Faculty shall release a list of committee vacancies for both elected and appointed committees noting any curricular area restrictions.
2. Nominations for elected committees will be accepted through deadline for the March faculty meeting when a list of all nominations received will be circulated with the agenda. After the March meeting is adjourned there will be an open conversation to facilitate finalizing nominations for elected committee vacancies.
3. Ballots will be released one week after the March faculty meeting. Voting shall be conducted via an electronic ballot. The ballot must be available to all voting members of the faculty for at least three in-session days. Brief position descriptions will be in displayed with the list of nominees for each elected position. The names of the individuals nominated shall be arranged in random order on the official ballot. The Chair of the Faculty shall conduct all elections and will archive the results of elections for a minimum of four years.
4. The Chair of the Faculty shall announce the results of all elections by the April faculty meeting and record them in the April faculty meeting minutes.
5. Individuals not serving on an elected committee in the coming year will submit their preferences regarding appointed committee service by April 8. The Faculty Priorities and Governance Committee will announce appointments by the May faculty meeting and the Chair of the Faculty shall record them in the May faculty meeting minutes.
6. All offices for the same committee which have the same term shall be considered as one group in the election of faculty representatives to faculty committees. Nominees receiving the highest numbers of votes in the general election shall be elected.
7. No persons may be elected or appointed to any faculty position without their consent.
8. Student members of faculty committees will be chosen by the Student Congress from among those students in good standing petitioning for the positions.
9. Administrative appointments for the coming year will be announced by the administration on or before July 5.

### B. Vacancies

In the event of a vacancy in any faculty office or committee after the spring elections, the Chair of the Faculty will send out a general call for nominations. The Chair of the Faculty will then conduct an election by electronic ballot. If there is only one nominee for a vacancy, the Chair of the Faculty may appoint that person to the position, subject to the approval of the faculty at its next faculty meeting.

### C. Special Elections

Other special elections may be held at the discretion of the Chair of the Faculty or at the direction of the faculty.

## VII. Committees

There are four categories of Committees:

- **Core Faculty Committees** ([Article VIII](#))

These committees will supervise and integrate, singly or in conjunction, the formulation and execution of policy in

five areas: Faculty Governance and Priorities, Curricular Policy and Planning, Faculty Personnel Policy and Review, Student Academic Life, and Faculty Development. These committees shall recommend all policies to the faculty for adoption. These committees shall be responsible for the interpretation of policy in their respective areas.

They shall consider all issues submitted by faculty members or referred by the Chair of the Faculty. They shall report to the faculty at each faculty meeting.

Membership on Core Faculty Committees is by election by the entire voting faculty.

- **University-wide Committees ([Article IX](#))**

These committees, in order to carry out their function, need to have broad representation from most major constituencies on campus. The purview of the University-wide Committees is broader than that of the Core Faculty, Standing Appointed and Ad hoc Appointed Committees.

- **Standing Appointed Committees ([Article X](#))**

These committees will carry out specific policies and programs in the areas of their respective assignments. They shall submit their policy recommendations to the relevant Core Faculty Committees for consideration, and they may report such recommendations directly to the faculty. Upon request of the appropriate Core Faculty Committee they shall present a report of their particular actions. They shall consider all issues submitted by faculty members or referred by the relevant Core Faculty Committees or the Chair of the Faculty.

These committees may be assisted in the execution of their duties by an administrative director appointed by the President.

Membership on Standing Appointed Committees is based on appointment by the Faculty Priorities and Governance Committee considering individual interest and institutional need after elected committees have been seated.

- **Ad Hoc Committees ([Article XI](#))**

These committees do not necessarily need to meet each year. However, they oversee areas on which faculty may periodically want to provide input. They are described here, therefore, in order to streamline appointment to them in years when a need is known or arises. Faculty members and administrators with issues under the mandate of each committee make a request to the Faculty Priorities and Governance Committee to appoint the committee. Such requests must suggest an anticipated length of needed service. Every effort should be made to identify the need by spring break of the previous year for anticipated issues spanning at least one semester of the coming academic year.

Membership on Ad hoc Committees is based on appointment by the Faculty Priorities and Governance Committee in consultation with the Core Faculty Committees considering individual interest and institutional need after elected committees have been seated.

## **A. Delegation of Powers**

Faculty committees may delegate matters of specialized study, program direction, and administration to ad hoc or permanent sub-committees. (The members of such sub-committees need not be members of the committee making the delegation.)

## **B. Eligibility, Restrictions, Terms**

1. Faculty members must be tenured to serve on the Grievance Committee and Faculty Personal Policy and Review Committee.
2. Faculty members must be tenured or in at least the seventh year of full-time status to be eligible for election to any of the other Core Faculty Committees.

3. Faculty members appointed to tenure-track and term positions are eligible for service on appointed committees. Usually tenured faculty member or those in at least the seventh year of full-time status serve on University-wide Committees.
4. The Faculty Personnel Policy and Review Committee may have representation from no more than two individuals serving from the same department. All other elected and appointed committees will have no more than one individual serving from the same department.
5. All terms of service on faculty committees filled by elections shall be two years, unless otherwise specified. Members may be re-elected to one successive term. After a break of at least one year faculty members may choose to stand for election again.
6. No faculty member may serve in more than one elected position. Faculty members holding elected positions should not be assigned to appointed committee positions by the Faculty Priorities and Governance Committee. Eligible faculty members should only be appointed to one governance committee by the Faculty Priorities and Governance Committee. The Faculty Priorities and Governance Committee should strive to have the overall appointed committee membership represent the balance of tenured to untenured faculty present in the faculty at the time appointments are made.
7. A faculty member may not run for election or be appointed to any committee if they have an approved leave (e.g. pre-tenure leaves, sabbatical leaves, leaves for renewable term faculty members, pre-retirement leaves, and special leaves) or their standing leave schedule suggests they should be on leave at any time during the two-year term of service.
8. Representatives to committees will do their best to consider the broad needs of students, the faculty, the administration and the institution in making decisions.

### **C. Election of Officers of Faculty Committees**

The chair of a faculty committee shall be chosen from the elected faculty members or the faculty members appointed by the Faculty Priorities and Governance Committee at the last committee meeting of the previous academic year except where otherwise specified. Officers of committees shall have voting rights.

### **D. Communications and Reports**

Minutes of all committees shall be made available to all members of the faculty, unless restricted access is required due to confidentiality considerations. Where confidentiality is a concern, a list of topics discussed must be posted. Committees should strive to approve minutes from the previous meeting at the next meeting.

Each Core Faculty Committee shall report at all faculty meetings. Other committees meeting throughout the year should report at least once a semester.

By May 15 of each year all committees that met at any time during the academic year will submit an approximately two page annual report to the Chair of the Faculty. These reports should include a bulleted list of decisions made, pending issues, and recommendations about when issues need to be revisited or assessed in the future and on what schedule that review is recommended.

Each committee should maintain a list of membership responsibilities that is consistent with the committee's function and charge. These descriptions should be available to all members of the faculty and should be shared with all members of the committee and the Faculty Priorities and Governance Committee annually.

### **E. Creation of New Committees**

The faculty may create new committees whose members shall be elected by the faculty, except in cases where the faculty, by a two-thirds vote of those present and voting, shall authorize some other procedure.

## VIII. Core Faculty Committees

### A. Faculty Priorities and Governance Committee

1. *Function.* This committee oversees the faculty governance system and meets regularly to engage in or delegate strategic planning matters for the faculty. The committee regularly considers how to balance major faculty conversations and other faculty business over the course of the academic year. Additionally, this committee serves as a convenient venue for committees to share information and concerns. The Faculty Priorities and Governance Committee decides how the faculty should address issues that do not clearly fall within the purview of existing committees or whose impact would overlap the charge of multiple committees. The committee will assist the administration in directing its inquiries and requests for input to the appropriate faculty committee and, where necessary, in balancing faculty service and interest. The Faculty Priorities and Governance Committee makes faculty service assignments to Standing Appointed and Ad hoc Committees in consultation with the Core Faculty Committees.

The following Standing Appointed Committees report to the Faculty Priorities and Governance Committee:  
None.

The following Ad hoc Committees report to the Faculty Priorities and Governance Committee: Hartman Center Committee, Nature Park Committee and Arts Advisory Committee.

A member of the Faculty Priorities and Governance Committee should be assigned as a liaison to each Standing Appointed Committee and Ad hoc Committee when formed.

2. *Membership.*  
*Faculty membership:* One (1) representative from the Core Faculty Committees: Curricular Policy and Planning, Faculty Personnel Policy and Review, Faculty Development, and Student Academic Life; two (2) directly elected faculty members; and the Chair of the Faculty, for a total of seven (7) faculty members. All representatives serve for two years to facilitate continuity on the committee.

*Administrative members: Ex officio (without vote):* Chair of Chairs.

*Student members:* None.

### B. Curricular Policy and Planning Committee

1. *Function.* The committee shall be responsible for general and long-range academic policy. It shall recommend to the faculty policies and programs relating to the academic interests of the University.

This committee shall supervise programs and recommend policies relating to: admission requirements, ROTC, Experimental Division, University Studies, Extended Studies, graduation requirements, pre-professional programs, and other programs of similar relevance to academic policy. All new majors and minors, whether departmental or interdisciplinary in nature, shall be considered by the Curricular Policy and Planning Committee and subsequently voted on by the faculty. This committee will review reports from external review of departments and programs to facilitate their overall supervision of the academic program. Furthermore, this committee shall be responsible for policies and actions of the faculty relating to the daily operation of academic programs, and it shall have the responsibility for making recommendations to the faculty concerning the institution and implementation of these policies and details.

The following Standing Appointed Committees report to the Curricular Policy and Planning Committee:  
Resource Allocation Subcommittee (RAS), Course and Calendar Oversight Committee, and Writing Curriculum Committee.

The following Ad Hoc Committees report to the Curricular Policy and Planning Committee: Admission Committee, Library and Academic Technology Committee, Advising, and Teacher Education Admissions Committee.

A member of the Curricular Policy and Planning Committee should be assigned as a liaison to each Standing Appointed Committee and ad hoc appointed committee when formed.

2. *Membership.*

*Faculty membership:* Five (5) elected representatives; each Curricular Area must be represented.

*Administrative members: Ex officio (without vote):* Vice President for Academic Affairs or representative, Dean of the School of Music or representative, Registrar.

*Student members:* Two (2) appointed by Student Congress.

### C. Faculty Personnel Policy and Review Committee

1. *Function.* This committee shall represent the faculty by (a) recommending policy and procedures for personnel decisions to the faculty; (b) communicating procedures for personnel decisions to faculty members; (c) ensuring that candidates interviewing for initial appointment are informed of the procedures and criteria by which they will be evaluated; (d) considering evidence and testimony and consulting with and making recommendations to the President in the following areas: appointment of new faculty members when requested by the Vice President for Academic Affairs; retention, advancement to tenure, promotion and dismissal of faculty members; and appointment, reappointment, and evaluation of school deans and department chairs; (e) considering the legal propriety and risks of all faculty personnel procedures of possible legal concerns. The committee should be informed by a lawyer knowledgeable in the application of law to institutions of higher education. No members of the Faculty Personnel Policy and Review Committee may participate at the Faculty Personnel Policy and Review Committee level in matters related to their departments or school.

The Faculty Personnel Policy and Review and the Faculty Development committees must work in concert. Personnel expectations, particularly shifts in expectations, must be supported through faculty development programs. Additionally, since faculty development awards represent teaching, creative and scholarly endeavors of faculty members, the committees must regularly confer about the implications of new and existing faculty development programs in the review process. In particular, major projects funded by the Faculty Development Committee ought to have criteria that allow, and encourage, the work be included for evaluation in the review file. ([See Article VIII. D.1.](#))

The following Standing Appointed Committees report to the Faculty Personnel Policy and Review Committee: None.

The following Ad hoc Committees report to the Faculty Personnel Policy and Review Committee: None.

A member of the Faculty Personnel Policy and Review Committee should be assigned as a liaison to each Standing and Ad Hoc Committee.

2. *Membership.*

*Faculty membership:* Nine (9) elected representatives with a minimum of one from each curricular area.

*Administrative members: Ex officio (without vote):* Vice President for Academic Affairs.

*Student members:* None.

3. Organization and Orientation

- a. Members of the committee shall be elected by the faculty during the spring election (described in [Article VI.](#)).
- b. The committee of the coming year shall elect as its chair a member with experience on the committee.
- c. A quorum shall consist of the six committee members.
- d. At a meeting early in the academic year, there shall be an orientation to the work of the committee in which both faculty members of the committee and administrators will discuss their respective roles; the personnel decision calendar; types of admissible evidence; hypothetical difficult cases and the procedures for dealing

with such; and legal guidelines and risks.

4. Subcommittees. The Faculty Personnel Policy and Review Committee may form subcommittees (e.g., those to consider interim reviews, candidate interviews, review of department chairs), but the committee shall act on all recommendations.
5. Responsibilities and Privileges of the Chair
  - a. The chair with the Vice President for Academic Affairs shall arrange the agenda of the committee, setting the calendar for its orientation, the evidentiary and deliberative sessions, and shall arrange the keeping of personnel documents.
  - b. The chair shall preside at the sessions of the committee and report to the faculty and the University community regarding the progress of the committee.
  - c. The chair assisted by designated members of the committee shall provide notice and guidance to those participating in personnel matters (school or department personnel committees, nominations for promotions, candidates for personnel actions, etc.) regarding the time and form of recommendations, procedures for gathering and evaluating evidence, and statement of reasons for the recommendations.
6. Coordinator for Faculty Personnel Policy and Review Committee
  - a. The coordinator shall be a staff person provided by the office of the Vice President for Academic Affairs.
  - b. The coordinator shall attend and keep the minutes of the committee.
  - c. The coordinator shall assist the chair, the Vice President for Academic Affairs, and the chairs of subcommittees in preparing and maintaining documents, including model documents that might be helpful to the school or department personnel committees, to recommenders, and to candidates for personnel actions, and in communicating with others participating in personnel matters.

#### **D. Faculty Development Committee**

1. *Function.* This committee shall plan and execute faculty development programs within the University and coordinate institutional programs with faculty development programs of outside agencies.

This committee shall make recommendations to the President of the University concerning the granting of institutional research and development resources, leaves of absence, and selection of institutional nominees for grants or awards given by outside agencies. Policies and procedures of internal funding-programs are outlined in detail on the Academic Affairs website.

Faculty Development and the Faculty Personnel Policy and Review committees must work in concert as described in the function of the Faculty Personnel Policy and Review Committee. ([Article VIII.C.1.](#))

The following Standing Appointed Committees report to the Faculty Development Committee: None.

The following Ad Hoc Committees report to the Faculty Development Committee: None.

A member of the Faculty Development Committee should be assigned as a liaison to each Standing and Ad Hoc Committee.

2. *Membership.*

*Faculty membership:* Five (5) elected representatives; each curricular area must be represented.

*Administrative members: Ex officio (without vote):* Dean of Faculty or representative, Faculty Development Coordinator.

*Student members:* None.

## E. Student Academic Life Committee

1. *Function.* This committee shall be responsible for the policies and actions of the faculty relating to student life and general academic atmosphere of the University.

This committee, with faculty approval, shall deal with policies, guidelines, and information on all factors affecting student life and campus-wide academic atmosphere; these factors include policies stated in the [Student Handbook](#) (e.g., academic dishonesty, the student judicial process, or sexual harassment), policies on campus-wide academic atmosphere (e.g., collecting data on University-wide GPAs or studying the effects of social activities on classroom work), policies related to international student life, and policies which encourage faculty-student interactions which foster the intellectual life of the University.

This committee shall coordinate the faculty representation on those committees, councils, and boards which supervise student life and campus-wide academic atmosphere issues participated in jointly by faculty members and students including the University Review Committee, which deals with grade grievances and cases of academic integrity (See the [Article I](#), in the Academic Policies section of the Academic Handbook), Community Conduct Council (See Article VI of the Student Judicial Code in the Student Life section of the [Student Handbook](#)), and Athletic Board.

The following Standing Appointed Committees report to the Student Academic Life Committee: Academic Standing and Petitions Committee, Student Publications Committee, and Athletic Board.

The following Ad Hoc Committees report to the Student Academic Life Committee: None.

A member of the Student Academic Life Committee should be assigned as a liaison to each Standing and Ad Hoc Committee. Additionally the Student Academic Life Committee should appoint a liaison to the Diversity and Equity Committee.

2. *Membership:*

*Faculty membership:* Five (5) elected representatives.

*Administrative members: Ex officio (without vote):* Dean of Academic Life, Vice President for Student Life or representative.

*Student members:* Two (2) (Student Body President and one other appointed by Student Congress).

## F. Grievance Committee

1. *Function.* The faculty grievance process provides eligible faculty members with an opportunity for a review of recommendations of the Faculty Personnel Policy and Review Committee regarding their employment with the University, or of other personnel decisions such as changes in job status or responsibilities that directly relate to their employment with the University. The Grievance Committee operates through three-member Mediation Panels and five-member Appeals Panels, on which its members serve. Mediation Panels attempt to facilitate mutually agreeable resolutions of matters brought before them. Appeals Panels review recommendations and offer their resolution to the President if mediation is not successful. For a complete description of the function, membership and processes of this committee, see [Article VIII](#), in the Personnel Policies.

2. *Membership.*

Faculty membership: Eight (8) elected representatives, two from each Curricular Area, and eight (8) elected alternate representatives, two from each Curricular Area. Ideally these sixteen representatives will come from sixteen different departments. In no case may more than two representatives to the Grievance Committee be from a single department.

## IX. University-wide Committees

### A. University Strategic Planning Committee

1. *Function.* This committee will consider long-term initiatives and priorities of the University in service of its mission and ambitions. Annually, the University Strategic Planning Committee will consider information provided by the Vice President for Finance and Administration, Vice President for Admission and Financial Aid, and Vice President for Development and Alumni Engagement on potential available University resources, and will consider long-term needs, expenditures, and requirements of the University. At the end of the fall semester after hearing reports on area needs and the status of new and proposed initiatives, the University Strategic Planning Committee will deliver a report to the President offering recommendations on University resource allocations and the status of funding for long-term needs and initiatives. The President will offer a timely response to the University Strategic Planning Committee report. The University Strategic Planning Committee report and the President's response will be made available to the entire DePauw University community and will be forwarded to the Board of Trustees prior to their February Board meeting. The University Strategic Planning Committee will consider student enrollment targets, tuition rates and student financial aid, faculty and staff salaries and benefits, faculty development academic program support, student life and residential programs, the physical plant and deferred maintenance, sustainability, auxiliaries, and the library and information services.
2. *Membership.* Composed of five (5) senior administrators (Vice President for Finance and Administration, Vice President for Academic Affairs, Vice President for Development and Alumni Engagement, Vice President for Student Life, and Associate Vice President for Facilities), seven (7) faculty members, three (3) students, and two (2) staff representatives, and staffed by the Associate Vice President for Finance.

*Faculty membership:* Chair of the Faculty, member of the Curricular Policy and Planning Committee, member of the Faculty Development Committee, and four (4) faculty members elected directly, for a total of seven (7) faculty representatives.

*Administrative members:*

Voting: Five (5) senior administrators: Vice President for Finance and Administration, Vice President for Academic Affairs, Vice President for Development and Alumni Engagement, Vice President for Student Life, and Associate Vice President for Facilities.

*Student members:* Three (3), appointed by Student Government.

*Staff members:* Two (2), appointed by Human Resources in consultation with the President of the University.

### B. Diversity and Equity Committee

1. *Function.* In matters regarding diversity, inclusiveness, and equity, the Diversity and Equity Committee advises the administration and the faculty on policy; presents educational sessions for all employees; identifies issues regarding diversity and equity in campus life and refers them to the appropriate University office and/or committee(s) for action; and annually reviews and assesses aspects of the University's efforts to attract and retain a diverse campus community.
2. *Membership.*  
*Faculty membership:* Three (3) appointed full-time faculty members, one (1) appointed part-time faculty member.

*Administrative members:*

Voting: Two (2) administrators appointed by the President, Director of Human Resources, Director of Multicultural Affairs.

Ex officio (without vote): Vice President for Academic Affairs or representative, Dean of the School of Music or representative.

*Student members:* Two (2) appointed by Student Congress.

*Staff members:* Two (2) hourly staff members appointed by the Hourly Support Staff Committee.

### C. Sustainability Committee

1. *Function.* Coordinates the University's sustainability efforts.
2. *Membership.*  
*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: Director of Sustainability.

Ex-officio (without vote): Faculty Sustainability Director and Vice President for Academic Affairs or representative.

*Student members:* Two (2) appointed by Student Congress.

### D. Honorary Degrees and University Occasions Committee

1. *Function.* This committee solicits suggestions for campus convocation speakers and events with either small-group or campus-wide appeal. It then approves and funds programs that, with the President, it determines to be beneficial to the University community

Also, this committee shall call for nominations for candidates for honorary degrees. Nominations should be solicited from the faculty, students and Board of Trustees. After review the committee will present a slate of candidates to the faculty for recommendation to the Board of Trustees. The Trustees and faculty delegate the approval of an honorary degree for the commencement speaker to a joint subcommittee of the Nominations and Trusteeship of the Board of Trustees, composed of three Trustees, including the Chair of the Board and the three faculty members appointed to the Honorary Degrees and University Occasions Committee. An affirmative vote shall require approval of four of the six members.

2. *Membership.*  
*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: The Coordinator of Convocations, the President.

Ex Officio (without vote): The Director of Media Relations, Vice President for Academic Affairs or representative.

*Student members:* Two (2) appointed by Student Congress, one of whom must be a senior.

## X. Standing Appointed Committees

### A. Resource Allocation Subcommittee

1. *Function.* The Resource Allocation Subcommittee (RAS) is a subcommittee of Curricular Policy and Planning Committee. RAS considers those requests for new faculty members forwarded to RAS by the Vice President for Academic Affairs, and sends to the Curricular Policy and Planning Committee their recommendations concerning granting or not granting requests. RAS shall be appointed by Curricular Policy and Planning Committee as needed.

This committee reports to and is appointed by the Curricular Policy and Planning Committee.

2. *Membership.*  
*Faculty membership:* Nine (9) appointed representatives; one from each curricular area (4), two (2) at-large representatives, and three (3) representatives from the Curricular Policy and Planning Committee.

*Administrative members:*

Voting: None.

Ex Officio (without vote): Vice President for Academic Affairs or representative.

*Staff members:* None.

## **B. Course and Calendar Oversight Committee**

1. *Function.* This committee shall supervise the independent major, calendar, scheduling, individual course changes, approval of individual courses, the grading system, and comprehensives. The committee will be consulted concerning changes to the registration process and classroom assignments.

This committee reports to the Curricular Policy and Planning Committee.

2. *Membership.*

*Faculty membership:* Four (4) appointed representatives, one from each curricular area.

*Administrative members:*

Voting: None.

Ex Officio (without vote): Vice President for Academic Affairs or representative, Dean of the School of Music or representative, Registrar or representative.

*Student members:* Two (2) members appointed by Student Congress.

## **C. Writing Curriculum Committee** (new name listed, vote to be taken February 2016)

1. *Function.* Oversees all aspects of the writing program including supporting the W competency, faculty development programming to support the program, reviewing guidelines and the program more generally. Oversees and supports the Writing in the Major (WIM) programs. Oversees and supports the curricular aspects for the First Year Seminar (FYS) program.

This committee reports to the Curricular Policy and Planning Committee.

2. *Membership.*

*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: Director of the Writing Program, Administrator of the FYS program, the Writing Center Director.

Ex Officio (without vote): Vice President for Academic Affairs or representative, a librarian.

*Student members:* None.

## **D. Academic Standing/Petitions Committee**

1. *Function.* This committee shall consider all matters affecting academic classification and academic standing of students. It oversees the application of Satisfactory Academic Progress (SAP) criteria and actions (warning, probation and suspension) and reviews appeals and readmission applications from students suspended for failing to meet these criteria. Additionally, this committee shall consider and decide upon student petitions concerning academic matters.

This committee reports to Student Academic Life.

2. *Membership.*

*Faculty membership:* Three (3) appointed representatives.

*Other members (voting):* Registrar or representative, Vice President for Academic Affairs or representative, Dean of Academic Life or representative, Dean of the School of Music (for music students only) or representative.

*Ex Officio (without vote):* Vice President for Student Life or representative, Representative from Financial Aid, Associate Registrar.

*Student members:* None.

The Associate Registrar convenes the meetings and manages committee business.

## **E. Student Publications Committee**

1. *Function:* This committee shall exert final authority over *The DePauw* and the *Mirage*. The board functions much as would the owner of a private publishing operation except that it does not dictate editorial policy.

This committee reports to Student Academic Life.

2. *Membership:*  
*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: A permanent treasurer appointed from the faculty by the President, Instructor of journalism courses.

Ex Officio (without vote): Vice President for Academic Affairs or representative.

*Student members:* Three (3) appointed by Student Congress, one each from the sophomore, junior and senior class. One student must be actively engaged in *The DePauw* or *Mirage*.

## **F. Athletic Board**

1. *Function:* The primary concern of the Athletic Board is the quality of the academic and athletic experience of the student-athlete. Hence, it makes recommendations on athletic department policies regarding the student-athlete's academic experience as well as rules and guidelines mandated by the NCAA and our athletic conference, and how these affect the student academic experience.

This committee reports to the Student Academic Life Committee.

2. *Membership:*  
*Faculty membership:* One (1) appointed representative, two (2) Faculty Athletic Representatives.

*Administrative members:*

Voting: Advisor for the Student-Athlete Advisory Committee.

Ex Officio (without vote): Director of Athletics; the Director of Alumni Relations; Vice President for Academic Affairs or representative.

*Student members:* One (1) student appointed by Student-Athlete Advisory Committee.

## **XI. Ad Hoc Committees**

### **A. Library and Academic Technology Committee**

1. *Function:* This committee will advise the Dean of Libraries and the Chief Information Officer on matters related to the libraries, technology and associated support services that impact, or have the potential to impact, teaching, learning and research.

This committee reports to the Curricular Policy and Planning Committee.

2. *Membership:*  
*Faculty membership:* Three (3) appointed representatives, one must be a librarian.

*Administrative members:*

Voting: Director of FITS (or other Chief Information Officer appointed Information Services designate).

Ex Officio (without vote): Dean of Libraries, Chief Information Officer, Vice President for Academic Affairs or representative, Registrar.

*Student members:* Two (2); one appointed by Student Congress, one appointed by the committee.

## **B. Advising Committee**

1. *Function:* The purpose of the committee is to consider, develop, and promote effective strategies for academic advising that assist students in the development of meaningful educational plans that are compatible with their academic, career, and personal goals. To accomplish this, the committee provides development opportunities and information to faculty advisors, enhances student and faculty awareness of advising processes and resources, and assesses the academic advising program.

This committee reports to the Curricular Policy and Planning Committee.

2. *Membership:*

*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: Two (2) including a dean responsible for academic advising.

Ex Officio (without vote): None.

*Student members:* Two (2) appointed by Student Congress.

## **C. Teacher Education Admissions Committee**

1. *Function:* This committee makes decisions regarding application materials and evaluates portfolios of students applying for admissions to the Educator Preparation Program.

The Program Coordinator of Education Studies and Music Education convenes the meetings and manages the committee business.

This committee reports to the Curricular Policy and Planning Committee.

2. *Membership:*

*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: Two members of Education Studies, one being the Chair of Education Studies or representative who chairs the committee.

Ex Officio (without vote): Vice President for Academic Affairs or representative, Program Coordinator of Education Studies and Music Education.

*Student members:* None.

## **D. Admission Committee**

1. *Function:* Provides perspective when changes to admission standards are considered.

This committee reports to the Curricular Policy and Planning Committee.

2. *Membership:*

*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: Vice President for Admission and Financial Aid or representative.

Ex Officio (without vote): Vice President for Academic Affairs or representative.

*Student members:* One (1) appointed by Student Congress.

## **E. Hartman Center Committee**

1. *Function:* The role of the Hartman Center Committee is to evaluate and develop Hartman Center programs. Additionally, this committee will develop long-range plans for the center.

This committee reports to the Faculty Priorities and Governance Committee.

2. *Membership:*  
*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: Cultural Resource Center representative, a faculty member representing the Indiana Campus Compact, a Cultural Resource Center representative, a member of the Greencastle community.

Ex Officio (without vote): Vice President for Academic Affairs or representative.

*Student members:* Three (3) representing Bonner Scholars Program, Community Outreach and Winter Term in Service, and two (2) appointed by Student Congress for a total of five (5) students.

## **F. Nature Park Committee**

1. *Function:* This committee advises the Nature Park staff and university administration on matters of planning, policy, and procedures, and assists in formulating plans, goals, and priorities, and in determining the overall role of the Nature Park in providing education, research, reflection, and recreation for the members of the University and neighboring communities.

This committee reports to the Faculty Priorities and Governance Committee.

2. *Membership:*  
*Faculty membership:* Three (3) appointed representatives, one must be from Biology.

*Administrative members:*

Voting: One (1) representative appointed by the President in consultation with the Mayor of Greencastle, the Director of the Janet Prindle Institute for Ethics or representative, Vice President for Student Life or representative.

Ex Officio (without vote): Nature Park Superintendent, Associate Vice President for Facilities or representative, Vice President for Academic Affairs or representative, and Emergency Management Coordinator.

*Student members:* Two (2) appointed by Student Congress.

## **G. Arts Advisory Committee**

1. *Function:* DePauw University owns and stewards a large collection of visual art, including but not limited to painting, photography, sculpture, and large-scale artistic productions. The University seeks to maintain this collection for pedagogical purposes and displays pieces of the University's collection, and works on temporary loan, in and on University property. The committee is charged to offer advice and recommendations regarding the long-term installation or display of University-owned visual art on the campus and in campus buildings, excluding faculty-directed art, art produced by students or faculty as part of the art curriculum, and art displayed in the University galleries as part of a curated exhibit.

This committee reports to the Faculty Priorities and Governance Committee.

2. *Membership:*

*Faculty membership:* Three (3) appointed representatives.

*Administrative members:*

Voting: None.

Ex Officio (without vote): Vice President for Academic Affairs or representative.

*Student members:* Two (2), one appointed by Student Congress and one appointed by the Department of Art and Art History.

## XII. Amendments to and Suspension of By-Laws and Standing Rules

Previous notice must be given on the written agenda of a regular meeting of the faculty at least one month preceding a vote for amendments proposed for these By-Laws and may be passed at any regular faculty meeting by a majority vote of those present and voting.

By-Laws relating to the transaction of business (such as order of business and method of election) may be suspended by two-thirds vote of those present and voting at any regular faculty meeting. Any motion to suspend the By-Laws at a faculty meeting, in any other way, must be announced in the written agenda circulated at least three days prior to the meeting.

Standing rules may be amended at any regular meeting by a two-thirds vote of those present and voting.

## XIII. Standing Rules

- A. The regular meeting of the faculty shall be held once a month during the academic year. The time and place of these regular meetings shall be determined and announced by the Chair of the Faculty to all faculty members by May 1 of the previous academic year. Also, by May 1, the Chair of the Faculty will announce for the coming year at least one open discussion time per month, which can be used by committees to facilitate conversations leading up to governance work that may require a vote.
- B. In addition to faculty members as defined in Section 1, the following persons may attend faculty meetings: student members of core committees, the President of the student body, and representatives (two from each) of THE DEPAUW, WGRE, and Student TV Board of Directors. Additional representatives may be permitted at the discretion of the Chair of the Faculty before the meeting starts.
- C. The following persons may attend and may also make presentations, respond to questions, and participate in discussions: vice presidents, deans, other senior administrators as designated by the President, and others to whom permission is granted by prior agreement with the presiding officer or by majority faculty vote at the beginning of the meeting.
- D. Motions will normally be voted upon at the meeting at which the motion is made. However, previous notice must be given on the written agenda of a regular meeting of the faculty at least one month preceding a vote for changes in graduation requirements, academic policies and personnel policies. Other motions may be postponed by the vote of the house.

## XIV. The Constitution and Authority of the Faculty

(from Charter and By-Laws of DePauw University, 1986)

Section 1. **Members.** The Faculty shall consist of the President, all professors, associate professors, assistant professors, instructors, and lecturers on full-time appointment, and others officially admitted to faculty membership by action of the Trustees, all of whom may participate freely in discussions, provided, however, that on matters of academic policy and practice only those persons who have been on the faculty or admitted to faculty status for such period as determined by the faculty may vote.

Section 2. **Appointment.** Professors, associate professors, assistant professors, instructors, lecturers and other assistants required by the educational program of the University shall be appointed by the President subject to review by the Board. After an appropriate period of service, faculty members in the rank of professor, associate professor, and assistant professor may enjoy the privilege of tenure as this privilege arising from academic custom and usage among American colleges and universities is specifically defined by faculty personnel policies approved by the Board of Trustees.

Section 3. **Duties.** Subject to the final authority of the Board, the faculty shall have charge of and responsibility for the institution and implementation of policies and programs relating to the academic interests of the University, including the fixing of academic requirements for admission, class advancement and graduation, the institution, development and supervision of courses of instruction, the procedures for the conduct of studies, the promulgation of rules for the conduct of students in the classrooms and the granting of degrees to be conferred by the University. The faculty shall adopt its own rules of order and procedure, keep minutes of its meetings, and make reports to the Board of Trustees.

Section 4. **Relations with Board of Trustees.** All actions of the faculty materially affecting any segment of the University shall be reported to the Academic Affairs Committee which shall be responsible for determining the matters to be referred to, reviewed and approved as necessary by the Board of Trustees. Reasonable opportunity shall be provided for faculty representatives to attend meetings of the Academic Affairs Committee and to present to the Trustees their recommendations concerning the University.

# Academic Policies

(Written and approved by the faculty.)

## I. Academic Integrity

### A. Introduction

Academic integrity refers to the ethical standards and policies that govern how people work and interact in the academic enterprise at a college or university. These standards and policies attempt to do more than define and condemn what is wrong or unethical; they also attempt to provide a foundation for the mutual trust and individual responsibility necessary in a healthy academic community.

Both faculty members and students have the responsibility of upholding the principles of academic integrity. Faculty and staff members should create an environment in which honesty is encouraged, dishonesty discouraged and integrity is openly discussed. Faculty members should follow the principles of academic integrity in their own work and conduct. Students are obligated not only to follow these principles, but also to take an active role in encouraging other students to respect them. If students suspect a violation of academic integrity, they should make their suspicions known to a faculty member or staff member in academic affairs. Students reporting dishonesty must be prepared to give evidence in a hearing before the University Review Committee (URC).

Many faculty members ask students to work collaboratively with others on written projects, oral presentations, revisions, labs, or other course work. The guidelines for collaborative work differ substantially from course to course, but in most cases part or all of a collaborative project must be completed independently. Faculty members should make clear, in writing, their expectations for collaborative work. Students should make sure they understand what is expected of them; they are responsible for knowing when collaboration is permitted, and when not. Handing in a paper, lab report, or take home exam written entirely by a member of one's collaborative group, except when given explicit permission to do so by the instructor of the course, is an act of academic dishonesty.

Almost all the types of academic dishonesty described below have to do with working with others or using the work of others. This is not to suggest that working with others or using their work is wrong. Indeed, the heart of the academic enterprise, learning itself, is based on using the ideas of others to stimulate and develop your own. In this sense, all academic work is collaboration, and therefore academic integrity focuses on those acts that demean or invalidate fruitful collaboration.

### B. Types of Academic Dishonesty

**Cheating.** Using or attempting to use unauthorized materials in any academic exercise or having someone else do work for you. Examples of cheating include looking at another student's paper during a test, bringing an answer sheet to a test, obtaining a copy of a test prior to the test date or submitting homework borrowed from another student.

**Fabrication.** Inventing or falsifying information. Examples of fabrication include inventing data for an experiment you did not do or did not do correctly or making reference to sources you did not use in a research paper.

**Facilitating academic dishonesty.** Helping someone else to commit an act of academic dishonesty. This includes giving someone a paper or homework to copy from or allowing someone to cheat from your test paper.

**Plagiarism.** Using the words or ideas of another writer without attribution, so that they seem as if they are your own. Plagiarism ranges from copying someone else's work word for word, to rewriting someone else's work with only minor word changes (mosaic plagiarism), to summarizing work without acknowledging the source. (See the [Writing Center Guide to Avoiding Plagiarism](#) for further information on plagiarism.)

**Multiple submission.** Submitting work you have done in previous classes as if it were new and original work. Although professors may occasionally be willing to let you use previous work as the basis of new work, they expect

you to do new work for each class. Students seeking to submit a piece of work to more than one class must have the written permission of both instructors.

**Abuse of academic materials.** Harming, appropriating or disabling academic resources so that others cannot use them. This includes cutting tables and illustrations out of books to use in a paper, stealing books or articles and deleting or damaging computer files intended for others' use.

**Deception and misrepresentation.** Lying about or misrepresenting your work, academic records or credentials. Examples of deception and misrepresentation include forging signatures, forging letters of recommendation and falsifying credentials in an application. Of particular concern, given the current popularity of collaborative projects, is taking credit for group work to which you did not contribute significantly or meet your obligations. In a collaborative project, all members of the group are expected to do their share. Group members may work together on each phase of the project or they may divide the tasks--one person might do background research; another might take charge of the lab experiments; another might be responsible for drafting the report. Even in a modular project, however, each member of the group is responsible for being familiar and involved with the entire project. Be sure to get clear instructions on your individual and collective responsibilities from each faculty member for each course.

**Electronic dishonesty.** Using network access inappropriately, in a way that affects a class or other students' academic work. Examples of electronic dishonesty include using someone else's authorized computer account to send and receive messages, breaking into someone else's files, gaining access to restricted files, disabling others' access to network systems or files, knowingly spreading a computer virus or obtaining a computer account under false pretenses.

**Carelessness.** When does carelessness become dishonesty? Students sometimes make minor mistakes in completing academic assignments. Mistyping one of many endnotes in a long paper, for example, may in most cases be considered a careless mistake, rather than an act of deliberate dishonesty.

When students make multiple mistakes in acknowledging sources, however, these mistakes cannot be considered simply careless. Students who copy long passages from a book or a Web source, for example, make a deliberate choice to do so. Such students have taken a short cut; instead of explaining the source of their ideas, they have simply stolen ideas from others. In such cases, carelessness is a form of dishonesty.

Students are responsible for knowing the academic integrity policy and may not use ignorance of the policy as an excuse for dishonesty.

**Other types of academic dishonesty.** The list above is a partial one. Instructors may explain in their syllabi other types of academic dishonesty relevant to the work in particular disciplines or particular courses.

## C. Overview of the Process

All cases of academic dishonesty must be reported by faculty members and settled through the process outlined below. Faculty members may not impose a grade penalty for academic dishonesty except through the process outlined below.

The process is designed 1) to provide prompt resolution of cases, 2) to help the student understand both the charge and penalty, and 3) to allow the student to discuss what happened and/or contest the charge or penalty being made. At all stages of the process, the focus should be on education, and open, frank discussion should be encouraged. Students frequently commit acts of dishonesty when they are under pressure of one sort or another; or they may persuade themselves that borrowing someone else's words and ideas is not a serious offense. This settlement process gives faculty members and students a chance to discuss why academic integrity is so important to the university community.

In the process of investigating the charge, the instructor may discuss his or her suspicions with the student. In cases of cheating on exams, it may be appropriate to confront the student during the exam or immediately after; however, even in cases when the student admits to the violation verbally, a formal conference to review and sign the written settlement form should be arranged. In confronting students with charges of academic dishonesty, instructors may

choose to have a colleague present to act as an observer. That colleague need not be a member of the same department, but should be someone knowledgeable about the academic integrity policy.

## D. The Settlement Process

### [Academic Dishonesty Settlement Form](#)

When an instructor becomes aware of a possible case of academic dishonesty, he or she should move quickly (usually within three days) to investigate the violation and to contact the student. If suspected violations occur at the end of the term, the instructor should assign a grade of Incomplete and begin the settlement process as quickly as possible but no later than the start of the following semester. Even when suspected violations occur after grades have been submitted, the settlement process must be started before the end of the semester following the suspected violation.

The formal process of initiating a charge and settlement involves the following steps, with occasional minor variations depending on the nature and timing of the case:

1. The instructor arranges to confer with the student to discuss the integrity violation and the evidence supporting it. During or shortly after the instructor's conversation with the student, the instructor presents the student with a written statement of the charge and the proposed penalty (see the [Academic Dishonesty Settlement Form](#)). The student has the opportunity to respond to the charge. After listening to the student, the instructor may decide to revise the charge or penalty, or drop the charge all together. If, for any reason, the faculty member believes that the violation deserves a penalty more severe than failure in the course, he or she may immediately refer the case to the University Review Committee (URC).
2. The student has three business days to respond to the charge, either by assenting to the charge and penalty by signing the settlement form, or by requesting a hearing before the URC. At that hearing, the student may either dispute the charge or the severity of the penalty. While considering how to respond to a charge, students are encouraged to seek advice from someone knowledgeable in matters of academic integrity, such as a faculty advisor, an academic dean, or another trusted advisor. If a student charged with a violation does not respond in the specified time, the matter is immediately turned over to the URC for a hearing.
3. Once the settlement form has been signed, it is forwarded to the Academic Affairs office to be kept for five years. If this proves to be a second violation of the academic integrity policy, an academic dean will convene a disciplinary hearing of the URC.

Note: Once an academic integrity charge has been initiated against a student, he or she may not withdraw from the course in question unless the charge is dropped by the faculty member or the student is found to be not responsible through a hearing or an appeal. A hold is placed on the student's transcript until the charge has been settled.

## E. Penalties for Academic Dishonesty

Students who have violated the academic integrity policy are penalized more severely than students who have simply not turned in an assignment. While the degree of penalty varies according to the judgment of the instructor, a first offense is usually penalized in three ways:

1. the settlement form itself, which when signed is filed in the academic affairs office;
2. a grade of zero on the relevant assignment; and
3. a lowered final course grade.

Occasionally, even for a first offense, the penalty is failure in the course. If a more severe penalty is called for, the instructor may request a hearing of the University Review Committee (URC).

Academic dishonesty outside of a particular class (forged signatures and fabricated résumés, for example) also leads to penalties. Students will be asked to sign the academic dishonesty settlement form. Either the accused student or the faculty/staff member making the charge may request a hearing before the URC.

A second violation of the academic integrity policy leads automatically to a disciplinary hearing before the URC, and may result in suspension or dismissal.

## F. Student Records

**First Offenses.** Signed settlement forms for first offenses are filed in the academic affairs office for five years. The name of the student is kept confidential. The settlement form does not become part of the student's permanent record, except if the student is found responsible for a second violation of the academic integrity policy.

**Second Offenses.** In cases where a student is found to be responsible for a second violation of the academic integrity policy, a copy of the URC decision will be placed in the student's permanent record (kept in the Office of Student Life) and will be reported if the student releases the record to employers or other schools. A second offense is defined to be one that takes place in whole or in part after a student has been presented with a settlement form for a prior case, unless the student is found not responsible for the prior case.

## G. The Academic Integrity Hearing

If a hearing before the University Review Committee is necessary, either because the charge or penalty is disputed or because this is a second offense, it will be convened by an Academic Dean as quickly as possible, but usually no later than three weeks after the Dean has received the signed or unsigned settlement form. Committee members will be provided with a detailed outline of the hearing process.

The URC consists of a teaching faculty member who is a current or former member of Student Academic Life Committee, who will chair the hearing, two additional teaching faculty members, and two students. Faculty and student members are chosen by the convenor from a pool of volunteers identified by the Student Academic Life Committee. The Student Academic Life Committee will identify this pool in February of each year with the pool to begin service on March 1st. The Student Academic Life Committee may add members to the pool as needed. In the event an insufficient number of members of the pool are available when a URC needs to be convened, the convenor may ask other faculty members or students to serve on the URC. In such cases the convenor will share the names of the URC with the Chair of the Student Academic Life Committee. Each URC board member will receive training prior to serving on his or her first URC. The convenor observes and records the hearing, but does not participate in committee deliberations.

The membership of this committee is made known to parties involved prior to a hearing. Student, faculty members and administrative alternates are also designated for the committee. Either party can ask the committee's chair that a committee member not serve on the hearing panel because of bias or conflict of interest. The chair shall decide if there are sufficient grounds to honor this request. If a committee member is unable to attend the hearing, or if a member is excluded because of potential bias or conflict of interest, an alternate will be asked to serve. Committee members are required to attend the hearing in person.

**Nature of the hearing.** There are two types of academic hearings: one to decide a disputed charge or penalty, the other to consider disciplinary matters following a second offense. A hearing of the University Review Committee is intended to be an orderly, fair inquiry into the facts bearing on the case and only material related to the written charges may be considered during the hearing. The hearing is not intended to be a trial concerned with technical formalities.

The party bringing the charge and the accused student will usually attend the hearing in person. If there is no reasonable alternative that permits a timely hearing, either or both parties may participate remotely or may provide only a written statement with the permission of the convenor. If one or both parties fails to participate in a previously scheduled hearing, the hearing will go forward and the committee will reach its conclusion on responsibility and the appropriate penalty on the basis of evidence presented at the hearing.

**Related Cases.** At the discretion of the convenor, related cases may be heard sequentially by the same hearing board. When structured in this way, the parties involved in the first case will be heard, followed by the parties involved in the second case and so on. The hearing board will then deliberate before deciding if it wishes to call the parties for one or

more cases back in sequence for additional questions. This process may be repeated as necessary before the hearing board starts its final deliberations. At the discretion of the convenor, a hearing for related cases may span multiple days.

**Confidentiality.** Hearing proceedings are confidential. Committee members, students, faculty members, recorders, advisors, and witnesses are enjoined from mentioning names of those involved or details that might reveal the identity of the student or faculty member, and from discussing presentations or committee deliberations.

**Presentation; burden of proof; rights.** When a hearing is convened to hear a disputed charge or penalty, the faculty member referring the case presents the evidence of the offense to the panel. The student may present counter-evidence if he or she wishes. Either party may have a faculty member, staff member, or student advisor and each has the right to call and question witnesses. The burden of proof is on the faculty member, who must establish the responsibility of the student by a preponderance of the evidence. (In matters of academic integrity, the evidence does not have to constitute overwhelming, irrefutable proof of responsibility, but only has to convince the panel that the violation took place.) Faculty members may refer cases based on the testimony of other students; in doing so, however, the faculty member should make sure either that the students who provided the testimony are willing to appear as witnesses at the hearing or that there is corroborating evidence that substantiates the charge. Other procedures for due process shall be followed, and records (including a tape recording of the hearing) shall be kept. Tapes will be erased after the appeal period has elapsed. Written records will be destroyed after five years.

**URC penalties.** The URC imposes penalties for dishonesty according to the nature of the violation. URC penalties may include a letter of warning, grade penalties, failure in the class, suspension, or dismissal. If the URC finds that there has been no violation, or if the URC does not find a preponderance of evidence that a violation has taken place, the student will be exonerated.

**Second Offense.** When a hearing is convened to consider disciplinary penalties related to a second offense, the chair reviews the offenses, as put forth in the settlement forms or in previous hearing reports, and asks the student if there are any comments he or she would like to make in regard to these offenses. Since these cases have already been decided, either through settlement or previous hearing, there is no need to reconsider them. In most cases, it is unnecessary to call witnesses, unless the committee or the student feels the reports are unclear in some respect that a witness can clarify. The sole consideration of the committee at a second offense hearing is whether further disciplinary sanctions (usually suspension or dismissal) should be applied.

## H. Appeals

Either the instructor or the student may appeal the decision of the URC to the Vice President for Academic Affairs. Appeals must be made in writing to the Vice President for Academic Affairs within three business days of receiving the written notification of the decision. Appeals will be considered only if they are based on one or more of the following criteria:

1. new evidence not reasonably available at the time of the original hearing and which is provided as part of the written appeal; or
2. procedural error that can be shown to have affected the outcome of the hearing; or
3. appropriateness of sanction only in cases of suspension or dismissal.

The Vice President for Academic Affairs will decide whether or not there is a basis for appeal, and, if so, upon consideration of the appeal, may revise the URC decision or the penalty. The decision of the Vice President for Academic Affairs is final and will be communicated to both parties involved in the hearing, to the convenor of the URC and to the chair of the URC.

(Approved by the Faculty, November 4, 2002; updated April 14, 2014. University Review Committee (URC) Hearing Procedures are available in the office of Academic Life. Hearing Procedures are updated and revised periodically by the Academic Affairs administration in consultation with the Student Academic Life Committee.)

## II. Student-Initiated Grievance on Grading and Other Forms of Evaluation by Faculty

The normal presumption at DePauw is that the faculty member alone is qualified to evaluate and assign grades to the academic work of students in his or her courses. For this reason, questions regarding a faculty member's grades are not normally subject to review. The following procedure is for exceptional cases only.

At all levels of the procedure outlined below, those who hear grade grievances are to be concerned only with whether the faculty member acted in a fair, reasonable manner and whether the faculty member used the same methods of evaluation for all students in the class.

In addressing a grievance:

1. The student must first attempt to meet with the faculty member involved, thus permitting an opportunity for an informal resolution of the case.
2. If the situation is not settled, then either the student or the faculty member may ask the chair of the department (or director of program) in which the course is taught to try to resolve the issue. The student, faculty member, and department chair may consult with an academic dean to ask questions about procedure and to discuss the issues involved.
3. At the request of the student or faculty member, or on the chair's initiative, the chair may appoint and preside over a special departmental committee, which will recommend a resolution to the grievance.
4. Either the student or the faculty member may decide to appeal the departmental recommendation to the University Review Committee (URC). Such appeals must be made within two weeks after the departmental recommendation has been given. Arrangements for a hearing before the URC are made through an academic dean.

The URC consists of an appointed member of the Student Academic Life Committee, who will chair the hearing, two teaching faculty members, and two students. Faculty and student members are chosen by an academic dean from a pool of volunteers identified by the Student Academic Life Committee. The dean observes and records the hearing, but does not participate in committee deliberations.

The membership of this committee is made known to parties involved prior to a hearing. Student, faculty and administrative alternates are also designated for the committee. Either party can ask the dean to replace a committee member because of bias or conflict of interest. The dean shall decide if there are sufficient grounds to honor this request. If a committee member is unable to attend the hearing, or if a member is excluded because of potential bias or conflict of interest, an alternate will be asked to serve.

5. The decision reached by the URC is final. Appeals of the committee's decision, on procedural grounds only, may be made to the Vice President for Academic Affairs.
6. Further information, including details about the hearing procedures, is available in the office of Academic Life. Hearing procedures are established and periodically reviewed by the Student Academic Life Committee in consultation with the Vice President for Academic Affairs.

Time Line:

1. Neither a departmental review committee nor the University Review Committee may be convened to hear a grievance until after the student's full term of work has been completed and a final course grade has been given.
2. A student who has a grievance should talk to the faculty member as soon as possible after the disputed grade has been given, and no later than the last week of the first full primary term following the disputed evaluation.
3. The student must present an unresolved grievance to the department chair or dean within the first full primary term following the disputed evaluation.
4. Appeals of the departmental decision to the URC by either the student or faculty member must be made within two weeks of receiving a written decision from the department chair.
5. After a hearing, the decision of the URC will be delivered in writing to the student's mailbox (or home address if the semester is over) and to the faculty member within two working days after the committee has met.
6. A student or faculty member who wishes to appeal the URC decision on procedural grounds must do so in writing to the Vice President for Academic Affairs within three business days of receiving the decision from the committee.

(Adopted by the Faculty November 4, 2002; revised April 3, 2006)

### III. Academic Expectations for DePauw Students

DePauw has considerably different academic expectations from those of high school and it is important that students adjust to these new expectations early in their college careers.

1. College is not the end of the educational process but a foundation for a lifetime of continued learning and growth. Therefore, one of the central goals of college is to help students develop a sense of responsibility for their own learning and the ability to learn on their own.
2. Accordingly, college students spend much less time in class than they did in high school but are correspondingly expected to do much more work outside class than they did in high school.
3. Students should expect to spend between forty and fifty hours a week (or more) on their academics, the equivalent of a full-time job.
4. Students are responsible for learning a great deal of the material on their own outside of the classroom.
5. Students should expect that course material will be covered at a much more rapid pace than they have experienced before. This expectation is partially based on the assumption that students are preparing carefully for class so that more material can be covered in class.
6. Students are expected to come to class prepared and ready to participate actively in the class session. They are expected to have read the texts and used other required materials carefully and comprehensively before the class session.

(Adopted by the Faculty April 1997; revised February 2004)

### IV. Academic Probation and Dismissal

The Committee on Academic Standing reviews all students whose semester, cumulative or major GPA falls below a 2.0 or who were below a 2.0 the preceding semester. The committee clears students who were previously on probation when they regain a 2.0 average in all areas.

Students whose semester, cumulative or major GPA is below 2.0 are placed on academic probation. In addition, students whose academic programs require student teaching are warned if their cumulative grade average is below a 2.5. Various support mechanisms are provided to students in academic difficulty.

Students are required to select a major by the sixth week in the second semester of the sophomore year. The Committee on Academic Standing will take appropriate warning actions in the case of students who have failed to do so by the end of the sophomore year. The committee may also require students who fail to demonstrate satisfactory progress toward the major to drop that major and select a new major before continuing at DePauw.

Students who achieve below a 2.0 in two consecutive semesters, receive less than a 1.3 any given semester or do not make satisfactory progress are subject to academic suspension. Students are also subject to suspension if the cumulative GPA at the close of the:

- second semester is below a 1.3
- third semester is below a 1.65
- fourth semester is below a 1.80
- fifth semester is below a 1.85 and/or unsatisfactory progress is made in the major
- sixth through eighth semester is below a 1.9 and/or unsatisfactory progress is made in the major

Students who are suspended are notified by the committee in writing; they may appeal the decision if there are extenuating circumstances.

Students who are suspended for academic reasons may apply for readmission after being away one semester; however, experience has shown that in many cases a full year's separation from DePauw increases the probability of academic success.

Students are evaluated on their demonstrated readiness to return to DePauw's academic environment and the likelihood of their eventual successful completion of a degree in a timely manner. Additional criteria the readmission committee uses includes:

- student's insight into what caused the original academic difficulty
- evidence that the things that prevented successful academic performance previously have changed positively
- the amount of time spent away from DePauw and how productively it has been used (statements from employers or others may be requested)
- academic achievement that, if undertaken, has improved substantially.

(Approved by the DePauw University Faculty, October 20, 1990;  
revised April 5, 1999; June 6, 2002; June 13, 2005)

## V. **Class Attendance and Absences**

Regular attendance at class, laboratory and other appointments for which credit is given is expected of all students according to the guidelines established by individual faculty members. There are no "allowed cuts" or "free" absences from class sessions. Faculty members may drop students from their classes or other appropriate action may be taken if absences are too frequent.

Absences for medical reasons: When an absence due to medical reasons will result in a student being unable to fulfill academic responsibilities--for example, papers and examinations--the student should notify the faculty member in advance. Each faculty member should let the students know how to give this notification. The faculty member and student should work out arrangements for possible extension or makeup work. In cases where students are hospitalized, the University physician will, with the student's permission, notify the Office of Student Life. It is the student's responsibility to contact the faculty member; in addition, the faculty member will be notified by Student Life personnel.

If a student misses two or more weeks of class for medical or other reasons beyond the student's control, the student's faculty members, in consultation with a member of the Academic Affairs staff, will decide whether the student may reasonably make up the missed work. As a general rule, students who miss two or more weeks of class may no longer be eligible to continue in the class. The final decision about whether a student may continue with a class rests with the faculty member subject to constraints set by other academic policies.

Absences for personal or psychological reasons: Occasionally Student Life staff will encounter students who must miss class for personal or emotional reasons. These cases include such events as death or illness of a family member or emergency psychological crisis. When possible, Student Life staff will ask the student to notify faculty members and indicate that faculty members may call Student Life staff for confirmation if such validation is deemed necessary. In some of these cases, the Student Life staff member has no real way to validate the student's statement. Maintaining such information over a period of time, however, could help determine possible patterns of dishonesty for an individual student. In some extreme emergencies, Student Life staff may notify faculty members directly.

Early departure or late return from breaks: Faculty members are expected to hold class on the days immediately before and after breaks. Students will not be excused from class attendance or from taking examinations at their announced time to accommodate travel schedules. It is the responsibility of students and their families to make travel arrangements accordingly.

Conflicts with other courses: Whenever possible out of class requirements should be specified in the syllabus and/or the schedule of classes and the faculty member should provide options, or an alternative time, for students who have another class obligation scheduled at the same time. If there is a conflict between two course-related activities, the faculty members should resolve it. The Dean of Academic Life will be responsible for the resolution if an agreement is not reached.

(Adopted by the faculty November 1988, revised May 2005, revised May 2014)

## VI. Conflict Between Class and Extracurricular Activities

DePauw University believes that both curricular and extracurricular activities make important contributions to the education of students. The University reminds students, however, that classroom performance takes priority over all extracurricular activities. When conflicts between regularly scheduled classes and academically approved extracurricular activities (approved by the Vice President for Academic Affairs) arise, all parties involved in such conflicts have certain responsibilities toward reducing, if not resolving, them.

### Responsibilities of the Student

- At the beginning of the term inform each instructor about any conflict with an approved extracurricular activity scheduled during the term.
- Take the initiative to complete in advance any work which will be missed without expecting that the instructor will necessarily provide makeup examinations.
- Keep informed how missing class for the activity jeopardizes your standing in the class.
- Give priority to class attendance whenever an insoluble conflict occurs between a required class session (especially an examination) and an extracurricular event.
- Choose between the class or the activity if it becomes apparent that both cannot be served in a satisfactory manner.

### Responsibilities of the Instructor

- Try to accommodate a student who must miss an occasional class because of an extracurricular activity approved by the Vice President for Academic Affairs. Provide all assistance possible to the student without necessarily giving make-up examinations.
- When such scheduling does not interfere with the integrity of the course content, consider giving examinations or quizzes on days that do not conflict with the student's previously stated and approved extracurricular activities.
- Do not require that students attend events held outside the scheduled classroom hours, if such events conflict with a previously scheduled, announced and approved extracurricular activity.

### Responsibility of the Sponsor of the Activity

- Attempt as much as possible to avoid scheduling events that will conflict with normal class sessions. No approved extracurricular activity may require a student to miss more than a week in any course during a primary term. No extracurricular event may be scheduled during the final examination period.
- At the beginning of the term provide each instructor affected with the names of students involved in an activity and the days and hours in which participation in the event conflicts with scheduled class sessions.
- Remind students that they should be prepared to miss a given event where there is an insoluble conflict with a scheduled examination or to drop the activity if academic performance is being undermined by absence.

(Adopted by the Faculty December 1981)

## VII. Religious Holy Days

Faculty members are expected to accommodate students who are adherents of a religious tradition and wish to fulfill obligations of that religious tradition on holy days. Students are expected to notify their instructors of their intent to fulfill the obligations of their religious tradition well in advance of these days. For the sake of this policy, "holy days" are defined as periods of time in which either:

- a. activities required by normal class participation are prohibited by a religious tradition, or
- b. a special worship obligation is required by a religious tradition.

## VIII. Classroom Atmosphere

### Exchange of Ideas during Class

At DePauw University, academic discourse within the framework of our courses is of fundamental importance and faculty members should work to provide and maintain an environment that is conducive to learning for all students. We strive to encourage the free exchange of ideas always in an environment of respect and civil discourse. Inappropriate comments or behavior can sometimes seriously undermine that environment. For example, while students and faculty are encouraged to debate ideas and offer differing viewpoints, even when these exchanges are uncomfortable, they should recognize that personal attacks are unacceptable.

### Use of Technology during Class

Faculty members generally have discretion to set guidelines for, and restrictions on, the use of technology during class, with the goals of supporting learning while also minimizing distractions for all students. Expectations will naturally vary from course to course, instructor to instructor, and even from class period to class period based on differences in teaching and learning objectives. In many cases, faculty members will choose to allow students to use technology, but will limit this use to activities that support the learning process. In other cases, for example to minimize distraction, instructors may implement additional restrictions on the use of technology. In each case, faculty members may find it helpful to explain their expectations as part of the course outline or in other ways. Students will benefit from a clear statement of faculty expectations in this area, just as they benefit from a clear statement of faculty expectations with respect to attendance, academic integrity, and other policies.

Notes: There are two exceptions to the broad discretion given to faculty members above.

- (a) The Americans with Disabilities Act (ADA) gives students the right to use assistive technology or a suitable alternative if this has been determined to be an appropriate accommodation for their disability. ADA procedures require that such accommodations be reached by the campus ADA coordinator in consultation with the student and that they be communicated in writing to the instructor with the student's consent. Instructors may work with students and the ADA coordinator to determine the most effective way to implement the accommodation. Whenever possible, students should be allowed to use the assistive technology without disclosing their disability. For advice and guidance please consult with DePauw's ADA Coordinator.
- (b) DePauw University uses an electronic notification system to distribute campus emergency alerts via text messages. When class policies require phones to be stored out of sight and/or reach during class, phones should still be set to vibrate. Emergency messages will cause multiple phones to vibrate at nearly the same time.

### Resolving Conflicts

Frank yet respectful informal discussions between faculty members and students are the preferred response to problems that are covered by this policy. However, each case is different and given these complexities faculty members or students who have concerns may wish to seek advice, as outlined below, to prepare for these discussions or to take other steps.

#### I. Options for Students

1. Students may consult with resources including faculty advisors, department chairs, or staff members in a variety of offices including Student Life, Academic Life, Multicultural Student Services, International Student Services and the Women's Center to seek advice informally. Based on their judgment, these staff members may consult with, or encourage students to consult with, the Dean of the Faculty or the Dean of Academic Life. Students may also consult informally with either of these Deans as a first step.
2. Students are encouraged to provide their input using the student opinion form that is administered at the end of the semester in almost all DePauw courses. When students feel comfortable doing so, they are also encouraged to talk with faculty members in person, either during the semester or after the course ends.
3. DePauw has a formal grade grievance policy that may be applicable depending on the nature of the student's concern. See [Student-Initiated Grievance on Grading and Other Forms of Evaluation by Faculty](#).

4. Students may file a formal complaint by submitting a signed letter to the Dean of the Faculty during the semester, or at any time after the course concludes.

When concerns are raised, Academic Affairs Administration will be responsible for follow-up, if warranted, which could include informal mentoring; formal improvement plans; faculty development opportunities; documentation placed in personnel files with a copy to the faculty member; and/or consideration during the annual re-appointment, renewal and compensation processes, which could have employment ramifications. Any necessary follow-up will be undertaken in accordance with DePauw's [Personnel Procedures](#). Actions taken through these procedures are typically confidential.

## II. Steps for Faculty Members

Faculty members may wish to consult with the student's academic advisor, the Department Chair, and/or a designated member of Academic Affairs (currently the Dean of Academic Life), even at the stage of informal interventions. If informal measures are unsuccessful, faculty members should follow these procedures:

1. The faculty member should warn the student in writing that the disruptive behavior is unacceptable and that if it continues the student may not be allowed to remain in the course. Depending on circumstances, a warning may need to be made during class, as well; for example, the faculty member may ask the student to leave the classroom for the day. The faculty member should also encourage the student to talk to an academic advisor or dean in Academic Affairs.
2. The faculty member should keep notes on the dates, times, and details of the incidents of disruption, the impact of disruption on those present, and warnings conveyed to the student, as these are useful in later stages of the proceedings.
3. If the behavior continues after a written warning has been given, the faculty member should notify the Dean of Academic Life in writing, giving a summary of what happened and the action that has been taken. Upon receipt of this summary, the dean sets up a three-way meeting involving the faculty member, student, and dean. In order to minimize the procedure's interference with courses, this meeting is scheduled as soon as possible, preferably before the next class meeting.
4. At the meeting, the faculty member and student are invited to discuss the situation. The goal of the meeting is to give both parties a chance to discuss, in a safe space, what has happened. Such a discussion may enable the faculty member and student to see the problem from a different point of view or to hear the perspective of the other person in a new way. The dean's role is to moderate the discussion, insuring that the conversation remains civil and on target. Either party may, but neither must, bring an advisor (DePauw student, faculty member, or staff member) to the meeting. Advisors may consult privately with the person whom they are accompanying, but they do not enter the discussion.
5. As soon as possible after the meeting the faculty member makes a recommendation to the Dean of Academic Life.
  - o If the faculty member recommends that the student be allowed to remain in the course then the dean and faculty member should consult regarding how best to convey this decision and any stipulations or conditions to the student.
  - o If the faculty member recommends that the student be dropped from the course, he or she reports this conclusion in writing to the dean of Academic Life; the dean then conveys the faculty member's conclusions along with a written summary of the three-way meeting to the Vice President for Academic Affairs.
  - o A recommendation to dismiss the student from the course must be approved by the Vice President for Academic Affairs. If the student is not allowed to return to the course, the Vice President for Academic Affairs decides what appears on student's transcript for the course: W, F, or no entry.
6. A pattern of disruptive behavior in several courses may be addressed by representatives of the offices of Academic Affairs and Student Life.

**Please note:** This policy is not meant to cover behavior that occurs outside the classroom and/or involves harassment. Other policies are in place to handle those situations; the University's harassment policies are published in the Student and Academic Handbooks. Incidents of harassment should be reported immediately to the Vice President for Academic Affairs, the Dean of Students, or Campus Public Safety officers.

Revised and adopted by the Faculty, September 8, 2014

## IX. Examinations in Courses

Instructors schedule all but the final examination in their courses. No hour examinations may be given the last five class days of the Fall or Spring term except for laboratory portions of final exams. (Note: If Thursday is the last day of classes, this period includes the previous Friday.) Only assignments that substitute for a final exam should be given a due date during finals week and no assignments may be given a due date that is after the end of finals week. In addition, during the Fall and Spring terms, instructions for paper and project assignments due in the last five days of class should be provided at least 14 calendar days prior to the due date.

**Final examinations during primary terms.** An examination period is provided at the end of each primary term for instructors to give such examinations as they deem proper to cover the course work. Normally, a final examination should not exceed three hours. Final examinations are not to be given at any time other than that announced in the official schedule, although the laboratory portion of final examinations in science courses may be given in a regularly scheduled lab period in the last week of classes. The Vice President for Academic Affairs must approve any requests to move an exam time for a whole class. Instructors may allow individual students with unusual circumstances (such as a death or serious illness in the family, postseason athletic events, or having three exams in one day) to take an examination at another time; problems involving transportation, family occasions and/or jobs, for example, are not sufficient grounds for changing an examination. No student may be excused from taking the final examination in any course in which an examination is a requirement for credit in the course.

**Multiple or Conflicting Exam Policy.** No student may be required to take more than two in-class final exams on the same day or choose between exams offered at the same time. Any student with three final exams in one day is responsible for trying to reach a solution by talking with the professors involved at least two weeks before the beginning of the final exam period. If none of the professors involved voluntarily agrees to give the student his/her exam on another day, the professor whose exam is scheduled second in the day will offer an alternative date for the exam. The student should obtain a multiple exam form from the [Registrar's Office](#) to provide written verification to the professors involved that three final exams are actually scheduled and being given on the same day. When a student is in two courses whose designated final examination periods conflict, the student is responsible for trying to reach a solution by talking with the professors involved at least two weeks before the beginning of the final exam period. If neither of the professors involved voluntarily agrees to give the student his/her exam on another day or time, the professor whose course carries the lesser credit will offer an alternative time for the exam. If both courses carry the same credit, then the professor of the course that meets latest in the week will offer an alternative time for the exam.

(Approved by the DePauw University faculty, May 1, 2000; revised May 5, 2013, last modified December 1, 2014)

## X. Statement on the Academic Freedom of Students

### Preamble

Free inquiry and free expression are essential attributes of the academic community. As members of that community, students should be encouraged to develop their capacity for critical judgment and to engage in a sustained and independent search for truth. The freedom to learn depends upon the maintenance of appropriate opportunities and conditions in the classroom, on the campus and in the larger community.

The responsibility to respect and to secure general conditions conducive to the freedom to learn is shared by all components of the academic community. Students should endeavor to exercise their freedom with maturity and responsibility. Student responsibilities will not be defined specifically in this statement for it is recognized that personal responsibility emerges from the exercise of the specific rights herein affirmed.

### I. In the Classroom

The professor in the classroom and in conference has the obligation to maintain an atmosphere of free discussion, inquiry, and expression, and should take no action to penalize students because of their opinions or because of their conduct in matters unrelated to academic standards. He also has the obligation to evaluate their performance justly.

- A. Protection of the Freedom of Expression. Students should be free to take reasoned exception to the data or views offered in particular courses of study. They may be required to know the particulars set out by the instructor, but they should be free to reserve personal judgment as to the truth or falsity of what is presented. Knowledge and academic performance should be the basis on which students are measured.
- B. Protection Against Unjust Grading or Evaluation. Students must maintain standards of academic performance set by the faculty if they are to receive the certificate of competence implied by the course credits and degrees. The student should have protection against unjust grading and evaluation due to error and prejudice. The basis of the final evaluation in any course should be available to the student on request. It is recommended that examinations be returned to students or kept for reference by the professor for at least one semester. The faculty should have an orderly procedure whereby student allegations of prejudice or error in the awarding of grades may be reviewed.
- C. Protection Against Improper Disclosure. Information about student views, 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.

## II. Student Records

DePauw University should maintain a carefully considered policy as to the information which should be part of a student's permanent educational record and as to the conditions of its disclosure. To minimize the risk of improper disclosure, academic and disciplinary records should be separate and the conditions of access to each should be set forth in an explicit policy statement. Transcripts of academic records should contain only information about academic status. Data from disciplinary and counseling files should not be available to unauthorized persons on campus or to any person off campus except for the most compelling reasons. No records should be kept which reflect the political activities or beliefs of students. Provision should also be made for periodic routine destruction of noncurrent disciplinary records. Faculty, administrative staff, and student personnel officers should respect confidential information about students which they acquire in the course of their work.

## III. Student Affairs

In student affairs, certain standards must be maintained if the academic freedom of students is to be preserved.

- A. Freedom from Arbitrary Discrimination. Colleges and Universities should be open to all students who are academically qualified. University facilities and services should be open to all students. Furthermore, DePauw University should use its influence to secure equal access for all students to public facilities in the local community.
- B. Freedom of Association. The University should protect the freedom of students to organize to promote their common interests. Institutional intervention in the activities of student organizations should be exceptional. Activities of student organizations which clearly hamper the implementation of established academic programs and student activities which violate stated university regulations are instances in which intervention might occur. Generally, however, institutional policies should be supportive, not restrictive, of student freedom.
  - 1. Affiliation with an extra-mural organization should not of itself affect recognition of a student organization.
  - 2. A student organization seeking University recognition must have a campus adviser of its own choosing. Institutional recognition should not be withheld or withdrawn solely because of the inability of a student organization to secure an adviser. Members of the faculty serve the college community when they accept the responsibility to advise and consult with student organizations; they should not have the authority to control the policy of such organizations.
  - 3. Student organizations may be required to submit a current list of officers, but they should not be required to submit a membership list as a condition of institutional recognition.
  - 4. Campus organizations should be open to all students without respect to race, religion, creed, or national origin.
  - 5. Students and student organizations should be free to examine and to discuss all questions of interest to them, and to express opinions publicly or privately. They should also be free to support causes by any orderly means which do not disrupt the regular and essential operation of the institution.
  - 6. Students should be allowed to invite and to hear any person of their own choosing. While the orderly scheduling of facilities may require the observance of routine procedures before a guest speaker is invited to appear on campus, institutional control of campus facilities should never be used as a device of censorship. It should be made clear to the academic and larger community that sponsorship of guest speakers does not necessarily imply approval or endorsement of the views expressed, either by the sponsoring group or DePauw University.

- C. Student Participation in Institutional Government. As constituents of the academic community, students should be free, individually and collectively, to express their views on issues of institutional policy and on matters of general interest to the student body. The student body should have clearly defined means to participate in the formulation and application of regulations affecting student affairs. Student government should be protected from arbitrary intervention, such as removal or suspension of officers, by the withholding of funds, or by unilateral changes in the charter which defines its organization and competence.
- D. Freedom of Student Publication. An academic community requires freedom to exchange information and ideas.
- E. DePauw University should promote and sustain institutional policies which will provide students the freedom to establish their own publications and to conduct them free of censorship or of faculty or administrative determination of content or editorial policy, yet within the limits of the laws concerning libel and slander.
- F. Editors and managers should subscribe to canons of responsible journalism. At the same time, they should be protected from arbitrary suspension and removal because of student, faculty, administrative, or public disapproval of editorial policy or content. Only for proper and stated causes should editors and managers be subject to removal and then by orderly and prescribed procedures
- G. Students should be free to establish, publish, and distribute publications unsubsidized by the University without institutional censorship.

#### **IV. Off- Campus Freedom of Students**

The faculty and administration have an obligation to insure that institutional authority and disciplinary powers are not employed to circumvent or limit the rights of students as members of the larger community.

- A. Exercise of Rights of Citizenship. Students should enjoy the same freedom of religion, speech, press and assembly, and the right to petition the authorities, that citizens generally possess. Exercise of these rights on or off the campus should not subject them to institutional penalties.
- B. Institutional Authority and Civil Penalties. Activities of students may upon occasion result in violation of law. In such cases, institutional officials should apprise students of their legal rights and may offer other assistance. Students who violate the law may incur penalties prescribed by civil authorities, but institutional authority should never be used merely to duplicate the function of general laws. Only where the institution's interests as an academic community are distinct from those of the general community should the special authority of the institution be asserted. The student who incidentally violates institutional regulations in the course of off- campus activity, such as those relating to class attendance, should be subject to no greater penalty that would normally be imposed. Institutional action should be independent of community pressure. The University has no obligation to protect students from the penalties of civil law.

#### **V. Procedural Standards in Disciplinary Proceedings**

The faculty has an obligation to see that students are not disciplined for alleged misconduct without adequate procedural safeguards. The following procedures are recommended to assure reasonable protection of the student, a fair determination of the facts, and the application of appropriate sanction.

- A. Notice of Standards of Conduct Expected of Students. Disciplinary proceedings should be instituted only for violation of standards of conduct defined in advance and published through such means as a student handbook or a generally available body of university regulations. Offenses should be as clearly defined as possible, and such vague phrases as "undesirable conduct" or "conduct injurious to the best interest of the institution" should be avoided.
- B. Investigation of Student Conduct.
  - 1. Except under emergency circumstances, premises occupied by students and the personal possessions of students should not be searched unless appropriate authorization has been obtained. For premises such as dormitories controlled by the institution, an appropriate and responsible authority should be designated to whom application should be made before a search is conducted. The application should specify the reasons for the search and the objects or information sought. The student should be present, if possible, during the search. For premises not controlled by the institution, the ordinary requirements for lawful search should be followed.
  - 2. Students detected or arrested in the course of serious violations of institutional regulations, or infractions of ordinary law, should be informed of their rights. No form of harassment should be used by institutional representatives to coerce admissions of guilt or information about conduct of other suspected persons.

3. Status of Student Pending Final Action. Pending action on the charges, the status of a student should not be altered, or his right to be present on the campus and to attend classes suspended, except for reasons relating to the safety of students, faculty, or university property.
- C. Disciplinary Procedures. The formality of the procedures to which a student is entitled in disciplinary cases would be proportionate to the gravity of the offense and the sanctions which may be imposed. Both major and minor penalties would be assessed by the University under prescribed consistent procedures. In the case of a grave offense, where severe sanctions may be imposed, the student should, on his request, be given a formal statement in writing containing the particular reasons for the disciplinary action. The student should be given sufficient time to prepare a defense, have the right to an adviser of his choice, and to hear and have the opportunity to rebut adverse evidence, inferences or witnesses in a hearing presided over by an impartial party.

(Adopted by the DePauw Faculty, April 18, 1966)

## **XI. Timely Feedback**

Timely and adequate feedback is essential to student learning. Faculty members are expected to respond to student work in a time frame and manner that allow students to learn from and apply this feedback to subsequent work.

(Approved by the Faculty, April 4, 2011)

## Personnel Policies

(Some sections by faculty action; others by administrative decision; and some sections developed mutually.)

DePauw University strongly affirms the principles of academic freedom and tenure as stated in the *1940 Statement of Principles on Academic Freedom and Tenure, with 1970 Interpretive Comments* of the American Association of University Professors. (See AAUP *Redbook*, 9th Edition, pp. 3-7.)

### I. Appointment

The University appoints each faculty member to one of the following types of faculty positions each year. Each faculty member will be afforded the rights and privileges consistent with the position designated in that faculty member's letter of appointment and with other provisions of these Personnel Policies. Faculty members who work more than half time in a given fiscal year (which runs from July 1 to June 30) taking into account both faculty responsibilities and other responsibilities are eligible for certain benefits as set forth in the University's Employee Handbook.

(Article written by the administration. Last revised August 1, 2005.)

#### A. Part-Time Faculty Positions

##### 1. Types

**(a) Part-time Faculty Positions with Academic Rank.** These positions carry titles of "Part-time Instructor," "Part-time Assistant Professor," "Part-time Associate Professor," or "Part-time Professor." "Part-time" in the title may be replaced by "Adjunct" at the discretion of the Vice President for Academic Affairs. "Part-time" in the title may be replaced by "Senior Professor" for those formerly tenured faculty members in the semesters in which they teach part-time after retirement. This category includes those appointed by the University who perform only part-time teaching duties as well as those employed full- or part-time for other duties at the University who are also assigned part-time teaching duties. Normally, these positions carry instructional duties (teaching, service and professional growth) corresponding to less than half the instructional workload of a full-time faculty member. The University will make such appointments in a department or several departments, in the School of Music, or in a program. Appointments are made for a specified period, typically either for a semester or an academic year, and there is no guarantee of continued employment beyond the period specified. These positions are subject to the provisions of the Personnel Policies Articles IA, IIA, VI, and VII (note: as the Personnel Policies are a document relating only to faculty members, the Articles cited apply only to the faculty portion of an appointment). In addition, [Article VII](#) of the Personnel Policies applies to persons appointed to such positions only with regard to grievances concerning dismissal or release from faculty duties. Persons holding these types of position are subject only to the parts of the Personnel Policies cited in this paragraph.

**(b) Part-time Faculty Positions with Nominal Rank.** These positions carry titles of "with rank of Part-time Instructor," "with rank of Part-time Assistant Professor," "with rank of Part-time Associate Professor," or "with rank of Part-time Professor." "Part-time" in the title may be replaced by "Adjunct" at the discretion of the Vice President for Academic Affairs. This category includes those appointed by the University who perform only part-time teaching duties as well as those employed full- or part-time for other duties at the University who are also assigned part-time teaching duties. Normally, these positions carry instructional duties (teaching, service and professional growth) corresponding to less than half the instructional workload of a full-time faculty member. The University will make such appointments in a department or several departments, in the School of Music, or in a program. Appointments are made for a specified period, typically either for a semester or an academic year, and there is no guarantee of continued employment beyond the period specified. These positions are subject to the provisions of the Personnel Policies Articles IA, IIA, VI, and VII. (Note: as the Personnel Policies are a document relating only to faculty members, the Articles cited apply only to the faculty portion of an appointment.) In addition, [Article VII](#) of the Personnel Policies applies to persons appointed to such positions only with regard to grievances concerning dismissal or release from faculty duties. Persons holding these types of position are subject only to the parts of the Personnel Policies cited in this paragraph.

##### 2. Policies And Guidelines For Part-Time Faculty Members

Part-time faculty members are recognized as members of the faculty and are accorded some of the rights and privileges pertaining to faculty status. However, part-time faculty may not be granted tenure as long as they are part-time, and they may not serve on the faculty's coordinating or executive committees, though they may be appointed to certain other regular and ad hoc committees and subcommittees (when specified). In principle, part-time appointments should meet emergency needs and certain on-going needs of the schools and departments which may require special expertise or routine assistance where tenure or term appointments may be unwarranted.

Part-time teachers should be current in their credentials and expertise in their fields and they should pursue professional development in their fields.

**(a) Appointment.**

Appointments shall be made by the President or the Vice President for Academic Affairs after consultation with the dean of the school, department chair, or program coordinator who requests such appointments. Each appointment should carry with it a designation of rank and should be for a specific semester or academic year. No announcement of courses to be staffed by part-time faculty members should be made without prior approval of the Vice President for Academic Affairs. Contracts stating conditions of appointment should be executed in all cases, and these should make provision for possible cancellation of classes and appointment based upon low registration. The contract should include a provision for compensation for preparation time for courses that have been cancelled by the University. Appointments or contingency plans should be made in time to allow adequate course preparation, and contracts should be executed as soon as possible after agreement has been reached. A person may receive reappointment at a higher rank consistent with degree status, teaching effectiveness, professional development, and quality of service.

**(b) Compensation.**

The basis for compensation of part-time faculty members should reflect both prevailing market conditions and the levels of compensation paid to faculty members in tenure-track or term positions holding the same rank and having comparable experience. This basis for compensation as defined by the President of the University should be consistently applied; however, in cases of special need for tutorial courses, compensation may be below the defined standard. The standard for a minimum course enrollment should be the same for course taught by tenure-track, term and part-time teachers. Part-time teachers who must commute more than 50 miles (one way to the campus) should receive a travel allowance according to a policy defined by the President of the University.

**(c) Continuation of Employment.**

The University, by employing a part-time faculty member once or repeatedly, is not undertaking a commitment to provide future employment. Nevertheless, a part-time teacher who has satisfactorily performed prior contractual obligations, should receive special consideration when the University next seeks a part-time faculty member with that specialty; and such part-time teachers should be informed as early as possible about the probability of continued or repeated employment.

**(d) Evaluation, Reappointment, Promotion.**

The dean of school, program coordinator, or the department chair is responsible for annual evaluation of part-time faculty members. Student opinion surveys shall be administered every semester; copies of these surveys will be sent to the faculty member, the Vice President for Academic Affairs, and the dean of school, program coordinator or department chair to be placed in the faculty member's departmental personnel file. Peer evaluations, professional activities, service to the University and participation in faculty development should also figure in the annual evaluation. In determining the impact of the evaluation, the Vice President for Academic Affairs will consult with the department chair, program coordinator, or dean of school concerned, but, in view of the limited term of part-time teachers and of the fact that they are ineligible for tenure, the decision of the Vice President for Academic Affairs about compensation, continued employment, and promotion is final.

**(e) Rights and Privileges.**

With regard to faculty governance, the faculty will define rights and privileges of part-time faculty members. Part-time teachers may apply for funds for professional development, including faculty development and travel funds according to guidelines determined by the Faculty Development Committee and the administration. They are also entitled to participate in other faculty development programs and activities. They should be given the same initial instruction and continuing information concerning academic and community affairs as is given to faculty members in tenure-track and term positions. Each should have access to the university's instructional services, including office space, telephone, secretarial aid and library and information technology support.

## B. Full-time Faculty Positions

### 1. Types

**(a) Full-time Faculty Positions with Academic Rank.** Those appointed to such positions are granted such titles as “Instructor,” “Assistant Professor,” “Associate Professor,” or “Professor.” Appointments made by the University to positions of this type are to departments or interdisciplinary programs which offer a major in the College of Liberal Arts or to the School of Music, although some duties or obligations may be specified in the letter of appointment as being within interdisciplinary programs or administrative areas. Ordinarily, the duties of someone appointed to this type of position include a full range of faculty responsibilities (teaching, service and scholarly and artistic work), though some duties may be replaced by administrative responsibilities at the discretion of the President. Normally, this status is granted only to those employed for at least one academic year. There are two subcategories of full-time faculty positions with academic rank: Tenure-track positions and term positions, as described below.

#### **(1) Tenure-track Positions with Academic Rank**

(a) Tenured positions. These positions are held without limit of time unless otherwise specified at the time of appointment. The time limit is subject to the provisions of [Article VI](#) in the Personnel Policies. These positions are subject to the provisions of the Personnel Policies Articles IB, IIA & D, III, IV, V, VI and VII. Persons holding these types of position are subject only to the parts of the Personnel Policies cited in this paragraph.

(b) Probationary tenure-track positions (also called probationary positions). Such positions are identified at the time of appointment by the University as those that may lead to tenure. Probationary tenure-track appointments are for the period of time specified in the faculty member's letter of appointment, and there is no guarantee of continued employment beyond the period specified. These positions are subject to the provisions of the Personnel Policies Articles IB, IIA, B & C, III, IV, V, VI and VII. Persons holding these types of position are subject only to the parts of the Personnel Policies cited in this paragraph.

**(2) Term Positions with Academic Rank.** Persons holding term appointments are not eligible for tenure. Recognizing the policies and principles of the AAUP regarding tenure, the University will not appoint a person to more than a total of six years in a term position, except that this limit shall not count years in which significant administrative duties make a person holding such a term position ineligible for tenure as specified in the letter of appointment. Term positions are for the period of time specified in the letter of appointment, and there is no guarantee of continued employment beyond that period. These positions are subject to the provisions of the Personnel Policies Articles IB, IIA & E, III, IV, V, VI and VII. Persons holding these types of position are subject only to the parts of the Personnel Policies cited in this paragraph.

**(b) Full-time Term Positions with Nominal Rank.** These positions carry titles of “with rank of Instructor,” “with rank of Assistant Professor,” “with rank of Associate Professor,” or “with rank of Professor.” These positions carry significant administrative duties and typically carry less than half of the normal instructional duties of full-time faculty members with academic rank. Persons holding term appointments are not eligible for tenure. The University makes such appointments for specified periods of time and there is no guarantee of continued employment beyond the periods specified. These appointments are made to a department, an interdisciplinary program that offers a major, the School of Music, or the library. These positions are subject to

the provisions of the Personnel Policies Articles IB, IIA, IIE (except that Librarians shall be subject instead to Article IIF), III, IV, V, VI, and VII. Persons holding these types of position are subject only to the parts of the Personnel Policies cited in this paragraph.

## 2. Policies And Guidelines For Full-Time Faculty Members

### (a) Recruitment

Schools or departments are the primary agencies in recruitment to fill tenure-track and term positions (see [Article IV.A.5.b. and c.](#) in the Faculty By-Laws). After consultation with the Faculty Personnel Policy and Review Committee, the Vice President for Academic Affairs appoints search committees for term positions with significant administrative responsibilities and search committees for appointments with nominal rank. Such search committees will include representation from the relevant academic unit (department, school, program, or library).

### (b) Notice of Terms

Financial contracts are for one fiscal year only. In addition to this contract, a written statement of the precise terms of appointment shall be given to the appointee before the appointment is consummated.

### (c) Time Limits and Renewal

(1) In the final year of the probationary period, the faculty member in a tenure-track position must be either granted tenure or given a one-year terminal contract.

(2) The conditions of possible renewal of term appointments shall be specified at the time of initial appointment.

### (d) Probationary Period and Tenure

Faculty members appointed to tenure-track positions are given a specified probationary period (six years or less as stated in the initial letter of appointment) and are normally considered for tenure in the final year of the probationary period. The initial letter of appointment shall specify the years of credit for prior experience elsewhere granted toward time to be served before review for tenure.

(1) A faculty member in a tenure-track position who is appointed for a seventh year is entitled to tenure unless the seventh-year contract specifies the appointment that year is a terminal appointment.

(2) The probationary period for a person appointed initially as associate professor shall normally be no longer than three years.

(3) Initial appointment at the rank of professor may carry tenure, but normally the appointment involves a probationary period of no longer than three years.

(4) If a faculty member in a term position at DePauw University is appointed to a tenure-track position, the years spent in the term appointment shall count in the probationary period unless the job descriptions are substantially different. At this time, a faculty member may negotiate for shortening the time in rank required for tenure and/or promotion based on prior service at other institutions.

(5) When the time served at DePauw is less than five years, prior service elsewhere may also be considered in the tenure review.

(6) In exceptional cases, and if a candidate has served at least five years in rank at DePauw or elsewhere, a recommendation for early tenure may be made at the time of the interim review.

### **(e) Qualifications for Rank and Promotion**

Appointments shall carry rank appropriate to the degree and experience of the appointee. The initial letter of appointment shall specify the years of credit for prior experience elsewhere granted toward time in rank for promotion.

Faculty members in tenure-track and term appointments shall be eligible for consideration for initial rank and promotion according to the following schedule.

(1) Normally an instructor must have the M. A., M. S., or equivalent degree. Promotion to Assistant Professor will take effect immediately upon completion of requirements of the doctorate or the appropriate terminal degree for the field or discipline.

(2) Normally, an assistant professor must have the Ph.D. or equivalent terminal degree. (See [Appendix 2](#) in the Personnel Policies. Exceptions may be made for temporary appointments and when there are compensating factors.) When an assistant professor is reviewed for tenure, that review will also include a review for promotion according to the criteria in Section V; if tenure is granted without promotion, specific reasons for doing so must be made clear to all parties. When a tenured assistant professor is reviewed for promotion the criteria will be those of Section V. An assistant professor may not be reviewed for promotion prior to the tenure review. The review of an assistant professor for promotion should consider performance over all prior years of service at DePauw regardless of rank, and, if the faculty member has served fewer than five years at DePauw, evidence of immediately prior years of immediately prior service at other institutions also may be included at the discretion of the candidate so that the span of time considered in the performance review is at least five years.

(3) Normally, an associate professor must have the Ph.D. or equivalent degree. (See [Appendix 2](#) in the Personnel Policies. Exceptions may be made when there are compensating factors.) To be considered for timely promotion to Professor, an Associate Professor must have completed seven years in rank at DePauw unless this time is shortened by the initial letter of appointment. In cases of exceptional performance promotion may be granted earlier. When the time in rank at DePauw is less than seven years, prior service elsewhere may also be considered in the promotion review.

(4) Normally, a professor must have the Ph.D. or equivalent degree. (See [Appendix 2](#) in the Personnel Policies. Exceptions may be made when there are compensating factors.) There is no promotion beyond the rank of professor.

For promotion of persons with term appointments with administrative responsibilities the time sequence may differ from this schedule owing to differences in continuity and extent of service and in patterns of career development. Consideration of these persons for promotion shall be conducted in a manner similar to that for faculty members in tenure-track and term appointments, except that bodies or persons other than the department personnel committee and the Faculty Personnel Policy and Review Committee shall evaluate the administrative performance of the faculty member.

### **(f) Teaching duties**

The normal teaching duties of a full time member of the DePauw faculty shall be equivalent to twelve contact hours per week each semester and the whole range of attendant duties involved in teaching (preparation, evaluation, and reflection) necessary to support these twelve hours. Departments are responsible for determining, with the approval of the Vice President for Academic Affairs, what counts as a normal teaching load under this general guideline. Faculty members also must teach periodically in the Extended Studies program. (See [Article XXXIII](#) of the General Policies.)

## **II. Periodic Evaluation**

(Article written and approved by the faculty)

## **A. Annual Consultation**

For purposes of departmental self-study, the school dean or department chair shall confer annually with individual members of the school or department about their role in, and expectations for, the school's or department's mission in the University. With tenure-track faculty members between interim review and tenure decision, this consultation provides opportunity to review progress toward tenure.

## **B. Peer Observation of Faculty Members in Probationary Tenure-Track Positions**

(See [Article VII](#) of the General Policies.)

In the first year, peer observations are voluntary. If done, observations shall be initiated and arranged by the probationary faculty member. After visiting a class or classes, the observing faculty member should arrange a meeting with the first-year faculty member to provide feedback. Any written materials provided to the first-year faculty member based on these class observations shall be under the sole control of the first-year faculty member.

Peer observations are required after the first year of the probationary period. Required course observations shall be conducted by tenure-track faculty members who are appointed by the department chair in consultation with the DPC. Observers shall be from the probationary faculty member's department; in exceptional cases, as deemed appropriate by the chair, faculty members from outside the department may be chosen for this purpose. No single faculty member shall do a majority of the observations. At least half of the observations shall be done by tenured faculty. The timing of classroom observations shall be arranged by the department chair in consultation with the faculty member being observed. The courses observed should reflect the range and type of courses\* normally taught by the observed faculty member. Each observation should cover an entire session of the class. Following the observation of each course, the observing faculty member shall provide both written and oral feedback in a timely fashion to the observed faculty member. The observer will also provide a copy of the written feedback to the chair and the Vice President for Academic Affairs to be placed in the observed faculty member's personnel file and in the decision file for interim and tenure reviews.

In the second year, two courses shall be observed in each semester.

In the third, fourth, and fifth years of the probationary period, a total of four courses (at least one course each year) taught by the probationary faculty member shall be observed.

Probationary faculty can always request additional observations. Departments wishing to conduct more classroom observations than the required number shall do so only with the written consent of the probationary faculty member.

If the probationary period is three years or fewer, peer observations will be required in the first year and will follow the process outlined for the second year.

\* In the sciences, labs may count for one of the course observations

(Revised and effective November 3, 2003)

## **C. Evaluation of Faculty Members in Probationary Tenure-Track Positions**

1. Following the end of each academic year of a faculty member's probationary period, he or she shall submit to the Dean of the school or the department chair, a written annual report providing a self-reflective evaluation of his or her performance for that year relative to the criteria for tenure. A written response to the faculty member shall be made by the dean or chair following the consultation and written report.
2. At the end of each semester of the probationary period, faculty members shall arrange to have student opinion surveys conducted in each course, according to procedures approved by the Faculty Personnel Policy and Review Committee and the administration. These surveys will be kept with the personnel file used by the Faculty

Personnel Policy and Review Committee and the Vice President for Academic Affairs. Copies will be sent to the faculty member, the chair of the department, and the Vice President for Academic Affairs.

3. Requests for special leaves; reassigned time for research, service, and innovative teaching programs; and grants for research projects, equipment, and continuing education are reviewed by designated faculty committees and approved by appropriate university officers if they lead toward professional development of the faculty member and further the goals of the University.
4. Interim evaluation. At the mid-point of the probationary period, an interim evaluation shall be made according to the following schedule.

Probationary Period.....Interim Review

6 years.....3<sup>rd</sup> year

5 years.....3<sup>rd</sup> year

4 years.....2<sup>nd</sup> year

3 years.....At the faculty member's option unless requested by the chair, the Faculty Personnel Policy and Review Committee, or the Vice President for Academic Affairs

5. Tenure evaluation. In the final year of the probationary period, the tenure evaluation and decision are made, according to stated procedures and criteria.

**D. Evaluation of Faculty Members in Tenured Positions**

1. (In mandating merit awards, the Board of Trustees at its 1994 October meeting authorized the administration to change or supersede this paragraph. For current administration policy on evaluation see the special notice distributed by the Vice President for Academic Affairs.) Every third semester, the tenured faculty member shall arrange to have student opinion surveys conducted in each course, according to procedures approved by the Faculty Personnel Policy and Review Committee and the administration. These surveys shall be returned to the faculty member for his or her own personal development and improvement.
2. Promotion evaluations (for associate professor and professor ranks) shall be carried out for candidates nominated for promotion to associate and full professor, using the stated guidelines, procedures, and criteria for promotion. (See below.)
3. Requests for sabbatical and special leaves; released time for research, service, and innovative teaching programs; and grants for research projects, equipment, and continuing education are reviewed by designated faculty committees and approved by appropriate university officers if they lead toward professional development of the faculty member and further the goals of the University.

**E. Evaluation of Faculty Members in Full-Time Term Appointments**

Such faculty shall be evaluated according to similar requirements for periodic evaluation as faculty members in tenure-track positions. Those having completed two years of service and being considered for reappointment to another term shall be evaluated in a manner similar to the interim review of faculty members in probationary tenure-track positions. (See II.C.4 above.)

Those term positions that combine both instructional and administrative responsibilities shall be evaluated as follows:

1. In their capacity as instructors or classroom teachers, these faculty shall be evaluated in a manner similar to the interim review of faculty members in tenure-track positions.
2. In their administrative capacities, these faculty shall be evaluated by their superiors in accordance with their job descriptions.
3. Requests for special leaves; reassigned time for research, service, and innovative teaching programs; and grants for research projects, equipment, and continuing education are reviewed by designated faculty committees and approved by appropriate university officers if they lead toward professional development of the faculty member and further the goals of the University.

## F. Evaluation of Librarians Serving in Renewable Term Faculty Positions

Effective with the 2014-15 Academic Year, librarians shall be evaluated as follows:

- 3rd Year Term Review
- 7th Year Term and Promotion to “with rank of Associate Professor” review
- After completing seven years in “with rank of Associate Professor,” a librarian is eligible for timely promotion review to “with rank of Professor”
- After promotion to “with rank of Professor,” librarians are no longer subject to a formal review

The Vice President for Academic Affairs appoints a review committee consisting of the Dean of Libraries, all full-time professional librarians (excluding the candidate under review and those in their first year of service), and two faculty members from outside the library. The librarian develops a file for review in the same way as do full-time faculty members. The committee submits a report and recommendation to the President through the Faculty Personnel Policy and Review Committee and the Vice President for Academic Affairs. The Dean of Libraries and associate director are reviewed in this manner to evaluate their work as librarians; the Vice President for Academic Affairs separately reviews their administrative performance.

If a librarian has taught a credit-bearing course, the annual report shall include reflection about the teaching of that course which will be reviewed by the Vice President for Academic Affairs in consultation with the Faculty Personnel Policy and Review Committee if necessary.

## III. Guidelines for Term, Interim, Tenure and Promotion Reviews

(Article mutually agreed to by the administration and faculty)

- A. Reviews shall serve the programs and purposes of the University as well as the particular missions of the various departments and schools within it.
- B. Criteria, particularly in regard to tenure, shall be regarded as long-term standards, and changes in the criteria may be made only after full discussion, agreement between the Faculty and the President, and ample time for adjustments.
- C. Membership exclusion based on Conflict of Interest as covered by the policy established by the Faculty Personnel Policy and Review Committee and the Administration and published in [Appendix 3](#) in the Personnel Policies of the Academic Handbook apply. A faculty member may not serve on the Faculty Personnel Policy and Review Committee or the Grievance Committee for cases involving a member of their department or school.
- D. Each review shall be considered first by the Personnel Committee of the school or department (membership of the Personnel Committee is described in [Article IV.A.5a of the By-Laws](#)) and second by the Faculty Personnel Policy and Review Committee and Vice President for Academic Affairs (procedures for Personnel Committees and the Faculty Personnel Policy and Review Committee are defined in [Article IV.C.](#) and [Article IV.D.](#) respectively). Final decisions for term, interim and tenure appointments and for promotions rest with the President.
- E. All term, interim, tenure and promotion recommendations and decisions shall be based entirely and exclusively upon material in the candidate’s decision file (as defined in [Article IV.B.](#)) with respect to the criteria stated in [Article V. Criteria for Decisions on Faculty Status \(from 2004-05\)](#) and only those additional criteria clearly stated in the job description and the initial letter of appointment or established later by mutual consent.
- F. The reliability and credibility of those submitting information to a decision file shall be tested or capable of being tested in a procedure which preserves the maximum possible openness of evidence consistent with the need to maintain the confidentiality of the deliberative process. In the interest of protecting this confidentiality, each member of a Personnel Committee and the Faculty Personnel Policy and Review Committee shall agree, by virtue of his or her service, to honor the confidentiality of the process and not to breach the obligation of confidentiality absent a legal obligation to do so.

1. Each individual or committee placing a document in the decision file must be identified in order for that document to be considered.
  2. Each individual submitting a letter to the decision file must sign the letter.
  3. Personnel Committees and the Faculty Personnel Policy and Review Committee may redact the names of interviewees from the record placed in the decision file (but not from the Personnel Committee or Faculty Personnel Policy and Review Committee minutes). Such interviews must be recorded via an audio or video recording device in a manner specified by the Faculty Personnel Policy and Review Committee. The committee conducting the interview will place the evidence or a summary of the evidence in the decision file and forward the recording of the interview to the Coordinator for the Faculty Personnel Policy and Review Committee for storage until the case is resolved.
- G. The candidate shall have opportunity, prior to the recommendation of the committees considering the evidence, to respond in person and in writing to all testimony and evidence present in the decision file. If a candidate submits a written request for an interview with the Personnel Committee or the Faculty Personnel Policy and Review Committee by the published deadline to respond to the testimony and evidence, that committee must honor the request prior to making its recommendation.
- H. Candidates have the right to appeal recommendations of the Faculty Personnel Policy and Review Committee as defined in [Article VIII](#).

#### **IV. Procedures for Term, Interim, Tenure, and Promotion Reviews**

##### **A. Preliminary Steps**

1. By no later than the third week of April the Vice President for Academic Affairs will notify the chair of the Faculty Personnel Policy and Review Committee of all candidates scheduled for term, interim and tenure reviews during the following academic year. In addition, for tenure reviews the Vice President for Academic Affairs will indicate whether the candidate is eligible for timely promotion as defined in [Article I.B.2.e](#).
2. In August the chair of the Faculty Personnel Policy and Review Committee will call for nominations for promotion to be considered during the upcoming academic year. Any faculty member may nominate a colleague for promotion; self-nominations also are acceptable.
3. The chair of the Faculty Personnel Policy and Review Committee and the Vice President for Academic Affairs shall meet with candidates preparing decision files to explain the process, to provide a schedule of deadlines and to answer questions. This meeting must occur no later than 20 in-session days before the close of the decision file, according to the schedule of deadlines provided to the candidate (see [Article VIII.J.1](#) for an explanation of in-session days).
4. Candidates for tenure may petition the Faculty Personnel Policy and Review Committee for a change in deadlines no later than the last day of the semester proceeding the semester in which the review is originally scheduled. Exceptions may be made to the deadlines for such requests only in extraordinary circumstances.
5. The chair of the Faculty Personnel Policy and Review Committee shall make known to the University community the names of persons being considered for term, interim and tenure reviews and those who have accepted nomination for promotion and request that those with relevant information submit letters to the decision files.

##### **B. Preparation of Decision File**

A decision file is constructed for each personnel case according to the stated procedures of the Faculty Personnel Policy and Review Committee. These procedures shall be distributed to candidates and chairs of departmental or school Personnel Committees, in accordance with scheduled deadlines provided by the Chair of the Faculty Personnel Policy and Review Committee and the Vice President for Academic Affairs as explained in A.3 above. With the exception of materials generated during investigative mode (as defined in C.3 and D.3 below), materials submitted to the decision file after the established deadlines are placed in a buffer file which is not available to the Personnel Committee. The candidate will be afforded an opportunity to view all materials added to the buffer file and provide a response to them in a reasonable period of time. The following persons or committees may submit materials to the decision file subject to the published deadlines:

1. The Vice President for Academic Affairs may transfer to the decision file materials from the candidate's personnel file deemed by the Vice President for Academic Affairs to be relevant to the review as stipulated in [Article III.E](#). The Vice President for Academic Affairs shall include in the decision file the following required materials for the review of faculty members not holding tenure as specified in [Article II](#): the faculty member's annual reports, the chair's or dean's responses to the annual reports, peer observations, and student opinion forms. The Vice President for Academic Affairs shall include in the decision file the following required materials for the review of faculty members for promotion not linked to a tenure review: the student opinion forms from the last eighteen full credit courses (or equivalent), or all courses taught during the review period, if fewer than eighteen.
2. Individuals with knowledge of the candidate's performance in the areas under review may submit to the decision file information about and evaluation of the candidate's performance. Faculty members who so desire may also request, in writing to the Chair of the Personnel Committee, an interview with the departmental or school Personnel Committee. The Personnel Committee will notify the Chair of the Faculty Personnel Policy and Review Committee of the request and conduct the interview as described in [Article III.F](#). The departmental or school Personnel Committee may solicit other relevant information to be included in the decision file from the following:
  - (a) a representative sample of students who have direct knowledge of the candidate's teaching effectiveness,
  - (b) colleagues in the University whom Personnel Committee members consider qualified to judge the candidate's teaching effectiveness, professional competence, or service, and
  - (c) persons outside the University whom Personnel Committee members consider qualified to judge an appropriate aspect of the decision file. The Personnel Committee must notify the candidate that it intends to seek letters from persons outside the University. The committee must limit its solicitation to external evaluators agreeable to both the candidate and the committee.
3. The candidate should provide documentation to be placed in the decision file according to the criteria stipulated in [Article III.E](#).
4. The Faculty Personnel Policy and Review Committee or the Personnel Committee in investigative mode may add material to the decision file.

### C. Personnel Committee Procedure

The Personnel Committee shall follow a standard procedure approved by the Faculty Personnel Policy and Review Committee, the administration, and the faculty. It shall include the following steps.

1. All members of the Personnel Committee shall read the entire decision file before reaching a recommendation and preparing a report.
2. The Personnel Committee shall meet as a group and discuss the evidence in the decision file prior to arriving at its recommendation.
3. If the Personnel Committee finds that it cannot reach a recommendation based on the contents of the decision file it may request to enter investigative mode. Such requests must be addressed to the chair of the Faculty Personnel Policy and Review Committee and must state the specific information needed to reach a recommendation, the anticipated source(s) of that information and why the Personnel Committee believes investigative mode is appropriate to obtain that information. The chair of the Faculty Personnel Policy and Review Committee will determine if the request is appropriate within the context of the review and make a decision as to whether to authorize such an investigation. The Personnel Committee may appeal the chair's decision to the Faculty Personnel Policy and Review Committee, whose decision will then be final. If an investigative mode is approved, following procedures and a schedule provided by the chair of the Faculty Personnel Policy and Review Committee the Personnel Committee will
  - (a) suspend its evaluation of the decision file,
  - (b) gather the requested information and place the evidence or a summary of the evidence in the decision file,
  - (c) allow the candidate to respond to the material added to the decision file, and
  - (d) recommence its evaluation of the decision file.
4. In preparing its report the Personnel Committee shall detail its procedures, including actions taken to place evidence in the decision file prior to its closure and any investigations completed during investigative mode. In addition, the Personnel Committee will:
  - (a) In the case of a term review, make an assessment about the evidenced strengths and concerns with regard to the candidate's job performance, clearly stating areas of desirable or necessary improvements and a recommendation regarding an extension of the term, subject to the needs of the department or school.

- (b) In the case of an interim review, make an assessment about the evidenced strengths and concerns of the candidate, clearly stating areas of desirable or necessary improvement.
  - (c) In the case of tenure or promotion, make a recommendation, stating clearly the evidence and the reasons for the recommendation.
  - (d) The Personnel Committee may make a recommendation for early tenure or promotion even though the candidate has not been nominated in accordance with the procedure given in [Article IV.A.2](#).  
A consensus recommendation is strongly encouraged. However, if after prolonged discussion the Personnel Committee is unable to reach consensus, then the members will write and sign two or more separate reports, each stating the reason(s) for their recommendation. All members of the Personnel Committee shall have access to all reports, which together comprise the Personnel Committee's report.
5. The Personnel Committee's report shall be sent to the Faculty Personnel Policy and Review Committee and the Vice President for Academic Affairs who will release it to the candidate.

#### **D. Faculty Personnel Policy and Review Committee Procedure**

The Faculty Personnel Policy and Review Committee shall meet with the Vice President for Academic Affairs, and make a recommendation to the President for each candidate reviewed. In reaching its recommendation the Faculty Personnel Policy and Review Committee shall follow a standard procedure that includes the following steps.

1. The Faculty Personnel Policy and Review Committee will interview any faculty member who has requested such an interview in a signed writing to the Chair of the Faculty Personnel Policy and Review Committee according to the established schedule. The committee will complete the interview as described in [Article III.F.3](#) and provide the candidate with a summary of the interview and an opportunity to respond.
2. All members of the Faculty Personnel Policy and Review Committee will read the report from the Personnel Committee and any response from the candidate. All members of the Faculty Personnel Policy and Review Committee will read at least the core decision file before making recommendations. File guidelines established by the Faculty Personnel Policy and Review Committee clarify the core decision file includes everything except the scholarly and artistic work appendix.
3. If the Faculty Personnel Policy and Review Committee finds that it cannot make a recommendation it may proceed into investigative mode during which it can request information from the Vice President for Academic Affairs, conduct interviews with any member of the university community whom the Faculty Personnel Policy and Review Committee believes to have relevant information, request an evaluation by a person outside the university who is qualified to judge an appropriate aspect of the decision file (such individuals must be acceptable to both the candidate and the Faculty Personnel Policy and Review Committee) or collect additional documentation from the candidate, other individuals or University offices. The Faculty Personnel Policy and Review Committee will place the additional evidence or summary of the evidence into the decision file and provide the candidate with an opportunity to respond before resuming deliberations.
4. The Faculty Personnel Policy and Review Committee and the Vice President for Academic Affairs will present their tentative conclusions to each other and discuss their respective reasons with openness to any opposing points of view.
5. If the PC report is unanimous and positive, and if the evidence in the core decision file is sufficient for the Faculty Personnel Policy and Review Committee to reach a positive recommendation, Faculty Personnel Policy and Review Committee may proceed to examine the buffer file (see Article IV.D.6. below) and finalize the recommendation. However, if even a minority of the Faculty Personnel Policy and Review Committee reaches a negative conclusion based on the scholarly and artistic work section of the core file or if the PC report is not unanimously positive based on the scholarly and artistic work section of the core file, all members of the Faculty Personnel Policy and Review Committee must return to the decision file and read the appendices before Faculty Personnel Policy and Review Committee examines the buffer file (see Article IV.D.6. below) and finalizes the Faculty Personnel Policy and Review Committee recommendation.
6. Before reaching a final recommendation, the Faculty Personnel Policy and Review Committee will examine the contents of the buffer file. Materials deemed relevant to the case will be transferred to the decision file.
7. In preparing its report the following options are available to the Faculty Personnel Policy and Review Committee.
  - (a) If the report of the Personnel Committee is judged inadequate, the Personnel Committee may be asked to reconsider and resubmit its report, at which time deliberation and decision recommence.
  - (b) If the consensus recommendation from a Personnel Committee is judged valid, the Faculty Personnel Policy and Review Committee shall prepare a report endorsing the Personnel Committee's recommendation.

- (c) If the report from a Personnel Committee contains two or more separate recommendations, the Faculty Personnel Policy and Review Committee shall determine which recommendation is valid (if either) and prepare a report endorsing that recommendation.
  - (d) If the Faculty Personnel Policy and Review Committee does not concur with the Personnel Committee's recommendation(s) it shall state its reasons and cite evidence in the decision file to support its own recommendation.
  - (e) The Faculty Personnel Policy and Review Committee may make a recommendation for early tenure or promotion even though the candidate has not been nominated in accordance with the procedures described in [Article IV.A.2.](#)
8. The chair of the Faculty Personnel Policy and Review Committee shall communicate the action of the Faculty Personnel Policy and Review Committee to the President, who may meet with the Faculty Personnel Policy and Review Committee for further clarification.
  9. If the President is considering a decision against the recommendation of the Faculty Personnel Policy and Review Committee, he or she shall communicate this fact and the underlying reasons to the Faculty Personnel Policy and Review Committee. The Faculty Personnel Policy and Review Committee shall respond to the President regarding the President's tentative decision and reasoning.
  10. The President shall inform the candidate of the decision and reasoning in writing and share with the candidate the Faculty Personnel Policy and Review Committee's recommendation.

## V. **Criteria for Decisions on Faculty Status (from 2004-05)**

(Article mutually agreed to by administration and faculty. Amended September 13, 2004. This change will take effect in the fall of 2004 for those faculty members hired to begin teaching in the 2004-05 academic year; for current faculty members it will take effect after their next satisfactory promotion review. See [Article V.: Criteria for Decisions on Faculty Status \(prior to 2004-05\)](#)).

Decisions should express judgments about a candidate's merit using the [principles of equity](#), which considers each individual faculty member in terms of his or her unique talents, abilities, and accomplishments in relation to the criteria for personnel decisions, and [quality](#). A large amount of activity [per se](#) does not necessarily contribute to a superior academic environment. Criteria for possible dismissal ([Article VI.B.](#) below) are also applicable to decisions on faculty status.

- **Term review.** Required: Strong teaching during the period under review, promise of accomplishment in the scholarly and artistic work category, and service. Candidates who have not yet completed the terminal degree must show clear progress toward completion of the terminal degree for a satisfactory review as noted in Appendix 2 of the Personnel Policies.
- **Interim review.** Required: Strong teaching during the probationary period, promise of accomplishment in the scholarly and artistic work category, and service. Candidates who have not yet completed the terminal degree must show clear progress toward completion of the terminal degree for a satisfactory review as noted in Appendix 2 of the Personnel Policies.
- **Tenure decision.** Required: Strong teaching, including teaching in the school or department in which tenure will be granted, demonstrable achievement or unquestioned promise of accomplishment in the scholarly and artistic work category; and adequate contributions in service.
- **Promotion to associate or full professor.** Required: continued strong teaching; significant achievement or contribution in either scholarly and artistic work or service and at least adequate performance in the other category.

### A. **Teaching**

Strong teaching is essential for a positive personnel decision. Candidates are required to provide broad-based and representative evidence of strong teaching.

Candidates are required to show evidence in **all of the following**:

#### 1. **Professional Competence**

Completion of a terminal degree in the field (see [Appendix 2](#) in the Personnel Policies). Continued professional mastery of content, critical scholarship, and methodologies of teaching in areas of responsibility. Evidence may include: professional activities to stay current in the field combined with evidence of use of such current materials in courses; attendance at meetings or workshops on content or teaching methodologies, combined with evidence of use of that material and experience.

2. **Content and rigor**

- a. **Content:** evidence to be drawn from course goals, syllabi, examinations and assignments, course materials, such as handouts, primary and secondary textual sources, textbooks and other course materials. Such evidence can also include meetings/workshops attended relative to the content of the courses taught. The evidence should demonstrate that courses meet standards appropriate to the level of the course.
  - b. **Rigor:** evidence to be drawn from quizzes, tests, examinations, paper assignments, marked and graded material, distribution of grades as submitted to department chairs by the Office of Institutional Research, etc.. The evidence should demonstrate that the course requirements are sufficiently challenging for the level of the course.
3. **Teaching methods:** evidence to be drawn from teaching philosophy, course goals, syllabi, examinations and assignments, other course materials, etc.; evidence should demonstrate that teaching methods are appropriate, given the contexts of the discipline, topic, and specific characteristics of a given class. Such evidence can also include meetings/ workshops attended related to teaching methods.
4. **Effectiveness:** evidence to be drawn from student opinion surveys, peer observations, annual reports, etc.; evidence should demonstrate that the candidate has been successful in implementing her or his teaching methods, has treated students with professional fairness and integrity, and has established relations with students that are conducive to the learning process.

**B. Scholarly and Artistic Work**

Scholarly and artistic work shall be given full consideration in personnel decisions. In scholarship we recognize all categories identified by the Carnegie Foundation for the Advancement of Teaching: the scholarship of discovery, the scholarship of integration, the scholarship of application, and the scholarship of teaching. [Boyer, Ernest L. 1990. *Scholarship Reconsidered: Priorities of the Professoriate*, Chapter 2. Princeton, NJ: The Carnegie Foundation for the Advancement of Teaching.]

Candidates are required to show:

1. Continued development as a scholar or artist in one's broadly defined field(s) or discipline(s). The evidence might include participation in learned societies, professional organizations, and attendance at conferences, as well as supporting documents in area 2 and similar activities.
2. Between the following areas (2.a. and 2.b.), more activity in one category may compensate for less in another, but not to the exclusion of activity in either category.
  - a. Intellectual liveliness outside the university:
    - i. Scholarly outreach. Evidence might include publications, presentations at conferences, public performances and exhibits outside of DePauw, writing grant proposals for external funding, scholarship related to teaching and other activities of a similar nature.
    - ii. Professional contributions. Evidence might include organizing conferences or competitions, reviewing manuscripts and grant proposals, giving master classes outside of DePauw, and scholarly work for publication houses, institutes, and governmental agencies, etc. Evidence related to professional service should not be included in this area (See C.3. below.)

- b. Intellectual liveliness within the university community. Evidence might include workshops, participation at university, school, or departmental forums, panel discussions and presentations, on-campus recitals.

### C. Service

Adequate service to both the department (or school) and the university is necessary for positive personnel decisions. In establishing a record that goes beyond adequate service the candidate is free to provide further evidence of service to the department (or school) or to the university or to provide evidence for service to the profession. The three areas of service are defined below. More activity in category 3 can compensate for less activity in categories 1 and 2, but not to the exclusion of departmental and university service.

1. **Departmental Service.** Evidence might include effective participation in departmental governance, including committee assignments; effective advising of majors and minors; participation in curriculum and course development; resource acquisition, laboratory supervision, maintenance of office and lab equipment or musical instruments; and similar activities.
2. **University Service.** Evidence might include effective participation in university governance, including committee assignments; effective advising of first year students and/or student organizations related to the academic life; effective work in developing interdisciplinary or general education programs; administrative assignments and appointments; participation in community outreach programs affiliated with the university; and similar activities that show a commitment to the good of the university.
3. **Professional Service.** Beyond scholarly activities directly related to participation in learned societies, a candidate could supply evidence of service to professional societies, journals, institutes, governmental agencies, and the like. Evidence might include chairing conference sessions, being a juror at competitions, visiting schools for accreditation reviews, holding office in professional societies or foundations, and similar service activities which are related to the individual's fields as either a scholar or teacher.

### D. Librarians serving as renewable term faculty

Librarians serving as renewable term faculty are evaluated in the areas of teaching, scholarly and artistic work, and service, with the following difference: in the evaluation of teaching, the evaluation has a primary focus on library effectiveness. Librarians may also show evidence related to teaching ([Article V.A.](#)), but they must show evidence in at least two of the following areas of library effectiveness:

1. reference services for the university community;
2. development of library collections and information resources;
3. provision of bibliographic organization and control over library collections;
4. instruction in the use of information resources and services including workshops, library and information instruction sessions, and research consultations;
5. creation of instructional materials and tools on the use of information resources and services including catalogs, bibliographies, and indexes.

### V. Criteria for Decisions on Faculty Status (prior to 2004-05)

(Article mutually agreed to by administration and faculty. Includes clarifications adopted by vote of the faculty and agreed to by administration, April 5, 2004. For faculty members hired to teach full time prior to 2004-05, this Article will be in effect until after the first satisfactory promotion review following August 2004. See [Article V: Criteria for Decisions on Faculty Status \(from 2004-05\)](#).)

Decisions should express judgments about a candidate's merit using the **principle of equity**, which considers each individual faculty member in terms of his or her unique talents, abilities, and accomplishments in relation to the criteria for personnel decisions, and **quality**. A large amount of activity per se does not necessarily contribute to a superior academic environment. Criteria for possible dismissal ([Article VI.B.](#) below) are also applicable to decisions on faculty status.

- Interim review. Required: good teaching during the probationary period, satisfactory professional growth, and service.

- Tenure decision. Required: good teaching, including teaching in the school or department in which tenure will be granted, demonstrable achievement or unquestioned promise of accomplishment in the professional development category; and adequate contributions in service.
- Promotion to associate or full professor. Required: continued good teaching; significant achievement or contribution in either professional growth or service since the initial appointment to the preceding rank and at least adequate performance in the other category.

## A. Teaching

Good teaching is essential for a positive personnel decision. Candidates are required to provide broad-based and representative evidence of good teaching.

Candidates are required to show evidence in all of the following:

### 1. Content and rigor

- a. Content: evidence to be drawn from course goals, syllabi, examinations and assignments, course materials, such as handouts, primary and secondary textual sources, textbooks and other course materials. The evidence should demonstrate that courses meet standards appropriate to the level of the course.
- b. Rigor: evidence to be drawn from quizzes, tests, examinations, paper assignments, marked and graded material, distribution of grades as submitted to department chairs by the Office of Institutional Research, etc. The evidence should demonstrate that the course requirements are sufficiently challenging for the level of the course.

2. **Teaching methods:** evidence to be drawn from teaching philosophy, course goals, syllabi, examinations and assignments, other course materials, etc. The evidence should demonstrate that teaching methods are appropriate, given the contexts of the discipline, topic, and specific characteristics of a given class.

3. **Effectiveness:** evidence to be drawn from student opinion surveys, peer observations, annual reports, etc.; evidence should demonstrate that the candidate has been successful in implementing her or his teaching methods, has treated students with professional fairness and integrity, and has established relations with students that are conducive to the learning process.

## B. Professional Growth

Continued professional growth is necessary for a positive personnel decision. Candidates are required to show:

1. Continued development of professional competence in the field(s) or discipline(s). The evidence might include participation in learned societies, professional organizations, course development based on scholarly activity, and attendance at conferences; also from supporting documents in area 2 and similar activities. The evidence can be used to demonstrate development as a researcher (performer) or teacher, or both.

Between the following areas (2.a. and 2.b.), more activity in one category may compensate for less in another.

2. Intellectual liveliness

a. Intellectual liveliness outside the university:

- i. Scholarly outreach. Evidence might include publications, presentations at conferences, public performances and exhibits outside of DePauw, writing grant proposals for external funding, and other activities of a similar nature.
- ii. Professional contributions. Evidence might include organizing conferences or competitions, reviewing manuscripts and grant proposals, giving master classes outside of DePauw, and scholarly work for

publication houses, institutes, and governmental agencies, etc. Evidence related to professional service should not be included in this area (See C. 3. below.)

- b. Intellectual liveliness within the university community: Evidence might include workshops, participation at university, school, or departmental forums, panel discussions and presentations, on-campus recitals, teaching roundtables etc.

### **C. Service**

Effective service to the department (school) or the university is necessary for positive personnel decisions. Evidence is not required in all categories, and unless there are special departmental requirements or responsibilities stated in the job description, a candidate is free to decide what area and categories of service should be documented to show effective service.

1. Departmental Service. Evidence might include effective participation in departmental governance, including committee assignments; effective advising of majors and minors; participation in curriculum development; resource acquisition, laboratory supervision, maintenance of office and lab equipment or musical instruments; and similar activities.
2. University Service. Evidence might include effective participation in university governance, including committee assignments; effective advising of first year students and/or student organizations related to the academic life; effective work in developing interdisciplinary or general education programs; administrative assignments and appointments; and similar activities that show a commitment to the good of the university.
3. Professional Service. Beyond scholarly activities directly related to participation in learned societies, a candidate could supply evidence of service to professional societies, journals, institutes, governmental agencies, and the like. Evidence might include chairing conference sessions, being a juror at competitions, visiting schools for accreditation reviews, holding office in professional societies or foundations, and similar service activities which are related to the individual's fields as either a scholar or teacher.

### **D. Librarians serving as renewable term faculty**

Librarians serving as renewable term faculty are evaluated in the areas of teaching, professional development, and service, with the following difference: in the evaluation of teaching, the evaluation has a primary focus on library effectiveness. Librarians may also show evidence related to teaching (see [Article V.A.](#)), but they must show evidence in at least two of the following areas of library effectiveness:

1. reference services for the university community;
2. development of library collections and information resources;
3. provision of bibliographic organization and control over library collections;
4. instruction in the use of information resources and services including workshops, library and information instruction sessions, and research consultations;
5. creation of instructional materials and tools on the use of information resources and services including catalogs, bibliographies, and indexes.

## **VI. Standards and Procedures for Termination: Release, Dismissal and Non-reappointment**

(Article mutually agreed to by the faculty and administration. Updated October 2004)

The President may not terminate or otherwise punish a faculty member for exercising his or her academic freedom or for exercising freedoms such as speech, assembly, and association as they would apply in the federal constitutional context. Terminations should represent deliberate exercise of professional judgments in the particular institutional circumstances. Such terminations fall into three categories: Release, dismissal, and non-reappointment before the end of a specified period of employment, as detailed below.

## A. Release

This termination is based on factors outside the control of the faculty member who is released, and occurs prior to the end of a faculty member's appointment. The action takes effect at the end of the semester during which the release occurs.

### 1. Bases for Release:

- (a) Release of a tenured faculty member must be based on either: (1) bona fide financial exigency or (2) discontinuance of program, school or department.
- (b) Release of any other faculty member from faculty responsibilities must be based on one or more of the following reasons: (1) substantial change in the institution's academic program requiring a change in the job description under which the faculty member was hired; (2) bona fide budgetary constraints requiring elimination of the faculty member's position; or (3) discontinuance of program, school, or department.

### 2. Procedure for Release

The President may release a faculty member after consulting with the Vice President for Academic Affairs and either the chair of the department or the dean of the school of the faculty member affected. The faculty member has the right of appeal as outlined in the [Article VIII.G.](#) in the Personnel Policies.

## B. Dismissal

The President may dismiss any faculty member prior to the stated end of the faculty member's appointment for one or more of the reasons stated below. A dismissal may take effect either during a semester or at the end of a semester as determined by the President.

### 1. Bases for Dismissal: Dismissal must be based on one or more of the following:

- (a) dishonesty in teaching or research;
- (b) substantial and clear neglect of duty including violation of stated University policies;
- (c) personal conduct which substantially impairs the individual's fulfillment of institutional responsibilities;
- (d) conviction of a felony or of a serious misdemeanor of a type that reflects adversely on the University or on the faculty member's ability to perform the responsibilities of his or her University position;
- (e) performance which falls distinctly below the standards which the University may justly expect in terms of the criteria for personnel decisions on tenure and promotion ([Article V.](#) in the Personnel Policies); or
- (f) inability to perform the duties of the appointment due to sustained or recurrent incapacity without expectation of timely resumption of duties.

### 2. Procedure for Dismissal

A recommendation to the President for dismissal may arise as part of the personnel review process outlined in [Article IV](#) in the Personnel Policies. Alternatively, a recommendation to the President for dismissal may result from a complaint registered with or by the Vice President for Academic Affairs following procedures outlined in Article VI. D. below.

## C. Non-reappointment

Non-reappointment before the end of a term appointment or before the end of the probationary period of a tenure-track position. The President may decide not to re-appoint a faculty member prior to the stated end of a faculty member's term of employment for one or more of the reasons stated below. The action will take effect no sooner than at the end of the semester in which the non-reappointment decision occurs.

### 1. Bases for Non-reappointment

Non-reappointment before the end of a specified period of employment must be based upon one or more of the following: (a) failure to meet conditions set forth in the letter of appointment (for example, failure to attain a terminal degree by a specified date); (b) unsatisfactory performance; or (c) any of the bases for dismissal stated in sections B.1.a.-B.1.d. (not serious enough to warrant immediate dismissal).

### 2. Procedure for Non-reappointment

A recommendation to the President for non-reappointment may arise as part of the personnel review process outlined in [Article IV](#) in the Personnel Policies. Alternatively, a recommendation to the President for non-reappointment may result from a complaint registered with or by the Vice President for Academic Affairs following procedures outlined in Article VI. D. below.

## D. Procedures for Dismissal or Non-reappointment Based on Complaints

1. All complaints that are sufficiently serious to warrant the possibility of dismissal or non-reappointment are to be directed to the Vice President for Academic Affairs who will conduct a preliminary investigation, including consultation with the faculty member who is the subject of the complaint. The Vice President for Academic Affairs will reach a conclusion as to whether the complaint is without merit, warrants only minor sanction, or justifies further investigation.
2. If the Vice President for Academic Affairs decides that further investigation is warranted, the Vice President for Academic Affairs will inform the Faculty Personnel Policy and Review Committee which will conduct a hearing according to its established procedures (see [Appendix 1](#) in the Personnel Policies) and provide its recommendation to the President.
3. The President may dismiss a faculty member or not reappoint a faculty member before the end of the specified period of employment after receiving the recommendation made by the Faculty Personnel Policy and Review Committee after it completes its hearing process. If the Faculty Personnel Policy and Review Committee should fail to provide its advice to the President in accordance with the schedule established in its hearing procedures following a request by the Vice President for Academic Affairs for it to hold a hearing, the President may notify the Faculty Personnel Policy and Review Committee in writing of the President's intention to act without its advice. The President may then proceed to act without the advice of the Faculty Personnel Policy and Review Committee if the Committee's recommendation is not received within five (5) in-session days (as defined in [Article VIII.J.1.](#)) of the date the President sends notification of intent to act to the Committee.
4. All decisions about release of information about the decision shall rest with the President.

Faculty members who have been released, dismissed, or not re-appointed have an opportunity for reconsideration or review in accordance with the Faculty Grievance Procedure described in [Article VIII](#) in the Personnel Policies.

The President may suspend a faculty member effective immediately, with pay, pending conclusion of hearing proceedings described in these Personnel Policies.

In the event of release, dismissal, or non-reappointment before the end of a stated term, salary in addition to that earned as of the date of notice of the action shall be paid according to the following schedule, notwithstanding the effective date of the release, dismissal, or non-reappointment:

1. Faculty members in their first academic year of service shall receive three months' salary from the date of notice of the release, dismissal, or non-reappointment unless notice of action that is to be effective at the end of the

- academic year is given by March 1, in which case the faculty member shall receive salary through the end of the academic year.
2. Faculty members in their second year of academic service shall receive six months' salary from the date of notice of the release, dismissal, or non-reappointment unless notice of action that is to be effective at the end of the academic year is given by the prior December 15, in which case the faculty member shall receive salary through the end of the academic year.
  3. Faculty members who have more than two years of academic service shall receive 12 months' salary from the date of notice of the release, dismissal, or non-reappointment.

## VII. Reconsideration and Review in Release, Dismissal, and Non-Reappointment Cases

(Article mutually agreed to by administration and faculty)

Even with the best standards and procedures, faculty who have been released, dismissed, or not reappointed may believe that they have been improperly judged or unfairly treated and may wish a reconsideration or review of the case. Such faculty shall have such an opportunity, and the reconsideration or review shall be in accordance with the faculty grievance procedure.

## VIII. Faculty Grievance Process

(Article written and approved by the faculty. Revised February, 2005)

Note: Full descriptions of the following areas are available as follows:

- Section H: [Grievance Committee Membership and Selection](#)
- Section I: [Conflicts of Interest](#)
- Section J: [Committee and Panel Operating Rules](#)
- Section K: [Grievance Procedure Interpretation](#)

### A. Overview of the Faculty Grievance Process

The Faculty Grievance Process provides eligible faculty members an opportunity for review of recommendations of the Faculty Personnel Policy and Review Committee regarding their employment with the University, or of other personnel decisions such as changes in job status or responsibilities that directly relate to their employment with the University. The Grievance Committee operates through three-member Mediation Panels and five-member Appeals Panels, on which its members serve. Mediation Panels attempt to facilitate mutually agreeable resolutions of matters brought before them. Appeals Panels review recommendations and offer their resolution to the President if mediation is not successful.

### B. Persons Covered by the Faculty Grievance Process

1. **Full-Time Faculty Members.** This Article applies to all full-time faculty members (i.e., those holding positions described in [Article I.B.1.](#) in the Personnel Policies.)
2. **Part-Time Faculty Members.** This Article applies to part-time faculty members (i.e., those holding positions described in [Article I.A.1.](#) in the Personnel Policies) only with regard to grievances concerning release or dismissal from faculty responsibilities. Any other type of complaint by a part-time faculty member must be taken up directly with the Vice President for Academic Affairs whose decision is final.

### C. Petition for Faculty Personnel Policy and Review Committee Review of Actions That Were Not Previously the Subject of a Faculty Personnel Policy and Review Committee Recommendation

A faculty member may request Faculty Personnel Policy and Review Committee review of a certain personnel action that was not previously the subject of a Faculty Personnel Policy and Review Committee recommendation under the following procedure.

1. **Types of Actions Subject to Review**

- a. **Full-Time Faculty.** Full-time faculty members as defined in VIII.B.1 above may request review of personnel decisions that directly relate to that faculty member's employment with the University that were not the subject of a Faculty Personnel Policy and Review Committee recommendation, such as changes in job status and responsibilities.
- b. **Part-Time Faculty.** Part-Time Faculty members as defined in VIII.B.2 above may request Faculty Personnel Policy and Review Committee review only of decisions releasing or dismissing them from faculty responsibilities.

2. **Procedure for Requesting Faculty Personnel Policy and Review Committee Review**

- a. **Written Request.** A petition requesting Faculty Personnel Policy and Review Committee review must be in writing and include a specific description of the decision the Petitioner is asking the Faculty Personnel Policy and Review Committee to review, along with copies of all other documents the Petitioner wishes the Faculty Personnel Policy and Review Committee to consider regarding the subject of the grievance.
- b. **Deadline for Request.** The request for Faculty Personnel Policy and Review Committee review must be submitted within 30 days after the Petitioner is advised of the decision that is the subject of the Petitioner's request. (See Calculation of Time, [Article VIII.J.1](#), in the Personnel Policies.)

3. **Faculty Personnel Policy and Review Committee Discretion to Grant or Deny Review.** The Faculty Personnel Policy and Review Committee has discretion to grant or deny review in response to requests made under VIII.C.2. If the Faculty Personnel Policy and Review Committee denies review, the Petitioner's opportunity for review under this Article is concluded.

4. **Faculty Personnel Policy and Review Committee Response and Review**

- a. **Deadline for Response.** The Faculty Personnel Policy and Review Committee has five days from the receipt of the Petitioner's request to respond to the Petitioner in writing, stating whether or not it will grant review.
- b. **Deadline for Review.** If the Faculty Personnel Policy and Review Committee decides to grant review, it then has 10 days from the date of its decision to grant review to issue a written recommendation.

**D. Petition for Faculty Personnel Policy and Review Committee Review of a Faculty Personnel Policy and Review Committee Recommendation**

A Petitioner may request review of a Faculty Personnel Policy and Review Committee recommendation, including a recommendation issued under VIII. C.4 above, under the following procedure.

1. **Consultation with Department Chair or Dean and Vice President for Academic Affairs.** The Petitioner is encouraged, although not required, to consult with his or her Department Chair or Dean and the Vice President for Academic Affairs regarding the challenged recommendation before requesting Faculty Personnel Policy and Review Committee review.
2. **Deadline for Petition.** The Petitioner must submit to Faculty Personnel Policy and Review Committee a written petition for review of its recommendation within 10 days of being informed in writing of the recommendation.
3. **Subjects of Mandatory and Discretionary Review.** Upon timely written request, the Faculty Personnel Policy and Review Committee must review recommendations regarding tenure or reappointment. Normally, in cases involving promotion, the Faculty Personnel Policy and Review Committee will not review recommendations unless there has been a prolonged denial of promotion. The Faculty Personnel Policy and Review Committee has discretion to deny review of other types of recommendations.
4. **Deadlines for Faculty Personnel Policy and Review Committee Response.**
  - a. **Denial of Review.** If the Faculty Personnel Policy and Review Committee exercises its discretion to deny review, it must advise the Petitioner in writing of the denial within five days of receiving the request for review. The Petitioner may then request review by the Grievance Committee. (See section E. below.)

- b. **Review.** If review is mandatory based on the type of recommendation involved, or if the Faculty Personnel Policy and Review Committee grants review, it must respond in writing to the petitioner within 10 days of receiving the petition.
  - i. **Reissuance of Original Recommendation.** If the original Faculty Personnel Policy and Review Committee recommendation stands, the Faculty Personnel Policy and Review Committee response must give the reason(s) for the original recommendation.
  - ii. **Revision of Original Recommendation.** If the Faculty Personnel Policy and Review Committee 's original recommendation is revised, the Faculty Personnel Policy and Review Committee response must give the reason(s) for the revised recommendation and the procedure followed in arriving at the original and revised recommendations. If the Petitioner decides not to petition the Grievance Committee, the revised recommendation will then be forwarded to the President.
  - iii. **No Successive Requests for Faculty Personnel Policy and Review Committee Review.** If the Petitioner disagrees with a revised Faculty Personnel Policy and Review Committee recommendation, he or she may not again petition the Faculty Personnel Policy and Review Committee for review, but may proceed with appeal through the Grievance Committee as described in section E. below.

#### E. Petition to Grievance Committee

1. **Deadline for Petition.** The Petitioner has three days after receiving notice of the Faculty Personnel Policy and Review Committee's response per section D.4. above to submit to the Chair of the Faculty three copies of a request in writing for Grievance Committee review.
2. **Content of Petition.** The Petitioner's request for Grievance Committee review must include a description of the subject matter of the grievance and the reasons for requesting review, along with an explicit waiver allowing disclosure to the Grievance Committee of the Faculty Personnel Policy and Review Committee 's grounds for recommendation.
3. **Grievance Committee Response and Deadline.** The Chair of the Faculty will convene the Grievance Committee members and alternates within four days of receiving the petition for Grievance Committee review. The Grievance Committee will select by random lot from its membership a three-member Mediation Panel and a five-member Appeals Panel. Once the Mediation Panel members are selected, the Appeals Panel members are excused from the proceeding and will have no further involvement if the matter is resolved through mediation.

#### F. Mediation Panel Process

1. **Submission of Statement Requesting Review to Panel.** The Chair of the Faculty will provide the petitioner's statement requesting Grievance Committee review to the Mediation Panel at the time of the panel's selection.
2. **Meeting of Panel with Petitioner.** The Mediation Panel will meet with the Petitioner within three days of the panel's selection and will decide at that meeting whether mediation efforts appear worthwhile.
  - a. **Submission of Documents by Petitioner.** At this initial meeting of the Mediation Panel with the Petitioner, the Petitioner will provide the panel chair three copies of all documents the Petitioner wishes to submit in support of his or her written statement describing the subject matter of the grievance.
  - b. **Notification of Cessation of Mediation Efforts.** If the Mediation Panel determines at this time, or at any later point in its proceedings, that mediation efforts (or further efforts) are unlikely to be worthwhile, the chair of the Mediation Panel will report in writing that conclusion within two days to the Petitioner, to the chair of the Faculty Personnel Policy and Review Committee, and to the chair of the Appeals Panel. The chair of the Mediation Panel will also return all materials received in connection with the proceeding to the person or persons from whom they were received.
3. **Collection of Information from the Faculty Personnel Policy and Review Committee.** If the Mediation Panel decides to pursue mediation efforts it will, within one day of the initial meeting with the Petitioner, submit the Petitioner's statement describing the subject matter of the grievance to the Faculty Personnel Policy and Review Committee. The Faculty Personnel Policy and Review Committee will then, within three days of its next meeting provide the Mediation Panel with:
  - a. A written response to the Petitioner's description of the subject matter of the grievance;

- b. A copy of the written statement of reasons for the original or revised recommendation that was previously given to the Petitioner, which would include the procedures followed and (if applicable) the revised recommendation (See VIII.D.4. above);
  - c. Copies of all documents considered in its deliberations leading to the original or revised recommendation. With Mediation Panel approval, the Faculty Personnel Policy and Review Committee may first provide panel members access to these documents and ask the panel members to select documents they wish to have copied. The Faculty Personnel Policy and Review Committee shall redact identifying material from documents it deems highly confidential so that sources are not disclosed.
4. **Mediation Effort.** After reviewing the materials described in VIII.F.1., 2.a. and 3. above, the Mediation Panel will try to resolve the matter through mutual agreement between the Petitioner and Faculty Personnel Policy and Review Committee. This agreement may, but need not, take the form of a compromise. The Mediation Panel will act as a facilitator in this process rather than as an advocate for either the Petitioner or the Faculty Personnel Policy and Review Committee.
- a. **Mediation Panel Facilitation Meetings.** As part of the facilitation process, the Mediation Panel may meet with the Petitioner and with the Faculty Personnel Policy and Review Committee or its designated representative together and/or separately. However, individual Mediation Panel members may not meet with individual Faculty Personnel Policy and Review Committee members regarding matters at issue in the proceeding unless both their respective bodies authorize them to do so.
  - b. **Attendance at Mediation Panel Proceedings.** The only persons other than Mediation Panel members allowed to be in attendance during mediation efforts are the Petitioner, one or more designated Faculty Personnel Policy and Review Committee representatives, and the Petitioner's adviser per VIII.J.7. below. If the Faculty Personnel Policy and Review Committee participates via a single designated representative, that representative may also have an adviser present per VIII.J.7. below.
5. **Mediation Time Frame.** The mediation time period should not exceed 10 days from the date the Mediation Panel received the documents described in VIII.F.3. above from the Faculty Personnel Policy and Review Committee. The mediation period may be extended by no more than five days by mutual agreement of the Petitioner and the Faculty Personnel Policy and Review Committee or its designated representative(s).
6. **Communication of Result.** At the conclusion of its work and no later than the end of the time period described in VIII.F.5. above, the chair of the Mediation Panel will report in writing to the Petitioner, to the Faculty Personnel Policy and Review Committee chair, and to the Chair of the Faculty whether mediation has achieved resolution of the grievance. The Mediation Panel may, at its discretion, also provide its own statement defining the nature of the grievance as the panel members understand it.

## G. The Appeals Panel Process

1. **Request for Appeals Panel Review.** To request Appeals Panel review, the Petitioner must, within three days of receiving the notification described in VIII.F.2.b. or 6. above that mediation efforts are concluded, submit the following materials to the Chair of the Faculty and to the chair of the Appeals Panel:
  - a. A written request for Appeals Panel review;
  - b. A copy of the statement, previously provided the Chair of the Faculty in VIII.E.2. above, detailing the description of the subject matter of the grievance and the reason for requesting review, or a copy of the Mediation Panel's statement defining the nature of the grievance (See VIII.F.6. above) along with a written endorsement of that statement which includes any qualifications or exceptions the Petitioner wishes to make.
2. **Submission of Documentation to Appeals Panel.** Within an additional three days, the Petitioner must submit to the chair of the Appeals Panel copies of all documents the Petitioner wishes to submit in support of that statement.
3. **Notification to Faculty Personnel Policy and Review Committee and Submission of Documentation by Faculty Personnel Policy and Review Committee.** Within two days of receipt of materials from the Petitioner described in VIII.G.2. above, the Appeals Panel chair will notify the Faculty Personnel Policy and Review Committee in writing of the request for Appeals Panel review. Within three days of receiving this notification, the

Faculty Personnel Policy and Review Committee will send to the Appeals Panel the same documents described in VIII.F.3. that it previously sent to the Mediation Panel.

4. **Appeals Panel meeting with Petitioner on Nature of the Grievance.** Within three days of receipt of the materials from the Petitioner described in VIII.G.2. above, the Appeals Panel will meet with the Petitioner to verify the Appeals Panel's understanding of the Petitioner's definition of the nature of the grievance. No arguments or evidence will be presented at the initial meeting of the Appeals Panel.
5. **Appeals Panel Meeting on Procedure.** Within three days after the initial meeting with the Petitioner, Appeals Panel members will meet to discuss its procedures for review. The Petitioner and designated Faculty Personnel Policy and Review Committee representative may attend this meeting and may each bring an adviser as described in VIII.J.7. below. The Appeals Panel chair will describe the Appeals Panel's understanding of the grievance, and the Petitioner and Faculty Personnel Policy and Review Committee representative may respond. Again, no arguments or evidence will be presented at this meeting. The Appeals Panel will establish and describe the procedures it plans to follow in conducting its review and will set a date when it will begin the review.
6. **Appeals Panel Review Meeting.** No less than five or more than 10 days after the procedural meeting described in VIII.G.5. above, the Appeals Panel will meet to allow the Petitioner and Faculty Personnel Policy and Review Committee representative to present additional information. Copies of any documents to be submitted at this meeting by or on behalf of the Petitioner must be provided to the Faculty Personnel Policy and Review Committee representative at least four days prior to the hearing, and, similarly, copies of documents to be submitted on behalf of the Faculty Personnel Policy and Review Committee must be provided to the Petitioner at least four days prior to the hearing.
  - a. **Earlier Meeting by Mutual Agreement.** This meeting may be held earlier than five days after the procedural meeting described in VIII.G.5. above by mutual agreement of the Petitioner and the Faculty Personnel Policy and Review Committee representative that also includes an agreed-upon time frame for providing copies of documents to be submitted at the meeting.
  - b. **Consequence of Failure to Provide Documents in Advance.** If a document is presented at the meeting that was not provided in advance in accordance with the above requirement, the person (Petitioner or Faculty Personnel Policy and Review Committee representative) who did not receive the document within the required time frame may have a three-day recess for purpose of preparing a response.
7. **Report of Appeals Panel Recommendation.** Within three days after holding its review meeting (including, if necessary, continuance of that meeting following a recess as described in VIII.G.6.b. above), the Appeals Panel will report its recommendation in writing to the Petitioner, to the Faculty Personnel Policy and Review Committee, to the Vice President for Academic Affairs, and to the President. The report shall be accompanied by a statement of reasons for the recommendation.
  - a. **Correctable Procedural Error.** If the Appeals Panel concludes that the Faculty Personnel Policy and Review Committee made a correctable procedural error, it shall direct the Faculty Personnel Policy and Review Committee in writing to correct the error and resume the recommendation process from the point of error, according to a time table set in consultation with Faculty Personnel Policy and Review Committee. This does not necessarily mean modification or reversal of the original recommendation.
    - i. The Faculty Personnel Policy and Review Committee will report its reconsidered recommendation to the Appeals Panel and the Petitioner, along with a statement of reasons.
    - ii. Within three days of receiving the Faculty Personnel Policy and Review Committee's report according to VIII.G.7.a.i. above, the Appeals Panel will state in writing to the Petitioner, the Faculty Personnel Policy and Review Committee, the Vice President for Academic Affairs, and the President its opinion as to whether or not the Faculty Personnel Policy and Review Committee's reconsidered recommendation appropriately resolves the matter. The President will then make a final decision.
  - b. **Other Forms of Error.** If the Appeals Panel concludes that the Faculty Personnel Policy and Review Committee has made an error other than a correctable procedural error, it shall report its conclusion to the Faculty Personnel Policy and Review Committee, to the Petitioner, to the Vice President for Academic Affairs, and to the President along with its recommendation to the President for retaining, modifying, or reversing the original recommendation. The President will then make a final decision. Such a conclusion of the Appeals Panel might be based on any of the following:

- i. Bias or prejudice;
- ii. Lack of availability of important documents or testimony;
- iii. A recommendation deemed inappropriate in light of the evidence; or
- iv. Violation of academic freedom. Cases involving academic freedom will be reviewed in accordance with the process described in Article VIII, applying principles of the American Association of University Professors as found in the “Recommended Institutional Regulations on Academic Freedom and Tenure (1999 revision)” and other AAUP Policy Statements on Academic Freedom and Tenure.

## 8. Appeals Panel Review Procedures.

- a. **Scope of the Inquiry.** During its review, as provided for in VIII.G.1.-7. above, the Appeals Panel will restrict its inquiry to the following questions:
  - i. Did the Faculty Personnel Policy and Review Committee consider all important evidence in arriving at its recommendation? If not, would consideration of all such evidence have justified a different recommendation?
  - ii. Did the Faculty Personnel Policy and Review Committee consider any improper evidence in arriving at its recommendation? If such evidence had been disregarded, is it likely that a different recommendation would have been made?
  - iii. Was the Faculty Personnel Policy and Review Committee’s recommendation or the process followed in arriving at that recommendation so inappropriate in any other respect that the Faculty Personnel Policy and Review Committee should revisit that recommendation?
- b. **Burden of Proof.** The Petitioner will bear the burden of proof. As used herein, “burden of proof” means the responsibility for affirmatively proving, by a preponderance of evidence, disputed facts that bear on the recommendation under review.
- c. **Closed Proceedings.** The Appeals Panel proceeding attendance shall be limited to Appeals Panel members; the Petitioner; the Petitioner's adviser (if any, per VIII.J.7. below); an observer of the petitioner's choice selected from the general faculty; the designated Faculty Personnel Policy and Review Committee representative; the Faculty Personnel Policy and Review Committee representative's adviser (if any, per VIII.J.7. below); and an observer of the Faculty Personnel Policy and Review Committee representative's choice selected from the general faculty. A witness giving testimony, other than the petitioner or the Faculty Personnel Policy and Review Committee representative, will attend the proceedings only when giving that testimony or responding to questioning.
- d. **Presentation of Testimony.** The Petitioner and Faculty Personnel Policy and Review Committee representative will have an opportunity to present oral testimony bearing on the case as defined, either personally or through witnesses, and to question any person presenting testimony.
- e. **Confidentiality of Sources.** No person testifying before the Appeals Panel will be required to disclose confidential sources. However, panel members may take into account the fact that an anonymous source is not available for questioning in arriving at their conclusions.
- f. **Panel Member Testimony; Faculty Personnel Policy and Review Committee Spokesperson.** No member of the Mediation Panel will testify, and no member of the Faculty Personnel Policy and Review Committee except its designated representative shall speak for the entire Faculty Personnel Policy and Review Committee.
- g. **Rules of Evidence and Basis for Conclusions.** The Appeals Panel will not be bound by legal rules of evidence, but its findings will be based solely on information obtained as part of the review process.
- h. **Record of Proceedings.** A written or taped record shall be kept of Appeal Panel review proceedings, to which both the Petitioner and Faculty Personnel Policy and Review Committee representative will have reasonable access. The chair of the Appeals Panel will keep two copies of this record under his or her control until final disposition of the case. After the Appeal Panel's recommendation to the President (See VIII.G.7.), both copies of the record of the proceedings and one copy of all documents received by the Appeals Panel as part of its review will be deposited in the University Archives for confidential storage consistent with usual archival procedures. These materials will be available to the President during consideration of the Appeals Panel's recommendation.

## H. Grievance Committee Membership and Selection

The Grievance Committee will consist of eight members and eight alternates, all elected from the full-time, tenured faculty (i.e., those holding positions described in [Article I.B.1.\(a\)\(1\)\(a\)](#) in the Personnel Policies). Eight (8) elected representatives, two from each Curricular Area, and eight (8) elected alternate representatives, two from each Curricular Area. Ideally these sixteen representatives will come from sixteen different departments. In no case may more than two representatives to the Grievance Committee be from a single department.

1. **Time of Election.** Grievance Committee members and alternates will be elected at the time of spring faculty committee elections.
2. **Eligibility for Re-Election.** Grievance Committee members and alternates are eligible for re-election without limit as to number of terms.
3. **Term of Office.** Grievance Committee members and alternates will take office at the beginning of the spring semester of the academic year following the year of their election. If a new Grievance Committee takes office while a panel proceeding is pending or in progress, the outgoing Grievance Committee will decide whether to complete the proceeding or to hand it over to the newly-elected Grievance Committee.
4. **Balloting.** In balloting, the two eligible candidates from each curricular area who receive the highest number of votes within that curricular area are elected as Grievance Committee members. The candidates ranking third and fourth in terms of number of votes received are elected as alternates.
5. **Equal Availability of Persons Elected.** Once elected, all members are considered equally available to serve without regard to curricular area or to number of votes received, and all alternates are equally available to serve as alternates without regard to curricular area or to number of votes received.
6. **Faculty Personnel Policy and Review Committee Members Ineligible.** Faculty Personnel Policy and Review Committee members may not serve as Grievance Committee members or alternates during their terms of membership on the Faculty Personnel Policy and Review Committee.

## I. Conflicts of Interest

Membership exclusion based on Conflicts of Interest as covered by the policy established by the Faculty Personnel Policy and Review Committee and the Administration and published in [Appendix 3](#) in the Personnel Policies in the Academic Handbook apply. Other Grievance Committee members, the faculty member who is seeking Faculty Personnel Policy and Review Committee or Grievance Committee review under the procedures described below (the “Petitioner”), the Faculty Personnel Policy and Review Committee, and/or the Vice President for Academic Affairs may request consideration of whether a Grievance Committee member or alternate should be excluded from participation in any particular matter due to a conflict of interest. The final determination whether a conflict of interest justifies the exclusion of a Grievance Committee member from participating in a particular matter will be made by the Chair of the Faculty. If the Chair of the Faculty is recused or challenged because of conflict of interest, then that role will be filled by the most recent past Chair of the Faculty in succession. Questions of conflict of interest may be raised at any time during a proceeding but must be raised prior to the conclusion of that particular proceeding.

## J. Committee and Panel Operating Rules

1. **Calculation of Time.** All references to period of time in this Article shall be calculated on the basis of in-session days, defined as weekdays on which classes are scheduled during the spring and fall terms. For actions that must be performed within a certain number of days after occurrence of a certain preceding event (such as receipt of a notification), the day of occurrence of the preceding event will not be counted in the calculation of time. The day on which the action is performed will be counted.
2. **Panel Member Absence.** Mediation Panels may meet and conduct business if at least two of the three panel members are present. Appeals Panels may meet and conduct business if at least four of the five panel members are present.
3. **Panel Chairs.** If a panel cannot select a chair by consensus or by majority vote, the Chair of the Faculty will appoint the chair of the panel.
4. **Panel Openings.** Panel openings due to resignations, withdrawals, etc. shall be filled by alternates based on an order determined at the beginning of each committee year by random lot.

5. **Limit on Panel Service.** No member or alternate shall serve on more than one Appeals Panel or two total panels at any one time.
6. **Faculty Personnel Policy and Review Committee Representatives.** The Faculty Personnel Policy and Review Committee will be represented in proceedings by one or more then-current Faculty Personnel Policy and Review Committee member(s) designated by the Faculty Personnel Policy and Review Committee, preferably from members who were serving on the Faculty Personnel Policy and Review Committee at the time of the challenged recommendation.
7. **Advisers.** Both the Petitioner and the Faculty Personnel Policy and Review Committee Representative, if there is only one such representative, may have an adviser to assist in the proceedings; these advisers may attend and provide advice, but not participate in the proceedings. The Petitioner may select as adviser any full-time or part-time faculty member who is not a Faculty Personnel Policy and Review Committee member, a Grievance Committee member, or a Grievance Committee alternate who is serving on the Mediation or Appeals Panel for that Petitioner's grievance. If there is a single designated Faculty Personnel Policy and Review Committee representative, that person may be assisted by a faculty adviser who is not a Grievance Committee member or a Grievance Committee alternate who is serving on the Mediation or Appeals Panel for that Petitioner's grievance.
8. **Confidentiality.** Panel members may not disclose information concerning particular panel proceedings, whether in documents or from discussion, outside of those proceedings at any time. Any panel member found to have breached this duty of confidentiality may be removed as a Grievance Committee member or alternate at the discretion of the Chair of the Faculty.
9. **Consequence of Failure to Meet Deadlines.**
  - a. **Failure by Petitioner.** A Petitioner who fails to comply with time periods specified in this Article forfeits his or her right for further review unless the Chair of the Faculty determines that the failure was for good reason beyond the Petitioner's control, such as serious illness.
  - b. **Failure by Faculty Personnel Policy and Review Committee or a Panel.** A Petitioner shall notify the Chair of the Faculty within three days of a failure by the Faculty Personnel Policy and Review Committee or its designated representative or by a panel to comply with time frames specified in this Article. The Chair of the Faculty will review the reasons for the failure and, within three days of receiving the notification, establish an appropriately expedited schedule for completion of proceedings. Depending on the reason for the delay, the Chair of the Faculty has discretion to order replacement of one or more panel members or the Faculty Personnel Policy and Review Committee's designated representative to avoid further delay.

## **K. Grievance Procedure Interpretation**

Matters of interpretation of this Faculty Grievance Process will be resolved by the Grievance Committee or its panels.

## Appendices to Personnel Policies

### **Appendix 1: Faculty Personnel Policy and Review Committee Hearing Procedures for Faculty Sanctions**

(written by the Faculty Personnel Policy and Review Committee; reported to faculty and included in the by-laws for informational purposes)

If personnel problems are brought for its review, the Faculty Personnel Policy and Review Committee will follow these procedures. In order to make a recommendation to the President concerning a faculty member, the Faculty Personnel Policy and Review Committee shall conduct a hearing to ascertain the facts relevant to the case, consider the circumstances both mitigating and aggravating, hear from all witnesses who have direct testimony to offer, test the evidence, and make a finding of fact. Further, based on the evidence obtained, the Faculty Personnel Policy and Review Committee is to deliberate and recommend either call for dismissal, or an alternative sanction, or a continuation of the appointment without further prejudice. The hearings will follow the rules of confidentiality that govern all Faculty Personnel Policy and Review Committee personnel deliberations.

Prior to its evidentiary sessions the Faculty Personnel Policy and Review Committee is to receive a statement of the charges from the chief administrator working on the case as well as any other related documents. The chief administrator can be the Vice President for Academic Affairs or another appropriate Vice-President. The Faculty Personnel Policy and Review Committee is to receive a complete report of the investigations undertaken by the chief administrator and/or other officials of the University, such as the Campus Police, Chair of the Department, etc. The Faculty Personnel Policy and Review Committee is to receive lists of witnesses and relevant evidence from both the chief administrator and faculty member. The faculty member may provide a written response to the materials provided by the chief administrator. The Faculty Personnel Policy and Review Committee will notify the chief administrator and the faculty member involved of the witnesses and evidence at least two days prior to the commencement of each evidentiary session. The witnesses are restricted only to those who may offer material evidence. Character witnesses are excluded from testifying.

The faculty member and chief administrator will be given at least four in-session days notice before the Faculty Personnel Policy and Review Committee convenes its hearing. The Faculty Personnel Policy and Review Committee will consider legitimate reasons for delay, but only serious reasons, such as health difficulties should result in a delay.

The hearing is to be conducted by the chair of the Faculty Personnel Policy and Review Committee. For its evidentiary sessions an official tape recording is to be made by the Coordinator for the Faculty Personnel Policy and Review Committee. This tape will be retained until the case is resolved. It shall be made available to the Appeals Board if it is convened. Once the case is resolved the tape will be destroyed. The following persons may attend the evidentiary sessions: the faculty members of the Coordinator for the Faculty Personnel Policy and Review Committee; the faculty member who has been charged; an advisor to him or her, who may be anyone from the University community; the chief administrator; the Vice President for Academic Affairs (if not the chief administrator in the case); and the Coordinator for the Faculty Personnel Policy and Review Committee. Witnesses are to wait in separate areas until they are called in for their testimony. Each witness may be accompanied by advisor selected from the University community. Once a witness has given her/his testimony he/she will be excused from the proceedings.

Both the chief administrator and the faculty member may call witnesses, the Faculty Personnel Policy and Review Committee may question both parties on any points relevant to the case. The Faculty Personnel Policy and Review Committee will determine the order of witnesses called. Witnesses may be questioned by the individual calling them and by Faculty Personnel Policy and Review Committee members. The Vice President for Academic Affairs, if s/he is not the chief administrator, will be given the opportunity to ask questions of the witnesses. In situations in which a witness is not comfortable providing evidence in front of the faculty member, the evidence will be given without the faculty member present. However, the advisor will be present to hear the witness and the faculty member will hear the tape or a transmission of that portion of the proceedings. Such safeguards are particularly important in cases in which a student is a key witness and/or sensitive issues (e.g. sexual harassment, racism) are involved. Witness concerns should be communicated to the chair of the Faculty Personnel Policy and Review Committee.

If the Faculty Personnel Policy and Review Committee believes it is necessary to call additional witnesses, recall witnesses, or seek additional evidence as a result of its investigations, it may do so. The Faculty Personnel Policy and Review Committee may adjourn the evidentiary session at any time but shall reconvene at its earliest convenience.

Following the Faculty Personnel Policy and Review Committee's usual procedures, the deliberations will take place in two phases. The initial deliberative session of the hearing will include the members of the Faculty Personnel Policy and Review Committee and the Vice President for Academic Affairs. After discussion of the evidence a straw vote will indicate the Faculty Personnel Policy and Review Committee's initial position. The Vice President for Academic Affairs will express her/his agreement or disagreement with the Faculty Personnel Policy and Review Committee's recommendations and explain his or her rationale. This is to ensure that both the Faculty Personnel Policy and Review Committee and the chief academic officer are aware of the issues considered by both sides and that communication of all issues and concerns has been clear and complete. Final deliberations will involve only the Faculty Personnel Policy and Review Committee faculty members. The Faculty Personnel Policy and Review Committee will deliberate on the evidence and decide (a) on a finding of fact that either supports or denies the culpability of the faculty member and (b) on a recommendation to the President. The recommendation may either call for dismissal, or an alternative sanction, or a continuation of the appointment without further prejudice. The recommendation shall include the finding of fact in the written report. Copies of the complete recommendation will be sent to the faculty member and the Vice President for Academic Affairs. The Vice President for Academic Affairs will inform the Faculty Personnel Policy and Review Committee of her/his final recommendation to the President.

The President may seek further clarification from the Faculty Personnel Policy and Review Committee on its recommendation. The chair of the Faculty Personnel Policy and Review Committee will be responsible for communicating with the President. As with other personnel decisions, if the President decides against the Faculty Personnel Policy and Review Committee's recommendation, he or she shall communicate to the Faculty Personnel Policy and Review Committee explaining her or his rationale.

If the decision by the President is for dismissal or other major sanctions, the faculty member will have four in-session days to call for a review of the Faculty Personnel Policy and Review Committee recommendation. The review process will follow the procedures stated in [Article VIII.D.](#) in the Personnel Policies but will include, when appropriate, further consideration of the case in light of the communications from the Vice President for Academic Affairs and the President.

## **Appendix 2: Terminal Degrees**

The terminal degree in a field is usually a doctorate in the field with the following exceptions: Studio Music – Masters in Music; Studio Art – Master in Fine Arts; Creative Writing – Master in Fine Arts; Theater Practice or Professional Theater – Master in Fine Arts; Accounting – Masters in Accounting or Masters in Business Administration; Library - a master's degree from a program accredited by the American Library Association; and other special cases specified at the time of initial appointment. Prior completion of the terminal degree is not required for an initial full-time faculty appointment; however, completion of the terminal degree is required for the granting of tenure. Completion of the terminal degree or satisfactory progress towards completion of the degree in advance of the tenure decision is required for a satisfactory interim review.

## **Appendix 3: Conflict of Interest Policy and Procedures for Faculty Personnel Matters**

(Approved by the Faculty Personnel Policy and Review Committee and the Administration, Dec. 7, 2008.)

In order to ensure that faculty personnel processes are as fair as possible, DePauw University has adopted the following policy and procedures.

### **INTRODUCTION**

At an institution such as DePauw, a variety of personal relationships may exist among faculty members which create the potential of a conflict of interest between a person who handles personnel matters (performance reviews, hiring requests, supervision) or a member of a committee that handles personnel matters (Full-Time Position Request Committee, Search Committee, Special Review Committee (for faculty librarians) or Department (or School) Personnel Committee referred to hereinafter as the “DPC”) or a member of the Faculty Personnel Policy and Review Committee or the Vice President for

Academic Affairs and a faculty member or job candidate under review. However, in the shared work environment, common interactions – e.g., friendships and antagonisms, likes and dislikes, concurrences and disagreements, and praise or criticisms – do not represent Conflicts of Interest if they fall within the bounds of University policies governing professional working relationships (1). It is also in the best interests of the University (and of the confidence that should be placed in the faculty personnel processes) that appropriate steps be taken to limit the appearance of Conflicts of Interest by excluding the participation of some who might otherwise serve, if there are reasonable alternatives to participation in a faculty review process (i.e., when others may fairly judge the relevant evidence). This policy is intended to alert faculty members to the types of concerns for which a Conflict of Interest may exist and to encourage members of the relevant committees and the Vice President for Academic Affairs, and faculty members under review, to avoid situations for which a potential conflict of interest exists. The successful application of this policy requires all faculty members to familiarize themselves with the contents of this policy. Anyone with a Conflict of Interest should request to be recused from the committee in question and from other personnel responsibilities. Further, any faculty member who has knowledge that a conflict of interest may exist, or is in doubt as to whether a conflict exists regarding an issue before one of these committees, should follow the procedures set out within this policy.

## **DEFINITION**

A Conflict of Interest exists when a faculty member is in a position to exercise judgment on a personnel matter, either personally or as a member of a committee reviewing a faculty colleague or candidate and when that exercise of judgment could be (or is perceived to be) influenced by a current or past personal relationship (as defined herein). A Conflict of Interest may exist even though it may not be acknowledged by one or more of the parties.

## **PERSONAL RELATIONSHIPS SUBJECT TO THIS POLICY**

Circumstances that are of concern under this policy are those in which a person with personnel responsibilities has, or has the appearance of having, such a bias so strong as to undermine the presumption of fairness in the execution of those responsibilities. These circumstances include, but are not limited to, a situation of dependency or interdependency, or a commission of a policy violation in dealings with the faculty member to be affected by a pending committee recommendation. Examples of circumstances that could result in a conflict of interest, or the possibility of perceived conflict of interest, include, but are not limited to, the following:

- shared financial interests;
- familial relationship;
- former or present marital, romantic, amorous, or other intimate relationships;
- current co-living arrangement;
- giving or receiving of substantial gifts or benefits;
- employment relationship outside of DePauw; and
- an incident involving violation of the harassment policy or the consensual relations policy.

There may be other circumstances for which a faculty member believes that a colleague could not render an impartial judgment in a personnel matter. A faculty member concerned about a bias that might hinder impartiality due to any circumstance should report the situation or relationship to the Vice President for Academic Affairs (or to the designated prior chair of the Faculty Personnel Policy and Review Committee if the conflict involves the Vice President for Academic Affairs) for evaluation pursuant to these procedures. The designated prior chair of the Faculty Personnel Policy and Review Committee for matters of conflict of interest involving the Vice President for Academic Affairs shall be recorded on the annually published list of faculty members of committees.

## **CONFLICT OF INTEREST PROCEDURES**

1. A faculty member who believing that his or her service in personnel matters will be affected by (or may be affected by) a Conflict of Interest should consult with the Vice President for Academic Affairs. In such circumstances the faculty member may request to be recused from service on these personnel matters. The Vice President for Academic Affairs will consider any request to be recused from work on personnel matters; and if the request is granted, the Vice President for Academic Affairs will notify the appropriate individuals about this recusal (such as the chair of the relevant committee).

2. To report a conflict of interest of another faculty member, a faculty member should notify the Vice President for Academic Affairs confidentially of the existence of a conflict of interest as soon as practical after it is identified. However, to protect privacy, information regarding the nature of the circumstances leading to the conflict of interest (e.g., financial, family, romantic, etc.) need not be divulged beyond that information which the Vice President for Academic Affairs would reasonably require in order to determine whether a Conflict of Interest exists. If the Vice President for Academic Affairs is a party to the conflict of interest, then the most recent past chair of the Faculty Personnel Policy and Review Committee who is not currently serving on Faculty Personnel Policy and Review Committee and not on leave shall substitute for the roles designated in this policy for the Vice President.
3. Once notified, the Vice President for Academic Affairs will exercise discretion in determining what are the prudent steps to take in order to determine whether a Conflict of Interest exists. The Vice President for Academic Affairs may investigate the conflict of interest through gathering information and interviewing relevant parties. While that determination is underway, the Vice President for Academic Affairs shall suspend the related work of the relevant committee if it has already begun. In assessing conflicts of interest, the Vice President for Academic Affairs should focus on whether the particular interest and/or personal circumstance of the faculty member are likely to compromise, or are likely to be perceived as compromising, a committee member's ability to function impartially.
4. Once an assessment has been made, the Vice President for Academic Affairs must promptly share his or her decision by confidential memorandum to the faculty member about whom a question of conflict of interest has been raised. Where it has been decided that a Conflict of Interest exists, the Vice President for Academic Affairs must promptly instruct the person who has been determined to have a Conflict of Interest not to participate in the decisions regarding the affected faculty member with whom the Conflict of Interest exists. Depending on the nature of the Conflict of Interest, the exclusion of a member of a particular committee from personnel responsibility for another faculty member may apply for certain other personnel responsibilities and/or for a certain length of time as determined by the Vice President for Academic Affairs.
5. The Vice President for Academic Affairs will also notify the chair of the relevant committee if a committee member is to be excluded for reason of Conflict of Interest. The Vice President for Academic Affairs shall also then authorize the committee to resume the review process; that authorization may include instructions returning the committee to an earlier point in its process so that the work is not influenced by the person (or persons) who has (have) been excluded, such as when a person determined to have a Conflict of Interest had already participated in part of the deliberations. The Vice President may also amend the evidence (such as in an application or decision file) on which the considerations are to be based in order to remove items that may have been influenced by the Conflict of Interest. For other personnel matters, the Vice President will take steps to reassign tasks and responsibilities as needed to re-create an impartial personnel process.
6. Retaliation against any individual who discloses an actual or perceived conflict of interest is not permitted and may result in use of sanctions and disciplinary procedures for unprofessional conduct.
7. Questions regarding this policy and/or its interpretation should be directed to the chair of the Faculty Personnel Policy and Review Committee and the Vice President for Academic Affairs.

## **CONFIDENTIALITY AND RECORDKEEPING**

It is imperative that all information regarding conflicts of interest be kept as confidential as circumstances permit. It is legitimate for those involved in resolving a conflict of interest to seek advice and/or guidance from other University officials or faculty members with relevant experience. Internal disclosure of information about potential or actual conflicts of interest should be limited strictly to those faculty members or employees who need to have access for official purposes. However, if through investigation of a potential conflict of interest the Vice President for Academic Affairs (or surrogate) discovers a violation of a University policy, then this information may require additional action and some level of confidentiality may be lost in that case. Details of matters relating to conflicts of interest shall be kept in confidential files held in the Office of Academic Affairs and access to such files will be restricted to the Vice President for Academic Affairs or others serving in a surrogate role as provided for in this policy. All records shall be kept for a period of at least ten (10) years with the actual duration of the record keeping to be determined by the Vice President for Academic Affairs or the surrogate.

### Notes

- (1). Whenever the phrase "conflict of interest" is used, it means not only actual conflicts but potential or perceived conflicts of interest as well; whenever the phrase is capitalized "Conflict of Interest" this refers to an actual conflict of interest.

## General Policies

(Written by the administration; some sections approved or acknowledged by the faculty.)

### I. Absence from Campus During the Academic Year

(Written August 3, 2001; modified August 12, 2010)

By publishing a list of class meetings in the Schedule of Classes and issuing a course syllabus, each faculty member enters into an agreement with his or her students as to when class is held. Although it is each faculty member's responsibility to meet those scheduled classes, a faculty member may, on occasion, need to cancel one or more scheduled class meetings for professional reasons, for illness or emergency medical/family care, and for inclement weather.

#### A. Absences for Professional Reasons

While teaching duties are paramount among the many responsibilities of a faculty member at DePauw, there are occasional conflicts between classes as originally scheduled and valuable professional activities. Because faculty members are encouraged to maintain active professional lives, occasional absences from class to complete professional activities are acceptable.

As a matter of good practice, a faculty member should limit his or her absences for professional reasons to no more than one week's worth of class meetings in each course. Longer absences should be approved in advance by the Vice President for Academic Affairs. Planning for professional absences should be done well in advance, and students should be notified of the faculty member's absence as soon as possible. When feasible, and when needed to complete the work of the course, the faculty member should make arrangements with students and/or colleagues for alternative assignments, alternative coverage of class meetings, or both. Such arrangements should be made if the absence exceeds one week's worth of classes.

As a matter of professional support and encouragement, faculty members are urged to provide assistance to each other by covering a colleague's missing classes for professional reasons.

#### B. Illness, Emergency Medical and Family Care Reasons for Absences

Occasionally a faculty member must cancel class because he or she is ill, has a personal medical emergency, or has unanticipated family care obligations. In such cases, the faculty member should promptly inform students of his or her absence and, if feasible, provide alternative learning activities for the students. When possible, the department chair, school dean, or program director will work with faculty colleagues to provide coverage for their missed classes.

If family or personal medical emergencies require a faculty member to miss three or more consecutive days, he or she must complete appropriate paperwork available from the [Office of Human Resources](#). If personal medical emergencies or problems require an absence of five or more consecutive days, the faculty member must present medical evidence documenting his or her illness. In this case the faculty member may not return to work unless medical clearance is provided by a physician to the Office of Human Resources and the Vice President for Academic Affairs.

#### C. Inclement Weather

It is the policy of the University to remain open and continue operating during periods of severe weather. However, the University recognizes that because of hazardous conditions, some faculty members may find it difficult to report to work. If a faculty member cannot report to work because of inclement weather, he or she should promptly report this to the department's chair, the school's dean, or the program's director. See further information about severe weather in the Office of Human Resources' [Employee Guide](#).

#### D. Reporting Missed Classes and Obtaining Approval for Extended Absences

In addition to promptly reporting class absences to his or her students, the faculty member should notify his or her department chair of the absence and of the arrangements for covering the class. A faculty member who finds that he or she must cancel classes at the last minute may ask the department's, school's, or program's secretary to post a notice in the classroom to the students announcing that the class is canceled; such absences also should be promptly reported to the department chair. A faculty member who needs to miss more than one week's worth of classes for any course should first discuss this need with the Vice President for Academic Affairs before completing arrangements. If, as a result of unplanned absences, a faculty member misses as much as one week's worth of classes, he or she should report this to the Vice President for Academic Affairs along with a summary of how the absences were covered.

### **E. Making Up Canceled Classes**

A faculty member should endeavor to make up any canceled classes by rescheduling them or by arranging for appropriate alternative activities. Because students have other academic and non-academic obligations, it is not appropriate for a faculty member to require students to attend rescheduled class meetings or activities that meet outside the course's scheduled time bank. Any required make-up classes, activities or alternate assignments must include a sufficient number of options so that all students can reasonably complete the requirement. Make-up classes may not meet on the designated study day between the end of classes and the final examination period, or during the final examination period.

### **F. Discretionary Personal Absences**

A faculty member should schedule discretionary activities, such as doctor's appointments and meetings with colleagues and students, so that they do not conflict with his or her scheduled classes.

## **II. AIDS Policy**

AIDS (Acquired Immune Deficiency Syndrome) is a disease that is caused by HIV (Human Immunodeficiency Virus). More information about the condition is available on the [Centers for Disease Control](#) website.

DePauw University will not tolerate discrimination against any faculty, staff, or student based on their HIV status. No person will be denied access to any University facility, be excluded from any University event or be denied membership in any University organization on this basis. All members of the DePauw community are guaranteed privacy and confidentiality of their HIV status. Information regarding anonymous and confidential HIV testing for students is available through the University Health Center. Employees are encouraged to consult with their individual physicians. The University will provide programs and make available educational materials about HIV and AIDS to the University community. Members of the DePauw community who have questions regarding AIDS or HIV are encouraged to consult with representatives from Health Services or Human Resources. The Student Academic Life Committee will periodically review this policy.

(Approved June 30, 2002; updated May 12, 2005)

## **III. Alcohol and Controlled Substance Policy**

Faculty and staff employees of the University are advised to take note of the significant difficulties that occur at DePauw and on other college campuses from a culture of excessive consumption of alcohol and the use of controlled substances. Employees are urged to be responsible in the consumption and service of alcohol and to exercise good judgment with regard to the provision of alcohol to students who are 21 or older or socializing with alcohol with students who are 21 or older. Employees are urged to be cognizant of the laws and legal liabilities that affect them with regard to serving, consuming or using alcohol or other controlled substances. University support for employees in their official roles on behalf of the University will be difficult to sustain in the face of violations of University policy. All employees of the University in their conduct of University business and in their participation in University activities must comply with the laws of the locality in which they pursue those activities.

**Alcohol and class activities:** Alcohol is not permitted at mandatory class activities.

**Travel expenses (restatement of current travel policy):** University expense reimbursements to employees may cover alcohol consumed in moderation with meals, but University expense reimbursements will not normally cover alcohol consumed

between meals (exceptions require vice presidential approval). Note: Faculty Development and grant funded projects may have further restrictions.

**University funding:** University funds may not be used for the purchase of alcohol for students. This includes University-sponsored travel in states or other countries where students may legally consume alcohol.

**Alcohol service on campus:** Alcohol may not be served at events on campus (except at The Inn at DePauw) regardless of who is in attendance.

**Drinking socially with students:** Employees are advised that they share a responsibility to see that students they entertain in their homes or in other places, as well as students with whom they socialize, consume alcohol legally and responsibly.

**Traveling with students:** Faculty and staff traveling with students away from campus on university-sponsored activities should develop an alcohol policy in consultation with the students. All participants must agree to abide by the policy. This policy must comply with local laws and customs, make provisions for the group's academic or professional goals, and underscore responsible behavior and the exercise of good judgment with regard to the consumption of alcohol.

**Illegal use of controlled substances:** No employee may use or distribute controlled substances in an illegal manner on University property or at University-sponsored events, or at any event at which University students are present.

**Sanctions:** Sanctions against an employee for violation of the University Policy on Alcohol and Controlled Substances will be determined by the supervising Vice President and may include warning, suspension, or termination.

**Exceptions:** Exceptions to the University Policy on Alcohol and Controlled Substances for special circumstances may be granted by the President on recommendation of the supervising Vice President(s).

(Endorsed by the faculty, May 2001; established as University policy, June 2001; updated by President's Cabinet, July 18, 2005; updated by President's Cabinet, Aug. 8, 2008)

## IV. Alcoholic Beverage Policy for Students

### Section I

Excessive alcohol consumption is an unfortunate part of the student social culture on campuses today. The principles expressed in this policy are intended to guide the DePauw community in all matters regarding the use, misuse, and abuse of alcohol. This policy is intended to serve as a basis for institutional rules and regulations, as a guide for individual and group decision-making, and as a community standard for behavior. Our primary objective is to help our students make responsible decisions to reduce the harms associated with alcohol use. We commit ourselves to promoting a community that values, teaches, and models healthy life choices and to creating conditions that provide a safe environment for living and learning. We expect our students to follow Indiana law regarding alcohol consumption and direct our greatest educational efforts toward curbing high-risk alcohol use. Members of the DePauw community who are 21 or over and decide to use alcohol are expected to do so responsibly and may be charged through University Community Standards for behavior that places them or others at risk or otherwise violates this policy.

We work to help our students become responsible citizens and make informed decisions by: educating students on the behaviors that define high-risk drinking; developing a culture on campus that challenges high-risk alcohol use; reducing secondary effects of alcohol use that impact student success; empowering students who serve as advocates for reducing high-risk drinking on campus; reaching the majority of first-year students during the first two weeks of the semester with accurate information about the risks of alcohol use as well as University policy; identifying high-risk populations and developing specific interventions for these populations; sponsoring non-alcoholic social events and programs; offering substance-free housing so that students who choose to not use alcohol can live in an environment where their lifestyle is supported by their peers; teaching students and staff intervention skills and focusing on their responsibility to intervene when others are engaging in high-risk behaviors; building relationships with student organizations and their leadership relative to their engagement of alcohol issues on campus; providing resources that will assist students who have alcohol

abuse issues; using technology and creative strategies to reach our students; holding students accountable to their choices and behaviors; and engaging faculty, staff, alumni, and parents in these efforts.

Alcohol and other chemical dependency problems can be treated successfully if they are identified as early as possible and if appropriate treatment or prevention programs are promptly instituted. Students or organizations who request help in addressing these issues before any Community Standards actions are instituted will not face judicial charges. Student Life staff will address students' behavior when policy violations occur and will act to correct the situation. University Community Standards charges will result from policy violations.

## **Section II: Safe Community Clause**

The health and safety of DePauw students should always be of the highest priority. We recognize that students may be reluctant to get immediate medical attention for their peers who have been consuming alcohol because of concern that their own drinking may be a violation of University policy, or in the case of a student organization, that their organization could be found responsible for their guest's consumption of alcohol. In order to keep the emphasis on student safety, a student or organization who calls for help for a peer will not be held accountable through the Community Standards process for policy violations connected to that specific situation.

## **Section III: Laws of the State of Indiana**

Any violation of the laws of the State of Indiana regarding alcohol is grounds for University judicial action. It is important for members of the community to understand that while we operate under standards that best serve our community, we are not exempt from state law. Under the laws of the state of Indiana, it is illegal to:

1. Possess, consume, or transport any alcoholic beverage if under the age of 21;
2. Provide an alcoholic beverage to a person under the age of 21;
3. Operate a vehicle while intoxicated or with a blood alcohol content of .08 percent or higher;
4. Become publicly intoxicated;
5. Provide alcohol to an intoxicated person;
6. Sell any alcoholic beverage without a license;
7. Possess a false identification or in any other way make a false statement about one's age, if under 21, for the purpose of procuring an alcoholic beverage;
8. Furnish false or fraudulent evidence of identification to a minor (under 21 years of age) for use in procuring an alcoholic beverage;
9. Refuse to be chemically tested for blood alcohol level if stopped for suspicion of operating a vehicle while intoxicated; and
10. Be present in a bar or liquor store where the primary purpose of business is to sell alcohol if you are under the age of 21.

The above information on state laws is intended only to provide a brief summary of some relevant Indiana statutes. Students are personally responsible for awareness of the law.

In addition to criminal penalties, civil liability may be incurred by one's behavior under the influence of alcohol or by the behavior of another person to whom one provided alcohol. Members of the University and local police forces have the power of arrest and can, and do, arrest students for violations of Indiana law.

## **Section IV: Responsible Management of Events Involving Alcohol**

We are a campus that strives to provide a safe and healthy environment that allows for a positive experience in a vibrant social scene. To this end the University expects that:

- Students take responsibility for their actions in a community where alcohol is served responsibly.
- Students do not drink to excess and the serving of hard alcohol use is decreased on campus.
- Students and organizations intervene with others when signs of potentially problematic behaviors appear and excessively intoxicated students are not allowed into parties or served alcohol.

- Students call Public Safety if concerned about the safety of others and hosts embrace responsibility for their guests.
  - Students exhibit civility and responsibility in social settings and show respect for the physical environment.
1. Parties, events and other situations where alcohol is served or where students are consuming may not be held during times at which regularly scheduled classes are in session, on the evening before a day on which classes are regularly scheduled to meet or during new student Orientation, including the early arrival period.
  2. Parties or events hosted by student organizations where alcohol is served or consumed must be registered in advance. Greek organizations and students living in University-owned housing register with the Campus Living and Community Development (CLCD) office in Anderson Street Hall; other student groups register with the Campus Life Office in UB 210. Any occasion deemed to be an event with alcohol that has not been registered with CLCD or the Campus Life Office will be considered an unregistered social event and will be subject to Community Standards action. Any unregistered event that has the appearance of a party or results in negative consequences from high risk drinking will be considered a violation of the event registration policy.
  3. In Greek living units, any party or event involving alcohol at an open, closed or off-campus event must be registered in advance. An open event is defined as one which is open to all DePauw students and not limited to a guest list. A closed event has a specified guest list, submitted in advance. In University-owned living units, any event involving alcohol at which 10 or more non-residents of the unit will be present must be registered.
  4. Greek living units are limited to three (3) open events per semester. Dates will be requested and registered with CLCD at the beginning of each semester. All registered open events must have outsourced event security utilizing a DePauw approved vendor, and follow event security expectations outlined by DePauw Public Safety.
  5. Neither University funds or fees collected by the University, chapter funds or fees, or living unit funds or fees may be used to purchase alcoholic beverages for an event. Pooling of funds to purchase alcoholic beverages on behalf of the organization is not permitted. The possession, sale, use or consumption of alcoholic beverages, while on chapter premises or during a fraternity or sorority event, in any situation sponsored or endorsed by the chapter, or in any event an observer would associate with a fraternity or a sorority, must be in compliance with any and all applicable laws of the State of Indiana, Putnam County, and the City of Greencastle and are encouraged to follow either BYOB (Bring Your Own Beverage) or Third Party Vendor guidelines available from CLCD.
  6. Public advertising of alcohol for a party or event is not permitted. This includes flyers, emails, internet sites, sheet signs, etc.
  7. University policy and regulations govern all events, regardless of whether or not the event takes place during the academic year. Because students maintain their status when school is not in session if they are officially enrolled at the University, students may be held accountable for violations of University policy and regulations occurring outside the academic year.
  8. Participation in or sponsorship of drinking games or drinking contests is prohibited.
  9. Hard alcohol is prohibited at all registered open events. Living units hosting an open registered event may not have any hard alcohol present in common areas, nor may it be served from anywhere in the living unit. Any hard alcohol present must be stored out-of-sight and be inaccessible to all guests. In addition, kegs of beer and other common containers are prohibited.
  10. Alcoholic beverages are not permitted in any nonresidential University-owned and operated property and must not be consumed outdoors in the vicinity of any University-owned property or Greek living unit. The only exception to this policy is the Inn at DePauw and events that have gone through the appropriate approval process. Tailgating is allowed at home football games and must adhere to all guidelines outlined by the Athletic Department Tailgating Policy.
  11. Hiring a third party vendor to serve alcohol and/or security agencies to check IDs does not release a student organization from its responsibility to ensure compliance with the University's Alcoholic Beverage Policy for

Students. Appropriate risk management procedures approved by the Campus Living and Community Development Office apply even when organizations hire a third party vendor.

12. Individual and group responsibilities are not mutually exclusive. If violations occur, Community Standards action may result for individuals and organizations for the same incident or event. Individuals are responsible for their own alcohol consumption and any associated behavior. Hosting social events assumes a degree of responsibility taken on by hosts as well as those distributing alcohol at an event. Students are responsible for ensuring the safety and well-being of others. In addition to hosts (individuals or organizations), others such as servers, social chairs, etc. may also be subject to Community Standards action.
13. Students are responsible for ensuring that their behavior and that of their guests does not violate policies, laws, or rights of others. Because the actions of guests also impact members of the DePauw community, students assume responsibility for those they host in the community.

(Approved by President's Cabinet, August 20, 2013)

## V. **Alternate Class Activities for a Scheduled Class Meeting**

When there are good pedagogical reasons for doing so, a faculty member may substitute alternative class activities, such as scheduling individual meetings with students or screening a film, for a regularly scheduled class meeting. If feasible, the faculty member should list such adjustments to the normal schedule of classes in the course syllabus. Any plans that involve canceling a substantial number of regularly scheduled class meetings should be reported to the Vice President for Academic Affairs. Any decision to cancel class meetings must conform to the faculty's policy requiring that classes met on the days before and after vacations.

## VI. **Animal Use and Care in Research Policy**

[Institutional Animal Care and Use Committee website.](#) (For Human Subjects Policy see [Article XXII](#) in the General Policies.)

Federal regulations require that all procedures involving the use of vertebrate animals be approved by an Institutional Animal Care and Use Committee (IACUC) prior to initiation of the project. The DePauw University IACUC provides oversight for the animal care and use program at DePauw, which encompasses any use of vertebrate animals. The committee reviews all studies involving animal usage and inspects animal care facilities semiannually to ensure compliance with internationally accepted guidelines in the care and use of laboratory animals. Prior to initiation of any research project, testing, education, or any other use of vertebrates (fish, amphibians, reptiles, birds or mammals), the investigators must gain the approval of the IACUC.

### The IACUC Protocol Review Process

1. The first step in this process is to obtain a copy of the Animal Use Protocol Form (AUPF) from the IACUC Web site or the Academic Affairs Office. The AUPF is completed by the investigator and turned in to IACUC through the Academic Affairs Office. The form is designed to allow research investigators to address animal welfare considerations as well as provide other information required by the Animal Welfare Act and other laws and policies of the federal government and other agencies. The investigator may obtain a copy of the Animal Welfare Act and guidelines of various agencies from the websites cited at the end of this document or by contacting the Academic Affairs Office. The investigator is required to complete all sections of the AUPF according to the instructions therein. Any investigations involving students must have a faculty supervisor as the principal investigator who must submit the form and take supervisory responsibility throughout the project.
2. The IACUC requires one original and one copy of the AUPF to be submitted. To ensure timely review, initial applications should be submitted one month prior to the intended initiation date of the project. Revised protocols should be submitted to the IACUC two weeks prior to the intended initiation date of the project.
3. The IACUC shall review and approve, require modification in, or withhold approval of the proposed project involving the use of animals. The person proposing the animal use will be notified in writing of the committee's decision, which will be one of the following:
  - Approval - The project may commence.
  - Approve/Revision - Minor revision or additional information is requested. Approval is withheld and the project may

not commence until a satisfactory response is received.

Disapproval - The reasons for disapproval are given, and the investigator may submit a revised protocol.

4. The IACUC is authorized to suspend any project it has previously approved if it determines that the project is not being conducted in accordance with the approved project description provided by the principal investigator. The IACUC may suspend a project only after reviewing the matter at a convened meeting of a majority of the IACUC members who, by a majority vote, issue the suspension.

## Membership of IACUC

The makeup of the IACUC is determined by federal guidelines. The committee is appointed annually by and reports to the Vice President for Academic Affairs. The Committee includes:

1. A Doctor of Veterinary Medicine, with training or experience in laboratory animal sciences and medicine.
2. A faculty member and an alternate from the Department of Biology with experience in research involving animals.
3. A faculty member and an alternate from the Department of Psychology with experience in research involving animals.
4. A member whose primary concerns are in a nonscientific area.
5. An individual who is not affiliated with the institution in any way other than as a member of the IACUC. This individual represents community interests and concerns.

No member of the committee may review a project in which the member has a conflict of interest, such as a role as a participant in the project or those covered by the policy established by the Faculty Personnel Policy and Review Committee and the Administration and published in [Appendix 3](#) in the Personnel Policies of the Academic Handbook. In this case the alternate will replace the regular committee member for this review.

## VII. Classroom Observation Policy for Faculty Members on Full-time Term and Part-time Appointments

(Revised and effective December 4, 2011)

See also Peer Observations of Faculty Members in Probationary Tenure-Track Positions ([Article II.B.](#) in the Personnel Policies.)

For term and part-time faculty members, peer observations serve a developmental purpose. They can also serve as evidence of teaching effectiveness when considering a request for an extension of the term or part-time appointment.

No single faculty member shall do a majority of the observations. At least half of the observations shall be done by tenured faculty members. The timing of classroom observations shall be arranged by the Chair, Director, or Dean in consultation with the faculty member being observed. The courses observed shall reflect the range and type of courses normally taught by the observed faculty member.\* Each observation shall cover an entire session of the class. Following the observation of each course, the observing faculty member shall provide both written and oral feedback in a timely fashion to the observed faculty member. The observer shall also provide a copy of the written feedback to the Chair, Director, or Dean and to the Vice President for Academic Affairs to be placed in the observed faculty member's personnel file.

Faculty members may request additional observations; faculty colleagues are encouraged, but not required to honor such requests. Departments wishing to conduct more classroom observations than the required number shall do so only with the written consent of the faculty member.

### A. For Full-Time Term Appointments

- For an initial one-year term appointment, observe two courses in the fall semester. For any subsequent term appointment, follow the schedule for a tenure-track appointment (see [Article II.B.](#) in the Personnel Policies.).
- For an initial multi-year term appointment, observe two courses in the fall semester of the first year and then observe according to the rules for a tenure-track appointment.
- Spring semester observations are not required for a faculty member who has resigned or whose appointment will not be extended for the following year.

Observers shall be selected from the full-time members of the faculty eligible to serve on the Department's or School's personnel committee.

## **B. For Part-Time Appointments**

For a faculty member holding a part-time appointment, observe one course in each of the first five semesters in which the faculty member is teaching. Thereafter, observe one course in every fifth semester of teaching.

Observers shall be selected by the department chair from the full-time members of the department, program, or school.

\* In the sciences, labs may count for one of the course observations

## **VIII. Compensation for Professional Assistance**

On occasion, faculty members are asked to support or to participate in a University program or event, such as chairing a taskforce, organizing or participating in a symposium or speaker's series, serving on a thesis jury, giving a professional presentation or performance on-campus, giving a guest presentation in a colleague's class, serving as an accompanist for a visiting performer, or covering a class or exam for a colleague. Such routine professional assistance, when performed during the academic year is a normal part of a full-time faculty member's contractual obligations, and extra payment is not authorized. A faculty member is compensated for non-routine professional assistance, such as covering a colleague's classes during an extended leave.

## **IX. Conflict of Interest Policy**

### **Article I: Purpose**

DePauw University expects its trustees, officers, and employees to observe high standards of ethics and to report any conflict of interest, both in fact and appearance, while acting for or engaging in an activity affecting the University.

This policy sets forth DePauw University's general policy and procedures regarding financial conflicts of interest in relationship to research or educational sponsored projects, as well as transactions and arrangements entered into that might benefit the private interest of a trustee, officer, or employee of the university or might result in a possible excess benefit transaction.

This policy is intended to supplement, but not replace any applicable state and federal laws governing conflict of interest. The University will fully comply with reporting obligations required by federal and state agencies.

### **Article II: Definitions**

#### **1. Person with Interest**

Any trustee, officer, employee, principal investigator(s)/co-principal investigator(s) of an externally sponsored project (regardless of funding source), or member of a committee with governing board-delegated powers, who has a direct or indirect financial interest, as defined below, is a person with interest.

#### **2. Financial Interest**

A person has a financial interest if the person has, directly or indirectly, through business, investment, or a family member

- a. An ownership or investment interest in any entity with which the university has a financial transaction or arrangement,
- b. A compensation arrangement with the university or with any entity or individual with which the university has a financial transaction or arrangement,
- c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the university is negotiating a financial transaction or arrangement, or
- d. An arrangement as or through the principal investigator or co-investigator(s) responsible for the design, conduct, or reporting on research or educational activities funded or proposed for funding by an external sponsor.

Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

### 3. Conflict of Commitment

A conflict of commitment exists when the external activities are so significantly demanding of the time and attention of the person with interest as to interfere with the responsibilities for which the individual is assigned.

### 4. Conflict of Interest

A conflict of interest arises when a person with interest is in a position to influence either directly or indirectly University business, research, or other decisions in ways that could lead to gain for the person with interest, the person's family members, or others to the detriment of the University's resources, integrity, mission, teaching, research or public image.

### 5. Conflict of Interest Committee

This committee shall consist of the Vice President for Academic Affairs and the Vice President for Finance and Administration, as well as three additional individuals designated by the President of the University.

## **Article III: Procedures**

### 1. Duty To Disclose

In connection with any actual or possible conflict of commitment or interest, all persons with interest will be required to annually disclose, as well as immediately upon the identification of any apparent or implied conflict disclose, in writing the existence of any financial interest (see Conflict of Interest Disclosure Form).

In addition, with respect to sponsored programs, as required by Federal regulation, disclosure must be made prior to the time a proposal is submitted. All financial disclosures must be updated by the investigator(s) during the period of the award, either on an annual basis or as new reportable significant financial interests are obtained.

### 2. Determining Whether a Conflict of Commitment or Interest Exists

The Vice President for Academic Affairs and the Vice President for Finance and Administration will collect the annual Conflict of Interest Disclosure Forms and will conduct an initial review of each conflict of interest disclosure to determine if a potential conflict appears to exist, or, in fact, exists.

### 3. Procedures for Addressing a Conflict of Commitment or Interest

- a. If a conflict appears to exist, the Vice President for Academic Affairs and the Vice President for Finance and Administration will consult with the other members of the Conflict of Interest Committee to confer, and if appropriate, discuss possible options to manage, reduce, or eliminate the conflict.

- b. If such conflict involves the President or a trustee, the matter will be handled by the Chairman or a Vice Chair of the Board of Trustees, who is not involved in the conflict being investigated, with advice of the Chair of the Audit and Risk Management Committee.
- c. If such conflict involves a member of the Conflict of Interest Committee, the Committee member involved will be excluded from consideration of the conflict.
- d. During the course of the Committee's investigation, persons with interest may be asked to provide additional information. It is understood that at this stage the committee members will share information so obtained only as necessary to resolve the conflict or as required by law.
- e. After exercising due diligence, the committee shall determine whether the University can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
- f. The Committee shall, if appropriate, appoint a disinterested person or persons to investigate alternatives to the proposed transaction or arrangement.
- g. If a more advantageous transaction or arrangement is not reasonably possible, the Committee shall determine by a majority vote whether the transaction or arrangement is in the University's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, the Committee shall make its decision as to whether to enter into the transaction or arrangement.

In the case of funded or potentially funded grant projects, investigators will be asked to certify their familiarity with DePauw's conflict of interest policy and disclosure requirements for each proposal submitted to an external funding source. If there is an apparent conflict to be disclosed, the investigator must complete the Conflict of Interest Disclosure Form and forward it to the Vice President for Academic Affairs.

#### **Article IV: Violations**

If the Conflict of Interest Committee has reasonable cause to believe a person with interest has failed to disclose actual or possible conflicts of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose.

If, after hearing the response of the person with interest and after making further investigation as warranted by the circumstances, the Committee determines the person with interest has failed to disclose an actual or possible conflict of interest, it shall make a recommendation for disciplinary and/or corrective action to the person's supervising University officer.

(Last updated June 4, 2008)

#### **X. Consensual Relations Policy**

The integrity of the faculty-student relationship as well as the staff-student relationship is the foundation of DePauw's educational mission. These relationships vest considerable trust in the faculty or staff member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. At DePauw, it is understood that faculty and staff begin and sustain friendships with students that can last a lifetime. The unequal institutional power in these relationships, however, heightens the vulnerability of the student and the potential for coercion. It is the faculty or staff member's responsibility to avoid any relationship which compromises either the student's enjoyment of the University experience or the faculty or staff member's ability to discharge the obligations of his/her employment at DePauw. In furtherance of this philosophy, DePauw prohibits sexual relationships between faculty and students, and between staff and students where the faculty or staff member has or will have a direct or indirect supervising, teaching, or evaluating relationship with the student regardless of whether the relationship is consensual.

If a complaint is initiated, even when both parties have consented to the development of such a relationship, it is the faculty or staff member, who, by virtue of his or her educational responsibility, will be held accountable for unprofessional behavior, and who is subject to disciplinary action, up to and including dismissal from employment with the University, for violation of this policy.

Complaints will be handled according to the guidelines established for other harassment complaints, as described in this Handbook. (Established as University policy effective July 1, 1999)

## **XI. Deceased Student Policy**

### **Posthumous Degree**

When a student dies in the senior year, that event will be recognized at commencement with the consent of the family. If a student has completed seven semesters and is registered in courses that would complete all degree requirements, a posthumous degree may be awarded.

### **Posthumous Degree Policy**

Students who die while actively pursuing a degree may be considered for a posthumous degree based on the following criteria:

- Progressing satisfactorily and registered in the last semester of the degree program.
- In good academic and social standing.
- Completed or nearly completed all coursework and other degree requirements.
- If all coursework has not been completed, approval is required by special faculty vote that the student should receive a degree posthumously.

### **Posthumous Degree Procedure**

- University staff members, family or friends of the deceased contact a faculty member (such as the student's advisor or department chair/program director) or the Office of the Registrar to request award of a posthumous degree.
- The Registrar reviews the student's record in consultation with the department chair or major program director, student's advisor and current instructors to determine if the student was likely to complete the work satisfactorily and determines that the student is in good academic and social standing.
- On behalf of the student, the Registrar completes the Application for Graduation.
- Faculty vote final approval (with the support of the Board of Trustees).
- The Registrar notifies the individual who made the original request.

### **If a posthumous degree is approved:**

- The deceased student's name will be listed in the next commencement program parenthetically noted "Posthumous." Posthumous degrees will be awarded at the next commencement date after approval.
- On the diploma and transcript, the words "Awarded Posthumously" will be printed.
- The diploma will be presented during commencement exercises, or if presentation is not appropriate, the diploma may be mailed from the Registrar's Office with an appropriate letter to the family.
- The script for the next commencement will ensure that the President acknowledges the name(s) of each student who died during the senior year. (Students in the class who die earlier may be memorialized in other ways, but would not be specifically named during commencement ceremonies.)

### **Posthumous Award**

In cases where it is determined that the student did not meet the above requirements for a degree but was in good standing while attending DePauw, a posthumous certificate may be awarded (if the family wishes). Consent for certificates will be given with the approval of the Dean of Students.

The person requesting the certificate will provide the student's full name and proof of death. In addition, the person requesting the certificate will provide the following personal information: name, address, phone number, and relationship to the deceased.

The request should be addressed in writing to the Registrar and signed and dated.

## **XII. Drug Free Workplace**

It is the policy of DePauw University that all employees comply with federal, state and local laws regarding drugs and alcohol while at the workplace. The University will not tolerate the unlawful manufacture, distribution, dispensing, possession, sale, or use of a controlled substance in the workplace. The workplace includes, but is not limited to, University owned buildings, grounds, vehicles, or anywhere during the workday, including breaks and lunch, with the limited exception of the use of alcohol at University-sponsored or sanctioned special events. Any employee who violates this policy is subject to disciplinary action, up to and including termination.

The University expects all of its employees to adhere to this policy to promote the overall safety, health, productivity and welfare of our workforce and the University community.

The University's Drug-Free Workplace policy includes the following provisions:

1. Several handouts regarding drug and alcohol abuse awareness are available to all employees from the Office of Human Resources. The handouts include information about the effects and dangers of drug and alcohol abuse and describes sources of counseling and other assistance for affected employees.
2. If an employee is discovered to be under the influence of drugs and/or alcohol while on the job, he or she will be required to leave the premises, will be advised to seek help and will be subject to corrective action, up to and including termination.
3. As a condition of employment at DePauw, employees must:
  - o Abide by the terms of this policy and all laws regarding drugs and alcohol.
  - o Notify the Office of Human Resources in writing of all convictions for criminal drug statute violations in the workplace no later than five days after the conviction.
4. Each employee is expected to cooperate in the University's good faith effort to implement this policy and maintain a drug-free workplace.

### **Voluntary Treatment**

Early recognition and treatment of drug and/or alcohol abuse is important for successful rehabilitation. The University encourages the earliest possible diagnosis and treatment for substance abuse. Employees are urged to seek treatment for substance abuse problems and are reminded that treatment and counseling services are available through the Employee Assistance Program and under the University's health insurance plans. An employee needing assistance can contact the Employee Assistance Program, or the Office of Human Resources, which will make referral.

### **Use of Prescription Drugs**

It is expected that when taking over-the-counter or prescribed medicine which may impair performance or function that employees will establish safe levels that will not alter their physical or mental ability to perform their job safely and effectively.

It is the employee's responsibility if he/she believes that the use of a legally obtained drug may impair job performance or safety to immediately notify his/her supervisor of the concern. An employee shall report the concern prior to starting work or as soon as the condition becomes known. The employee's supervisor will then determine whether the employee may continue to work, needs to take a leave of absence, or if some other action is appropriate.

### **University Responsibilities**

The University, in accordance with the Drug-Free Workplace Act of 1988 and related legislation, is committed to informing employees of the dangers of drug and alcohol abuse in the workplace through an ongoing drug-free awareness program which may include new employee orientation sessions, supervisory training and the availability of an employee assistance program.

The University also understands and commits to its responsibility to notify federal contractor(s) of any conviction of an employee for a violation of a criminal drug statute occurring in the workplace within ten (10) days of receiving notice of the conviction.

(Revised November 5, 2007)

### **XIII. Electronic Communications and Acceptable Use Policy**

#### **A. Introduction**

The University has adopted this Policy in part to: encourage employee and student productivity; maintain the integrity and security of its network and computing resources and electronic communication systems; preserve its academic and business interests; and protect confidential information. This Policy cannot and does not provide rules and requirements to address every possible situation that may arise. However, it does provide certain minimum standards and requirements with respect to electronic communication issues. The University reserves the right to change, revise or add to this Policy at any time with such notice as it deems appropriate.

Under its Intellectual Property policy, the University has granted to faculty members the intellectual property rights to materials they have authored (articles, books, software, manuscripts, syllabi and course materials) and the results of their research. Faculty members may be required to provide copies of course materials or research protocols if needed for personnel reviews, program reviews, or campus disciplinary proceedings, including the enforcement of this or other policies. All other aspects of the University's electronic communication facilities, including all equipment and data, messages, or other information transmitted, stored or maintained on or in such facilities, are and remain at all times the property of the University, unless otherwise expressly noted in a written confirmation signed by an authorized University official. However, such ownership shall not include any such information that is in violation of any University policy, including, but not limited to, this Policy. DePauw University recognizes and honors the importance of academic freedom, and the provisions of the Policy will be enforced with respect to the teaching and research mission of the University.

#### **B. Policies**

##### **1. Permissible Uses of Electronic Communication Facilities**

- a. Electronic communication facilities are intended to be used primarily for official University business, including employee and student academic pursuits, and employee administrative, personnel and/or business matters. However, reasonable use of University-owned or operated electronic communication facilities for non-commercial personal purposes is permitted if it does not entail a direct cost to the University, interfere with the completion of job responsibilities, impede network operations, or violate University policies, including, but not limited to this Policy. Should users make use of the electronic communication facilities to transmit personal messages, such messages shall not be treated with a higher standard of privacy than any other electronic communication. The University reserves the right to place additional restrictions on the personal use of its electronic communication facilities if necessary to conserve network resources for University purposes. Further, those using the University's electronic communication facilities must use such facilities in a responsible and lawful manner. Unlawful use of electronic communication facilities or use of such facilities which violates any University policy, including this policy, by any user, as determined solely by University officials, will be cause for the University to deny such user further access to such facilities and may be cause for other University disciplinary action, up to and including termination from employment or expulsion.
- b. Consistent with this Policy, users may use the electronic communication facilities to initiate or receive electronic communication. Users should only use their own files, those that have been designated as "public" files, or those that have been made available to them with the knowledge and consent of the owner.
- c. Users shall always keep all copyright and trademark notices intact on University or third-party materials that are received or disseminated in electronic communication. An authorized University representative shall be consulted if there is any question about the form of such notice.

- d. Users of electronic communication facilities in all IS facilities (including any remote sites operated by IS) must:
  - a) fully identify themselves (e.g., by showing a University ID card or other appropriate identification) to any IS staff member or student employee who requests such ID; b) act in an appropriate manner towards other users and IS staff; and c) respect and follow all applicable rules and any notices (e.g., those concerning hours of operation) posted in IS facilities.

2. Prohibited Uses of University Electronic Communication Facilities

- a. Commercial Purposes: Electronic communication facilities shall not be used for commercial purposes unrelated to the business of the University or for any commercial purpose that has not been expressly authorized by the University.
- b. Other Prohibited Uses and Restrictions:
  - i. Electronic communication facilities shall not be used to access or transmit electronic communication which promote or contain offensive, unlawful or inappropriate content, including, but not limited to content that is slanderous, defamatory, harassing, vulgar, threatening, intimidating, offensive, or that promotes hate or violence; or which is racially inflammatory or inappropriate; or which is pornographic, or sexually offensive; or which consists of offensive comments based on gender, or any other content that denigrates or demeans persons on the basis of race, age, gender, national origin, disability, religion, sexual orientation or any basis protected by law. This prohibition shall not apply to educational and professional work that requires such access or transmission.
  - ii. Users should not attempt any unauthorized connection to a host using electronic communications facilities.
  - iii. Electronic communication facilities should not be used to transmit, copy, or store confidential information, except as authorized by University officials. Further, all users must exercise a great deal of caution in transmitting and storing confidential information due to the ease with which electronic communication may be reproduced, stored and/or redistributed. Users should be particularly cautious in using distribution lists if confidential information is being transmitted.
  - iv. Electronic communication facilities should not be used in any way that may infringe upon the rights of the holder of any copyright or trademark. Downloading, copying or installing software or other data that is subject to copyright, trademark or other legal protection without appropriate authorization or license is prohibited. Information Services (IS) staff will not knowingly provide support for software that a user possesses in violation of the applicable license agreement. IS staff may ask for proof of ownership before helping users with their software. IS staff will not knowingly allow infringing copies or otherwise unauthorized copies of software to be installed on electronic communications facilities and will remove any such suspect software loaded onto electronic communication facilities.
  - v. Electronic communication facilities shall not be used in any manner that: is contrary to the University's interests; attempts to obscure, withhold or falsify the identity of the sender; impairs the electronic communication facilities in any way; attempts to gain access to the electronic communication of third parties (unless expressly authorized by such third party or by the University); interferes with, interrupts or obstructs the ability of others to use such facilities; is not related to the performance of an employee's job responsibilities or a student's academic work; and/or is not otherwise authorized by the University.
  - vi. Electronic communication facilities shall not be used in violation of University policies or local, state or federal laws, rules or regulations.
  - vii. Users shall not abuse or vandalize any electronic communication facilities. Users are to immediately report any observed or suspected instances of abuse or vandalizing of electronic communication facilities to University officials.
  - viii. Users should relinquish public computing facilities that they are using if they are doing non-essential work when the computers are in heavy demand. Electronic communication facilities should not be monopolized.

c. Security/Breach of Security

- i. Although the University uses various methods in an effort to secure its electronic communication facilities, the University cannot guarantee such security. Electronic communication and electronic

communication facilities shall not be used to breach the electronic security of others. A breach of security includes, but is not limited to: any unauthorized attempt to compromise any electronic communication facility, including the use of network privileges, accounts, access codes, identifiers or passwords, or equipment; knowing and unauthorized interception, access, disclosure, disruption, damage, destruction or unauthorized alteration/modification of any electronic information, or electronic communication facilities, including software or hardware; and any unauthorized and intentional disruption or interference with others' use of electronic communication facilities.

- ii. Users of electronic communication facilities are responsible for protecting their personal account information and/or password. Any user holding a personal account and its password is, at all times, responsible for its use and all activity originating from that account or using that password. Any attempt to determine the passwords or personal account information of others is strictly prohibited.
3. Privacy Although University email messages are encrypted by University systems as part of the regular transmission process, the University cannot guarantee the privacy of electronic communications, and users should not expect their use of electronic communication facilities will be private. Users who further encrypt an electronic communication must furnish the encryption key or software to the University upon request so that the University may fulfill its obligations under the provisions of this policy.

### **C. Monitoring and Disclosure**

#### 1. In General

The University reserves the right to monitor or disclose the content of any electronic communication sent, received or stored using electronic communication facilities. Monitoring, investigation, and examination of electronic content will only be conducted in connection with a specific event, such as the delivery of a warrant for search and seizure or other permissible events as listed in the Policy. Employees are not permitted to engage in the monitoring, investigation, or examination of electronic communication content without prior specific authorization of the Chief Information Officer as specifically permitted under the Policy. Employees do regularly monitor the performance of the University's computing resources, and the University reserves the right to install or update files on any University-owned computer to assure the performance or security of the campus computing environment. Use of the electronic communication facilities shall be deemed to constitute consent to allow the University to exercise its rights outlined in this Policy and agreement to abide by this Policy.

#### 2. Monitoring and Disclosure

As the owner or operator of electronic communication facilities and a private institution of higher education, the University will monitor or disclose the content of the electronic communication of users only under the following circumstances:

- a. A party to the communication consents; or
- b. The communication is readily accessible to the public (examples include, but are not limited to, web pages, e-mails sent to a public mailing list, or a newsgroup post); or
- c. The University has an administrative need to access an e-mail, voice mail or other electronic communication or electronic communication facilities (examples include routine maintenance, backup of data, monitoring of usage patterns, troubleshooting or investigation of an excessive use of network resources that adversely affects performance or protection of the University's rights or property); or
- d. The University is furnished with reasonable information causing it to conduct a review or investigation of any electronic communication or the use of electronic communication facilities (examples include reports or evidence of hacking, identity theft, harassment, commercial card fraud). The University has sole discretion to conduct such a review or investigation under this Policy; or
- e. The monitoring or disclosure occurs as a result of the University's obligations under local, state and/or federal laws, rules or regulations.

## **D. Retention and Archival Storage of Electronic Communications**

### **1. Policies**

Records created or stored in digital format, including electronic communication, may be subject to state or federal laws or University record-keeping policies.

### **2. Employee Responsibilities**

Employees are responsible for copying electronic communication for storage in departmental or office files as required by law or University policy.

- a. The University does not maintain centralized or distributed archives of electronic communication sent or received over its electronic communication facilities. Backups made for maintenance or troubleshooting purposes are erased at regular intervals.
- b. Staff should periodically store such copies in departmental or office files for subsequent review followed by either archival storage or destruction in accordance with general University record-keeping policies.

## **E. Acceptance of Electronic Signature**

[User] understands and agrees that by clicking the “I ACKNOWLEDGE” button the [User] is electronically signing the Request for Release of Educational Records or is authorizing specific University action and that the electronic signature is [User]’ s valid and binding signature for purposes of the Educational Records and authorization. [User] understands that: (1) All representations, information and electronic signature(s) [User] provides have the same force and effect they would have if made in non-electronic form; (2) DePauw University can and will rely on the Request for Release of Educational Records; and, (3) [User] intends to be bound to and electronically sign the Request for Release of Educational Records or other authorization by clicking the “I ACKNOWLEDGE” button. [User] further agrees that Indiana’s version of the Uniform Electronic Transactions Act (the “Act”) applies to the Request for Release of Educational Records, that the Request for Release of Educational Records is a transaction for purposes of the Act, and the [User] consents to the exclusive jurisdiction of Indiana courts in resolving any conflicts arising out of the Request for Release of Educational Records.

## **F. Violations**

Violations of this Policy by any user will be cause for the University to deny such users further access to the electronic communication facilities and may result in disciplinary action, up to and including termination from employment or expulsion. In certain circumstances, violators may be prosecuted. Violations of this Policy or the alleged misuse of University electronic communication facilities should be reported to the Public Safety Office, the Human Resources Office, or the Chief Information Officer. Reports and violations will be investigated and adjudicated according to the applicable University policies and procedures. The University reserves the right to delete any electronic communication from its electronic communication facilities that violates any provision of this Policy or any other University policy.

## **G. Relationship to Other University Policies**

This Policy is a supplement to other University policies including, but not limited to, policies governing the appropriate or acceptable use of University property and/or electronic communication facilities.

## **H. Definitions**

1. “Confidential information” means any information, data, documents or tangible things which contain proprietary or private information including, but not limited to information not generally known to persons outside of the University concerning students, academic or business matters, donors, alumni, financial or scholarship matters, grant matters, personnel matters, trade secrets, and/or development or business plans.
2. “Direct cost” means a cost, fee or charge assessed for a product or service provided for some purpose other than a valid University purpose (for example, unauthorized long-distance telephone charges and printing costs).

3. “Electronic communication” includes, but is not limited to, electronic mail (“e-mail”), newsgroup posts, internal or external bulletin board posts, Internet or World Wide Web pages (“web pages”), data and file transfers, voice mail, telephone and pager messages, facsimile transmissions, any other electronic communication sent, published, or received by an employee, student or guest using electronic communication facilities, and any other information transmitted, stored or maintained in or on such electronic communication facilities.
4. “Electronic communication facilities” includes, but is not limited to, all University-owned or operated: equipment, data, telephones, computers, computer networks, servers, workstations, personal computers, removable media, electronic voice mail systems, e-mail systems, pagers, facsimile machines, scanners, electronic external or internal bulletin boards, wire services, on-line services, the Internet or World Wide Web, or any other communication system or electronic technical resource provided, owned or operated by the University.
5. “Monitor” and “monitoring” mean to intercept, access, or inspect an electronic communication with the purpose of viewing the data contained therein. “Monitor” does not include automatic scanning of an electronic communication by network security and performance software such as a firewall, anti-virus, or packet shaper program.
6. “Employees” means any and all full- and part-time, temporary and regular University employees including, but not limited to faculty members, administrators, instructors, staff members, classified personnel and student employees who have been authorized to use the electronic communication facilities.
7. “Students” means any and all students who have paid a deposit or are currently enrolled in the University, as well as former students who have been authorized to use the electronic communication facilities.
8. “Guests” means any and all persons not directly connected to the University, but who have been authorized to use the electronic communication facilities.
9. “University authorization”, “University authorized”, or authorization from the “University”, a “University official”, or “University officials” means any written or oral express permission granted by one of the following University representatives: the President, the Vice President for Academic Affairs, or the Chief Information Officer.
10. “User” means any and all employees, students and guests.
11. “IS” means University Information Services.

(January 7, 2006)

#### **XIV. Employment Outside the University**

The University permits a faculty member to accept outside employment, such as consulting work, performances, or teaching assignments, with the clear understanding that these commitments will not interfere with his or her contractual obligations to DePauw University.

During the academic year, including Winter Term, a full-time faculty member’s external employment outside the University may not exceed the work equivalent to teaching one course, typically 160–190 hours. All professional appointments outside the University during the academic year must be reported to the appropriate department chair or school dean and the Vice President for Academic Affairs. These limits do not apply during the summer when the University is not in session. These limits also do not apply during a full-year sabbatical leave, when faculty members may accept and be paid for employment equivalent to teaching up to two courses during the year.

(Revised August 14, 2014)

#### **XV. Equal Opportunity Policy**

DePauw University, in affirmation of its commitment to excellence, endeavors to provide equal opportunity for all individuals in its hiring, promotion, compensation and admission procedures. Institutional decisions regarding hiring, promotion, compensation and admission will be based upon a person’s qualifications and/or performance without regard to race, color, creed, religion, national origin, sexual orientation, disability, age, gender, gender identity or gender expression, except where religion, gender, or national origin is a bona fide occupational qualification.

DePauw University’s goals and commitments are best served if the institution reflects the diversity of our society; hence, DePauw seeks diversity in all areas and levels of employment and abides by all local, state, and federal regulations concerning

equal employment opportunities. The University admits, hires, and promotes individuals upon their qualities and merits.

General Statement of Policy (endorsed by the faculty September 2000, established October 2, 2000)

## **XVI. Ethical Conduct Statement**

As a nonprofit organization at the forefront of undergraduate liberal arts education, DePauw University's policy is to uphold the highest legal, ethical, and moral standards. DePauw's donors and volunteers support DePauw University because they trust the University to be good stewards of their resources and to uphold rigorous standards of conduct. DePauw's reputation for integrity and excellence requires the careful observance of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

DePauw University will comply with all applicable laws and regulations and expects its trustees, officers, and employees to conduct business in accordance with the letter and spirit of all relevant laws; to refrain from any illegal, dishonest, or unethical conduct; to act in a professional, businesslike manner; and to treat others with respect. Trustees and officers should not use their positions to obtain unreasonable or excessive services or expertise from DePauw University's faculty and staff.

In general, the use of good judgment based on high ethical principles will guide trustees, officers, and employees with respect to lines of acceptable conduct. However, if a situation arises where it is difficult to determine the proper course of conduct, or where questions arise concerning the propriety of certain conduct by an individual or others, the matter should be brought to the attention of DePauw University. Employees should contact their immediate supervisor and, if necessary, the Director of Human Resources. Board members should raise any such concerns with their Committee Chair or the Secretary of the University's Board of Trustees.

Infractions of this Policy for the Promotion of Ethical Conduct are to be reported as set forth in DePauw University's Policy for Reporting Fraudulent, Dishonest, or Unlawful Behavior.

--Endorsed by the Audit and Risk Management Committee of the Board of Trustees, April 19, 2007

## **XVII. Exam Proctoring Policy**

If a faculty member cannot be present for a regularly scheduled exam, or if a faculty member needs to administer a make-up exam, it is the faculty member's responsibility to make appropriate arrangements for distributing, proctoring, and collecting the exam(s). *(In the context of this policy, proctoring means providing direct supervision of the student(s), including enforcing the faculty member's or the University's academic policies, enforcing time limits, and deciding whether to take action or what action to take when witnessing a potential instance of academic dishonesty.)*

For an exam administered during a regularly scheduled class session or at an alternatively scheduled time, the faculty member should arrange for the exam to be proctored by a faculty colleague.

For a make-up exam administered to individual students outside of a regularly scheduled class period, it is acceptable to ask a department secretary or an administrative staff member to hand the exam to the student and/or to receive it when the student is done with the exam, provided that this occurs during the department secretary's or administrative staff member's regularly scheduled hours. It is inappropriate to ask a department secretary or administrative staff member to proctor the exam. It is also inappropriate to require that the student take the exam in the department secretary's or administrative staff member's office as this may impede the employee in carrying out fully his or her primary duties.

Please see the University's policy on the [proctoring of exams for students requiring accommodations under the American Disabilities Act](#).

## **XVIII. Faculty Development Benefits**

Policies and procedures for sabbatical leaves and other faculty development benefits are described on the [Faculty Development web site](#).

## **XIX. Field Trip and Special Event Funds**

Please see below for request guidelines.

### **Field Trip Funds**

Limited funds are available for class-related field trips to off-campus sites, usually within 100 miles of Greencastle. Faculty members are encouraged to propose field trips designed to enrich the work of a specific course or set of courses. Field trip funding may not be used for departmental trips. Recent field trips have taken students to museums, plays, films, concerts, and architectural sites in Indiana and nearby states. In recent years, a few weekend trips to museums in New York City and Washington, D.C. have received partial funding, with students covering a substantial portion of the cost.

### **Attendance Policy / Missing Other Classes**

Faculty members may not require student attendance for trips held outside the regularly scheduled class meeting times. We know from experience, however, that if students learn about a trip at the beginning of the semester, most will adjust their schedules in order to be able to attend. Students who choose not to attend a field trip due to a personal or class related conflict may not be penalized but may be required to complete an alternative assignment.

Faculty members are cautioned to avoid scheduling field trips that conflict with regularly scheduled classes. If a trip will conflict with students' other class meetings, faculty members should

- a. prepare a note well in advance for students to take to their other professors, and
- b. explain carefully and more than once that students must ask their other professors, in person, about the possibility of missing a class meeting and about the best way to make up missed work.

If a student's professors are unwilling to make an exception to the absence policy (or if they are unwilling to reschedule an exam), the student must either forego the field trip or accept the consequences of missing a class meeting.

Field trips will be funded first-come, first-served. Modest requests (\$50-250) will be given priority, and some funds will be set aside in the fall to support field trips during second semester.

### **Special Event Funds**

Limited funds are available for class-related events, such as end-of-semester performances or local speakers invited to attend a class meeting. Please apply for these funds at least two weeks ahead of time.

Faculty members should apply to the Public Occasions Committee to request speakers for whom the cost will be substantial (over \$100) or to schedule an all-campus performance or lecture.

### **Request Guidelines**

Requests from CLA faculty members may be sent to the Academic Affairs Office. Requests from SOM faculty members may be sent via email to the Dean of the School of Music.

Please submit your request **at least two weeks** prior to the date of your trip or special event, and include the following information:

- Course number and title.
- Proposed date for the field trip or special event.
- Brief explanation of how the trip or event will support the work in your course.
- Rough budget for the trip or event, including anticipated cost of transportation, tickets, meals, etc., and approximate total cost.
- Proposed share of cost (about 30% of total) to be charged to student accounts for off-campus field trips. When car-pool to travel to an off-campus trip the estimated cost of the transportation can count as all or part of the cost share, depending on the total cost of the trip. Cost sharing is not required for on-campus special events such as in-class speakers.

Approval of requests for Field Trip and Special Event Funds will be made by email, usually within a week of submission of your request. CLA faculty members who have questions should contact the Dean of Academic. SOM faculty members who have questions should contact the Dean of the School of Music.

### **Planning Events and Submitting Receipts**

1. University policy allows students and faculty members to use their own vehicles for optional events such as the Field Trips supported by this fund. Moreover, it is typically cheaper to use personal vehicles as compared to using vehicles provided by the University. However, there may be situations where a faculty member prefers to use a vehicle obtained through the University. Field Trip funding can be applied toward the use of personal vehicles or vehicles obtained through the University. (Note: If an event is required for students, then University policy requires the use of vehicles obtained through the University.)
2. To reserve a University vehicle, see the [Transportation and Vehicle Use Policy](#) website.
3. Student drivers must receive certification from Public Safety (ext. 4261) before they may drive a van. For trips out of state, one adult must ride in each van.
4. Whenever possible, use a University commercial credit card to cover expenses and submit original, itemized receipts to the Academic Affairs Office.
5. For expenses not charged to a University commercial credit card, original, itemized receipts and a signed reimbursement voucher sheet must be submitted to the Academic Affairs Office.
6. Faculty members must submit a list of students participating in the field trip to the Academic Affairs Office *prior to the trip*. No reimbursements may be made until the list of students is received.

(Revised August 14, 2014)

## **XX. Harassment Policy**

### **Definition of Harassment and Notice of Non-Discrimination**

The University is committed to a policy of equal opportunity for all members of the University community, including, but not limited to, members of the faculty and staff, students, guests of the University, and applicants for employment and admission. In this regard, the University reaffirms the right of its students to live and learn, and its employees to teach and work, in an environment free from harassment and inappropriate and/or offensive comments or conduct.

The University encourages a workplace and learning environment free of discrimination, harassment, and/or inappropriate treatment of any employee, student or guest because of any person's race, sex, color, creed, religion, age, national origin, sexual orientation, veteran status, gender identity, gender expression, disability, or any category protected under federal, state or local law. To be unlawful, conduct must be sufficiently serious that it unreasonably interferes with an employee's ability to work or a student's ability to learn or benefit from the University's programming. The University does not, however, condone or tolerate any inappropriate conduct, whether by employees or non-employees, based on a person's race, sex, color, creed, religion, age, national origin, sexual orientation, veteran status, gender identity, gender expression, disability, or any category protected under federal, state or local law.

Harassing conduct may include, but is not limited to:

- Ethnic, racial, religious, age, disability or sex-related jokes, epithets, stereotypes or slurs.
- Foul or abusive language.
- Offensive graffiti, cartoons or posters.
- Insulting or derogatory nicknames.
- Mimicking another.
- Starting or spreading rumors.
- Teasing about religious or cultural observances, retirement, age, ability to learn, or absenteeism.
- Threatening or offensive mail, e-mail, voicemail or messages.

The University also recognizes the fundamental importance of the open and free exchange of ideas and opinion. It recognizes that conflicts may arise between individuals' desire to express their opinions and the right of individuals to be free from harassment. The University also recognizes that every act that might be offensive to an individual or a group is not necessarily a violation of the law or of this policy.

## **Sexual Harassment**

DePauw prohibits any form of sexual harassment or discrimination on the basis of sex and enforces the requirements of Title IX of the Education Amendments of 1972 and its implementing regulations through student and employee guidelines. DePauw is committed to providing students, employees and University guests an environment and workplace free of inappropriate comments or conduct of a sexual nature. Inquiries concerning the application of Title IX should be directed to the University's Title IX coordinators. Prohibited sexual harassment may include, but is not limited to:

- Unsolicited and unwelcome comments or conduct of a sexual nature or that are demeaning to women or men as a group (for example, offensive or vulgar jokes, name-calling, comments about one's body or sex life, or stereotyping based on a person's sex);
- Unwelcome and unwanted sexual jokes, language, gestures, epithets, innuendoes, advances or propositions; sexually oriented "kidding," "teasing" or "practical jokes;"
- Unsolicited and unwelcome demands or requests, implicit or explicit, for sexual favors or sexual encounters;
- Sexually oriented propositions, slurs, suggestions or questions;
- Stalking;
- Persistent, unsolicited and unwelcome demands or requests, implicit or explicit, for social encounters;
- Written or verbal abuse of a sexual nature, including, for example, using sexually degrading or vulgar words to describe an individual;
- The display of sexually suggestive or revealing objects, other material or offensive pictures, electronic communications or photographs (this prohibition does not apply to University approved art exhibitions or other University approved displays or communications);
- Unwelcome and unsolicited information about another's sexual prowess, activities, deficiencies or sexual orientation;
- Asking questions or commenting about another's sexual activity or making unwelcome sexual advances or expressed or implied requests for sexual activity;
- Offensive or inappropriate behavior targeted at only one sex, even if the content of the conduct or comments is not sexual;
- Unwelcome physical contact, such as patting, pinching, touching, leering, ogling, whistling, indecent exposure, brushing against the body, or suggestive, insulting or obscene comments or physical gestures.
- Any instance in which a supervisor, faculty member or another in a position of authority uses his/her authority to require or to urge an employee or student to submit to sexual activity. Such behavior can be explicit or implicit - for example, a supervisor or another person in a position of authority states to an employee or student: "Things could be a lot better for you here if you would be a little nicer to me."

## **Reporting Procedure**

Any employee, student or guest who believes that he/she either has witnessed or been subjected to behavior that violates this policy is encouraged to and has a responsibility to immediately report the suspected policy violation. The

University cannot investigate and take appropriate action if the behavior is not reported. The method of reporting suspected policy violations is as follows:

**Staff members and guests** should immediately report suspected policy violations to the Office of Human Resources. The phone number for the Director of Human Resources is (765) 658-4181. If the Director of Human Resources is unavailable or the staff member or guest is uncomfortable reporting the suspected policy violation to the Director of Human Resources, he or she may report the suspected violation directly to the Vice President for Finance and Administration at (765) 658-4161.

**Faculty members** should immediately report suspected policy violations to Academic Affairs. The phone number for the Vice President for Academic Affairs and Dean of the Faculty is (765) 658-4359. If the Vice President for Academic Affairs and Dean of the Faculty is unavailable or the faculty member is uncomfortable reporting the suspected policy violation to the Vice President for Academic Affairs and Dean of the Faculty, he or she may report the suspected violation directly to the Director of Human Resources at (765) 658-4181.

**Students** should immediately report suspected policy violations to the Office of Student Life. The phone number for the Dean of Students is (765) 658-4199. If the Dean of Students is unavailable or the student is uncomfortable reporting the suspected policy violation to the Dean of Students, he or she may report the suspected violation directly to the Director of Human Resources at (765) 658-4181.

Complaints of inappropriate behavior by a Vice President of the University should be directed to the President of the University and/or the Director of Human Resources.

**Supervisors and department chairs** who receive complaints or who observe inappropriate behavior must immediately inform the appropriate office listed above. Failure to report potential violations may result in appropriate discipline, up to and including termination.

## **Investigation and Resolution of Complaint**

Given the nature of the type of conduct prohibited by this policy and the serious effects such conduct can have on the target of the conduct and the one accused of the conduct, the University takes every complaint of harassing behavior seriously and each report shall be investigated. The investigation will be conducted in as confidential a manner as circumstances permit to protect all parties involved, including witnesses. The University will not tolerate any retaliation against anyone who makes a report of harassing behavior or cooperates in an investigation of any complaint under this policy.

The responsibility for determining the need for and degree of administrative action to address a harassment complaint varies and is based upon the group to which the accused belongs. These groups include: faculty, staff, students and guests. Generally, complaints involving students only will be processed under the Community Standards process, and complaints involving non-students will be processed according to the procedures identified below.

The chart below indicates investigation and disciplinary authority as it relates to policy violations at DePauw:

Complainant	Accused	Investigating Responsibility	Disciplinary Responsibility	Procedural Guidance
<b>Student</b>	Student	Office of Student Life	Office of Student Life	<a href="#">Student Handbook</a>
	Staff or Guest	Office of Student Life Human Resources	Human Resources	<a href="#">Employee Guide</a>
	Faculty member	Office of Student Life Academic Affairs Human Resources	Vice President for Academic Affairs and Dean of the Faculty	<a href="#">Academic Handbook</a>
<b>Staff or Guest</b>	Student	Human Resources Office of Student Life	Office of Student Life	<a href="#">Student Handbook</a>
	Staff or Guest	Human Resources	Human Resources	<a href="#">Employee Guide</a>
	Faculty member	Human Resources Academic Affairs	Vice President for Academic Affairs and Dean of the Faculty	<a href="#">Academic Handbook</a>
<b>Faculty</b>	Student	Academic Affairs Office of Student Life Human Resources	Office of Student Life	<a href="#">Student Handbook</a>
	Staff or Guest	Academic Affairs Human Resources	Human Resources	<a href="#">Employee Guide</a>
	Faculty member	Academic Affairs Human Resources	Vice President for Academic Affairs and Dean of the Faculty	<a href="#">Academic Handbook</a>

The President and Director of Human Resources will be responsible for investigating complaints and determining the need and degree of administrative action for complaints against a Vice President of the University.

Violations of this policy will not be tolerated and will result in appropriate disciplinary action, up to and including discharge or dismissal. Please help us maintain a comfortable learning and work environment free from inappropriate and offensive conduct.

(Endorsed in principle by the faculty in March 1999; established as University policy April 1999; revised August 2003; revised August 2011)

## XXI. Hospitality Funds

Full-time and part-time teaching faculty members are eligible for up to \$200 per academic year to help support **non-required student-faculty gatherings and meals**.

These funds are limited and will be distributed on a first-come, first-served basis.

- **Hospitality Funds may not be used for snacks or meals** during regular class meetings or exams or other required components of a course.
- **Department and program entertainment funds**, rather than Hospitality Funds, should be used to pay for department related events (such as interest group or academic club meetings, meals for newly declared majors, food for senior celebrations and readings, etc.).

It is appropriate to draw on Hospitality Funds for the following activities:

- Meal at faculty member's house.

- Meal in campus dining rooms and restaurants (students with meal plans should use their IDs to cover a portion of the cost).
- Meal at a local restaurant (there is a cap of \$10 per meal per person, although students or faculty members may make up the difference for more expensive meals).
- Meal related to non-required class meeting (for example, pizza and film in the evening). Reminder: students may be encouraged, but not required, to attend class meetings held outside of regular time banks.
- Reunions of classes from past semesters.

Whenever possible, faculty members should use a University commercial credit card to cover expenses. CLA faculty members should send original, itemized receipts and a signed voucher reimbursement sheet promptly to the Academic Affairs Office. SOM faculty members should submit materials for reimbursement through the Dean of the School of Music.

(Revised August 14, 2014)

## XXII. Human Subject Research Policy and Review Procedure

### Introduction

[DePauw IRB Website](#). (For Animal Use and Care Policy see [Article VI](#), in General Policies.)

The purposes of this procedure are as follows:

1. The primary reason is for the protection of the rights and safety -- both physical and emotional -- of human subjects. The subjects benefit and DePauw benefits by these efforts to ensure responsible conduct and informed participation by human subjects.
2. A review procedure that upholds human research standards also protects the researcher in two ways:
  - It helps to assure that the research is done properly according to standards for ethical and responsible research conduct
  - Compliance with institutional standards and procedures shifts the burden of responsibility to the University if a subject makes a complaint or brings legal action
3. Federal and professional standards require institutional review and approval of human subject research. In fact, federal grant proposals require advance approval of subject procedure
4. Students learning how to do research should also learn about research ethics and the need for review procedures

### Human Subject Review Procedures

These procedures apply to activities engaged in for the purpose of research, which means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge, whether or not the activities are conducted under a program which is considered research for other purposes (e.g., some demonstration and service programs may include research activities).

Research with human subjects will be conducted in a manner consistent with federal guidelines and the guidelines of the professional organizations of the disciplines. The policies and procedures described here and in implementing documents apply to all members of the University, including faculty members, administrators, staff and students.

Activities that involve manipulation of humans or data obtained from them for other purposes (e.g., work done to study the effectiveness of common educational techniques, or for the purpose of institutional assessment) should be guided by similar principles, but do not come under the purview of the Institutional Review Board (IRB). Researchers must report any relevant changes in their research procedures to the Board.

## Category I Research

### [Category I Proposal Form](#)

Criteria:

Category I research involves no more than everyday stress, minimal risk, most field observations, and the study of existing data. If participants can be identified, the research must receive an expedited review or full review as described below. To qualify as Category I, all of the following must be true. The research:

- Does not involve a special or protected population (e.g., participants under 18 years of age, prisoners, in/outpatients, mentally/physically disabled, pregnant women)
- Does not involve deception (beyond not informing subjects about every aspect of this study and hypotheses)
- Poses no reasonably foreseeable physical risks to participants
- Poses no reasonably foreseeable stress or discomforts to participants (beyond everyday levels)
- Does not involve private records (e.g., medical and/educational data linked to names)
- Does not probe for sensitive personal information (including disease/disorder/disability status)
- Obtains informed consent from participants (if all other conditions are met there may be cases--field studies, for example--when informed consent is not required; the category I form asks for an explanation/justification in such cases)
- Does not present offensive, threatening, or degrading material
- Preserves confidentiality of participants
- Debriefs participants (there may be exceptional circumstances--field studies--where debriefing is not feasible; the category I form will ask for an explanation/justification in such cases)

Procedure:

Faculty and students whose research meets the above criteria should submit a Category I online application form from the DePauw IRB web site. Students must consult a faculty sponsor before submitting an online form. One or more members of the IRB will review the proposal and respond, generally within 10 working days. Category I research requires approval and research may not begin until researchers have received notification of approval from the IRB reviewer(s).

## Category II Expedited Review Research

### [Category II Proposal Form](#)

Criteria:

The research involves minimal/some risk, or deception or moderate stress, or intrusive procedures such as venipuncture. The research must satisfy basic requirements.

Procedure:

The researcher(s) submits a Category II online application form from the DePauw IRB web site. Students must consult with a faculty sponsor before submitting the form. Two or more members of the IRB will review the proposal and respond, generally within two (working) weeks. Category II research may not begin until researchers have received notification of approval from the IRB reviewers.

## Category III Full Review Research

### [Category III Proposal Form](#)

#### Criteria:

The research involves more than minimal risk, or use of especially vulnerable populations, for example, children, prisoners, pregnant women, or persons with mental or physical disabilities.

#### Procedure:

The researcher(s) submits a Category III online application form from the DePauw IRB web site. The project description should give special attention to the nature of potential risks, how the risks will be managed, and the qualifications of the researchers for conducting research of this nature. Students must consult with a faculty sponsor before submitting the form. The full committee will review the proposal and respond, generally within two (working) weeks. Category III research requires full committee approval and research may not begin until researchers have received notification of approval from the IRB.

### Composition of the Board

The Institutional Review Board must consist of at least five members, appointed by the chief academic officer, on the recommendation of current members. The members must have varying backgrounds sufficient to assure complete and adequate review of research activities commonly conducted by the institution. The committee must be sufficiently qualified in expertise, experience and sensitivity to issues such as community attitudes (which might arise from their race, gender or cultural backgrounds). In addition, the committee should strive for diversity of intellectual and methodological traditions in its membership. If the IRB regularly reviews research involving a vulnerable category of subjects, consideration must be given to inclusion of one or more individuals who are knowledgeable in working with these subjects. The committee must include at least one person whose chief concern is scientific issues and at least one whose primary concerns are in nonscientific areas, and at least one member neither affiliated with the institution nor a member of the immediate family of a person affiliated with the institution. A member who has a conflicting interest (Conflicts of Interest as covered by the policy established by the Faculty Personnel Policy and Review Committee and the Administration and published in [Appendix 3](#) in the Personnel Policies of the Academic Handbook or other conflict such as serving as a consulting researcher or having a relationship to the subject of the research) may not participate in a review, except to provide information. The IRB may invite individuals with special expertise to assist in a review, but that person may not vote. Full reviews must be carried out at the convened meetings with a majority of members present, including the nonscientific member; approval requires a majority vote of those present.

### General Procedures

The IRB must have written procedures for carrying out its reviews, for determining which projects require review more often than annually and which projects need verification from sources other than the investigators that no material changes have occurred since previous IRB review, and for securing reports of proposed changes in a research activity and for ensuring that such changes will not be initiated without IRB approval except when necessary to eliminate immediate hazards to the subject. The IRB is responsible for determining its procedures within these guidelines, with the input of affected initials and the chief academic officer. The policies of the IRB must be in accord with the guidelines of the appropriate federal agencies and the various professional organizations of the disciplines; modifications in policies must be approved by the chief academic officer.

### Appendix A

The federal guidelines are available at the Web site of the [Office for Human Research Protections](#) (<http://www.hhs.gov/ohrp/index.html>).

#### Other Resources:

- [American Anthropological Association: http://www.americananthro.org/stmts/irb.html](http://www.americananthro.org/stmts/irb.html)
- [American Historical Association: www.historians.org](http://www.historians.org)
- [American Psychological Association: http://www.apa.org/research/responsible/index.aspx](http://www.apa.org/research/responsible/index.aspx)

- [American Sociological Association: http://www.asanet.org/research/research.cfm](http://www.asanet.org/research/research.cfm)
- [National Communication Association: www.natcom.org](http://www.natcom.org)

## Appendix B

The following basic principles apply to all categories of research:

- Informed consent. Subjects' participation must be voluntary and informed. Before participation, subjects must receive an explanation of the purposes of the research, what they will be asked to do, and any potential risks involved. They must be told that they may refuse to participate in the study and may discontinue participation at any time.
- Protection from harm. Stress to subjects shall be minimized as much as possible. Signed consent must be obtained from all subjects.
- Anonymity and/or confidentiality must be observed when possible. If anonymity or confidentiality cannot be maintained, the investigator must provide strong justification.
- Risks to subjects must be outweighed by the sum of the benefit to subjects and the importance of the knowledge to be gained.
- Debriefing. The exact nature and purpose of the student must be explained to subjects after completing the study; subjects have a right of access to a report of the results of the study.

(This list of principles was excerpted from the guidelines of the Denison University Institutional Review Board.)

(Adopted by the University, October 1998; modified December 2007)

## XXIII. Insurance and Other Benefits

Information and brochures pertaining to insurance and other employee benefits available to members of the faculty are available in the [Office of Human Resources](#).

## XXIV. Intellectual Property Policy

### Preamble

DePauw University benefits from an active and productive faculty, and from encouraging faculty work and creativity both on and off the Greencastle campus. Intellectual property inevitably will be created in the course of research, teaching and service activities of DePauw University's faculty members and staff members. By longstanding practice, DePauw University has recognized and honored the academic tradition that individual faculty members own the copyrights of course-related, scholarly, and other creative original works of authorship that they produce in the course of their employment by DePauw University. DePauw University continues to recognize and honor this academic tradition, notwithstanding that federal law may give DePauw University presumptive ownership of original works of authorship created by its faculty within the scope of their employment. Accordingly, this DePauw University Intellectual Property Policy (the "Policy") identifies the ownership interests of DePauw University and its faculty members and staff members with respect to original works of authorship created in the academic setting. This Policy is incorporated by reference into the policies governing conditions of employment of all DePauw University employees, and is binding as between DePauw University and its employees. In the event that this Policy, in conjunction with federal copyright or intellectual property law, does not effect the desired rights of ownership described below, DePauw University and its employees shall work in a good faith manner consistent with the principles in this Policy and execute any documentation necessary to carry out the intent of this Policy and its desired results.

### Rights of Ownership

#### I. University Works

DePauw University shall own all “University Works,” meaning original works of authorship or invention that are created, in whole or in part:

- with the use of “Substantial University Resources,” meaning financial, material, personnel or other support provided to an employee that is beyond the level of common research and teaching support typically provided by DePauw University to that employee. [Note: This accounts for, and by implication assumes, that faculty members may be supported at differing levels, i.e. there is not a standard/definable support applicable to all]; or
- as a specific requirement of employment, pursuant to an explicit DePauw University assignment by a supervisor or duty, on commission from DePauw University for its own use, or pursuant to a gift, grant or contract which requires ownership by DePauw University.

University Works shall be owned by DePauw University as works made for hire within the scope of employment by DePauw University. The following works presumptively shall be considered University Works: “Courses,” meaning the copyrightable videotapes and other recordings of all course lectures, classes, or presentations;

“University Publications,” meaning DePauw University-sponsored or owned journals, periodicals, newsletters, yearbooks and other print or electronic publications; and

“University Administrative Materials,” meaning policies, curricula, promotional materials, web sites, and similar works, including but not limited to works created for faculty and DePauw University committees, works created by faculty members in assigned administrative roles, and works created by department chairs and program coordinators on behalf of their programs.

DePauw University grants faculty members and staff members non-exclusive rights to non-commercial use and distribution of University Works that they have authored unless otherwise prohibited by contractual or legal restrictions.

## **II. Staff Works**

DePauw University shall own all “Staff Works,” meaning original works of authorship that are created:

- by non-faculty employees within the scope of employment by DePauw University; or
- by non-employees, consultants, or contractors expressly for DePauw University.

Exceptions may be granted in particular circumstances, such as for work done in an approved consultancy for another institution, or creative and scholarly work produced with DePauw University resources not related to the job description if so identified by the supervising vice president. DePauw University does not claim ownership of works created by non-faculty employees outside of the scope of employment by DePauw University.

## **III. Faculty Works**

Faculty members shall own all “Faculty Works,” meaning original works of authorship that reflect scholarly research and creativity produced by and on the initiative of faculty members within the scope of their employment by DePauw University, including but not limited to: syllabi for courses, tests, assignments, instructor's notes, instructional materials (including websites and videos), textbooks, monographs, journal articles, other works of non-fiction and fiction, poems, speeches and other creative works such as musical compositions and visual works of art. As an exception, the University Communication Policy governs the right of the University to take possession of or to provide access to materials produced using the University’s electronic communications system when required by law or when there is evidence of violation of University policies.

Academic departments, the Faculty Personnel Policy and Review Committee in the course of its deliberations, or the DePauw University administration may require individual faculty members to share copies of scholarly research and creativity, such as instructional and other materials used for ordinary classroom and program use, as part of the

ordinary processes of administration, evaluation and internal or external review or in case of a disciplinary hearing. Additionally, faculty members may be asked to provide copies of scholarly research and creativity as part of internal or external review processes or in the course of applying for DePauw University funding of scholarly and other creative work. Such requirements to share and permit limited use of these works shall not otherwise limit a faculty member's copyright in scholarly research and creativity.

In cases where DePauw University is asked to make an extraordinary investment to enable faculty research or other work, ownership conditions will be negotiated at the time of the approval of the request for investment so that DePauw University may receive a fair return on its investment. In the case of scholarly, creative, or pedagogical work done collaboratively with other institutions or for-profit corporations, or where granting bodies take a different approach to ownership, agreements may be worked out ahead of time and subject to review and revision by the Chief Academic Officer, who shall apply the principle of maximizing academic freedom, fair use, open scholarly inquiry, and respect for the rights of authors and inventors.

#### **IV. Student Works**

Students shall own all "Student Works," meaning materials produced as part of their academic work for graduation credit, including materials produced for particular courses, such as, written assignments, creative and artistic work, quizzes and examinations. As an exception, the University Communication Policy governs the right of the University to take possession of or to provide access to materials produced using the University's electronic communications system when required by law or when there is evidence of violation of University policies.

Materials produced by students as employees of the University are governed by the "staff works" section of this policy.

Work by students produced in collaborative projects with faculty members or other DePauw employees shall be governed by the policies that govern the University employees unless there are particular stipulations made at the time of the start of the collaborative project.

Student works may be copied and retained by faculty members for use as needed in fulfilling their responsibilities as faculty members (such as verifying authenticity and originality) and as part of the academic personnel evaluation policy. A student work may not be shared by a faculty member with others outside of the previous provisions without permission of the student.

In cases where DePauw University is asked to make an extraordinary investment to enable student research or other work, DePauw University ownership conditions will be negotiated prior to the approval of the investment so that DePauw University may receive a fair return (minimally reimbursement) on its investment. In the case of scholarly, creative, or pedagogical work done collaboratively with other institutions or for-profit corporations, or where external funding agencies take a different approach to ownership, agreements may be worked out ahead of time and are subject to review and revision and final approval by the Chief Academic Officer, who shall apply the principle of maximizing academic freedom, fair use, open scholarly inquiry, and respect for the rights of authors and inventors.

Students who produce work during internships for hosts other than DePauw University (even if for academic credit and if partially supported by stipends from DePauw) shall retain ownership of those products except as they may be required to assign those rights to their internship hosts.

### **Copyright Notice and Use of the DePauw University Name**

#### **I. Notice**

The following form of copyright notice shall be used on all University Works or any other works owned by DePauw University:

©[year of first publication] DePauw University. All Rights Reserved.

## II. Use of the DePauw University Name

The DePauw University name, associated symbols, and seal are important and valuable representations of DePauw University and its academic reputation. Therefore, use of the DePauw University name, associated symbols, and seal in connection with a work, other than for the sole purpose of identifying the author as a university employee or as a student affiliated with DePauw University, requires the advanced written permission of the supervising DePauw University Vice President. This does not limit the right of university employees or students to use the DePauw University name in accurate descriptions of events and activities that have taken place at DePauw. Furthermore, faculty members, staff members and students at DePauw University may not participate in the creation or use of works that might give the impression of DePauw University sponsorship where there is none. If the DePauw University name, associated symbols, or seal is to be used in connection with any works created under collaborative agreements with outside entities, other than to identify the creator by his or her title at DePauw University, such agreements must be approved in advance and in writing by an authorized DePauw University administrator.

### **Administration, Interpretation and Dispute Resolution**

#### Interpretation of this Policy

##### I. Administration

This policy shall be administered by the supervising vice presidents.

##### II. Interpretation and Dispute Resolution

All issues of interpretation and dispute resolution shall be managed by either the Vice President for Academic Affairs or the Vice President for Finance and Administration, or another senior officer designated by the President.

(Adopted by the University, January 2008)

## **XXV. Open Access Policy**

The faculty of DePauw University is committed to disseminating the results of its published research and scholarship as widely as possible. In keeping with that commitment, the faculty adopts the following open-access policy:

Each faculty member will, henceforth, retain – where feasible and appropriate – copyright privileges with respect to his or her scholarly articles. Whenever possible, faculty authors will negotiate open-access agreements with scholarly publishers. Whenever and wherever faculty authors negotiate open access agreements with a publisher, said authors will henceforth grant to DePauw University special permission to make available his or her scholarly articles in the university’s institutional repository. (For the purposes of this Open Access policy, scholarly articles are understood to be articles published in peer-reviewed journals).

Each faculty member grants to DePauw University a non-exclusive worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold for a profit. The policy applies to all scholarly articles authored or co-authored while the author is a member of the faculty. As the copyright holder of the article, the faculty author maintains the exclusive and irrevocable right to withhold from DePauw University the granted worldwide license for any given article provided that the faculty author submit the appropriate waiver to the Vice President for Academic Affairs or the Vice President for Academic Affairs’ designate.

The policy does not apply to: any articles completed before the adoption of this policy; any articles for which the faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy; or any articles for which the author requests a waiver. The Vice President for Academic Affairs or the Vice President for Academic Affairs’ designate will waive application of the policy for a particular article or delay access to said article for a specified period of time upon express direction by the author.

To facilitate access to his or her scholarly articles, authors will provide one electronic copy of the final peer-reviewed version of each article for which no waiver has been obtained, along with the appropriate bibliographic data. This electronic copy will, whenever practical, be delivered no later than the date of publication for the article to the appropriate representative of the Vice President for Academic Affairs' Office in an appropriate format (such as PDF) specified by Library and Academic Technology Committee in consultation with the Vice President for Academic Affairs' Office.

The Vice President for Academic Affairs' Office may make the article available to the public in an open-access institutional repository for as long as the faculty author and copyright holder grants such access. The current policy is in no way intended to hinder faculty efforts to publish their work in the best peer-reviewed scholarly journals but is, rather, an attempt to make articles more widely available, when and where possible. The faculty-led Library and Academic Technology Committee will maintain responsibility for protecting faculty interests and overseeing the operation of the repository as well as interpreting this Open Access policy, resolving disputes concerning its interpretation and application, and recommending changes to the faculty from time to time.

(Approved by the faculty, April 2014)

## XXVI. Opening Convocation and Commencement

All members of the faculty are expected to attend the annual opening day convocation and commencement as a part of their professional obligations. Requests for an excused absence should be sent to the Vice President for Academic Affairs. Such requests are limited to professional obligations, an emergency, or urgent business.

## XXVII. Record Retention and Document Destruction Policy

### Purpose

Consistent with the Sarbanes-Oxley Act, which makes it a crime to alter, cover up, falsify, or destroy any document with the intent of impeding or obstructing any official proceeding, this policy provides for the systematic review, retention, and destruction of documents received or created by DePauw University in connection with the transaction of University business. This policy covers all records and documents, regardless of physical form, contains guidelines for how long certain documents should be kept, and how records should be destroyed (unless under a legal hold). The policy is designed to ensure compliance with federal and state laws and regulations, to eliminate accidental or innocent destruction of records, and to facilitate DePauw University's operations by promoting efficiency and freeing up valuable storage space.

### Document Retention

DePauw University follows the document retention procedures outlined below. Documents that are not listed, but are substantially similar to those listed in the schedule, will be retained for the appropriate length of time.

### Corporate Records

Annual Reports to Secretary of State/Attorney General	Permanent
Articles of Incorporation	Permanent
Board Meeting and Board Committee Minutes	Permanent
Board Policies/Resolutions	Permanent
Bylaws	Permanent
Construction Documents	Permanent
Contracts (after expiration)	7 years
Correspondence (general)	3 years
Fixed Asset Records	Permanent
IRS Application for Tax-Exempt Status (Form 1023)	Permanent
IRS Determination Letter	Permanent
State Sales Tax Exemption Letter	Permanent

### **Accounting and Corporate Tax Records**

Annual Audits and Financial Statements	Permanent
Business Expense Records	7 years
Cash Receipts	3 years
Credit Card Receipts	3 years
Depreciation Schedules	Permanent
General Ledgers	Permanent
Invoices	7 years
IRS Form 990 Tax Returns	Permanent
IRS Forms 1099	7 years
Journal Entries	7 years
Petty Cash Vouchers	3 years
Sales Records (box office, concessions, gift shop)	5 years

### **Bank Records**

Bank Deposit Slips	7 years
Bank Statements and Reconciliations	7 years
Check Registers	7 years
Electronic Fund Transfer Documents	7 years

### **Payroll and Employment Tax Records**

Earnings Records	7 years
Garnishment Records	7 years
Payroll Registers	Permanent
Payroll Tax Returns	7 years
State Unemployment Tax Records	Permanent
W-2 Statements	7 years

### **Employee Records**

Accident Reports and Worker's Compensation Records	5 years
Employment and Termination Agreements	Permanent
Employment Applications	3 years
I-9 Forms	3 years after termination
Records Relating to Promotion, Demotion, or Discharge	7 years after termination
Retirement and Pension Plan Documents	Permanent
Salary Schedules	5 years
Time Cards	2 years

### **Donor and Grant Records**

Donor Records and Acknowledgment Letters	7 years
Fund/Trust Agreements and Statements	Permanently
Grant Applications and Contracts	7 years after completion
Grant Applications – Non-awarded	3 Years

### **Legal, Insurance, and Safety Records**

Appraisals	Permanent
Copyright Registrations	Permanent
Environmental Studies	Permanent
General Contracts	3 years after termination
Insurance Policies	Permanent
Leases	6 years after expiration
OSHA Documents	5 years
Real Estate Documents	Permanent
Stock and Bond Records	Permanent
Trademark Registrations	Permanent

## Student Records

Academic Advising Files	3 Years
Academic Integrity Files	5 Years from last incident
ADA Files	5 Years
Admission Applications – Non-enrolled Students	1 Year
Financial Aid Files	4 Years
Health Files	7 Years
Perkins Loan Files	3 Years after payoff
Scholastic Standing Files	5 Years
Student Life Files	6 Years
Transcripts	Permanent
Vaccine Records	Permanent

## Electronic Documents and Records

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files, including records of donations made online, that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an e-mail message, the message should be printed in hard copy and kept in the appropriate file or moved to an “archive” computer file folder. Backup and recovery methods will be tested on a regular basis.

## Emergency Planning

DePauw University’s records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping DePauw University operating in an emergency will be duplicated or backed up at least every week and maintained off-site.

## Document Destruction

DePauw University’s chief financial officer is responsible for the ongoing process of identifying its records, which have met the required retention period, and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by shredding.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

## Compliance

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against DePauw University and its employees and possible disciplinary action against responsible individuals. The Chief Financial Officer and the Audit and Risk Management Committee Chair will periodically review these procedures with legal counsel or the University’s Independent Certified Public Accountants to ensure that they are in compliance with new or revised regulations.

--Endorsed by the Audit and Risk Management Committee of the Board of Trustees, April 17, 2007

## XXVIII. Retirement Agreement for a Tenured Faculty Member

A retirement agreement is a formal agreement by a tenured faculty member to retire by a particular date. The agreement is signed by the faculty member and the Vice President for Finance and Administration after the faculty member has consulted with the Vice President for Academic Affairs and they are in accord about the terms of the agreement.

## Post Retirement

Under DePauw's employee policies, certain retirement benefits accrue to employees who meet the "Rule of 80" (age of at least 55, currently continuous years of service at DePauw of at least 15, and sum of age and currently continuous years of service at DePauw of at least 80) as long as they were hired before January 1, 2013. There are no continuing health care benefits for employees hired on or after January 1, 2013. For more information contact [Office of Human Resources](#).

For those employed at DePauw whose years of continuous service began before July 1, 1996, the eligibility requirements are: as stated above, or they must be at least age 62 and have at least 15 years of continuous service, without any threshold on the total. These benefits are:

- Eligibility to participate in the DePauw Voluntary Employee Benefit Association (VEBA) which acts as a post retirement medical spending account and allows for use of the DePauw contributions and investment earnings designated for the employee for qualifying medical expenses.
- Continuation after retirement for eligible dependents to obtain tuition remission benefits (free tuition at DePauw, and substantially reduced tuition for enrollment at a college participating in the GLCA tuition remission exchange program).
- Certain eligibility for employee and eligible dependents to participate in group health insurance options.

Employees who retire before their 65<sup>th</sup> birthday:

After retirement and until the month before turning 65, the retiree and eligible dependents will be able to purchase group health insurance through DePauw's group health insurance plan at the pre-65 retiree rate.

Beginning in the month in which the retiree turns 65, Medicare becomes the primary health insurance coverage and the retiree may purchase secondary health insurance coverage through DePauw's group health insurance plan at the post-65 retiree rate which includes a defined contribution amount by DePauw for the retiree and eligible dependents. This benefit will continue until June 30, 2030, plus one additional full year for each year or fraction thereof in which the employee retires before the 65<sup>th</sup> birthday. The retiree and/or eligible dependents will be responsible for the balance of all insurance premiums for secondary health insurance coverage. After that time, the retiree and/or eligible dependent will be responsible for all costs related to their health insurance coverage. However, the retiree and/or eligible dependents will be able to remain on the DePauw group plan at the group rates.

If an eligible dependent is older than the pre-65 retiree, the dependent remains on the pre-65 retiree plan until the first day of the month in which the retiree turns age 65. At that time, both the retiree and the dependent will transition to the post-65 plan.

Employees who retire after their 65<sup>th</sup> birthday:

Medicare will become the primary health insurance coverage and the retiree and eligible dependents may purchase secondary health insurance coverage through DePauw's post retirement group health insurance plan at the post-65 retiree rates until June 30, 2030. After that time, the retiree and/or eligible dependents will be responsible for the balance of all insurance premiums for secondary health insurance coverage, however, the retiree and/or eligible dependents will be able to remain on the DePauw group plan at the group rates.

If an eligible dependent is under age 65 (and the retiree is over age 65), the dependent will remain on the pre-65 retiree plan until the first day of the month in which the dependent turns age 65. At that time they will join the retiree on the post-65 plan.

## Pre-Retirement Arrangements

DePauw is willing to enter into a pre-retirement arrangement with a tenured faculty member if it benefits the University and if the faculty member finds it of benefit as well. Agreements are individualized since the needs and desires of each individual and University in particular cases may differ.

Pre-retirement arrangements may include the following as part of an agreement that sets a definite retirement date:

- Eligibility to take instead of the last scheduled sabbatical leave a “pre-retirement leave” (full year at half pay or half year at full pay). A pre-retirement leave may be for a pre-retirement project, perhaps preparing for post-retirement activities) that would not normally be approved for a regular professional sabbatical. Note that the compensation for a pre-retirement leave differs from that of a regular professional sabbatical (full year at 2/3 pay or a four-course reduction from the normal teaching duties at full pay).
- Removal of the normal obligation to return to teach for a full year following the final sabbatical or pre-retirement leave.
- Up to one half year of reduced teaching without reduction in compensation, which may be spread over the last three years prior to retirement.

With the approval of the Vice President for Academic Affairs, other reductions of teaching for reduction of salary in the amount of one or two courses per year (for salary reductions of 12.3% of base salary per course; and 5% of base salary for each semester of no teaching for which no service would be expected). (These percentages have been determined by allocating the salary of a normal full-time job as follows: 80% for teaching spread on average over 6.5 courses per year including Winter Term; 10% for service; 10% for professional growth.) These arrangements can only be made for the last five years prior to retirement. Otherwise in each of these years prior to retirement except for a semester in which there are no teaching obligations the faculty member is expected to complete the normal obligations of service and professional growth.

A retired faculty member may be appointed to teach as a Senior Professor (part-time faculty status) under the usual arrangements for senior professors, which require both departmental need and mutual approval by the individual, the department chair and the Vice President for Academic Affairs. The pay will be no less than the current arrangement which is that a senior professor is paid per course at the rate of 10% of what would have been the base salary in the year of teaching had the person continued as a full-time faculty member. The selection and scheduling of the courses are to be completed in the usual way of consultation with and ultimate decision by the chair of the department. (See [Article I.A.1.\(a\)](#) in the Personnel Policies for other details regarding the faculty status of Senior Professors.)

A retired faculty member receives the benefits of emeriti professors as stated in the Academic Handbook, such as, on-campus Internet connection, email account, attendance privileges at faculty meetings including the right to vote in semesters in which the person is teaching, library use and borrowing privileges and access to and use of the recreational facilities.

After retirement a faculty member will be assigned an office according to the current University policies for emeriti faculty members. In the years of service as a Senior Professor (teaching) the retiree will be assigned a single office. After retirement the retiree may retain use of the current University-supplied computer or a designated replacement provided by the University. For at least three years after a retiree ceases teaching, if the retiree plans to remain professionally active and to work regularly on campus, and on request, the retiree will be assigned office space, which may be shared, including a desk, computer with Internet connection, and phone. Toward the end of the second year of this three-year period the Vice President for Academic Affairs will review the retiree’s recent use of the office and the level of professional activity and the retiree’s projected future needs to determine whether the arrangement should be renewed. The University will endeavor to minimize the number of office moves that are required of a retiree but cannot assure that the office assignment after retirement will be the same from year to year.

Other employee benefit changes resulting from retirement:

- Retired employees are no longer eligible for such employee benefits as employee contributions to a flexible spending benefit plan or long-term disability insurance.
- After the retirement date, DePauw-funded life insurance coverage will be \$3,500.
- Retired employees are no longer eligible to receive employer contributions into the tax deferred annuity 403(b) plan, or the VEBA account for active employees.
- A retired employee may not make personal contributions to a 403(b) account through the University’s programs except when the retiree is working part-time for the University.

Benefits for those who meet the Rule of 80:

Employees who satisfy the rule of 80 (age at least 55, years of service in continuous benefit-eligible employment at least 15, and the total of age and years of service at least 80; both age and years of service are counted in full years completed) will be eligible for the following benefits:

- Tuition benefit: For qualified dependent children even after your retirement.
- Group Health benefits:

For an employee who retires before his or her 65th birthday, after retirement and until the month before the retiree turns 65, the retiree will be eligible to purchase health insurance through DePauw at the pre-65 retiree rate;

Beginning in the month in which the retiree turns 65 Medicare becomes the retiree's primary health coverage and the retiree may purchase secondary medical coverage through DePauw at the post-65 retiree rates until June 30, 2030 plus one full year for each year or fraction thereof the retiree retires before his or her 65th birthday; and

The retiree is vested (able to use) the funds invested by DePauw in the medical expense investment account (VEBA) for qualifying medical expenses.

*NOTE: The retiree will be responsible for the balance of all medical costs including the full premium for secondary coverage after the expiration of eligibility for the post-65 retiree rates, though the retiree may choose to reserve the funds of the medical expense investment account (VEBA) to draw upon tax free to address these expenses.*

VEBA Account:

DePauw makes monthly tax-free contributions to a Voluntary Employee Benefit Association (VEBA) investment account designated for the future benefit of each active, benefit-eligible employee hired prior to January 1, 2013. If the employee satisfies the rule of 80 before retiring, upon retirement the retiree and eligible dependents may use these funds and tax-free earnings for qualified medical expenses (QMEs), as recognized by the IRS, including most insurance premiums, deductibles, co-pays, etc. The active employee and subsequently, the retiree, may select any of the funds provided by the financial custodian as investment options. An employee may make after-tax contributions to the VEBA investment account for the benefit of the employee and eligible dependents to be used for QMEs (qualified medical expenses recognized by the IRS, including most insurance premiums, deductibles, co-pays, etc.). Insurance premiums due from the retiree are deducted from this fund prior to deductions being made from other accounts (retiree-designated checking or savings accounts). Unused funds in a DePauw VEBA account (due to unqualified retirement or early departure of an employee from employment at DePauw, death of the retiree and eligible dependents or dependents meeting the age of majority) revert to DePauw.

Clarifications

Faculty members wishing clarifications of any aspect of this policy are welcome to consult the Vice President for Academic Affairs.

## **XXIX. Student Leave of Absence Procedure**

A student in good academic and social standing may be granted a Leave of Absence for up to two semesters. (Good standing includes the status at the end of the semester prior to the leave.) The student must have definite plans to return to DePauw within one year. A leave can be granted for many non-medical reasons, such as study or research purposes, personal/family issues. The benefit of the Leave of Absence policy is primarily for registration, financial aid and housing purposes. In addition, the student will continue to have access to e-mail and Student e-Services (advising transcript and Searchable Schedule of Classes). The Registrar and Dean of Students give final approval for each leave. Note: Although students may be off two semesters, the grace period for student loan repayment begins after one semester's absence.

## Requesting a Leave of Absence

The student completes an exit interview with the appropriate office before the semester in which s/he would like to take a leave of absence. Students who have loans must also complete a loan exit interview, and these students with loans who plan to enroll in another school must have the other school complete an in-school deferment form. If the student plans to study at another U.S. college during his/her leave, the student follows the standard transfer credit approval process (credit approval form) in order for credit to transfer back to DePauw. All off campus study approval processes must be followed for credit to transfer from programs that the Committee on Experiential Learning would normally be responsible for approving.

## Processing a Leave of Absence

After consulting with the Dean of Students, the registrar's office notifies campus offices of the Leave of Absence by placing the student's name on the withdrawal list. The withdrawal list will provide 'Leave of Absence' and the length of leave. Information Services (soon to be the registrar's office) changes the student to a special status (such as 'V') after grades are produced. [The 'V' status indicates the student plans to return to DePauw within one or two semesters.] This status is significant for housing, registration and financial aid (loans, scholarships, etc.) purposes. The student's name is placed on the readmit list for the semester s/he plans to return as a pending readmit (meaning the name is placed on the list for tracking purposes but notification is not sent to campus offices until the student verifies s/he is returning).

## Returning from a Leave of Absence

It is the student's responsibility to notify the registrar's office of his/her intent to return.

1. The student completes the Leave of Absence Return form at least one month prior to the term of intended return. It is to the student's advantage to complete the process prior to registration for that term however; as the form must be received before the student may register or arrange for University housing. The form is available on the Web and in the registrar's office.
2. The Registrar in consultation with the Dean of Students processes the form and notifies the student that s/he is approved to return. The student must have met all financial obligations to the University before returning. The student is held to the same behavioral standards as current students while on a leave of absence.
3. If the student studied elsewhere, an official transcript and the Dean of Students Recommendation (form available in the registrar's office) are required prior to taking formal action.
4. The registrar's office notifies the student and campus offices of the returning student. Information services/registrar's office changes the student's status to 'L'.

The student contacts:

- o his/her advisor for the RAC number for registration
- o the University Housing Office or the president of his/her fraternity/sorority for housing arrangements
- o The financial aid and loan offices, if appropriate\*
- o The Cash Receipts Office. Any unpaid balance due on the student's account must be resolved before his/her return to DePauw University.

If the student decides not to return to DePauw, s/he needs to notify the registrar's office (765.658.4141). If nothing is heard from the student by the beginning of the semester of intended return, the student's status will be changed to a regular withdrawal.

\* Students must refile the FAFSA as normally required. A maximum of 180 days (one semester) in one 12-month period is allowed for Title IV loans before the grace period begins.

(Approved May 2, 2003)

### XXX. Student Records Policy -- Access to Records and Release of Information

DePauw complies fully with the Family Educational Rights and Privacy Act (FERPA). Students have the following rights regarding their educational records:

1. The right to inspect and review the records within 45 days of the day the University receives a request for access. The request should be in writing to the registrar, dean or other appropriate official and should identify the record(s) they wish to see. The official will arrange for access and notify the student of the time and place where the records may be inspected. The official will advise the student of the appropriate person to whom the request should be addressed if the records are maintained by another office.
2. The right to request the amendment of the student's records that the student believes are inaccurate or misleading. To do this, the student should write the University official responsible for the record, clearly identify the part of the record he or she wants changed and specify why it is inaccurate or misleading. If the University official decides not to amend the record as requested by the student, the official will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided at that time.
3. The right to release personally identifiable information contained in the student's education records, except to the extent that FERPA authorizes disclosure without consent. One exception that permits disclosure without consent is disclosure to school officials with legitimate educational interests. A school official is a person employed by the University in an administrative, supervisory, academic, research or support staff position (including law enforcement unit personnel and health staff); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Upon request, the University discloses education records without consent to officials of another school in which a student seeks or intends to enroll.
4. The right to withhold directory information—items generally considered to be public information. The following items may be made available at the institution's discretion and without student authorization unless students notify the registrar's office by August 1 of each year that they wish this information be withheld. Directory information includes:
  - name, address (local and home) and telephone numbers
  - e-mail user name
  - school in which enrolled
  - student classification
  - dates of enrollment
  - date and place of birth
  - major field of study
  - past and present participation in officially recognized activities and sports
  - photographs and videos for University and other publications
  - physical factors (weight and height of athletes)
  - previous educational institutions attended
  - degrees conferred and dates as well as awards received
  - eligibility (not grades) for institutionally recognized organizations and honoraries, including sororities and fraternities
5. The right to file a complaint with the U.S. Department of Education concerning alleged failures by the University to comply with the requirement of FERPA. The name and address of the office is: Family Policy Compliance Office, U.S. Department of Education, 600 Independence Avenue, SW, Washington, D.C. 20202-4605.

Because of the nature of the student body, DePauw assumes all unmarried students age 22 and under are dependent. Students who are financially independent and wish to control their parents' or guardian's access to educational records should report to the Office of the Registrar.

Contact: Registrar's Office, Extension 4141

(University policy established 1975; updated periodically)

## **Holds on Student Records**

Appropriate University offices and fraternity and sorority living units may place holds for financial reasons on transcripts or official statements of student records, registration and/or diplomas after:

- giving the student written notice of the amount due and the consequences of the hold (i.e., no transcripts or early registration), and
- allowing 10 working days to pay or make satisfactory arrangements for payment.

A hold is placed on transcripts or official statements if a student loan is past due, delinquent or in a default status. Holds may be placed on seniors for any amount due; other students may have holds placed on them for debts of \$25 or more or for the following reasons:

- Unpaid University bills, including tuition, fees, room and board, miscellaneous charges and fraternity and sorority room and board bills. If students owe a debt from a previous semester, they may be prevented from enrolling at DePauw the following semester.
- Failure to have an exit interview in the Student Loan Office whenever students cease enrollment at the University. This would include transferring or withdrawing from the University, reducing the course load to less than one and one-half course credits, or graduation.
- Failure to contact the Financial Aid Office to discuss possible repayment obligations of current year awards whenever students cease eligible enrollment at the University for those awards. This includes withdrawing from the University or reducing the course load to less than three course credits.
- Failure to declare a major by the end of the sophomore year.

## **XXXI. Whistleblower Policy: Protection for Those Reporting Fraudulent, Dishonest, or Unlawful Behavior**

DePauw University requires its trustees, officers, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. The University's internal controls and operating procedures are intended to deter and prohibit activity that is contrary to University policy, or is in violation of federal, state or local laws and regulations. This policy is intended to protect any student or employee who engages in good faith disclosure of an alleged action or omission, reasonably believed to be a violation of laws, regulations, or the University's policies or procedures, by a University official or employee. Violations may include, but are not limited to:

- A violation of a federal, state, or local law;
- Fraud or financial irregularities;
- Violation of any University policy;
- Fraudulent financial reporting;
- Forgery or alteration of any documents;
- Unauthorized alteration or manipulation of computer files;
- The use of University, property, resources or authority for personal gain or for non-University-related purpose except as authorized or provided under University policy;
- Authorizing or receiving compensation for services not received or services not performed;
- Requesting reimbursement for expenses not incurred;
- Authorizing or receiving compensation for hours not worked;
- Activities endangering the health and safety of others.

This policy prohibits retaliation in any form against an employee or student who in good faith reasonably believes and reports such alleged violations to the University's attention. However, any employee or student who knowingly makes false accusations of misconduct shall be subject to disciplinary action. This policy also prohibits retaliation in any form against an employee or student who participates in or otherwise assists with an administrative proceeding, judicial proceeding, or investigation under this policy by the University, the Audit and Risk Management Committee of the Board of Trustees, or government agencies. Any employee or student who takes any actions whatsoever in retaliation against an employee or student of the University who has in good faith and with reasonable belief of a violation raised

any question or concern or made a report under this policy shall be subject to discipline, up to and including termination of employment. Any employee or student who encourages others to retaliate also violates this policy and will be subject to such disciplinary action.

The University will investigate any reported violation of laws, regulations, policies, or procedures by a University official or employee. Anyone found to have engaged in such violations is subject to disciplinary action, up to and including termination of employment, subject to applicable University procedures. All members of the University community are expected and encouraged to report possible violations through appropriate University procedures published elsewhere or by contacting the Vice President supervising the university official or employee whose conduct is in question; however, anyone concerned about possible retaliation may use the special reporting mechanisms of this policy (“whistleblower reporting”). Regardless of how the report of possible violations is filed, any concern about apparent retaliation for reporting a possible violation should be reported through the procedures outlined in this policy.

## **REPORTING AND INVESTIGATION**

This section applies both to whistleblower reporting and to reporting retaliation against whistleblowers.

Reports of suspected violations can be made confidentially and/or anonymously. The University will investigate such reports, but the promise of confidentiality cannot be assured, depending on the nature of the violation and the course of the investigation. Efforts within legal limits will be made to protect the confidentiality of the source. To the extent possible, any report or complaint should be factual and contain as much specific information as possible setting forth all of the information about which the employee or student has knowledge. In conducting the investigation, the University may retain outside legal or accounting expertise.

**Staff members** should direct their reports under this policy to the Director of Human Resources. If the Director of Human Resources is not available, or if the staff member is uncomfortable reporting the suspected violation to the Director of Human Resources, he or she may direct the report to the Vice President for Academic Affairs.

**Faculty members** should direct their reports under this policy to the Vice President for Academic Affairs. If the Vice President for Academic Affairs is not available, or if the faculty member is uncomfortable reporting the suspected violation to the Vice President for Academic Affairs, he or she may direct the report to the Director of Human Resources.

**Students** should direct their reports under this policy to the Dean of Students. If the Dean of Students is not available, or if the student is uncomfortable reporting the suspected violation to the Dean of Students, he or she may direct the report to the Vice President for Academic Affairs.

**Supervisors and Department Chairs** who receive reports of suspected violations under this policy should not investigate those reports but should forward them to the Director of Human Resources or Vice President for Academic Affairs, as indicated above.

The **Dean of Students, Director of Human Resources** and **Vice President for Academic Affairs** who receive reports of suspected violations under this policy should immediately forward them to the President who shall designate a coordinator to investigate the suspected violations. The procedures for investigation and for decisions regarding actions to take in light of the findings will follow other relevant university policies and procedures if the suspected violation is covered by another policy; otherwise appropriate procedures will be selected by the Coordinator after consultation with the President.

The **Coordinator** of the investigation of the suspected violations will report findings to the President who will share findings of violations and actions taken with the Chair of the Board of Trustees and the Chair of the Audit and Risk Management Committee.

***Exceptions:** If the investigation is of the President, the Dean of Students, Director of Human Resources or Vice President for Academic Affairs who receives the report should forward the report to the Chair of the Board of Trustees who shall designate a coordinator whose consultation on procedures will be with the Chair of the Board of Trustees, and the decision on action will be made by the Chair of the Board of Trustees. If the investigation is of a*

*trustee, it will be handled by the Chair of the Board of Trustees with advice of the Chair of the Audit and Risk Management Committee.*

On an annual basis, the **University** will provide the Audit and Risk Management Committee a summary of all reports under this policy.

## XXXII. **Extended Studies (Winter Term and May Term)**

(Effective February 2014)

In approving the launch of Extended Studies and specific changes to the Winter Term and May Term, the Vice President for Academic Affairs and Academic Deans expressed a desire to staff Winter Term and May Term through voluntary participation by faculty members. At the same time, discussions with the faculty emphasized that should voluntary participation fail to yield a sufficient number of faculty members and courses to staff Winter Term and May Term course schedules, the University would return to some sort of required faculty participation. **The following passage, entitled “Winter Term Responsibilities for Faculty Members,” is therefore temporarily suspended** during a trial period, beginning with Winter Term in January 2015, during which the Extended Studies program and changes to Winter Term and May Term will be evaluated.

### **Winter Term Responsibilities for Faculty Members**

(effective with Winter Term 2001; updated July 2009; **suspended February 2014**)

The following has been instituted for full-time faculty members to fulfill their Winter Term obligation.

Study Projects will be selected based on educational merit from among those for which there are completed applications, which require fully developed proposals for an intentional educational, instructional and learning activity. The number and size of the Study Projects each year will be limited by the Committee on Experiential Learning in consultation with the Office of Academic Affairs with regard to the availability of financial aid and trip subsidies, the number of meritorious proposals, and the likely enrollment pressure. Selection of Study Projects will be based on academic and educational merit of the proposed programs, diversity of locations for the projects, and other criteria developed by and announced by the Committee on Experiential Learning in keeping with the faculty-approved guidelines for the Winter Term program. (Recall that the Committee on Experiential Learning, in addition to having responsibility for oversight, staffing, and selection of courses and projects each year, is charged reviewing the program each year, providing a report to the Curricular Policy and Planning Committee each year, and recommending to the Curricular Policy and Planning Committee any policy changes.) For equally meritorious proposals, preference will be given to faculty members having Winter Term Obligations and to project proposals, which diversify the locations of projects offered that year and in recent years. Preference among equally meritorious proposals will be given to faculty members who have not previously led Study Projects. Applicants are encouraged to make proposals with a co-leader or to recruit an accompanying faculty member.

Leaders of Winter Term in Service Trips will be selected by the Committee on Experiential Learning from among those who apply based on their interest and qualifications. When faculty applicants are deemed roughly equally qualified, preference will be given to those who are obligated to fulfill winter term duties that year.

Faculty members with Winter Term obligations not selected to participate in Study Projects or Winter Term in Service Trips will be invited to make proposals to teach on-campus courses or to supervise interns. Other faculty members may also apply to teach on-campus courses or to supervise interns. Applications to teach courses must include fully developed proposals with syllabi and clear arguments for educational merit. Selection of courses and the assignment of intern supervision responsibilities will be determined by the Committee on Experiential Learning. Preference for the teaching of equally meritorious courses will be given to those with Winter Term obligations and to those who have not previously taught on-campus courses. It is possible that those without Winter Term obligations will not be selected to do either courses or internship supervision.

Note: In the following section, the term “off” as applied to Winter Term duties means that the faculty member is not required to participate in Winter Term instructional activities. The faculty member remains a full-time employee and Winter Term is considered a period during which work is expected, however, it is a time during which the faculty

member is free to exercise discretion as to how that work is divided among teaching, scholarly and artistic, and service activities.

1. Those who organize (or co-organize) and teach and lead study projects and Winter Term in Service Trips will earn the right to be "off" for the next two Winter Term periods.
2. Those who accompany study projects or Winter Term in Service Trips for faculty development reasons but without organizing or primary instructional responsibilities will earn the right to be "off" for the next Winter Term period. Application for "faculty development funding" and rights to accompany a trip will be reviewed and approved by the Vice President for Academic Affairs on a case-by-case basis.
3. Those who organize and teach on-campus courses during Winter Term will earn the right to be "off" for the next two Winter Term periods.
4. Those who supervise interns during Winter Term will earn the right to be "off" for the next Winter Term period.
5. Those who administratively organize study projects or on-campus courses for which the primary instruction is provided by others will earn the right to be "off" for the next Winter Term period.
6. A faculty member taking a pre-tenure leave or a sabbatical leave receives one year of Winter Term credit; however, a faculty member holding the Fisher Fellowship maintains his or her obligation. A faculty member who wishes to arrange for any other leave from teaching should discuss with the Vice President for Academic Affairs his or her Winter Term obligations.
7. New full-time faculty members will have their first Winter Term obligation in their second year of service. No first-year faculty members will have Winter Term instructional duties, but instead first-year faculty members will be required to participate in several days of faculty development workshops during their first Winter Term. Faculty members on one-year term appointments will not have Winter Term duties.
8. Those who fulfill Winter Term obligations more frequently than required may, with approval of the Vice President for Academic Affairs, correspondingly delay the date of their next Winter Term obligation, or for each additional year of Winter Term service they may defer the service, scholarly or course development work they would have done during Winter term and specified associated salary to the next full-year sabbatical. The amount of supplemental salary during the full-year sabbatical associated with the deferred work will be 10% of base salary for each extra course taught, project organized or Winter Term in Service Trip led. For those who accompany projects or trips and for those who supervise interns, the supplemental salary during the full-year sabbatical associated with the deferred work will be 7% of base salary for each extra Winter Term duty fulfilled. The total supplemental sabbatical salary associate with the deferred work added to a full-year sabbatical may not bring the total base salary for that year to more than 100%. Once any such deferred work and pay benefits are claimed for a given full-year sabbatical all other accumulated possibilities of deferred work and associated pay are nullified and, the earning for the following sabbatical begins with extra Winter Term Service following the sabbatical.
9. Those who defer their Winter Term obligations either on approved requests or because staffing is not required as planned will accumulate a deficit in the number of years "off" which will be deducted from the number of years "off" earned by the next fulfillment of Winter Term duties.

## Sample Schedules

### Term Appointment

SAMPLE 1						
Year:	1	2	3	4	5	6
Duty:	off	on course or trip/project leader	off	off	on	off

SAMPLE 2						
Year:	1	2	3	4	5	6
Duty:	off	on interns	off	on interns	off	on

SAMPLE 3						

Year:	1	2	3	4	5	6
Duty:	off	on interns	off	on course or trip/project leader	off	off

**Tenure-track appointment**

<b>SAMPLE 1</b>											
Year:	1	2	3	4	5	6	7	8	9	10	11
Duty:	off	on course or trip/project leader	off	lv	off	on course or trip/project leader	off	lv	off	on	off

<b>SAMPLE 2</b>											
Year:	1	2	3	4	5	6	7	8	9	10	11
Duty:	off	on interns	off	lv	on course or trip/project leader	off	off	lv	on	off	Depends on project in year 9

(effective with Winter Term 2001; updated May 2013; suspended August 2014)