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Faculty Manual

10/30/02

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SECTION

ONE

MISSION OF THE COLLEGE AND STATEMENTS ON DIVERSITY AND ACADEMIC FREEDOM

SECTION ONE

MISSION OF THE COLLEGE AND STATEMENTS ON DIVERSITY AND ACADEMIC FREEDOM

MISSION STATEMENT

The mission of Otterbein College is to educate the whole person in a context that fosters the development of humane values. Otterbein College is a private, church-related, four-year coeducational college that sponsors traditional and continuing education programs at liberal arts and professional education at Baccalaureate and Master's levels. Our commitment is to the liberal arts as the broad base of all learning.

STATEMENT ON DIVERSITY

Otterbein College does not discriminate on the basis of race, sex, religion, ancestry, ethnicity, age, sexual orientation, political affiliation, disabling condition, veteran status or marital status in considering students for admission or employees for hiring, salary, retention and promotion. Otterbein College through its Affirmative Action Policy (Appendix A) is strongly committed to hire minorities and women and has procedures and a monitoring process to insure equality of employment.

Otterbein College is committed to develop diversity in the student body, the faculty, the staff, the administrators, and the trustees. This commitment has recently been affirmed in four important documents: Otterbein's Mission Statement, the Report from the Commission on Diversity (1991), the Affirmative Action Policy of Otterbein College (1998), Vision 2005: Otterbein's Strategic Plan (1999).

It is expected that Otterbein students will be taught different cultural perspectives, develop understanding of different ethnic groups, and make positive intergroup interactions a part of their personal development.

POLICY STATEMENT

The Otterbein faculty adopted on May 5, 1965 the 1940 Statement of Principles on Academic Freedom and Tenure (Appendix B) which was prepared jointly by the Association of American Colleges and the AAUP. Many of the procedures in this Faculty Manual are designed, in the Otterbein context, to implement the general terms and intent of the 1940 statement.

RIGHTS AND RESPONSIBILITIES OF ACADEMIC FREEDOM

- A. Faculty members are entitled to full freedom in research and in the publication of results, subject to the adequate performance of other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- B. Faculty members are entitled to freedom in the classroom in discussing the subject, but should be careful not to introduce into the classroom teaching controversial matter which has no relation to the subject.
- C. Faculty members are citizens, members of a learned profession, and officers of an educational institution. When faculty members speak or write as a citizen, they should be free from institutional censorship or discipline, but this special position in the community poses special obligations. As persons of learning and educational officers, faculty members should remember that the public may judge the profession and the institution by their utterances. Hence, faculty members should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that when opinions are ventured, they are not given as an institutional statement.

SECTION

TWO

FACULTY PERSONNEL POLICIES AND PROCEDURES

SECTION TWO

FACULTY PERSONNEL POLICIES AND PROCEDURES

1. FULL-TIME AND PART-TIME FACULTY APPOINTMENTS

A. APPOINTMENTS

1. Selection Process for Full-Time Appointments

Departments initiate the appointment process for full-time faculty positions by submitting a position request, whether a new line or a replacement, to the Personnel Committee. The Personnel Committee consults with a subcommittee of the Curriculum Committee and recommends through the Vice President for Academic Affairs new and replacement positions to the President for approval.

Following the President's approval, departments will advertise the position in appropriate publications, determined in consultation with the Vice President for Academic Affairs, who will monitor all searches. The College encourages applications from minorities and women.

It is the department Chair's responsibility to gather complete dossiers for the leading candidates that include resumes, certification of degrees, adequate supporting letters of reference, and any other items of significance. Telephone inquiries about candidates should be noted in writing and included in the dossier.

The Department should review the dossiers of applicants, select the several whose qualifications most closely match those of the "ideal" candidate, rank them in order of preference, and submit them to the Vice President for Academic Affairs.

The Chair and the Vice President for Academic Affairs will invite several candidates, normally three, from the group selected by the department to visit the campus.

In the interview stage, all candidates are to be treated in as equal a manner as is possible. Candidates should meet with members of the department, students, the Personnel Committee, the Director of Human Resources, the Vice President for Academic Affairs, and the President. It is recommended that predetermined questions be asked of all candidates, that the same interviewers be present in each case, and the allotted time for presentation and other conditions be as nearly identical as possible for all candidates. Interviewers should not ask about the candidate's family responsibilities, national origin, or other topics that could lead to a claim of discrimination.

Following the interviews, written evaluations on each candidate should be prepared by persons involved in the interviews and forwarded to the Vice

President for Academic Affairs, who after consultation with the chair, will make a recommendation to the President. With the approval of the President, the Vice President for Academic Affairs will contact the selected candidate to review the conditions of hire (rank, salary, etc.). The terms and conditions of every appointment will be stated in writing, be in the possession of both the institution and the candidate, and be accepted by both before the appointment takes place.

2. Selection Process for Part-Time Appointments

Part-time faculty will be selected by department Chairs in consultation with the Associate Dean for Academic Affairs and, when appropriate, with the Continuing Studies program. Chairs will maintain a list of potential part-time faculty and will recruit qualified applicants as needed.

3. Other Employment

a. Employment of Members of the Same Family.

More than one member of an immediate family (father, mother, son, daughter, husband, wife) may be hired to work at the College if no supervisory relationship exists between the two family members.

b. Employment Outside of the College and Outside Activities.

Unless otherwise specified, members of the faculty are full-time employees of the College. The status of a professional permits them to establish their own hours within reasonable bounds and to meet their professional commitments in the manner that they deem most appropriate. For faculty members this means that the number of office hours is not specified nor the number of hours to be spent on campus since it is expected that faculty members will spend sufficient time on campus to meet all teaching, advising, research, committee, and department commitments.

Outside activities or employment affect the ability of faculty members to devote full-time to their college duties. Those outside activities which relate closely to the faculty member's area of competence can serve as a laboratory experience and further professional capability. Certain types of work or activities also constitute community service and are to be encouraged in that regard.

Faculty members who may become heavily involved in contractually arranged outside activities while under full-time contract to the College are expected to consult with the Department Chair and the Vice President for Academic Affairs prior to involvement. The faculty member should submit a letter for approval by the Vice President for Academic Affairs outlining the nature of the work to be accomplished and the estimated degree of interference with college duties if the involvement is to be over an extended period of time. All part-time faculty

teaching agreements with institutions other than Otterbein are included in this category.

B. TYPES OF APPOINTMENTS

Members of the faculty are initially appointed for a period of one year by the Board of Trustees upon recommendation by the President of the College. The President makes the recommendation for initial annual appointments only after consultation with the Vice President for Academic Affairs, the Personnel Committee, and the chair of the department(s) concerned. All faculty appointments must be approved by the Board of Trustees.

Annual appointments are from September 1 to June 15. (Summer contracts are separate and do not include fringe benefits.)

The faculty consists of individuals in tenured, tenure-track, renewable term, visiting and part-time positions. Academic teaching staff appointments are full-time administrative positions, which may include teaching responsibilities.

1. Tenured faculty are those who will be offered successive annual contracts by the College in recognition of continued good service and future potential.
2. Tenure-track faculty are those who will be evaluated for a maximum of six years while being considered for a tenured position. Faculty on tenure-track appointments may not move from a tenure-track appointment to a renewable term appointment.
3. Renewable term faculty are those appointments made by annual contract for an initial evaluation period of three years. The subsequent evaluation period will be for an expected period of four years, and any thereafter, for an expected period of five years. Under no circumstances does a renewable term contract convey the expectation to, or possession of, a tenure-track or tenured appointment.
4. Visiting faculty appointments are those made by annual contract for an initial period of one year. Any subsequent renewal will be for a period of one year. Under no circumstances does a visiting or one-year appointment contract convey the expectation of renewal or of a tenure-track or tenured appointment. Visiting faculty are not eligible for sabbaticals.
5. Part-time faculty appointments will be made either for one academic quarter or, at the discretion of the Vice President for Academic Affairs, for one academic year. Under no circumstances does a part-time faculty appointment convey the expectation of renewal or of a tenure-track or tenured appointment. Part-time faculty are not eligible for sabbaticals.

6. Academic teaching staff appointments are full-time administrative positions, which may include teaching as well as other duties, made by annual contract. Academic teaching staff appointments are approved by the President, upon the recommendation of the Vice President for Academic Affairs and the academic department. Under no circumstances does an academic teaching staff appointment convey the expectation to, or possession of, a tenure-track or tenured appointment. Academic teaching staff are not eligible for sabbaticals.

C. RANKS

1. Professor: Earned doctoral degree or equivalent terminal degree; extensive, documented experience as a successful teacher; and leadership in teaching excellence, professional development, scholarship, and service.
2. Associate Professor: Earned doctoral degree or equivalent terminal degree; documented experience as a successful teacher; and demonstrated success in professional development, scholarship, and service.
3. Assistant Professor: Earned doctoral degree or equivalent terminal degree, and the capacity for successful teaching, professional development, scholarship, and service.
4. Instructor: A master's degree. Persons appointed at the Instructor level automatically will be promoted to the rank of Assistant Professor upon the successful completion of the doctoral degree or equivalent terminal degree within the timeframe specified by the College at the time of hire. "Successful" completion will be interpreted as successful defense by the date negotiated at the time of hire and receipt by the College of an official transcript reflecting the degree.
5. Senior Lecturer: After teaching a minimum of sixty quarter hours at Otterbein, lecturers may be eligible for the rank of senior lecturer, based on the quality of their instruction. The Associate Dean for Academic Affairs will confer this rank, in consultation with the department chair. Senior lecturers are eligible to participate in all academic ceremonies.
6. Lecturer: Part-time faculty are appointed as lecturers to teach and perform other duties. Candidates are selected for appointment based on their academic background and teaching experience by department chairs in consultation with the Associate Dean for Academic Affairs and, when appropriate, with the Continuing Studies program.

7. Adjunct: The term, "adjunct," preceding the rank is used for special, no salary appointments to the faculty of individuals who are not in the employ of Otterbein College, but who are associated with and contributing in a substantive way to the College's programs of instruction. It is the expectation that these appointees have evidenced potential for active participation in some aspect of the College's mission.

While it is recognized that Adjunct Faculty make a worthwhile contribution to the College's programs, their number should not be disproportionate to the number of faculty holding regular appointments. Further, there will be an investment of faculty/staff time and effort in the required annual review and appointment of Adjunct Faculty.

These interim, no salary appointments are for twelve months, July 1 through June 30, in any given year. Each appointee is reviewed annually by the Department Personnel Evaluation Committee and by the department Chair. Time spent in special appointments does not accrue toward tenure, and such appointments can be terminated at the end of any contract year.

It is anticipated that participation in the role of adjunct faculty will be a source of both stimulation and satisfaction to the appointee. The appointees are welcome to attend meetings of the department's faculty and to serve on faculty committees, participating in discussion but without vote.

The criteria that are applied in recommending appointment or promotion of Adjunct Faculty are the same as those for faculty holding full-time appointments (see Section 2, "Ranks" and Section 2, "Promotion"). Nominations originate with regular department faculty when they identify a qualified candidate who is both willing and able to commit appropriate time and effort to a delineated aspect of the College's programs of instruction. Nominations are reviewed by members of the Department Personnel Evaluation Committee and by the department chair on the basis of a comprehensive assessment of each candidate's qualifications, together with detailed evidence to support the nomination. Notifications of appointment from among the nominees are sent to the Vice President for Academic Affairs.

The relevant criteria for evaluation will be agreed upon at the time of the initial hire and will be consistent with the College's performance criteria in the areas of teaching, professional development and scholarship, and service.

The criteria for conferring faculty rank at Professor, Associate Professor, Assistant Professor and Instructor are applicable to adjunct faculty.

8. Librarians. Librarians are recognized as valuable academic colleagues who share in achieving the educational mission of Otterbein College. Librarians will be considered similar to administrators who hold faculty rank and teach on occasions. Librarians are eligible to participate in all academic ceremonies. The policies and procedures guiding their employment are outlined in Appendix C.

D. CREDIT FOR PRIOR EMPLOYMENT

Faculty who are currently employed by Otterbein and who are electing to move from renewable term to tenure-track appointments may claim up to four years of credit toward tenure for their previous, full-time faculty employment at Otterbein.

A Ph.D. or equivalent terminal degree is required for all renewable term faculty who wish to be considered for a tenure-track position.

Newly appointed faculty at Otterbein may claim up to two years of credit toward promotion and/or tenure for previous full-time faculty service at accredited institutions.

In all cases, credit toward promotion and/or tenure must be negotiated at the time of appointment to tenure-track. Faculty should confer with their department chair on the amount of credit claimed prior to discussion with the Vice President for Academic Affairs. A written statement documenting the amount of credit granted toward promotion and/or tenure will be placed in the faculty member's personnel file to determine the promotion and/or tenure timeline.

2. **FACULTY PERFORMANCE CRITERIA, PROCEDURES, AND RESPONSIBILITIES**

A. Performance Criteria

All full-time faculty are expected to meet Otterbein's performance criteria for teaching, advising, professional development, scholarship, and service.

All part-time faculty are expected to meet the performance criterion for teaching.

1. TEACHING

Effective teaching is the primary criterion for decisions on tenure, promotion and renewal at Otterbein. All faculty must be judged to be effective teachers, in the classroom and with individual students. Effectiveness in teaching should involve challenging and motivating students as well as encouraging a sense of curiosity and enthusiasm for learning. Effectiveness may also include the development and sharing of new pedagogies, including the integration of technology into the learning environment.

Effectiveness will be assessed through various means, including student course evaluation forms approved by the College, and through analysis and interpretation of these evaluations by the department, the Personnel Committee, and the Vice President for Academic Affairs. As part of each faculty member's annual performance evaluation, department chairs are also required to observe and evaluate the classroom teaching of all full-time department members. Additional forms of teaching evaluation may include interviews with departmental majors, letters from students and advisees with whom the faculty member has worked closely, evaluations from recent alumni, and letters from peers who have reviewed materials and observed the faculty member's teaching performance.

All full-time faculty who are in the probationary period prior to consideration for Tenure must have all courses evaluated annually, using the official "Student Course Evaluation Form" approved by the College.

Tenured and Renewable Term faculty must evaluate a minimum of two courses annually, using the official "Student Course Evaluation Form" approved by the College.

Part-time faculty must evaluate all their courses during their first two quarters at Otterbein College using the official "Student Course Evaluation Form" approved by the College. After their first two quarters, part-time faculty must evaluate at least one course per academic year using the official "Student Course Evaluation Form" approved by the College.

All student course evaluation forms must be returned to the Academic Affairs Office no later than the Monday of exam week. Student course evaluations are not to be administered during the exam week.

2. ADVISING

All full-time faculty at Otterbein College serve as academic advisers. Otterbein recognizes the importance of academic advising in promoting student satisfaction and retention. Therefore, the role of adviser is a major one for faculty members. Faculty members are assigned advisees by the Academic Affairs Office. Advising loads vary from department to department, but an attempt is made to equalize loads whenever possible. Students are free to change advisers through the Academic Affairs Office. Normally, all full-time faculty at Otterbein College begin academic advising in their second year of employment.

Effective advising assumes knowledge of Otterbein's curriculum and academic policies. Advisers are expected to provide students with assistance in developing short-term and long-term academic schedules, career guidance or direction in pursuing advanced studies, and, where appropriate, referral counseling information.

3. PROFESSIONAL DEVELOPMENT AND SCHOLARSHIP

Otterbein College is committed both to "the liberal arts as the broad base of all learning" and to professional education, supporting students in the development of "informed, well-disciplined, intellectual abilities" and "humane values" to promote life-long learning and service within the community (Statement of Institutional Mission and Philosophy). We believe that effective teaching is critical to our success in achieving this mission, and that professional development and scholarship both inform and complement effective teaching.

By "professional development," we mean all of those things that routinely assist faculty in performing their jobs more effectively, e.g. attending conferences, attending national, regional, or local meetings of professional organizations, attending faculty development workshops, or reading materials aimed at developing/renewing teaching, scholarship, advising or service.

"Scholarship" is an outcome of professional development. Because of the breadth of our mission, we recognize that scholarship may take many forms across our campus and within different departments. Scholarship may advocate knowledge through original research, it may include the integration or synthesis of knowledge from several disciplines, it may entail the creative application of knowledge to social or professional problems, or it may transform knowledge through teaching. The importance placed upon a specific scholarly activity may also vary from case to case. However, the following seven characteristics seem to typify most scholarly efforts:

1. The scholarship complements the mission of the department and the institution.
2. The scholarship requires a high level of discipline-related or interdisciplinary expertise.
3. The scholarship breaks new ground, is innovative.
4. The scholarship can be replicated or elaborated.
5. The scholarship can be documented.
6. The scholarship can be peer-reviewed.
7. The scholarship has significance or impact.

All faculty preparing portfolios for tenure, interim-tenure, promotion, or renewal review must provide written documentation of both "professional development" and "scholarship." In documenting the quality, scope, and direction of their "scholarship," faculty should address all of the characteristics above; the order of presentation may vary, but normally will begin with the statement of relationship to the mission (#1). While "peers" (#6) may include those on the Otterbein campus, for decisions affecting tenure or promotion to Professor, external review beyond Otterbein is also required.

As part of the review process, departments must also provide a "Departmental Statement on Scholarship" that assists the faculty member, the Personnel Committee, the Vice President for Academic Affairs, and the President in understanding the departmental mission and priorities as they relate to individual scholarly efforts. Individual efforts must support both the departmental and institutional statements on scholarship.

4. SERVICE

All faculty at Otterbein must evidence a commitment to the mission of the College and the basic goals of liberal education. At the department level, this commitment may be expressed by contributing the academic and/or administrative skills that assist the department in fulfilling its mission, e.g. providing active leadership as department chair or on departmental committees, attaining grants, providing professional workshops for peers, or demonstrating leadership in successful accreditation or program review. At the college-wide level, service may include a demonstrated willingness to explore areas of learning beyond one's discipline, active participation in campus committees and programs, and advising co-curricular organizations. Beyond the College, service may

include activities that positively connect Otterbein and its mission to alumni, schools, organizations, and communities locally, nationally, or internationally.

5. INSTITUTIONAL NEEDS

In addition to these performance criteria, the following "Institutional Needs" also govern appointments and reappointments to the faculty:

- a. Balance within and among academic departments.
- b. Total number of faculty in a department relative to the number of majors, service contributions to other departments, credit hour production, part-time/overload usage, and total College enrollment.
- c. Ability to work in a variety of departmental programs as well as to work with other departments when and if such needs develop.

B. PROCEDURES FOR EVALUATION

1. Annual Performance Evaluation.

Each full-time faculty member will undergo an annual evaluation of performance. The goal of the annual evaluation is primarily formative, although the evaluation provides assistance in determining salaries for the next academic year. The review of a faculty member for tenure, interim-tenure, post-tenure, renewal, or promotion will take the place of the Annual Performance Evaluation for that year. Annual Performance Evaluations are based on the calendar year (January-December).

Annual faculty evaluations must use data secured from the faculty member, the Chair's annual classroom observations, other peer observations, and a minimum of two course evaluations, using the official "Student Course Evaluation Form," Appendix C. (Note: All full-time faculty who are in the probationary period prior to consideration for tenure must evaluate all courses, using the official "Student Course Evaluation Form" approved by the College.)

The faculty member and the department Chair will discuss the evaluative data and agree upon professional goals for the following year and the formative steps that will be taken to achieve them. The faculty member may respond in writing to the Chair's evaluation. Both the written evaluation and the written response will be forwarded to the Vice President for Academic Affairs. Following the Vice President for Academic Affairs discussion with the Chair about the faculty member's annual evaluation, a salary recommendation will be forwarded to the President and the Board of Trustees for final approval. The faculty member and Chair will receive written notice of the final decision.

2. Evaluation for Tenure, Interim-tenure, Renewal and Promotion.

Faculty members to be considered for tenure, interim-tenure, renewal, and promotion will be notified of their eligibility in the beginning of the Winter Quarter of the preceding year by the Vice President for Academic Affairs. The faculty member will prepare a tenure, interim-tenure, promotion, or renewal portfolio to be reviewed by the Department Personnel Evaluation Committee, herein referred to as the "DPEC," and the Personnel Committee.

The Academic Affairs Office will distribute annually a schedule containing relevant dates and deadlines, and a handout, "Contents of Tenure, Interim-Tenure, Promotion and Renewable Term Appointment Portfolios," (Appendix D), which describes the contents and order of items that are to be included in the portfolio.

Each department will appoint a DPEC, composed of a minimum of three members, including the department chair. The majority of the DPEC must hold tenure in the College and all tenured department faculty must be on the committee. The DPEC must include at least one person at or above the rank and faculty contractual (tenure-track or renewable term appointment) status for which their colleague is being reviewed. If the department does not include faculty who can meet these basic requirements for the composition of the DPEC, after consultation among the candidate, department chair, and the Vice President for Academic Affairs, faculty from collateral departments will be asked to serve. The term "collateral departments" is interpreted as departments that have a disciplinary relationship. Once the proposed composition of the DPEC has been determined by the department, the chair will notify the Vice President for Academic Affairs in writing. The Vice President for Academic Affairs will check to ensure that the proposed DPEC meets the criteria specified above and provide final approval to the department. The DPEC may solicit written comments about the candidate from all department members. The Academic Affairs Office will distribute annually a handout, "Procedures for Departmental Personnel Evaluation Committees - DPECS," which contains a detailed list of DPEC responsibilities and procedures.

Following its review of the portfolio, the DPEC will prepare a detailed, written evaluation, which addresses all of the relevant criteria, and includes a recommendation, which must be signed by all members of the DPEC (See Section 2, "Tenure," "Interim-Tenure," "Renewal," and "Promotion.") The written evaluation is to be included in the portfolio.

The Personnel Committee, following its review of the faculty member's portfolio, will make a recommendation regarding tenure, promotion, or renewal to the President and the Board of Trustees. Final notice will be provided by letter to the faculty member and Chair.

For interim-tenure reviews, the Personnel Committee will forward the evaluation to the candidate, the Vice President for Academic Affairs, and the department Chair.

C. FACULTY EMPLOYMENT RESPONSIBILITIES AND WORKLOAD

1. Teaching Load.

The normal academic year teaching load for full-time faculty at Otterbein College is seven, five-credit hour courses for a total of 35 credit hours. Recognizing that some courses require contact with students in excess of a one-to-one credit hour to contact hour ratio, the Vice President for Academic Affairs negotiates with departments acceptance of a certain number of contact hours as equivalent to quarter hours.

2. Course Syllabus.

Faculty members are expected to provide a course syllabus to each student enrolled in the course. Copies of all syllabi must be forwarded to the Academic Affairs Office and kept on file in the department.

The syllabus should include:

- a. Attendance policy
- b. Method for determining course grade.
- c. Deadlines for submitting work.
- d. Office hours.
- e. Approximate schedule of assignments and tests.
- f. Course objectives.
- g. College's policy on Academic Integrity (see Campus Life Handbook).
- h. Policy for student participation in co-curricular activities.

2. Scheduling Final Exams.

A final examination period will be scheduled at the close of each quarter in the academic calendar. Such a period will be no less than three and no more than seven days in length. The final examination period for all night and weekend classes will be designated by the Registrar in the examination schedule.

There must be some evaluation during the scheduled final examination period for each class. Generally, that evaluation will take the form of an examination, which may or may not be comprehensive. Other forms of evaluation equivalent to final examinations are acceptable and welcome. In all cases, except under unusual circumstances, faculty are responsible for administering their own final exams.

Neither final examinations nor their equivalent, or segments thereof, are to be given during the last week of the course prior to the examination period without the approval of the Vice President for Academic Affairs.

Faculty wishing to alter the scheduled exam time for the class set by the Registrar must formally petition the Academic Council with the reasons justifying the requested change. Under ordinary circumstances, the petition must be submitted no later than the Friday of the seventh week of the quarter.

At the start of the quarter, each professor should indicate to students the date and time of the final examination. If an alternative to a final examination is appropriate, the requirements for that activity must be given. The relative weight the final examination/evaluation will have in the course ought to be clearly stated in the syllabus.

Following final examinations or their equivalent, faculty and students are encouraged to review and discuss all final examinations or their equivalents as an educational benefit to students.

3. Office Hours.

Office hours are an integral part of the teaching process. Therefore, faculty members should set office hours available for the majority of their students. Office hours may be offered at different times during the week. Additional hours should also be available by appointment so all students have access to faculty members. Office hours should be listed in the syllabus as well as posted on office doors so students are aware of the availability of individual faculty members. The number of office hours offered to students should be representative of the number of courses taught each quarter.

4. Academic Advising.

See Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities."

5. Campus Involvement.

- a. It is expected that faculty want to be involved with committees, campus and cultural events, orientations, Parents' Day, recruiting, advising student organizations, and facilitating the broader educational process of our students through participation, ideas, and role models.
- b. The focal point of an Otterbein College education is upon the special relationships that develop between faculty members and students in and outside the classroom. It is expected that faculty will want to continue to express that special educational relationship by participating in the academic ceremonies, such as convocations, commencements, and other events, that are part of each college year.

6. Travel to Professional Meetings.

A fund has been established in the Academic Affairs Office to provide financial support for faculty travel to professional meetings. The amount of money normally provided will allow for only partial support of the costs for any given trip. However, if faculty members are presenting a paper, chairing a conference session, serving on a panel, or serving as an officer of the organization, they are eligible to receive the maximum amount awarded. If the faculty members are not officially a part of the conference program, they are eligible to receive the minimum amount awarded.

To be eligible to receive travel funds, the faculty member must submit a Faculty Travel Request form, in triplicate, to the Vice President for Academic Affairs at least ten days prior to the anticipated travel. These forms are available in the department or in the Vice President for Academic Affairs Office.

Upon completion of the trip, the faculty member must submit a Report of Expenditures form, with attached receipts, to the Vice President for Academic Affairs. The reimbursement check will normally be available in the Business Office or sent directly to the faculty member's home within two weeks of the date of submission of the reimbursement form to the Vice President for Academic Affairs.

3. **TENURE**

A. INTRODUCTION AND DEFINITION

Tenure is defined as the right of the faculty member to be offered successive contracts for the renewal of employment by the President of the College until retirement. This right is subject to the conditions listed in Section 2, "Termination of Service."

The decision to grant tenure or not to grant tenure will be made by the President with the approval of the Board of Trustees. The President will base the decision on the recommendation of the Personnel Committee and the Vice President for Academic Affairs. When applicable the Personnel Appeals Hearing Committee will also make a recommendation to the President.

B. ELIGIBILITY

Consideration of tenure may occur no later than the sixth year in a tenure-track faculty position. Consideration for promotion to Associate Professor normally will coincide with the tenure review.

C. CRITERIA

Performance criteria for tenure review are listed in Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities."

D. PROCEDURES

1. An interim-tenure review is required of all tenure-track faculty at Otterbein College. See Section 2, "Interim-Tenure Review."
2. All faculty preparing for tenure are required to submit a professional portfolio to their Department Personnel Evaluation Committee (DPEC) and to the Personnel Committee. The portfolio should address the performance criteria outlined in Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities" and in the format outlined in the document "Contents of Tenure, Interim-Tenure, Promotion, and Renewable Term Appointment Portfolios" (Appendix D) provided annually to candidates by the Academic Affairs Office. The tenure portfolio submitted by the applicant will be available to the Personnel Committee and the President.
3. Faculty, their DPEC, and the Personnel Committee will follow the calendar for tenure reviews provided annually by the Academic Affairs Office. Once the faculty member has prepared the tenure portfolio, it will be reviewed by the DPEC, which will then make a written recommendation to the Personnel Committee. The Personnel Committee will review the portfolio and the DPEC's recommendation and make a final recommendation to the President that the faculty member either be 1) granted tenure, and if appropriate, promotion to Associate Professor; or 2) given notice of nonrenewal. At any time prior to submitting their recommendations, the DPEC or the Personnel Committee may request additional information regarding the candidate's performance. All such requests must be shared with the faculty member at the time of the request.

A more detailed set of procedures for DPECs will be provided annually by the Academic Affairs Office.

E. RESPONSIBILITIES AND RIGHTS

1. Faculty members having the rights and privileges of tenure shall have the continuing professional responsibility to meet the performance criteria specified by the institution for all faculty. See Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities."

2. Teaching faculty members may be offered and may accept an assignment to administrative duties and position without interruption or impairing their tenure status, but tenure shall apply only to rank and service while a full-time faculty member. The administrative assignment, however, is subject to change at any time by action of the President.
3. Tenured faculty members in good standing shall normally receive annual contracts until they retire or resign. Additionally, other conditions may impact contract renewal. See Section 2, "Termination of Contract."

F. APPEAL OF TENURE DENIAL

The same timetable and procedures used for appeal (see Section 2, "Appeals Procedures and General Provisions") will be followed for all tenure appeals, except that the report and recommendation of the Personnel Appeals Hearing Committee will be forwarded to the President and are not returned to the Personnel Committee. A faculty member can appeal further to the Board of Trustees in accordance with the provisions of Article XVI of the By-Laws, Appendix E.

4. **INTERIM-TENURE REVIEW**

A. INTRODUCTION AND DEFINITION

An interim-tenure review is required of all tenure-track faculty at Otterbein College. The interim-tenure review by the Department Personnel Evaluation Committee (DPEC) and the Personnel Committee is intended to provide the faculty member with an early assessment of his or her prospects for tenure at the end of the six-year (including credit) probationary period. During the review, the candidate will be assessed using the tenure (Section 2, "Tenure") and performance criteria (Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities"). Strengths, weaknesses, and areas for improvement will be identified. Under no circumstances shall successful completion of the interim-tenure review be regarded as an assurance of tenure.

B. ELIGIBILITY

Normally, the interim-tenure review may not take place (1) before the second year at Otterbein or (2) after the fourth year at Otterbein. If more than one year of credit for previous experience is given, the interim-tenure review should normally occur at least 12 months prior to the expected tenure review.

C. CRITERIA

Performance criteria for interim-tenure review are outlined in Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities."

D. PROCEDURES

1. The interim-tenure review will be similar in thoroughness to a tenure review. The same kinds of data will be collected as for a tenure review (see Section 2, "Tenure"). All faculty preparing for the interim-tenure review are required to submit a professional portfolio to their DPEC and to the Personnel Committee. The portfolio should follow the format outlined in the document, "Contents of Tenure, Interim-Tenure, Promotion, and Renewable Term Appointment Portfolios" (see Appendix D) provided annually to candidates by the Academic Affairs Office.
2. Faculty, their DPEC, and the Personnel Committee will follow the calendar for interim-tenure review provided annually by the Academic Affairs Office. Once the faculty member has prepared the interim-tenure portfolio, it will be reviewed by the DPEC, who will then make a written recommendation to the Personnel Committee. The Personnel Committee will then review the DPEC recommendation and the interim-tenure portfolio and conduct an interview with the faculty member.
3. In making their recommendations, the DPEC and the Personnel Committee will use one of the following summary statements:

"In light of our evaluation, we regard your overall performance to date to be:

satisfactory in all areas.

satisfactory, but with qualifications in some areas.

mixed, with satisfactory performance in some areas but with improvement required in other areas.

unsatisfactory, and recommend that a terminal contract be issued.

4. In the event of an unsatisfactory evaluation, the Personnel Committee Chair will report the Committee's concerns and reasons for these concerns to the candidate and invite the faculty member for a second interview if the person wishes. This interview will normally take place within 14 calendar days (excluding holidays) of the Committee Chair's conversation with the faculty member and will focus upon the concerns.

5. When the Personnel Committee decides it has sufficient information for a final evaluation to be made, in a final voting session, the Personnel Committee will select one of the summary statements listed above, record the reasons, and forward the evaluation to the candidate, the Vice President for Academic Affairs, and the department Chair.

5. POST-TENURE REVIEW

A. INTRODUCTION AND DEFINITION

All tenured faculty are required to participate in post-tenure review at five year intervals, with the first review five years after the granting of tenure. The goal of the post-tenure review is to provide an opportunity for reflection and planning for personal and professional development. While the review process is primarily developmental, participation, as outlined below, is mandatory and is considered an expectation of employment. In addition, faculty members having the rights and privileges of tenure shall have the continuing professional responsibility to meet the performance criteria specified by the College for all full-time faculty (see Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities").

B. PROCEDURES

Notification of faculty will take place prior to the beginning of the year in which the review occurs.

In consultation with the department chairperson, the faculty member will develop the following:

A written statement of self-assessment, which identifies perceived strengths and areas for improvement in Teaching, Advising, Professional Development/ Scholarship, and Service (see Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities");

A development plan, including a proposed timeline for completion; and

An explanation of how the development plan is consistent with the department's mission and five-year plan.

These materials should be submitted to the Vice President for Academic Affairs by the beginning of the Winter Quarter.

The faculty member and chair should meet with the Vice President for Academic Affairs by the end of Winter Quarter. The purpose of this meeting will be to discuss the self-appraisal, the development plan, and support that will be provided by the department and College in pursuit of the faculty member's development plan. The Vice President may approve the plan or suggest revisions to it.

The final plan must be approved by the Vice President for Academic Affairs by the end of the Spring Quarter.

A copy of the approved final plan will be provided to the faculty member and the department chair, and will be placed in the faculty member's personnel file.

A review of progress using the current plan will take place as part of the chair's annual performance evaluation of the faculty member. In the year of the post-tenure review, the post-tenure review process will replace the annual evaluation procedure (see Section 2, "Procedures for Evaluation").

6. RENEWAL

A. INTRODUCTION AND DEFINITION

The decision to renew the contract of a faculty member holding a renewable term appointment will be made by the President with the approval of the Board of Trustees. The President will base the decision on the recommendations of the Personnel Committee and the Vice President for Academic Affairs. When applicable the Personnel Appeals Hearing Committee will also make a recommendation to the President. The renewal portfolio submitted by the applicant will be available to the Personnel Committee and the President.

Renewable term faculty appointments are those appointments made by annual contract for an initial expected period of three years.

B. ELIGIBILITY

The subsequent renewal will be for an expected period of four years, and any thereafter for an expected period of five years. Under no circumstances does a renewable term contract convey the expectation to, or possession of, a tenure-track or tenured appointment.

C. CRITERIA

Faculty contract renewals are governed by the performance criteria listed in Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities." Please note that Institutional Needs (Section 2, "Institutional Needs") must be a special consideration for renewable term faculty.

D. PROCEDURES

1. All faculty preparing for renewal are required to submit a professional portfolio to their Department Personnel Evaluation Committee (DPEC) and to the Personnel Committee. The portfolio should address the

performance criteria outlined in Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities" of the Faculty Manual and in the format outlined in the document "Contents of Tenure, Interim-Tenure, Promotion, and Renewable Term Appointment Portfolios" (see Appendix D) provided annually to candidates by the Academic Affairs Office. The renewal portfolio submitted by the applicant will be available to the Personnel Committee and the President.

2. Faculty, their DPEC, and the Personnel Committee will follow the calendar for renewals provided annually by the Academic Affairs Office. Once the faculty member has prepared the renewal portfolio, it will be reviewed by the DPEC, who will then make a written recommendation to the Personnel Committee. The Personnel Committee will review the portfolio and the DPEC's recommendation and make a final recommendation to the President that the faculty member either be renewed or not renewed. At any time prior to submitting their recommendation, the DPEC or the Personnel Committee may request additional information regarding the candidate's performance. All such requests must be shared with the faculty member at the time of the request.

A more detailed set of procedures for DPECs will be provided annually by the Academic Affairs Office.

7. **PROMOTION**

A. INTRODUCTION AND DEFINITION

The decision to promote or not to promote will be made by the President with the approval of the Board of Trustees. The President will base the decision on the recommendations of the Personnel Committee and the Vice President for Academic Affairs. When applicable, the Personnel Appeals Hearing Committee will also make a recommendation to the President.

B. ELIGIBILITY AND CRITERIA

The following criteria, in addition to the Performance Criteria (see Section 2, "Performance Criteria"), will determine eligibility for promotion, unless credit for prior service has been negotiated at the time of hire:

To Professor: Earned doctoral degree or equivalent terminal degree; extensive, documented experience as a successful teacher; leadership in teaching excellence, professional development, scholarship, and service; and seven years as an Associate Professor. Application and review normally occur during the seventh year as an Associate Professor.

To Associate Professor: Earned doctoral degree or equivalent terminal degree; documented experience as a successful teacher; demonstrated success in

professional development, scholarship and service; and six years as an Assistant Professor. For newly appointed faculty, beginning in 1999, the review for promotion to Associate Professor normally will coincide with the tenure review. Consideration of tenure may occur no later than the sixth year in a tenure-track faculty position. Application and review for promotion to Associate Professor normally occur during the sixth year as an Assistant Professor.

To Assistant Professor: Earned doctoral degree or equivalent terminal degree, and the capacity for successful teaching, professional development, scholarship and service. Persons appointed at the rank of Instructor automatically will be promoted to the rank of Assistant Professor upon the successful completion of the doctoral degree or equivalent terminal degree within the timeframe specified by the College at the time of hire. "Successful" completion will be interpreted as successful defense by the date negotiated at the time of hire and receipt of an official transcript reflecting the degree.

C. PROCEDURES

1. Faculty members to be considered for promotion will be notified of their eligibility in the beginning of the Winter Quarter of the preceding year by the Vice President for Academic Affairs.
2. All faculty preparing for promotion are required to submit a professional portfolio to their Department Personnel Evaluation Committee (DPEC) and to the Personnel Committee. The portfolio should address the performance criteria outlined in Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities" of the Faculty Manual and in the format outlined in the document "Contents of Tenure, Interim-Tenure, Promotion, and Renewable Term Appointment Portfolios" (Appendix D) provided annually to candidates by the Academic Affairs Office. The promotion portfolio submitted by the applicant will be available to the Personnel Committee and the President.
3. Faculty, their DPEC, and the Personnel Committee will follow the calendar for promotion provided annually by the Academic Affairs Office. Once the faculty member has prepared the promotion portfolio, it will be reviewed by the DPEC, who will then make a written recommendation to the Personnel Committee. The Personnel Committee will review the portfolio and the DPEC's recommendation and make a final recommendation to the President that the faculty member either be promoted or not promoted. At any time prior to submitting their recommendation, the DPEC or the Personnel Committee may request additional information regarding the candidate's performance. All such requests must be shared with the faculty member at the time of the request.

A more detailed set of procedures for DPECs will be provided annually by the Academic Affairs Office.

8. TERMINATION OF SERVICE

A. BY RETIREMENT OR RESIGNATION

A faculty member who does not expect to return to teach at Otterbein College for the next academic year will be expected to submit a written notice of retirement or resignation, whichever is appropriate, to the Vice President for Academic Affairs. It will be assumed that anyone who has not returned a signed contract 30 calendar days after its issuance wishes to discontinue employment with the College at the end of the current academic year.

B. NON-REAPPOINTMENT

Prior to the awarding of tenure, the College has the right to renew or not renew a contract as long as failure to renew is neither based on discrimination nor violates academic freedom. Non-reappointment may be based on either the individual's qualifications or institutional needs. In the case of non-reappointment of non-tenured or renewable term faculty, the College is not required to provide decisions of judgment or qualifications or institutional needs. The College shall provide a written statement giving reasons for non-reappointment of non-tenured or renewable term faculty members after the faculty member has consulted with the Vice President for Academic Affairs and submitted a request in writing for such a statement.

Notice of non-reappointment of a faculty member will be given at least three months in advance of the termination of a contract during the first year of service; at least six months in advance of the termination of a contract during the second year of service; and at least twelve months in advance of the termination of an appointment after two or more years at the College.

If these standards of notice are not followed, or if the faculty member considers academic freedom to have been violated, the individual shall have the right of appeal. Appeals to the Personnel Appeals Hearing Committee may also allege prejudice, unlawful discrimination, or insufficient regard for fundamental standards of fairness inherent in due process. In the case of an appeal based on a presumed violation of academic freedom, or procedures of notice, the burden of proof is on the faculty member.

C. DISMISSAL

For Cause:

1. A tenured faculty member's services may be terminated only for adequate cause:
 - a. Incompetence, gross neglect, or harassment in the performance of duties.
 - b. Violation of the responsibilities associated with academic freedom as stated in Section 1.
 - c. Conviction of a felony. The circumstances, such as violation of law for reasons of conscience or social concern, will be reviewed.
2. A non-tenured or renewable term faculty member may not be dismissed in the middle of a contract except for cause as defined above, and in such cases the burden of proof rests with the administration.

For Program Reduction or Discontinuance:

Colleges sometimes need to reorder program priorities by eliminating a curricular requirement, a department of instruction, or a program, or by making staff reductions in any of these areas. Such decisions generally are prompted by a serious enrollment decline or a need to substantially reallocate resources. In the case of these retrenchments, program reduction or discontinuance may justify the termination of tenured or tenure-track faculty.

This section does not apply to instances of nonreappointment, dismissal for cause, resignations, or retirement.

1. If a decision is made to reduce or discontinue a curricular requirement, program, or department of instruction, this decision will normally be based upon educational considerations, which may involve financial matters such as sustained enrollment declines, program costs, or decline in majors; reordering of institutional priorities and mission; results of program reviews; or the requirements for accreditation.
2. The President will make the initial determination of the need for reduction or discontinuance and will collect the data to support the assessment. This assessment will be reviewed by a committee composed of the Vice President for Academic Affairs, elected faculty representatives from the Personnel and Curriculum Committees, and the department chair, who may identify

alternatives to the proposal. All cases involving reduction or discontinuance of programs (e.g., majors, concentrations/tracks, minors or academic non-degree programs) will also require approval by the Curriculum Committee and College Senate. In all cases, the final decision regarding program reduction or discontinuance rests with the President and the Board of Trustees.

3. In the event the Board of Trustees approves program reduction or discontinuance, the Program Reduction or Discontinuance Policy will go into effect. Under this policy, faculty reduction will proceed according to the following sequence of considerations:
 - a. Preference will be given to natural attrition (retirement or resignation).
 - b. Any tenured faculty member affected by program reduction or discontinuance will be given the opportunity to transfer to another college department or program, if, in the judgment of the Vice President for Academic Affairs, he or she is currently qualified and there is an established need for faculty in that department or program.
 - c. In the event the tenured faculty member is not currently qualified to transfer, reasonable opportunity will be given to retrain the faculty member at the College's expense in a program in which there is an established need for faculty. The final decision on all aspects of training or reasonable relocation is with the discretion of the President. The training period will normally not exceed one year.
 - d. In the event that further reductions affecting tenured or tenure-track faculty are necessary, the committee defined above, in consultation with the department, will recommend reductions to the President and the Board of Trustees. In all cases, the academic needs of the institution will serve as the foundation for all other considerations. The appointment of a faculty member with tenure will not be discontinued in favor of a faculty member without tenure except in extraordinary circumstances where a serious distortion of the academic program would result. Recommendations will be made by the committee based on the following criteria: academic qualifications (relevant degree and curricular contributions); performance reviews; length of time in service and rank; experience in and knowledge of courses to be covered after reduction; research and scholarly activity/productivity. In formulating their recommendations, the

committee should be cognizant of the institution's commitment to diversity.

4. Notice

- a. Tenured or tenure-track faculty members who are dismissed because of program reduction or discontinuance shall receive notification one year in advance of the action.
- b. Tenured faculty members who are dismissed because of program reduction or discontinuance and who cannot reasonably be retrained or relocated within the institution may be awarded severance pay at the discretion of the President.
- c. If an appointment is terminated because of program reduction or discontinuance, the place of the faculty member will not be filled by a replacement within a period of three years unless the released faculty member has been offered reappointment and a specified time within which to accept or decline the offer or unless, after reasonable efforts, the released faculty member cannot be located.
- d. Any full-time faculty member affected by program reduction or discontinuance decisions shall have the right of appeal as specified in Article XVI. Personnel Appeals Hearing Committee, Otterbein College Bylaws, Edition of June 2000, and the Faculty Manual

9. **APPEALS PROCEDURES AND GENERAL PROVISIONS**

A. GROUND FOR REQUEST FOR RECONSIDERATION BEFORE THE PERSONNEL COMMITTEE

The grounds for reconsideration include:

1. Violation of notification procedures.
2. Improper dismissal of a non-tenured or renewable term faculty member.
3. Improper dismissal or nonrenewal of a tenured faculty member.
4. Violation of academic freedom.

B. FILING A REQUEST FOR RECONSIDERATION

Those faculty members who have a right to request reconsideration of termination of service as outlined in Section 2, "Termination of Service" must utilize the following procedures of appeal:

1. The faculty member will notify the Personnel Committee in writing that there is new information to be introduced which pertains to the original decision. Based on the request and description of the general information, a hearing will be scheduled for an informal meeting with no transcript recorded.
2. The Committee Secretary will record the recommendations of the Personnel Committee and communicate them to the faculty member, the chair of the respective department, and the President of the College.

C. APPEALING TO THE PERSONNEL APPEALS HEARING COMMITTEE

The faculty member who disagrees with the final recommendation of the Personnel Committee may appeal the recommendation to the Personnel Appeals Hearing Committee.

The Personnel Appeals Hearing Committee is composed of five tenured faculty members, nominated in accordance with the provisions of Article IV, Section 5, and Article VI of the Otterbein College Bylaws, Edition of June, 2000, (see Appendix E) but these provisions shall include the requirement of initial nomination by petition supported by two faculty members. None of the members may be a Trustee, a Department Chair, an administrative officer, or a member of the Personnel Committee or its Subcommittee on Sabbatical Leaves. (Article XVI of the Otterbein College Bylaws, Edition of June, 2000)

The Personnel Appeals Hearing Committee shall hear grievances related to academic freedom, or adverse decisions related to retention, tenure, promotion, or leaves when it is alleged by the aggrieved person making the appeal that decisions resulted from prejudice, forms of discrimination prohibited by State or Federal Law, or insufficient regard for fundamental standards of fairness inherent in due process. (Article XVI of the Otterbein College Bylaws, Edition of June, 2000)

Appeals by non-tenured faculty, contesting non-reappointment, may not be based on disagreement with judgment of qualifications or institutional needs. The aggrieved party meeting the qualifying standards stated above shall be given the right to appear before the Personnel Appeals Hearing Committee. The Committee will make its report and recommendation to the Board of Trustees through the President. (Article XVI of the Otterbein College Bylaws, Edition of June, 2000)

1. The request must be in writing and specify all grounds for appeal as stated above. (Article XVI of the Otterbein College Bylaws, Edition of June, 2000).
2. In the case of termination, the faculty member shall receive a statement of reasons for termination prepared jointly by the President of the College and the Personnel Committee and be given the right to appear before the Personnel Appeals Hearing Committee. Other types of cases shall be handled similarly, with the party making the adverse decision supplying a written statement of reasons.
3. The faculty member making the appeal will be notified in writing of the date, time and place of the Personnel Appeals Hearing.
4. The faculty member will submit a written request to appear before the Personnel Appeals Hearing Committee and answer in writing the reasons given by the President and the Personnel Committee for the termination of service, or to answer the reasons supplied by adverse parties in other types of actions.

D. PROCEDURES FOR HEARING AN APPEAL

The Personnel Appeals Hearing Committee will proceed by considering the statement of reasons for adverse action and the faculty member's response.

1. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter set forth in the statement of reasons for adverse action shall be considered. If the faculty member has not requested to appear before the Personnel Appeals Hearing Committee, the Committee shall consider the case on the basis of obtainable information and reach a decision.
2. The Personnel Appeals Hearing Committee shall determine the order of proof, shall conduct the questioning of witnesses, and, if necessary, secure the presentation of evidence important to the case.
3. The hearings of the Personnel Appeals Hearing Committee will be private, but the faculty member shall have the option of assistance by a designated faculty or administrative representative.
4. The Personnel Appeals Hearing Committee shall aid, when needed, in securing the attendance of witnesses. The faculty member or designated representative shall have the right to question all witnesses who testify orally. The faculty member shall have the opportunity to be confronted by or know the identity of all adverse witnesses. When necessary,

statements may be taken outside the hearing and presented to the Committee.

5. The hearings before the Personnel Appeals Hearing Committee will be recorded and retained. All parties may have access to this information.
6. The Personnel Appeals Hearing Committee will proceed to a decision within seven days. It shall make explicit findings with respect to each of the reasons for adverse action presented. The President and the faculty member shall be notified of the decision in writing and be given a copy of the record of the Committee findings including a numerical tally of the votes.
7. Any release to the public shall be made only through the President's Office.

NOTE: The makeup of the Personnel Appeals Hearing Committee is outlined in Article XVI, Personnel Appeals Hearing Committee, Otterbein College Bylaws, Edition of June, 2000. A member of the Personnel Appeals Hearing Committee who has been directly involved in action appealed to the Committee shall be disqualified as a member of the Personnel Appeals Hearing Committee.

E. APPEALS TO THE BOARD OF TRUSTEES IN CASES OTHER THAN THOSE DEALING WITH PROMOTIONS OR SABBATICAL LEAVES.

Appeals to the Board of Trustees in cases other than those dealing with promotions or leaves are governed by Article XVI, Personnel Appeals Hearing Committee, Otterbein College Bylaws, Edition of June, 2000.

The President of the College shall transmit to the Board of Trustees or its Executive Committee a full report of the Personnel Appeals Hearing Committee. If the Board chooses to review the case, its review shall be based on the record of the previous hearing, and, if necessary, further arguments by the principals or their representatives. If a decision to overrule the Personnel Appeals Hearing Committee is made, a special committee appointed by the Board or its Executive Committee must hear the entire case upon the request of the faculty member.

F. APPEALS TO THE BOARD OF TRUSTEES IN CASES RELATED TO PROMOTIONS OR SABBATICAL LEAVES.

Appeals to the Board of Trustees in cases related to promotions or leaves are governed by Article XVI, Personnel Appeals Hearing Committee, Otterbein College Bylaws, Edition of June, 2000.

Appeals procedures in cases of negative promotion decision or a denial of a sabbatical leave may be addressed to the Personnel Appeals Committee, except that after a decision

has been reached, the Appeals Committee shall submit the report to the President. The President may present the recommendation of the Personnel Appeals Hearing Committee to the Personnel Committee, or in the case of appeal relating to a sabbatical, to its Subcommittee on Sabbatical Leaves, with a recommendation for reconsideration. If the Personnel Committee, or its Subcommittee on Sabbatical Leaves, alters its previous finding in a way which removes the conflict with the faculty member, no further action is required. If the conflict is not resolved, then at the faculty member's request the President shall transmit to the Board of Trustees or its Executive Committee the full report of the Personnel Appeals Hearing Committee and a full report of the Personnel Committee or its Subcommittee on Sabbatical Leaves. If the Board chooses to review the case, its review shall be based on the record of the previous hearings and, if necessary, further arguments by the principals or their representatives.

10/29/02

SECTION

THREE

SABBATICALS AND LEAVES

SECTION THREE

SABBATICALS AND LEAVES

1. SABBATICALS

The sabbatical leave program is the primary expression of the College's commitment to faculty development. As such, faculty are encouraged to prepare proposals which enable them to initiate or continue study, research, or curricular revisions in their academic disciplines. The goals are to support the professional growth of the faculty and to enrich the curriculum of the College. The sabbatical leave period is for one quarter, and only one faculty member per department may be on sabbatical during a term unless there are more than seven faculty members in the department. No more than 24% of the full-time faculty (that is persons on tenure, tenure-track and renewable term appointments) will be on sabbatical leave during any academic year.

A. PROJECTS

Sabbatical projects must fall within at least one of the categories defined below.

1. Scholarly endeavors -
 - a. Publishable research.
 - b. Creative production or performance.
 - c. Significant participation on a research team.
 - d. Production of a document which is addressed to a lay audience and which expands the knowledge of the audience about the writer's discipline.
2. Continuing education -
 - a. Graduate work in a related discipline.
 - b. Study with a leader in the applicant's discipline.
 - c. Study which broadens or deepens the applicant's teaching area (including cross-disciplinary studies).
 - d. Study not covered in other categories but which is designed to enrich a faculty member in a way meaningful in a liberal arts environment. Such a project should not be proposed more than once in four consecutive leaves.
3. Projects directly related to the programs of the College -
 - a. Course development or improvement.
 - b. Curriculum revision.
 - c. Institutional research.

These projects must result in the production of new materials which will be used in one or more of the College programs.

B. ELIGIBILITY

1. All full-time teaching faculty members are eligible to participate in the sabbatical leave program. Eligibility begins with the 16th quarter of continuous service under annual contract or the first available quarter thereafter. (These quarters will not include Summer Session when it is a special contract.) After the first sabbatical leave, a faculty member is eligible for a sabbatical leave every 11th quarter. This defines the sabbatical rotation schedule for sabbatical leaves.
2. Faculty members who have been employed for 15 quarters and have had a break in service to the College for any reason, including an approved Leave-of-Absence, will be eligible for a sabbatical leave after completing six successive quarters of teaching without a break. The sabbatical leave must fit into the departmental rotation as above. However, if the break in service is due to an illness or disability as defined in Section Four, Fringe Benefits, of the Faculty Manual, service is considered to be uninterrupted and eligibility remains within the sabbatical rotation schedule.
3. A full-time Otterbein College faculty member with previous part-time faculty status at Otterbein College may count that experience toward eligibility for sabbatical leaves. Part-time faculty status that accumulates to one full-time equivalent year will be counted toward eligibility. Only one full-time equivalent year may be counted.
4. By mutual consent of the faculty member and the department chair, in consultation with the Vice President for Academic Affairs, a sabbatical leave may be taken in any quarter of the academic year in which the sabbatical is nominally scheduled. The 11-quarter count from the nominal quarter of one sabbatical to the nominal quarter of the next sabbatical will remain the same regardless of the quarter in which the sabbatical is actually taken. As is consistent with the current policy, sabbaticals must occur during the two-course quarter (approved by Faculty Council, October, 1995, and the Personnel Committee, January, 1996).

Faculty members or departments wishing to make changes in sabbatical scheduling should confer and discuss the proposed change with the Vice President for Academic Affairs prior to submitting a sabbatical leave proposal. Documentation of the revised schedule needs to accompany the sabbatical proposal submitted to the Sabbatical Leaves Subcommittee.
5. Faculty who will not return to Otterbein College for one full academic year following the completion of a sabbatical are not eligible for a leave.

C. APPLICATION PROCEDURES AND CALENDAR

1. Forms to be used for sabbatical leave applications will be provided annually to each eligible faculty member during the academic year preceding the November 1 due date. The Department chairs will be notified of those individuals eligible for sabbatical leaves.
2. If November 1 falls on a Saturday, the due date is the preceding Friday. If November 1 falls on a Sunday, the due date is the following Monday.
3. At an early Fall department meeting applicants for sabbatical leaves will discuss proposal options with department faculty members.
4. The Application must include:
 - a. a description of the proposed activity;
 - b. a statement of the goals to be met;
 - c. an abstract of the proposal (of approximately 50 words) to be shared with the Board of Trustees (the final approval body) and the general audience;
 - d. a statement describing the mechanism by which the success of the project may be judged;
 - e. an estimate of expenses involved; and
 - f. a description of funding to be sought from off-campus sources.
5. Proposals must be accompanied by a letter of evaluation from the chair of the department. Additional letters of recommendation may be solicited by the applicant and submitted to the committee. A proposal by a chair must be accompanied by a letter of evaluation from a full-time faculty member designated by mutual agreement of the chair and the Vice President for Academic Affairs. The evaluation should address a., b., c., and d. in E. Approval Process, 2. Substantive.
6. Sabbatical leave proposals must be received in the Office of Academic Affairs by November 1 of the school year preceding the academic year in which the leave is to be taken. See C. 2, if the November 1 due date falls on the weekend. Proposals received after that date will not be considered. Applicants who are unable to submit a completed proposal by the due date must submit an incomplete proposal on the required form by the due date.
7. Any applicant whose sabbatical leave proposal is not approved is eligible to apply at the applicant's next regular time in the sabbatical rotation schedule.

8. Any faculty member electing not to apply for a sabbatical leave is eligible to apply at the applicant's next regular time in the sabbatical rotation schedule.

D. SABBATICAL LEAVES SUBCOMMITTEE

The Sabbatical Leaves Subcommittee, a subcommittee of the Personnel Committee, will evaluate proposals. The Subcommittee will include one full-time faculty member elected by each Division to a four-year term. At each election, the Division shall also elect an alternate whose sabbatical quarters complement those of the elected member. The Division shall fill vacancies for unexpired terms. Alternates shall serve on the Subcommittee in place of elected members during those quarters when elected members have their sabbatical leave proposals considered, and when the elected member is on leave during the fall quarter. The Vice President for Academic Affairs shall be an ex officio member of the Subcommittee with voting rights only in the event of a tie vote. To be eligible for Subcommittee membership, an individual will have had to complete a successful sabbatical leave and either be a tenured member of the faculty or hold the terminal degree.

E. APPROVAL PROCESS

The Sabbatical Leaves Subcommittee will judge the suitability of sabbatical leave proposals according to the following criteria:

1. Procedural
 - a. Proposals must be submitted by the due date to be considered.
 - b. Reports of all previous sabbatical leaves taken at Otterbein College must be on file in the Office of Academic Affairs.
 - c. To receive consideration for a sabbatical leave, the report of the previous sabbatical leave must have been received in the Office of Academic Affairs no later than the end of the quarter following the one in which the leave was taken. If this report was not received by that deadline, eligibility for the next sabbatical leave will be postponed for eleven quarters. Should there be extraordinary circumstances which would not enable the individual to submit the report on time, an extension could be granted by the Personnel Committee. The individual would need to submit a written request to the Personnel Committee.
 - d. Documentation of the presentation of the results of the sabbatical leave proposal will be reviewed by the Sabbatical Leaves Subcommittee.

2. Substantive
 - a. Successful completion of the previous sabbatical project (if taken) will be a factor in judging the current proposal.
 - b. Projects proposed must be judged to be of such length that at least a 10-week period is needed for completion.
 - c. Projects must fall within at least one of the categories listed above in A. Projects.
 - d. The quality of the proposal as reflected in its depth and thoroughness will be a major factor in reviewing the proposals. Should the Subcommittee feel it lacks the expertise to evaluate a proposal, it may call in a consultant to assist in the review of the proposal.
3. On receipt of the proposal from the Office of Academic Affairs, the Sabbatical Leaves Subcommittee will review them to determine which proposals are acceptable as submitted and which require revision.
4. A letter will be sent to each applicant whose proposal needs to be revised stating the reason for the revision and a due date for submission of a revised proposal. Only one proposal revision is allowed. The revision must be in the Office of Academic Affairs within two weeks of notification requesting the revision.
5. On receipt of the revised proposals from the Office of Academic Affairs, the Sabbatical Leaves Subcommittee will review them to determine if they are acceptable as submitted.
6. The Sabbatical Leaves Subcommittee will recommend to the President through the Personnel Committee the granting of leaves to those faculty members whose proposals have met the criteria described above. All documents used by the Sabbatical Leaves Subcommittee in making its recommendations will be available to the President and the Personnel Committee.
7. After reviewing these recommendations, the President submits a report to the Board of Trustees for final action. Until the Trustees act, no sabbatical leave application is officially accepted or rejected.

F. APPEALS

An applicant whose proposal does not receive positive recommendation from the Sabbatical Leaves Subcommittee may appeal the decisions only on the basis of alleged violations of academic freedom, prejudice, unlawful discrimination, or insufficient regard for fundamental standards of fairness inherent in due process. The appeal process is described below:

1. A letter with supportive data must be sent to the Chair of the Personnel Appeals Hearing Committee (Article XVI of the Otterbein College Bylaws, Edition of June 2000) by the ninth week of the Winter quarter of the same academic year of the decision.
2. The Chair will notify the appellant of the hearing time and date if the Personnel Appeals Hearing Committee determines that the appeal merits consideration. The hearing must be held by the second week of the Spring quarter of the same academic year.
3. The decision of the Personnel Appeals Hearing Committee will be sent to the President and the appellant by the fourth week of that same Spring quarter in which the hearing occurred.
4. The President may refer the matter back to the Sabbatical Leaves Subcommittee through the Personnel Committee with a recommendation for reconsideration in light of the decision of the Personnel Appeals Hearing Committee, or he may confirm or modify the decision of the Personnel Appeals Hearing Committee.
5. If, after the steps taken in point 4, the dispute is not resolved to the satisfaction of the appellant faculty member, the appeal may be carried to the Board of Trustees under the provisions of Article XVI of the Otterbein College By-Laws of June, 2000. This procedure is stated in Section 2, # 9, F. "Appeals to the Board of Trustees in Cases Related to Promotions or Sabbatical Leaves."

G. APPROVED LEAVES

1. While faculty are on sabbatical leave, they shall not be gainfully employed by another organization except as approved by the President. When employment for pay is approved, income derived which exceeds expenses will be paid to the College.
2. Changes in sabbatical leave projects must be submitted to the Sabbatical Leaves Subcommittee for review and approval.
3. A sum of money will be available for stipends to assist the faculty member in completing the sabbatical project. Stipends may be awarded with the amount based upon the cost of the project and the funds available. Individuals are encouraged to seek grants to help defray the expenses of projects undertaken. Should the stipend assigned not be enough to implement the approved sabbatical project, an alternative proposal for a project should be submitted to the Sabbatical Leaves Subcommittee.

H. REPORTING PROCEDURES

1. A report of the sabbatical leave must be filed in the Office of Academic Affairs no later than the end of the quarter following the one in which the leave was taken. The report must include:
 - a. a description of the results and how the goals of the project were met;
 - b. what reporting mechanism is being used (see 2 below); and
 - c. a financial report showing how the stipend was used with receipts for appropriate expenditures attached.
2. The results of the leave project must be reported in one of the following ways:
 - a. a refereed publication, including books, book chapters and journal articles;
 - b. presentation of a paper before faculty peers or a professional society;
 - c. an exhibition or creative performance in the arts; or
 - d. other forms of presentation in a format appropriate to the project and acceptable to the Sabbatical Leaves Subcommittee.
3. All recipients of sabbatical leaves are encouraged to give a presentation to the campus community. This may be accomplished by presenting at a Faculty Round Table, Common Hour, or a department seminar open to the campus.
4. Copies of all sabbatical leave reports, including documentation of the results of the sabbatical leave project, will be placed on file in the Office of Academic Affairs. If requested, an abstract of each report submitted during the year will be presented to the Board of Trustees.

2. **LEAVES OF ABSENCE**

Full-time teaching faculty members are eligible to apply for Leaves of Absence (without pay) after completing three years of full-time service at Otterbein College. Normally such requests will be considered if the leave is to advance the professional development of the individual or to provide time to resolve unusual personal emergencies.

Application and Approval Procedures:

- A. The application for the leave of absence must be submitted to the Vice President for Academic Affairs one quarter prior to the intended leave. In emergency situations the deadline will be extended. A letter requesting a specific period of time for the leave will serve as the application. The letter must also include an explanation of the reason for the requested Leave of Absence.
- B. All proposed leaves will be submitted to the Personnel Committee. That group will submit its recommendation for approval or denial to the President for further consideration.

10/29/02

SECTION

FOUR

FRINGE BENEFITS

BENEFITS

Following is a summary of the various benefits provided by the College to members of the faculty. Any changes in any benefits provided must be approved by the Board of Trustees upon recommendation of the Personnel Committee in consultation with the Faculty Council. More details on these programs may be obtained from the Office of Human Resources.

I. LIFE INSURANCE. All full-time employees who have completed one year of full-time employment may participate in the life insurance program provided through the College. The total cost of this insurance is paid by the college but the coverage only becomes effective after the employee has submitted a completed application form indicating beneficiary(ies) to the Office of Human Resources. The amount of the insurance equals the annual regular earnings, not to exceed \$50,000, excluding overload or other special payments, and is determined to the nearest thousand dollars. Shortly after enrolling, each employee receives a certificate of coverage. An equal amount of accidental death and dismemberment coverage is provided and fully paid by the College.

II. MEDICAL INSURANCE. Otterbein College provides a health insurance plan which provides individual and family coverage options for eligible full-time faculty.

Application must be made with the Office of Human Resources within 31 days of date of employment. If enrollment is delayed beyond 31 calendar days from the day of eligibility for enrollment, the applicant may be required to provide evidence that the applicant or dependents are in good health, or the applicant may sign up for coverage at the next annual open enrollment period.

The College pays the total single premium cost for the employee. Coverage is available for qualified and eligible dependents at the employee's cost. Coverage begins on the first day of the month following the month of employment unless hired on the first of the month and then coverage is effective immediately.

Information about the medical plan is available from the Office of Human Resources.

Faculty who lose health and dental insurance coverage due to a qualifying event such as resignation, reduction in hours, etc., may be eligible to elect COBRA continuation coverage for health and dental benefits. Faculty who elect COBRA continuation coverage must pay the full cost of the premium (employee and College share) plus a 2% administrative fee. If changes in family status occur which cause a loss in coverage for a spouse or dependent child, faculty must

notify Human Resources within 60 days so that COBRA continuation coverage may be offered to any qualified beneficiaries. Failure to notify the Office of Human Resources within the 60 days will result in the loss of COBRA eligibility.

III. DENTAL INSURANCE. Dental insurance is available with generally the same eligibility and enrollment requirements as for medical insurance. The College pays the total single premium cost for full-time employees. Coverage is available for eligible dependents at the employee's cost. Further information is contained in the plan document which is available in the Office of Human Resources. Coverage begins on the first day of the month following the month of employment unless hired on the first of the month and then coverage is effective immediately.

IV. FLEXIBLE SPENDING PROGRAM. In accordance with the regulations established by the Internal Revenue Service, full-time faculty may enroll in up to three flexible spending accounts sponsored by the College during its annual open enrollment period. Full-time employees may participate in a Premium Conversion Account which allows employees to pay for health care and/or dental care premiums using pre-tax dollars. Full-time employees may also participate in a Health Care Reimbursement Account which allows employees to pay for health and dental care expenses not covered by the College's medical and dental plans using pre-tax dollars. The College also offers a Dependent Care Reimbursement Account to provide employees with the option of electing to pay for eligible dependent care expenses using pre-tax dollars. For more details about the Flexible Spending Program, contact the Office of Human Resources.

V. PARENTAL LEAVE. It is the responsibility of individual faculty to notify their immediate supervisor and the Office of Human Resources of an anticipated birth or adoption which will result in an interruption of his or her contractual obligations. Time needed for parental leave is to be arranged on mutually acceptable terms with the immediate supervisor in accordance with College leave policies. Married and unmarried female faculty may take up to twelve (12) weeks of parental leave for the birth of a child in accordance with the Family and Medical Leave Act (See Appendix F.) The FMLA treats pregnancy and child birth as a short-term medical condition. If the absence exceeds 30 calendar days, then the woman is considered to be on short-term disability and is eligible for short-term disability coverage which begins on the 31st day of the short-term disability. The female faculty member is assured of returning to the identical or similar faculty position within the College (if she returns within the 12 week period).

Married male faculty may take up to 12 weeks of paid/unpaid leave for the birth of a child in accordance with the Family and Medical Leave Act (See Appendix F.) The male faculty member on FMLA leave is assured of returning to the identical or similar faculty position with the College if they return within the 12

week period. Unmarried male faculty may request unpaid leave in accordance with the Sabbatical and Leave Section of the Faculty Manual (See Section Four).

Married male faculty may take up to 12 weeks of paid/unpaid parental leave for the adoption of a child in accordance with the Family and Medical Leave Act (See Appendix X). Married and unmarried female faculty may take up to 12 weeks of paid/unpaid parental leave for the adoption of a child in accordance with the Family and Medical Leave Act (See Appendix F). The female or male faculty member on FMLA leave is assured of returning to the identical or similar faculty position within the College if they return within the 12 week period. Unmarried male faculty may request an unpaid leave for the adoption of a child in accordance with the Sabbaticals and Leave Section of the Faculty Manual (See Section Four).

Paid leave is only provided if the faculty member is eligible for short-term disability payments, maternity leave payments, or if individual arrangements are made with the approval of the Vice President for Academic Affairs.

VI. ILLNESS/DISABILITY.

A. Illness Provision. By definition, a short-term disability is not recognized for 30 days. In order to span this period from the beginning of an incapacitating illness to the beginning of payment from the short-term disability insurance program, Otterbein has adopted the "illness provision" regulation.

If a disabling illness or injury occurs after the start of the full-time contract period, the College will pay the employee one full month's salary (1/12 of the contracted annual salary) for the first 30 calendar days following the onset of the illness or injury. If the effects of the illness or injury continue, the short-term disability insurance payments will begin and may continue up to five months. At the end of a total of six consecutive months, faculty may apply for long-term disability benefits. If the individual is declared able by the physician to assume full-time duties prior to receipt of short-term disability insurance payments, the President and the Academic Dean will, if necessary, assign appropriate work and will return the individual to the full salary pattern.

In computing disability periods, normal academic year college breaks should be counted the same as times classes are in session. If the injury or illness occurs during the summer period when faculty are not under contract, counting for disability purposes will begin on SEPTEMBER 1. Faculty disability during the academic year applies as stated above during the academic year. The faculty member may choose to resume the regular salary rate for the summer non-contract period after the first year of disability as prorated to the number of days of service provided by the individual. This is feasible since there are no duties

during the non-contract summer break. After the first year, if the disability continues, the person will continue to receive payments and will not have a regular contract to prorate to the next summer break.

Otterbein College will continue paying its normal share of all premiums for medical, dental, disability, life insurance, and the retirement contribution percentage which were in effect on the date of disability to continue for three calendar months following the date the disability commences. An employee with two-person and family health and dental coverage must continue paying his or her share of the premiums during this initial three month period if they wish coverage to continue. If the employee wishes to continue medical and dental insurance after three months has elapsed, the employee and college share of the premiums must be paid by the employee to the Office of Human Resources by the first day of each month to be covered for that month. The College will continue to make premium payments for disability and life insurance coverage for up to five months. The College will also continue to make contributions to the retirement plan at the percentage rate which was in effect on the first day of disability.

B. Short and Long-Term Disability Insurances. All full-time faculty who have completed one year of full-time employment may participate in the Long-Term Disability Insurance Program. The premium for this insurance is paid by Otterbein College. The employee must submit a completed application to the Office of Human Resources before the insurance can be put in effect. Employees who are injured off the job or who suffer a major illness may apply for short-term disability benefits which begin on the 31st calendar day after the initial date of injury/illness and may continue for up to five months. At the end of six consecutive months, faculty may apply for long-term disability benefits. In general, the individual's physician determines when a covered disability exists although a second opinion may be required by a physician selected and paid for by the College. However, it is ultimately up to the College's long-term disability provider to determine whether an employee qualifies for full or partial disability payments under the long-term disability plan. The long-term disability benefit, when added to Social Security and any other disability benefits to which an individual is entitled, provides a benefit of 60-70% of regular monthly salary. A detailed plan description is available in the Office of Human Resources.

VII. LIABILITY INSURANCE. Otterbein College provides \$4,000,000 of educators legal liability insurance which covers all trustees, officers and employees. The policy provides \$4,000,000 of coverage per claim with an annual aggregate limit of the same. This policy is underwritten by United Educators Insurance Risk Retention Group. The intent of the policy is to provide coverage in the event of lawsuits which result from erroneous or wrongful acts or omissions of employees in carrying out their official duties.

In addition, the College provides \$2,000,000 under a general liability policy, underwritten by the Travelers Indemnity Company, for losses related to bodily injury and property damage. The policy provides \$1,000,000 of coverage per occurrence, the general aggregate limit per year is \$2,000,000. This policy would come into play if an employee's action resulted in bodily injury or property damage to another individual or their property. This same general liability policy also provides \$1,000,000 of personal injury and advertising liability which covers such actions as libel and slander. The general liability policy is supplemented by a \$25,000,000 excess liability policy underwritten by the United Educators Insurance Risk Retention Group.

VIII. PROPERTY INSURANCE. The College property insurance provides coverage of up to \$10,000 for the loss of personal property on campus. This coverage is subject to \$2,500 deductible, but the employee's homeowners insurance should help with that.

IX. EDUCATIONAL BENEFITS. Otterbein College provides several educational benefits programs for faculty, their spouses, and eligible dependent children. Since eligibility criteria vary for each program, it is important to review each program's eligibility requirements carefully.

A. Application Procedures. The Office of Human Resources distributes Educational Benefits Request Forms (EBRF) to all faculty each spring. A faculty member can request educational benefits by submitting a completed EBRF to Human Resources in the spring of the academic year preceding the grant period. After reviewing the EBRF, Human Resources will send an award letter indicating the status of the faculty member's request for educational benefits. When requesting educational benefits for dependent children, a faculty member must also contact the Office of Financial Aid to determine if they are required to apply for institutional, state, and federal financial aid. Failure to apply for financial aid, if required to do so, and/or failure to submit the EBRF to Human Resources by the established deadline may result in a loss of benefit for the year.

In accepting any tuition benefit, the faculty member understands and accepts the responsibility and liability for any taxes which may be assessed by the Internal Revenue Service. All categories of educational benefits (Educational Grant, Tuition Exchange, Tuition Waiver) will expire at the conclusion of the term during which the faculty member terminates employment unless termination is due to retirement or death.

B. Tuition Waiver Benefits for Faculty. After the first six (6) months of employment, a full-time member of the faculty may enroll in any graduate or undergraduate course offered by Otterbein. The tuition waiver eligibility period is met after completing a six (6) month period of continuous employment following a faculty member's date of hire. The six (6) month eligibility requirement must be met prior to the opening of the College term in which the tuition waiver will be used. Such enrollment must not interfere with regular duties. A fee of \$25 per term is charged in addition to any applicable "special fee" as listed in the catalogue issue of the College Bulletin. The tuition waiver benefits apply to tuition only and do not apply to books, supplies or lab fees. Normally, classes will be taken outside of regular working hours. In addition, taking a class must not interfere with the enrollment of a regular student who has priority over employees.

C. Degree Completion Benefits. For those full-time faculty members who continue to study for the terminal degree (the doctorate unless otherwise agreed upon by the Vice President for Academic Affairs) while on sabbatical leave only, the College will provide for a sabbatical stipend equivalent to the tuition for full-time enrollment (one quarter/semester) at an Ohio public institution. This means that a faculty member is eligible for a stipend only if enrolled as a full-time student. If a faculty member chooses to pursue the terminal degree at an out-of-state university and/or one on a semester calendar, the maximum stipend will be equivalent to tuition for one graduate term at the Ohio State University.

The stipend will be paid by the College when the Vice President for Academic Affairs's Office (VPAA) receives an official tuition bill from the graduate institution. At the conclusion of the quarter/semester, the faculty member must submit to the VPAA's Office an official transcript documenting successful completion of the courses. Each person receiving the tuition stipend will be asked to sign an agreement stipulating that if the course work is not completed successfully, as defined by the graduate school, the full amount of the stipend will be returned to the College.

External degree graduate programs are not eligible for support under this sabbatical leave stipend program. To be eligible for this program the faculty member must request approval from the VPAA.

Recognizing that many graduate programs have a residency requirement that may require taking an unpaid leave-of-absence for one quarter, the College will continue its contribution to the following benefit programs during that quarter: Health and Dental Insurance, Life & Accidental Death and Dismemberment Insurance and Long-Term Disability Insurance. Consequently, these benefits will be maintained if faculty members choose to pay the portion of the premiums for which they are responsible, if any.

If a faculty member goes on an approved leave-of-absence prior to or after their sabbatical leave, the faculty member will be responsible for paying the full premiums for Health and Dental coverage. Life and AD & D Insurance and Long Term Disability Insurance coverage will cease and the faculty member must reestablish the one year eligibility period upon return from the leave-of-absence.

D. Graduate Tuition Benefits for Faculty: Full-time faculty are eligible to receive full tuition waiver benefits for graduate programs offered by the College after six (6) months of employment. Enrollment must carry the Academic Dean's approval, not interfere with regular duties and be subject to the regular prerequisite courses. A \$25.00 registration fee will be charged in addition to applicable "special fees" as charged to other students.

Full-time faculty of Otterbein College are eligible to receive a stipend equivalent to the tuition for five quarter hours year at an Ohio public institution in a program of study leading to either a Master's or Doctoral degree after one (1) year of service. The stipend only covers instructional and general fees. This stipend will be paid by the College when the Office of Human Resources receives an official tuition invoice from the graduate institution or documentation that the classes have been paid by the faculty member. At the conclusion of the quarter, the individual must submit to the Office of Human Resources an official transcript documenting successful completion of the course(s).

Each person receiving the tuition stipend will be asked to sign an agreement stipulating that if the course work is not completed successfully, as defined by the graduate school, the full amount of the stipend will be returned to the College. Unless specifically approved by the VPAA and the President, external degree graduate programs are not eligible for support under this stipend program. A \$25.00 fee will be charged per term. Part-time faculty are not eligible for the stipend program.

E. Tuition Waiver Benefits for Spouse. After a faculty member's first full calendar year of employment, his or her spouse may, subject to admission by the Admissions Committee, be admitted as a regular student and may be enrolled in undergraduate courses at Otterbein College as a full-time or part-time student. A fee of \$25 per term is charged in addition to any applicable "special fees" as listed in the catalogue issue of the College Bulletin. After a faculty member has been employed for three (3) years, his/her spouse may take graduate level courses under the tuition waiver benefits program at Otterbein only and receive a 50% tuition waiver. The tuition waiver applies to tuition only and does not apply to books, supplies or lab fees. Spouses are required to designate on the EBRF form if they have any tuition assistance from their employers and apply for those benefits if taking classes at Otterbein.

F. Educational Grant for Dependent Children. Full-time Otterbein College faculty members who have been continuously employed as faculty members and began their service prior to October 1, 1973, will receive aid to help defray the expenses of sending their dependent children (as defined by the IRS and federal financial aid regulations) to any regularly accredited undergraduate college of their choice. Otterbein College will make up the difference between the tuition or comprehensive fee charged at the institution attended for a non-resident student (excluding room and board) and the amount of aid the student is eligible to receive from State and Federal Grants and any other scholarships or grants received, up to 60% of Otterbein's comprehensive fee. Payments will be made directly to the college attended and are considered applicable to tuition charges at that school. All payments under this plan will be limited strictly to undergraduate education.

An educational grant for a period necessary to complete one baccalaureate degree, not to exceed a maximum of eight semester or twelve quarters will be granted for each child. The dependent must be the biological, adopted or legal step child of the faculty member. The child must be and remain a dependent as defined by the Internal Revenue Service, must be enrolled in a regionally accredited college within 24 months of high school graduation or within 24 months after completion of military obligation, must be a full-time student as defined by the college selected, and must remain in good academic standing.

G. Tuition Exchange Program (TEP) for Dependent Children. The dependent children (as defined by the Internal Revenue Service and federal financial aid regulations) of full-time Otterbein College faculty members who have been employed full-time for five years or are tenured, are eligible for the TEP with over 100 participating institutions in the nation. The five year eligibility requirement must be met prior to the opening of the College term that the tuition waiver is awarded. There are no pro-rated benefits for fewer years of service and no waivers available. Subject to the availability of openings at the importing institution, an educational grant for a period necessary to complete one baccalaureate degree, not to exceed a maximum of eight semesters or twelve quarters will be granted for each child. The child must be the biological, adopted or legal step child the faculty member. The child must be and remain a dependent as defined by the Internal Revenue Service, must be enrolled in a regionally accredited college within 24 months of high school graduation or within 24 months after completion of military service, must attend college full-time as defined by the college selected, and must remain in good academic standing.

A dependent interested in TEP needs to begin the application process approximately 18 months prior to the start of the freshman year in college. Application materials to apply for the TEP can be obtained from the Office of Human Resources. Acceptance into the TEP is not guaranteed and it is entirely

up to the gaining institution to determine if a child is accepted and recertified for the TEP. Part-time faculty are not eligible for Tuition Exchange. Each year TEP calculates the maximum tuition benefit and it does vary among institutions which means that in some instances there may be out-of-pocket expenses to cover tuition expenses. Children who have an earned baccalaureate from another institution are not eligible for the TEP program.

H. Tuition Waiver Program for Dependent Children. Each dependent child is eligible to receive tuition waiver benefits for a period necessary to complete one baccalaureate degree, not to exceed a maximum of twelve quarters. The tuition waiver benefits apply to tuition only, the dependent is responsible for room and board charges. The tuition waiver benefit will be calculated to make up the difference between the tuition and the amount of aid the student is eligible to receive from state and federal grants and any other scholarships or grants received. Upon application by the parent, the monies received from external (to Otterbein) non-governmental sources may be applied to rooming costs in the College owned and sponsored facilities. The total of the scholarship benefit and the external funds described above may not exceed the Otterbein College comprehensive fee. The dependent will be responsible for paying all other fees such as, but not limited to: (private instructor lessons, laboratory fees, Professional Term Fees, art supplies fees, etc.) and charges assessed as a student and must be admitted by the Admissions Committee.

To receive the full tuition benefit, up to 100% tuition waiver, the parent must have served full-time at Otterbein for a minimum of three (3) consecutive years. The three (3) year eligibility requirement must be met prior to the opening of the college term that the tuition waiver is to be used. After one full calendar year of employment, eligible children will receive a scholarship for up to 30% of the tuition charge. After two full calendar years of service, eligible children will receive a scholarship for up to 60% of the tuition charges.

Pro-rated benefits are calculated by first applying the percentage reduction to the full cost of tuition to determine the benefit amount. Any financial aid which is awarded is applied to the benefit amount calculated in the previous step and the balance of benefit is waived by the College (e.g. 60%, $\$14,000 \times 60\% = \$8,400$ - $\$3,000$ in aid = $\$5,400$ waived by the College, employee is also responsible for the other 40% which in this example is $\$5,600$).

The child must be the biological, adopted or legal step child the faculty member. The child must be a dependent (as defined by the Internal Revenue Service and federal financial aid regulations), must attend at least half-time and must remain in good academic standing. The dependent child must remain an IRS/financial aid dependent to maintain eligibility. Attendance on a part-time basis or as a high school student is charged against the 12 quarter maximum limit exactly as if attendance were on a full-time basis. Tuition benefits may be paid up until a

dependent child reaches the age of 24 if they are still IRS/financial aid dependents. Benefits for dependent children who turn 24 will end at the end of the academic year in which they turn age 24 provided they are continuously enrolled for the remainder of the academic year. The academic year for all benefits begins with the fall term. Children who have an earned baccalaureate from another institution are not eligible for the tuition waiver program.

I. Off-Campus Study of Dependents. The Tuition Waiver Program is intended to provide for study on the Otterbein campus only. However, for certain courses of study, a period of off-campus study is an integral part of the student's education and is included under the plan. Benefits for off-campus study are subject to the following restrictions:

1. Benefits from this program may be used only in programs currently approved by the Curriculum Committee.
2. Otterbein College will pay tuition and/or fees to the other institution for one quarter or semester of study but the total paid will not exceed the full-time tuition rate at Otterbein for one quarter.
3. If the period of study at the other institution exceeds one quarter or semester, the student will be responsible for the extra tuition and fees at that institution.
4. Students are responsible for travel and living expenses involved in all off campus study. An exception to this rule will be granted if space is available in the vehicle driven by a faculty supervisor who is traveling to the study site.
5. For faculty members who have been employed more than one year, but fewer than five years, the amount of the benefit will be based on the percentages stated in paragraph two of Section H.

J. Posthumous Benefits. The spouse and eligible dependents of a deceased faculty member shall participate in any of the educational benefits programs for which they are eligible, based on the benefit level the faculty member had earned at the time of his or her death (30%, 60%, 100%).

K. Retired Faculty Educational Benefits. Full-time faculty who are at least 60 years of age, and who have retired from Otterbein with at least 10 years of full time service at Otterbein, are eligible for retiree educational benefits under the same terms as if they were regularly employed. Faculty who have an age and service combination equal to 70 are also eligible for retiree benefits (e.g., age 65 and 5 years of service, age 55 and 15 years of service, etc.). The spouse and dependent children of a retired faculty member are also eligible for

educational benefits. If a retired faculty member dies before their spouse, the spouse will continue to receive tuition benefits. Surviving dependent children of retired faculty will continue to be eligible in accordance with the eligibility guidelines set forth in this policy. Retirement is defined as separation from the College which is accompanied by the payment of retiree benefits.

L. Part-time Faculty, Spouse, and Dependent Children. Part-time faculty who have taught a minimum of 35 quarter hours during previous years at Otterbein, their spouses, and dependents (as defined by the IRS) are eligible for pro-rated tuition waiver benefits. The part-time faculty member must also teach at least 5 quarter hours during the academic year the tuition waiver is used and pay a fee of \$25.00 per quarter and any "special fees" as listed in the catalogue issue of the College Bulletin. Clinical, lab and private lesson hours are converted on a three to one credit hour basis for purposes of eligibility.

Eligible part-time faculty accrue one quarter hour of credit for each quarter hour of teaching. Credits must be used within two years from the time those credits were earned. Eligible part-time faculty or their spouse may use the tuition waiver benefit during the quarter in which it is earned.

A reduced tuition waiver benefit for dependent children to attend Otterbein is available to part-time faculty who are teaching at least 25 quarter hours during the year. The benefit is computed as follows:

Part-time faculty teaching at least 25 quarter hours each year:

1. After the part-time faculty member has completed 2 years of teaching, dependent children may receive a tuition waiver of up to 12 ½ % of tuition.
2. After the part-time faculty member has completed 6 years of teaching, dependent children may receive a tuition waiver of up to 25% of tuition.
3. After the part-time faculty member has completed 10 years of teaching, dependent children may receive a tuition waiver of up to 50% of tuition.

Part-time faculty teaching at least 30 quarter hours each year:

1. After the part-time faculty member has completed 2 years of teaching, dependent children may receive a tuition waiver of up to 19% of tuition.

2. After the part-time faculty member has completed 4 years of teaching, dependent children may receive a tuition waiver of up to 38% of tuition.

3. After the part-time faculty member has completed 6 years of teaching, dependent children may receive a tuition waiver of up to 75% of tuition.

Part-time faculty whose hours of teaching meet one of the above levels of eligibility during successive years, but whose teaching assignments falls below that level temporarily may petition to the Vice President for Academic Affairs requesting a continuation of benefits. Final approval of the request will be based on length of service and the possibility of future teaching assignments.

M. Break in Service. Full and part-time faculty who have at least one year's break in service will be required to re-establish eligibility for tuition benefits unless on an approved leave by the College.

N. Change in Status. Part-time faculty transferring to full-time status will have part-time pro-rated and converted to full-time equivalent for establishing date of hire and eligibility for benefits. Full-time faculty who transfer to part-time status will have full-time pro-rated to part-time equivalent (half-time) to establish date of hire and eligibility for benefits.

X. RETIREMENT.

A. Social Security. Faculty members are covered by the Federal Insurance Contributions Act, commonly known as Social Security. A percentage of income, as established by the Federal Government, is deducted from the employee's monthly paycheck. An equal amount is contributed by the College which is not reflected in the individual's check. All employees with ministerial credentials may, by law, be considered as self-employed persons. In these cases no deduction is made from the paycheck and a separate check is given the employee on a quarterly basis for the College's contribution. The employee, in turn, is required to file his/her own social security tax report.

The Social Security Administration should be contacted at least three months prior to the anticipated date of retirement so as to insure the timely receipt of benefits.

B. Retirement Annuities. Otterbein makes available to all qualified faculty, retirement programs administered by Teachers Insurance and Annuity Association of New York, Vanguard Group of Valley Forge, PA. and Nationwide Financial Services. The retirement premiums in the TIAA/CREF plans purchase for the individual an annuity which matures at retirement. After completing two

years of service at Otterbein, there is an 8% contribution by the College which also may be placed in any of the above funds. Full-time faculty with at least two years experience as a full-time faculty member at another university can begin receiving the College's contribution during the first year of employment at the College. After completing ten years of service at Otterbein, the College will increase its contribution to 13% of the faculty member's annual regular earnings, excluding overload and other special assignments.

1. Employees are eligible to begin participation in this retirement plan on or after the first day of the month after completing two years of service at the College without a break in service and attaining age 21.
2. All eligible employees are required to begin participation in this retirement plan no later than the first day of the month after completing five years of service at the College without a break in service and attaining age 30.
3. Contributions may be made by the individual on a voluntary basis to any of the retirement funds prior to the completion of the two years of service. Those contributions made in this period are not matched by the College.
4. Newcomers to the Otterbein staff who are at least half-time employees and who are already members of the TIAA Retirement Plan, Vanguard and/or Nationwide, may, upon request, continue without interruption and the College will continue its 8% contribution. It is the responsibility of the employee to let the Office of Human Resources know if they currently participate in TIAA/CREF, Vanguard and/or Nationwide.

Individuals should contact TIAA/CREF, Vanguard and/or Nationwide at least three months prior to retirement to notify them of their intention to retire and to select the appropriate payout options.

C. Health Insurance and Dental Care Benefits. Faculty members who retire from Otterbein College are eligible to participate in the College's health and/or dental plans if such plans offer retiree benefits. Individual, two-person family and family coverage options may be available. The retired faculty member is responsible for paying the full cost of the premium for health and/or dental benefits. Faculty should contact the Office of Human Resources at least 60 days before they plan to retire if they plan to elect retiree health and/or dental benefits. Continuation of this coverage is expected but is subject to availability through the medical insurance carrier.

In addition, some health care plans may offer Medicare conversion plans. Faculty should contact individual carriers to determine if they are eligible for these plans.

D. Retiree Amenities. Retired faculty may continue to receive free parking decals, and may retain their College ID card privileges (Bookstore discounts, free/reduced tickets to sporting/cultural activities, use of Library, etc.) Retired employees are entitled to receive the same admittance benefits to College events as active employees. In addition, retired employees, spouses, and their dependents may use educational benefits as outlined in Section Three, IX, K.

XI. FRANKLIN COUNTY SCHOOL EMPLOYEES FEDERAL CREDIT UNION.

Any part-time or full-time member of the faculty of Otterbein College is eligible to join the Franklin County School Employees Federal Credit Union. Automatic paycheck withholding for savings or payment of loans is available upon request. Additional information is available in the Office of Human Resources

XII. UNITED STATES SAVINGS BONDS. Any part-time or full-time member of the faculty of Otterbein College may buy U.S. Savings Bonds regularly each month through a paycheck withholding plan. Additional information is available in the Office of Human Resources

XIII. PAY DAYS AND DIRECT DEPOSIT. The College pays faculty on a monthly basis through electronic direct deposit. Funds can be sent to two accounts at one financial institution, or one account each at two different financial institutions. Pay stubs are mailed to faculty's home addresses so that they can review the amount of taxes withheld. If an individual changes his or her account(s), they must notify Payroll of the change. Many of the local banks offer bank-at-work programs which offer special services to Otterbein employees who are on direct deposit. You must contact your financial institution and request to participate in their bank-at-work program in order to receive the special services.

APPENDIX A

AFFIRMATIVE ACTION POLICY OF OTTERBEIN COLLEGE (1998)

AFFIRMATIVE ACTION POLICY OF OTTERBEIN COLLEGE

Approved by Affirmative Action Committee - February 23, 1998

I. INTRODUCTION

As an institution Otterbein College is committed to the concept of equal rights for all. Since the practice of discrimination in our society has been continued for so long and its effects are long-lasting, a policy of neutrality toward discrimination is not sufficient. Rather, a policy of Affirmative Action must be adopted which requires all institutions to determine if they have met their responsibilities to recruit, promote, and reward minority groups and women to a degree consistent with their availability and merit.

Otterbein College, as an institution of higher learning, an employer, and an influential member of the community, stands committed to a policy of Affirmative Action. We undertake this action not because of legal requirement but because we firmly believe it is right and proper that we do. This Affirmative Action Policy is intended to expand our efforts to insure equality of education and employment at Otterbein College. The fact that we are an equal employment/affirmative action institution will be conveyed in appropriate college publications.

II. POLICY STATEMENT

Otterbein College does not discriminate in recruitment, employment nor policy administration on the basis of race, religion, age, sex, color, disability, sexual orientation, national or ethnic origin, political affiliation, marital status or status as a disabled veteran or veteran of the Viet Nam era. In addition, all members of the College community (faculty, staff, students, vendors, and associates) are expected to participate in Otterbein's program of non-discrimination.

Each member of the College who shares hiring responsibility will work actively to reach the goals of the Affirmative Action Policy by being inclusive through cooperating with outreach programs, recruiting requirements and reporting documentation requirements.

III. IMPLEMENTATION OF AFFIRMATIVE ACTION POLICY

The overall responsibility for the Affirmative Action Policy lies with the President of the College. In addition, responsibility for implementing the policy has been delegated to the Vice President for Academic Affairs, (academic personnel), and the Vice President for Business Affairs (non-academic personnel). All area vice presidents, department chairpersons and supervisors shall be responsible for carrying out the Affirmative Action Policy in their departments.

IV. AFFIRMATIVE ACTION COMMITTEE

The President shall appoint an Affirmative Action Committee comprised of a chairperson plus four additional faculty members, two students and two staff. The appointments will reflect the various experiences, abilities and interests of the college community. The chairperson will serve as the College's Affirmative Action Officer. The Vice President for Academic Affairs, the Vice President for Student Affairs and the Director of Human Resources or their designated representatives, shall serve as ex-officio members. Ex-officio members will not serve on any Hearing Board formed to hear cases of alleged discrimination or harassment.

The duties of the Committee shall include, but not be limited to:

- A. Attending a training seminar arranged by the Affirmative Action Officer concerning the college, state, and federal regulations, policies, and procedures relevant to discrimination and equal opportunity and their authority and responsibilities as committee members;
- B. Acting as consultants on the requirements of Affirmative Action and by assisting units in disseminating information about Affirmative Action.

- C. Reviewing goals and established timetables;
- D. Assisting in the preparation of reports concerning equal employment;
- E. Assisting in the recruitment of minority and women employees;
- F. Assisting in the recruitment of minority students;
- G. Reviewing the Affirmative Action Policy, Harassment Policy and equal employment issues annually with the Affirmative Action Officer.

V. EDUCATION AND COMMUNICATION

Success of this Affirmative Action Policy requires the cooperation and support of all members of the Otterbein community. In addition, the larger community in which Otterbein exists needs to be aware of our efforts in this direction. Toward these ends the following guidelines are established:

- A. A program of consciousness raising with regard to minorities and women shall be devised for both academic and non-academic employees by the Affirmative Action Committee. This shall include opportunities for discussion led by an individual who is knowledgeable about the problems encountered by these groups.
- B. A complete copy of the Affirmative Action Policy shall be given to all Otterbein College employees at the time of their hiring and to students at initial matriculation.
- C. Equal opportunity posters and age discrimination posters shall be permanently displayed in the primary employment and interviewing areas.
- D. A summary of the College non-discriminatory policy shall be posted on bulletin boards in prominent locations.
- E. A report of all policy changes by the Affirmative Action Committee shall be published annually in the Social Issues Update.
- F. All advertisements for employees shall be accompanied by the phrase "Equal Opportunity Employer and Educator."

VI. AFFIRMATIVE ACTION EMPLOYMENT POLICIES

The policies stated in this section are divided into four parts. Part A describes general policies which are applicable to all functions of the College while each of the other three parts applies specifically to a group or function within the College.

- A. General Employment Policy.
 - 1. In seeking to fill positions, each department or administrative unit shall conduct a review in conjunction with the Affirmative Action Officer to determine if and to what extent minorities and women are underutilized. As stated in the Federal Guidelines for Affirmative Action Programs, "underutilization is defined as having fewer minorities and women in a particular job classification than would reasonably be expected by their availability." Each department or administrative head is responsible for securing current information as to availability of minorities and women in the field. The Affirmative Action Officer and the Academic Dean will monitor compliance. Unless there is a strong case against conducting a full search such as internal candidates and/or time/fiscal constraints, at a minimum, an internal search will be conducted for all positions.

2. No policy shall be established which prohibits employment of two members of the same family provided no supervisor-employer relationship exists between them.
3. Women shall not be penalized in conditions of employment because of the required time away from work for childbearing.
4. Salaries, retirement age, and hiring and promotion policies shall not reflect discrimination based on race, sex, religion, ancestry, ethnicity, age, sexual orientation, disabling condition, political affiliation, veteran status, or marital status.

B. Affirmative Action for Academic Employment

1. Hiring of academic administrative personnel shall be done by the President of the College in consultation with the Vice President for Academic Affairs and the Personnel Committee of the College Senate. The Vice President for Academic Affairs, as Chair of the Personnel Committee, and the Affirmative Action Officer shall work with the President and other Vice Presidents to assure that in the employment of academic administrative personnel all affirmative action procedures adhered to by the College are followed. Final approval of all academic administrative appointments rests with the Board of Trustees.
2. Hiring of teaching personnel shall be done by the President of the College in consultation with the Vice President for Academic Affairs, the Personnel Committee of the College Senate, and the chairperson of the department in which the vacancy exists. Final approval of all teaching appointments rests with the Board of Trustees.
3. The chairperson of the department is responsible for listing the qualifications of the individual necessary to fill the vacancy. The chairperson is also responsible for insuring that the stated qualifications are justified and do not contain prejudices which tend to categorically exclude minorities and/or women. The department submits request to fill a vacancy or create a new position to the Personnel Committee which makes a recommendation, through the VPAA, to the President. The President has the final authority to approve or disapprove filling the vacancy or creating the new position.
4. All persons interviewed for positions shall be informed that Otterbein is an equal opportunity employer. A copy of the Affirmative Action Policy is available upon request.
5. All interviewers shall file a report of the interview with the Vice President for Academic Affairs on the form provided.
6. When a staff or faculty vacancy occurs, as determined by the President and the Vice President for Academic Affairs, the job description and other pertinent information shall be distributed to all departments. Various forms of media advertisement will be utilized including a concerted effort to reach minority and women populations through special publications.
7. Applications, reports of interviews and a statement of action taken (including reasons for non-employment where appropriate) shall be kept on file in the office of the Vice President for Academic Affairs for a period of two years.

C. Affirmative Action for Non-Academic Employment

1. Hiring of non-academic professional staff and of hourly staff personnel shall be done by the President of the College in consultation with area Vice President.

2. Each department shall maintain up-to-date job descriptions for each non-academic category in the department. The description shall list the skills necessary to fill the job along with the benefits associated with the job.
3. Each applicant for a job shall be informed that Otterbein is an equal opportunity employer and that a copy of the Affirmative Action Policy is available if requested.
4. An interviewer of an applicant shall file a report of the interview on the appropriate form with the Vice President for Business Affairs.
5. Applications, reports of interviews and a statement of action taken (including reasons for non-employment where appropriate) shall be kept on file in the Office of the Vice President for Business Affairs for a period of two years.
6. When a vacancy occurs, as determined by the President and the area Vice President, the job description and other pertinent information shall be distributed to all departments. Various forms of media advertisement will be utilized including a concerted effort to reach minority and women populations through special publications.

D. Affirmative Action for Student Enrollment

1. Otterbein College does not discriminate on the basis of race, sex, religion, ancestry, ethnicity, age, sexual orientation, political affiliation, disabling condition, veteran status or marital status in considering students for admission to the College nor in its financial aid policy.
2. The Director of Minority Enrollment is responsible for the development and implementation for a Plan of Action with a goal of improving the diversity of the student population.

VII. AFFIRMATIVE ACTION COMPLAINT PROCEDURE

The successful achievement of affirmative action goals will require good faith of the entire college community. No person shall be subjected to discharge, suspension, discipline, harassment, or any form of discrimination for having utilized or having assisted others in the utilization of the Affirmative Action Complaint Procedure. The following procedure has been devised to provide assistance and guidance for dealing with complaints of alleged discrimination; it established the sequence to be followed, except that a complaint may be withdrawn or resolved before the procedure is completed.

A. Criteria for Using the Affirmative Action Complaint Procedure

Any person claiming to be aggrieved by an unlawful employment practice or any other alleged discriminatory practice may file a complaint with the Affirmative Action Officer.

1. Any person in the college community may bring a complaint.
2. The person alleging that discrimination has occurred (called the complainant) will discuss the charges with the Affirmative Action Officer, who will act as mediator.
3. After the preliminary discussion with the complainant, the mediator will determine the disposition of the complaint. Each complaint, in order to be within the jurisdiction of the Affirmative Action Officer, must meet the following criteria:
 - a) The complaint must arguably involve discrimination on the basis of race, sex, religion, ancestry, ethnicity, age, sexual orientation, political affiliation, disabling condition, veteran status or marital status.

- b) An injury must have already occurred and not be merely anticipatory or speculative, and;
- c) The complaint must be brought within 180 days of the time the alleged discrimination occurred.

B. Informal Inquiry and Resolution

The first communication between the mediator and the person whose action is the subject of the grievance (the respondent) will be informal. It is intended to clarify the source of conflict as well as to identify possible avenues of resolution.

1. The mediator will describe the matters raised by the complaint, considering any need for confidentiality expressed by the complainant and will request a response from the respondent
2. This stage is intended to open communications and to disclose key differences in the parties' perception of the situation which led to the grievance.
3. At their initial meeting, the respondent will explain his or her position to the mediator, and within five working days, may provide any documentation in support of that position; however, the mediator may grant an extension. Such documentation may not be disclosed to the complainant unless the respondent agrees that it may be disclosed.
4. The matter will be considered resolved when both are satisfied.
5. If the matter is not resolved by the respondent's explanation, the mediator will attempt to help each party communicate with the other and understand the other's view of the situation, in order to help the parties resolve the matter in a constructive manner that will best benefit the parties and the college.
6. If it appears to the mediator that there may be areas of flexibility which could lead to a resolution by both parties, the mediator will help the parties pursue these areas. The mediator will not act as an advocate for either party but will help each party explain his or her position and understand the other party's position.

C. Formal Hearing Procedure.

If the complaint is not resolved through mediation, the mediator will advise the complainant of formal complaint proceedings through the Discrimination Hearing Board. In order to pursue these proceedings, the complainant must file a formal grievance that specifies the circumstances and charges of the complaint. At the time of submitting a formal grievance, he or she will be given a list of members of the Affirmative Action Committee, from which the Hearing Board will be chosen

The mediator will present the respondent a copy of the complaint, a list of the members of the Affirmative Action Committee and a copy of the complaint procedure. The mediator will request that the respondent provide a written response to the complaint and that this written response be sent to the chairperson of the Hearing Board before the date of the Hearing Conference. The mediator will also inform the complainant and the respondent that after selection of the Hearing Board, communication concerning the complaint will be received from and should be made to the chairperson of the Hearing Board.

D. Appointment and Membership of the Discrimination Hearing Board

The members of the Hearing Board will be selected from the Affirmative Action Committee. The Affirmative Action Committee consists of a chair person chosen by the President from the faculty, four additional faculty members, two students and two staff, with the Vice President for Academic Affairs and the Vice President for Student Affairs, or their designated representatives, serving as ex-officio members. The appointments will reflect the various experiences, abilities and interests of the college community. Ex-officio members will not serve on any Hearing Board formed to hear cases of alleged discrimination or harassment.

E.. Discrimination Hearing Examiners

For each complaint, a Hearing Board of three discrimination hearing examiners will be designated from the Affirmative Action Committee in the following manner: Each party shall select one Affirmative Action Committee member to hear the complaint and will submit that name to the mediator within five working days after the respondent receives a copy of the grievance. Those two members shall select a third member of the Affirmative Action Committee to act as chairperson of the Hearing Board. If complainant and respondent select the same person to serve on the Hearing Board, that person shall be chairperson of the Hearing Board and each party will be allowed to select another member. No Affirmative Action Committee member may serve on the Hearing Board if any proceeding in which that Committee is otherwise involved.

F. Confidentiality

The examiners will adhere to strict confidentiality. Cases will not be revealed to anyone outside the Discrimination Hearing Board except the appropriate Affirmative Action Officer. Details of complaints will not be discussed during general session of the Affirmative Action Committee. However, the nature of complaints may be discussed during the selection of examiners.

1. Procedures for Hearing

a) The mediator will provide the chairperson of the Hearing Board the formal grievance and the names, addresses, and telephone numbers of the complainant and the respondent. Information or documents provided to the mediator on a confidential basis will not be provided without the agreement of the person who provided the information or documents.

b) The date of the hearing will be no more than ten working days after the selection of the Hearing Board unless otherwise agreed by complainant and respondent. In the event of extenuating circumstances, the chair of the Hearing Board may grant an extension of time for the date of the hearing. The examiners will maintain a taped record of the hearing, which will be kept in the confidential file in the office of the Affirmative Action Officer for one year after the complaint is closed. The time elapsed during the entire grievance procedure from receipt of the formal grievance to the final disposition of the matter will not exceed sixty (60) days.

c) It is the responsibility of the Affirmative Action Officer to act as monitor and advisor for the hearing. The officer will inform the examiners of specific guidelines for maintaining communications with the complainant and the respondent and for following a timetable during the hearing. The Affirmative Action Officer shall not serve as the advocate of either party but shall, upon request by the examiners, explain the basis upon which it was determined that the complaint was within the jurisdiction of the Affirmative Action Officer.

d) Each party may have an advisor from within the campus community who may participate in the hearing, subject to reasonable limitations of the Hearing Board. Neither party may have legal counsel present during these proceedings, which are not governed by formal rules of evidence or courtroom procedure.

2. Responsibilities and Authority of the Discrimination Hearing Board

The examiners will have the responsibility for determining appropriate procedures for the hearing. The complainant will be given an opportunity to rebut the allegation. Each party will have a reasonable opportunity to present evidence, including testimony, in the presence of the other party. The party must be fair to the parties but will not be based on formal rules of evidence or courtroom procedure. Each party and/or advisor will have the opportunity to ask questions of the other party as permitted by the examiners. Investigative authority will include:

- a) Authority to procure tangible evidence including confidential departmental records which have relevance to the complaint;
- b) Authority to require attendance of witnesses whose testimony may be pertinent to the complaint and whose statement or testimony was not introduced by the complainant or respondent.

3. Written Disposition

After considering both sides of a complaint, including any documentation of supporting testimony, the examiners will make a written finding, on the basis of the evidence presented, of whether the respondent discriminated (intentionally or otherwise) against or harassed the complainant. The examiner will then submit to the complainant, the respondent, and the Affirmative Action Officer their findings and any recommendation of appropriate remedial action.

Findings of fact by the examiners are final and not appealable.

G. Remedies and Sanctions

If the Hearing Board has voted that discrimination or harassment has not occurred, the report is submitted to the President by the Chair of the Hearing Board within five (5) working days. All records of the hearing will be secured by the College.

If the Hearing Board has voted that discrimination or harassment has occurred, the report is submitted to the President by the Chair of the Hearing Board within five (5) working days. The President shall initiate the appropriate College procedures for further action. See Appropriate sections of the Campus Life Handbook, Faculty, Administrative and Staff Manuals.

APPENDIX B

1940 STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM AND TENURE

1940 Statement of Principles on Academic Freedom and Tenure

With 1970 Interpretive Comments

In 1940, following a series of joint conferences begun in 1934, representatives of the American Association of University Professors and of the Association of American Colleges agreed upon a restatement of principles set forth in the 1925 Conference Statement on Academic Freedom and Tenure. This restatement is known to the profession as the 1940 Statement of Principles on Academic Freedom and Tenure.

The 1940 Statement is printed below, followed by Interpretive Comments as developed by representatives of the American Association of University Professors and the Association of American Colleges during 1969. The governing bodies of the associations, meeting respectively in November 1989 and January 1990, adopted several changes in language in order to remove gender-specific references from the original text.

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher¹ or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.[1]²

Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

ACADEMIC FREEDOM

- (a) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- (b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.[2] Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.[3]

¹The word "teacher" as used in this document is understood to include the investigator who is attached to an academic institution without teaching duties.

²Bold-face numbers in brackets refer to Interpretive Comments which follow.

- (c) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.[4]

ACADEMIC TENURE

After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
2. Beginning with appointment to the rank of full-time instructor or a higher rank,[5] the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years.[6] Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.[7]
3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.[8]
4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, either from the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.[9]
5. Termination of a continuous appointment because of financial exigency should be demonstrably *bona fide*.

1940 INTERPRETATIONS

At the conference of representatives of the American Association of University Professors and of the Association of American Colleges on November 7-8, 1940, the following interpretations of the 1940 *Statement of Principles on Academic Freedom and Tenure* were agreed upon:

1. That its operation should not be retroactive.

2. That all tenure claims of teachers appointed prior to the endorsement should be determined in accordance with the principles set forth in the 1925 Conference Statement on Academic Freedom and Tenure.
3. If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph (c) of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher's fitness for his or her position, it may proceed to file charges under paragraph (a)(4) of the section on Academic Tenure. In pressing such charges the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

1970 INTERPRETIVE COMMENTS

Following extensive discussions on the 1940 Statement of Principles on Academic Freedom and Tenure with leading educational associations and with individual faculty members and administrators, a joint committee of the AAUP and the Association of American Colleges met during 1969 to reevaluate this key policy statement. On the basis of the comments received, and the discussions that ensued, the joint committee felt the preferable approach was to formulate interpretations of the Statement in terms of the experience gained in implementing and applying the Statement for over thirty years and of adapting it to current needs.

The committee submitted to the two associations for their consideration the following "Interpretive Comments." These interpretations were adopted by the Council of the American Association of University Professors in April 1970 and endorsed by the Fifty-sixth Annual Meeting as Association policy.

In the thirty years since their promulgation, the principles of the 1940 *Statement of Principles on Academic Freedom and Tenure* have undergone a substantial amount of refinement. This has evolved through a variety of processes, including customary acceptance, understandings mutually arrived at between institutions and professors or their representatives, investigations and reports by the American Association of University Professors, and formulations of statements by that association either alone or in conjunction with the Association of American Colleges. These comments represent the attempt of the two associations, as the original sponsors of the 1940 *Statement*, to formulate the most important of these refinements. Their incorporation here as Interpretive Comments is based upon the premise that the 1940 *Statement* is not a static code but a fundamental document designed to set a framework of norms to guide adaptations to changing times and circumstances.

Also, there have been relevant developments in the law itself reflecting a growing insistence by the courts on due process within the academic community which parallels the essential concepts of the 1940 *Statement*; particularly relevant is the identification by the Supreme Court of academic freedom as a right protected by the First Amendment. As the Supreme Court said in *Keyishian v. Board of Regents* 385 U.S. 589 (1967), "Our Nation is deeply committed to safeguarding academic freedom, which is of transcendent value to all of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom."

The numbers refer to the designated portion of the 1940 *Statement* on which interpretive comment is made.

1. The Association of American Colleges and the American Association of University Professors have long recognized that membership in the academic profession carries with it special responsibilities. Both associations either separately or jointly have consistently affirmed these responsibilities in major policy statements, providing guidance to professors in their utterances as citizens, in the exercise of their responsibilities to the institution and to students, and in their conduct when resigning from their institution or when undertaking government-sponsored research. Of particular relevance is the *Statement on Professional Ethics*, adopted in 1966 as Association

policy. (A revision, adopted in 1987, was published in *Academe: Bulletin of the AAUP* 73 [July–August 1987]: 49.)

2. The intent of this statement is not to discourage what is "controversial." Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to their subject.

3. Most church-related institutions no longer need or desire the departure from the principle of academic freedom implied in the 1940 *Statement*, and we do not now endorse such a departure.

4. This paragraph is the subject of an Interpretation adopted by the sponsors of the 1940 *Statement* immediately following its endorsement which reads as follows:

If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph (c) of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher's fitness for his or her position, it may proceed to file charges under paragraph (a)(4) of the section on Academic Tenure. In pressing such charges the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

Paragraph (c) of the 1940 *Statement* should also be interpreted in keeping with the 1964 "Committee A Statement on Extramural Utterances" (*AAUP Bulletin* 51 [1965]: 29), which states *inter alia*: "The controlling principle is that a faculty member's expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member's unfitness for his or her position. Extramural utterances rarely bear upon the faculty member's fitness for the position. Moreover, a final decision should take into account the faculty member's entire record as a teacher and scholar."

Paragraph V of the *Statement on Professional Ethics* also deals with the nature of the "special obligations" of the teacher. The paragraph reads as follows:

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

Both the protection of academic freedom and the requirements of academic responsibility apply not only to the full-time probationary as well as to the tenured teacher, but also to all others, such as part-time faculty and teaching assistants, who exercise teaching responsibilities.

5. The concept of "rank of full-time instructor or a higher rank" is intended to include any person who teaches a full-time load regardless of the teacher's specific title.*

6. In calling for an agreement "in writing" on the amount of credit for a faculty member's prior service at other institutions, the *Statement* furthers the general policy of full understanding by the professor of the terms and conditions of the appointment. It does not necessarily follow that a professor's tenure rights have been violated because of the absence of a written agreement on this matter. Nonetheless, especially because of the variation in permissible institutional practices, a written understanding concerning these matters at the time of appointment is particularly appropriate and advantageous to both the individual and the institution.**

*For a discussion of this question, see the "Report of the Special Committee on Academic Personnel Ineligible for Tenure," *AAUP Bulletin* 52 (1966): 280–82.

**For a more detailed statement on this question, see "On Crediting Prior Service Elsewhere as Part of the Probationary Period," *AAUP Bulletin* 64 (1978): 274–75.

7. The effect of this subparagraph is that a decision on tenure, favorable or unfavorable, must be made at least twelve months prior to the completion of the probationary period. If the decision is negative, the appointment for the following year becomes a terminal one. If the decision is affirmative, the provisions in the 1940 *Statement* with respect to the termination of services of teachers or investigators after the expiration of a probationary period should apply from the date when the favorable decision is made.

The general principle of notice contained in this paragraph is developed with greater specificity in the *Standards for Notice of Nonreappointment*, endorsed by the Fiftieth Annual Meeting of the American Association of University Professors (1964). These standards are:

Notice of nonreappointment, or of intention not to recommend reappointment to the governing board, should be given in writing in accordance with the following standards:

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

Other obligations, both of institutions and of individuals, are described in the *Statement on Recruitment and Resignation of Faculty Members*, as endorsed by the Association of American Colleges and the American Association of University Professors in 1961.

8. The freedom of probationary teachers is enhanced by the establishment of a regular procedure for the periodic evaluation and assessment of the teacher's academic performance during probationary status. Provision should be made for regularized procedures for the consideration of complaints by probationary teachers that their academic freedom has been violated. One suggested procedure to serve these purposes is contained in the *Recommended Institutional Regulations on Academic Freedom and Tenure*, prepared by the American Association of University Professors.

9. A further specification of the academic due process to which the teacher is entitled under this paragraph is contained in the *Statement on Procedural Standards in Faculty Dismissal Proceedings*, jointly approved by the American Association of University Professors and the Association of American Colleges in 1958. This interpretive document deals with the issue of suspension, about which the 1940 *Statement* is silent.

The 1958 *Statement* provides: "Suspension of the faculty member during the proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. Unless legal considerations forbid, any such suspension should be with pay." A suspension which is not followed by either reinstatement or the opportunity for a hearing is in effect a summary dismissal in violation of academic due process.

The concept of "moral turpitude" identifies the exceptional case in which the professor may be denied a year's teaching or pay in whole or in part. The statement applies to that kind of behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the offering of a year's teaching or pay. The standard is not that the moral sensibilities of persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.

ENDORSERS

Association of American Colleges	1941
American Association of University Professors	1941
American Library Association (adapted for librarians)	1946
Association of American Law Schools	1946
American Political Science Association	1947

American Association of Colleges for Teacher Education	1950
American Association for Higher Education	1950
Eastern Psychological Association	1950
Southern Society for Philosophy and Psychology	1953
American Psychological Association	1961
American Historical Association	1961
Modern Language Association of America	1962
American Economic Association	1962
American Agricultural Economics Association	1962
Midwest Sociological Society	1963
Organization of American Historians	1963
American Philological Association	1963
American Council of Learned Societies	1963
Speech Communication Association	1963
American Sociological Association	1963
Southern Historical Association	1963
American Studies Association	1963
Association of American Geographers	1963
Southern Economic Association	1963
Classical Association of the Middle West and South	1964
Southwestern Social Science Association	1964
Archaeological Institute of America	1964
Southern Management Association	1964
American Theatre Association	1964
South Central Modern Language Association	1964
Southwestern Philosophical Society	1964
Council of Independent Colleges	1965
Mathematical Association of America	1965
Arizona-Nevada Academy of Science	1965
American Risk and Insurance Association	1965
Academy of Management	1965
American Catholic Historical Association	1966
American Catholic Philosophical Association	1966
Association for Education in Journalism	1966
Western History Association	1966
Mountain-Plains Philosophical Conference	1966
Society of American Archivists	1966
Southeastern Psychological Association	1966
Southern Speech Communication Association	1966
American Association for the Advancement of Slavic Studies	1967
American Mathematical Society	1967
College Theology Society	1967
Council on Social Work Education	1967
American Association of Colleges of Pharmacy	1967
American Academy of Religion	1967
Association for the Sociology of Religion	1967
American Society of Journalism School Administrators	1967
John Dewey Society	1967
South Atlantic Modern Language Association	1967
American Finance Association	1967
Association for Social Economics	1967
United Chapters of Phi Beta Kappa	1968
American Society of Christian Ethics	1968

American Association of Teachers of French	1968
Eastern Finance Association	1968
American Association for Chinese Studies	1968
American Society of Plant Physiologists	1968
University Film and Video Association	1968
American Dialect Society	1968
American Speech-Language-Hearing Association	1968
Association of Social and Behavioral Scientists	1968
College English Association	1968
National College Physical Education Association for Men	1969
American Real Estate and Urban Economics Association	1969
History of Education Society	1969
Council for Philosophical Studies	1969
American Musicological Society	1969
American Association of Teachers of Spanish and Portuguese	1969
Texas Junior College Teachers Association	1970
College Art Association of America	1970
Society of Professors of Education	1970
American Anthropological Association	1970
Association of Theological Schools	1970
American Association of Schools and Departments of Journalism	1971
American Business Law Association	1971
American Council for the Arts	1972
New York State Mathematics Association of Two-Year Colleges	1972
College Language Association	1973
Pennsylvania Historical Association	1973
Massachusetts Regional Community College Faculty Association	1973
American Philosophical Association***	1974
American Classical League	1974
American Comparative Literature Association	1974
Rocky Mountain Modern Language Association	1974
Society of Architectural Historians	1975
American Statistical Association	1975
American Folklore Society	1975
Association for Asian Studies	1975
Linguistic Society of America	1975
African Studies Association	1975
American Institute of Biological Sciences	1975
North American Conference on British Studies	1975
Sixteenth-Century Studies Conference	1975
Texas Association of College Teachers	1976
Society for Spanish and Portuguese Historical Studies	1976
Association for Jewish Studies	1976
Western Speech Communication Association	1976
Texas Association of Colleges for Teacher Education	1977
Metaphysical Society of America	1977
American Chemical Society	1977
Texas Library Association	1977
American Society for Legal History	1977
Iowa Higher Education Association	1977

***Endorsed by the Association's Western Division in 1952, Eastern Division in 1953, and Pacific Division in 1962.

American Physical Therapy Association	1979
North Central Sociological Association	1980
Dante Society of America	1980
Association for Communication Administration	1981
American Association of Physics Teachers	1982
Middle East Studies Association	1982
National Education Association	1985
American Institute of Chemists	1985
American Association of Teachers of German	1985
American Association of Teachers of Italian	1985
American Association for Applied Linguistics	1986
American Association of Teachers of Slavic and East European Languages	1986
American Association for Cancer Education	1986
American Society of Church History	1986
Oral History Association	1987
Society for French Historical Studies	1987
History of Science Society	1987
American Association of Pharmaceutical Scientists	1988
American Association for Clinical Chemistry	1988
Council for Chemical Research	1988
Association for the Study of Higher Education	1988
American Psychological Society	1989
University and College Labor Education Association	1989
Society for Neuroscience	1989
Renaissance Society of America	1989
Society of Biblical Literature	1989
National Science Teachers Association	1989
Medieval Academy of America	1990
American Society of Agronomy	1990
Crop Science Society of America	1990
Soil Science Society of America	1990
Society of Protozoologists	1990
Society for Ethnomusicology	1990
American Association of Physicists in Medicine	1990
Animal Behavior Society	1990

APPENDIX C

LIBRARIANS WITH FACULTY STATUS ON ADMINISTRATIVE APPOINTMENTS

LIBRARIANS

Librarianship is an important profession in its own right. Therefore, librarians are recognized as valuable academic colleagues who share in achieving the educational mission of Otterbein College. Recognition of this role is provided in the status, salary, and benefits accorded to librarians. This means the following:

1. Librarians will receive the same annual salary increments and benefits as members of the full-time faculty;
2. Librarians will be evaluated on professional standards defined below in more detail;
3. The Director of the Library will report to the Vice President for Academic Affairs;
4. Librarians will be considered similar to administrators who hold faculty rank and teach on occasions. The policies and procedures guiding their employment will be included as an appendix in the Faculty and Administrative Manuals and are elaborated upon below.

LIBRARIANS WITH FACULTY STATUS ON ADMINISTRATIVE APPOINTMENT

1. Each librarian will be assigned general responsibilities within his/her particular area of competence. Under the guidance of the Director of the Library, the individual will have latitude in meeting the responsibilities.
2. Librarians will be eligible for membership in the Senate and governance committees of the College. In addition, the Director of the Library will assign each librarian to membership in one of the academic divisions.
3. Librarians will be issued an annual contract similar to those received by other administrators.
4. As administrators with faculty status, librarians will be evaluated for promotion in rank on criteria defined below. A peer review system will be the primary basis for promotion of librarians.
5. Librarians may apply for administrative leaves under the conditions for such leaves described in the Administrative Manual.
6. Librarians may apply for research funds under the same terms as other faculty members.
7. As with all faculty, academic freedom is a protected right of librarians.

8. The Director of the Library will be invited to participate in meetings of the Department Chairs.
9. Librarians will be invited to advise students on their academic programs.

APPOINTMENT AND PROMOTION OF LIBRARIANS

1. Appointments.

Librarians are non-tenured and appointed annually to a twelve month contract.

2. Faculty Ranks.

Librarians are selected after a rigorous recruitment process designed to create a competent, effective library staff. Newly employed librarians are appointed to the rank consistent with the following qualifications:

Professor: Must possess a Master's Degree in Library Science (terminal professional degree) and a second Master's degree (or Ph.D.) in a subject field. Must have a minimum of twelve years of professional library experience.

Associate Professor: Must possess a Master's Degree in Library Science (terminal professional degree) and either possess or show documented progress toward a second master's degree (or higher). Must have at least six years of professional library experience.

Assistant Professor: Must possess a Master's Degree in Library Science (terminal professional degree). Must have a minimum of three years of professional library experience.

Instructor: Must possess a Master's Degree in Library Science (terminal professional degree).

3. Contract Renewal.

The reappointments of librarians will be determined by institutional need and job performance. Since librarians are generally not assigned specific teaching responsibilities which provide an important source for the evaluation of their work, the primary performance criteria shall be the quality of professional service as measured by the following:

- a. Quality of Service - including performance in their area of expertise (i.e. Reference, Cataloging, Periodicals, etc.), bibliographic instruction, liaison work, online searching, and collection development.

1. Annual evaluation by the Director of the Library using the Librarian Evaluation form which must be submitted to the Vice President for Academic Affairs's Office by the end of the Winter quarter. (Upon completion, the Director of the Library must review the form with the librarian so that the person being evaluated may have the opportunity for response.) Note: A library evaluation form will need to be created.
 2. Annual Self-Evaluation reports to the Vice President for Academic Affairs which include an evaluation of service.
 3. Student evaluations of a minimum of two different bibliographic instruction courses in one academic year. In addition, evaluations of the librarian's work performance by student employees may be included.
 4. Evaluation of appropriate performance areas by library peers at Otterbein may be included.
- b. Service to the Library.
- Contribute to meeting needs and resolving problems which occur in the Library. Provide suggestions for enhancing Library services.
- c. Professional Growth and Development.
- Participate and provide leadership in professional societies, continue professional growth through workshops and journal study. While research is important and librarians should be encouraged to publish, they should not be penalized if they do not. However, it is extremely important for every librarian to be a part of professional societies and continue to learn by attending workshops and conferences.
- d. Campus Involvement.
- Contribute to the sense of community, work enthusiastically with its committees, communicate effectively and remain open to new ideas. Demonstrate understanding of and participation in the formation of institutional goals and in shaping the direction of the College.
- e. Community Involvement. Present a positive image of the College through leadership exercised in community organizations. Represent the College to alumni, friends, and constituents of the greater college community.

4. Promotion.

Sustained superior performance of duties as a professional librarian is recognized through a system of both promotion and increased remuneration for services. Eligibility for promotion shall be based on the following criteria:

To Assistant Professor: Individual shall possess a Master's degree in Library Science. Individual shall have served a minimum of three years as Instructor at Otterbein College. Fitness for promotion shall be based on consistent quality professional service and evidenced from annual performance evaluations and documentation of elements as described above.

To Associate Professor: Individual shall possess a Master's degree in Library Science and either possess or show documented progress toward a second Master's degree (or higher) in a subject field. Individual shall have served a minimum of five years as an Assistant Professor at Otterbein College and, as described above, have a record of consistent quality professional service as evidenced from annual performance evaluations.

To Professor: Individual shall possess a Master's degree in Library Science and a second Master's degree (or higher) in a subject field. Individual shall have served a minimum of seven years as an Associate Professor at Otterbein College. Individuals considered for promotion to the rank of Professor must exhibit a record of superior professional contributions while at Otterbein College as evidenced by a series of consistently superior annual performance evaluations. The individual must also have a documented record of service to the College community and professional involvement.

4/8/92
retyped 10/29/02

APPENDIX D

CONTENTS OF TENURE, INTERIM- TENURE, RENEWABLE TERM AND PROMOTION PORTFOLIOS

CONTENTS OF TENURE, INTERIM-TENURE, PROMOTION, AND RENEWABLE TERM APPOINTMENT PORTFOLIOS:

Each faculty member applying for tenure, interim-tenure, promotion, or renewal review is responsible for compiling an updated Portfolio.

The Portfolio is a key document for use in the evaluation process. It is designed to give a comprehensive view of the faculty member's professional development and should be updated regularly so that it can be shared with the campus as needed. In preparing the Portfolio, the faculty member should include the items listed below and examine carefully his or her Personnel File, which is located in the Academic Affairs Office.

Upon examination of the faculty member's submitted Portfolio, the VPAA may choose to include in the Portfolio other appropriate items from the candidate's Personnel File. The VPAA must notify the faculty member of this decision and allow the faculty member to provide a written response to the additional documents if he or she chooses.

A consistent order of contents for each Portfolio is helpful to readers who will be looking at many similar documents. In all cases, the ultimate concern for departments and the Personnel Committee is the quality of the work described in the Portfolio.

The following items should be included in the Portfolio in this order:

1. A Table of Contents.
2. A cover letter summarizing the major items in the Portfolio.
3. A current resume' or Curriculum Vitae.
4. A memo from the Department Personnel Evaluation Committee (DPEC) confirming the criteria which have been used for evaluation and the evaluation process.
5. A comprehensive written evaluation from the Department Personnel Evaluation Committee (DPEC), which includes a description of how the candidate meets each of the relevant criteria in the Faculty Manual, a recorded vote of the DPEC, and a **final recommendation**. The recommendation must be signed by all members of the DPEC (including the department Chair, unless he or she is under review). Minority reports may be included.

- a. *If the individual is being reviewed for a tenure recommendation, both the interim-tenure letter from the Personnel Committee and the DPEC must be included in the portfolio. If the individual waived the interim-tenure review, the both the Personnel Committee and the DPEC letters from the last review (promotion or renewal) must be included in the portfolio.*
6. *Department Chair annual reports* (since the last formal review). Note that these reports should provide evidence that the Chair has annually observed the faculty member's teaching, as per the 1989 Faculty Manual. Also note that as per the approved "Faculty Contract Proposal," these reports should be developed in conjunction with the faculty member's professional portfolio.
7. *Documentation of Teaching Effectiveness.*
The faculty member is encouraged to include any information that supports teaching effectiveness. This section shall include:
- a. *A Statement of Teaching Philosophy.* Suggested content here includes a response to the following questions: What does the documentation gathered reveal about the faculty member's goals and values as a teacher? What changes have been made in the faculty member's teaching since the last review or in response to feedback from students or colleagues? What are the most important learning outcomes the faculty member has established for students? What are the faculty member's future goals for teaching?
- b. *Summaries of student evaluations.* The faculty member must include at least two, college-approved summative course evaluations for each academic year since the previous evaluation. If you do not have copies, you may make copies from those in your Personnel File in the VPAA's office. Summarized results (please do not include stacks of individual student forms) from additional departmental or individual forms created by the department or the faculty member may also be included. Please note that as per the approved "Faculty Contract Proposal," *all faculty on tenure-track must include college-approved, summative course evaluations for all courses.* This change becomes effective September 1, 1999.
- c. *Other Materials.* This item gives the faculty member the latitude to include other documentation which may support teaching effectiveness and which is not covered in items "a" or "b" above.
- d. *Review by a qualified colleague* in the form of a critique of the faculty member's teaching effectiveness.

8. **Documentation of Scholarship and Professional Development.** Please refer to the "Revised Institutional Statement on Scholarship and Professional Development" (see Attachment A). Copies of your department's "Departmental Statement on Scholarship" should be provided by your department chair. Please contact your chair for this document.
9. Evidence of quality of **advising** (if available).
10. **Personal, annual reports** submitted to the VPAA **only if desired by the individual.**
11. **Documentation of Service** (departmental, divisional, campus, and community contributions). This might include committee work, organizing/participating in conferences, or performing special duties for the department/division/campus.
12. **Other items** that the faculty member may wish to include, such as letters from colleagues or former students.

NOTE: If you have recently undergone another review (e.g. interim-tenure, promotion, or renewal, **you do not have to create an entirely new portfolio.** Include any new materials and summarize any additions in a one-page cover memo.

APPENDIX E

OTTERBEIN COLLEGE BYLAWS

EDITION, JUNE, 2000

Article I. Purpose of Bylaws and General Provisions

- 100 **Section 1.** These Bylaws, with the approval of the Board of Trustees, establish the organization of the college and define the governing relationship of the administrators, the faculty, the students, the alumni and the trustees. The Board of Trustees is legally the final authority of the college.
- 101 **Section 2.** These Bylaws may be revised by a vote of the voting members of the College Senate. Such revisions shall be subject to the approval of the Board of Trustees or its Executive Committee.
- 102 **Section 3.** Proposed revisions of the Bylaws shall be submitted by a member or members of the College Senate in writing in advance of the first College Senate meeting at which the revisions are introduced. The vote on the revisions shall be taken at the meeting following that in which the revisions are introduced, or at a subsequent meeting. Revisions must be considered at meetings in which a majority of the members of the College Senate are present. A 2/3 vote of those present and voting is required for passage.
- 103 **Section 4.** In the event that the Board of Trustees, or the Executive Committee of the Board, on its own initiative, proposes to revise the Bylaws, or fails to concur with the recommendations of revision, the Board, or the Executive Committee of the Board, on its own initiative, shall confer with the Administrative Council prior to taking final action.
- 104 **Section 5.** To the extent that the organization of committees and councils in these Bylaws parallels the organization of Trustee committees, the President shall seek to arrange for joint consultative sessions of the parallel committees during the annual meeting of the Board of Trustees, and at other times when the respective committees shall request such consultation. Prime consideration shall be given to arranging for meetings of the Administrative Council, the Personnel Committee, and the Curriculum Committee with their appropriate counterparts on the Board of Trustees. In addition, the Administrative Council shall select from its Subcommittee on Budget one of its student members and one of its teaching faculty members to sit with the Budget Control Committee of the Board of Trustees; and the Administrative Council shall select another of its student members and another of its teaching faculty members to sit with the Executive Committee of the Board of Trustees.
- 105 **Section 6.** The democratic principle of participation in the creation of college policy is affirmed.
- 106 **Section 7.** Acting under the legal authority of the Board of Trustees, the

President can return to the Senate or to the committees for reconsideration bills or actions which he deems to be not in the best interests of the college. A bill or action so returned would go to the committee of origin and would be accompanied by a written statement from the President of the reasons why he is requesting reconsideration. If the rationale offered by the President is not accepted by the committee or by the Senate and the bill or action passes a second time, the President would have the alternatives of either permitting it to pass on to the Trustees for their consideration or vetoing it. In the latter case, he would send a report of his action and the reasons for it to the Executive Committee of the Board of Trustees, which would review the action at its next regularly scheduled meeting. The Executive Committee could then either uphold or overturn the veto.

- 107 **Section 8.** The Secretary of the College Senate shall transmit its minutes, resolutions, and matters requiring attention to the Board of Trustees.

- 108 **Section 9.** The agenda of the College Senate shall be made available to campus publications at least forty-eight hours prior to Senate meetings. Copies of the minutes of the Senate and the Administrative Council shall be placed in the library, and the minutes of the College Senate and of college committees shall be open to members of the college community. The minutes of the College Senate shall be made available for publication in the college newspaper.

- 109 **Section 10.** Administrative personnel who are members of Senate, faculty members of Senate, and all students are eligible for committee membership. The Board of Trustees and Alumni Association shall designate members of those respective groups to the College Senate, Administrative Council, Curriculum Committee and Personnel Committee as specified in Article II, VII, X, and XI. Unless otherwise specified, membership on committees and councils will be from July 1 to June 30.

- 110 **Section 11.** Unless otherwise indicated in these Bylaws, the procedures of Robert's Rules will be followed. A quorum for the Senate and its committees and councils is forty percent of the respective memberships, fractions being disregarded.

- 111 **Section 12.** All recommendations from committees to the College Senate shall be accompanied by written reasons for the recommendations.

Article II. Membership of the College Senate

- 200 **Section 1.** The College Senate shall be composed of representatives of

administrators, administrative officers, alumni, faculty, students, and Trustees as follows:

- 201 A. Faculty members who at the beginning of a given term are under a full-time teaching contract are members for that term. For purposes of these Bylaws, a full-time teaching contract is one which obliges the faculty member to assume a full teaching load in keeping with accepted departmental practice for a period of not less than an academic term, or in lieu thereof, to undertake sabbatical duties with a view to continuing full-time teaching. Full-time librarians with faculty status shall be faculty members of Senate. The list of those meeting these qualifications shall be certified by the Vice President for Academic Affairs at the beginning of the spring term. A supplemental list shall be certified at the beginning of the fall and winter terms as needed.
- 202 B. Students enrolled at Otterbein College are eligible to serve in the College Senate and its committees. The student representation shall consist of one student representative elected by the majors in each department, and an additional number to balance the number of faculty Senators certified by the Vice President for Academic Affairs at the beginning of the autumn term. Upon taking office, student trustees shall also become members of College Senate for the duration of the term as trustee. The three student trustee positions shall be counted toward the total number of student senators. The balance of student senators shall be elected at-large from candidates who have indicated their interest in writing, at an election in the autumn term before the first meeting of Senate. The candidacy forms shall be provided by the Senate Secretary. Each student shall cast a ballot for a maximum of fifteen candidates, and the candidates shall be ranked according to the number of votes received, and in cases of ties, according to tie-breaking rules established by the Senate, until the number of vacancies shall be filled. If the required number of students is not elected, those positions on the College Senate shall remain unfilled. The nominating procedures and other details connected with at-large student elections shall be governed by resolution of the College Senate.
- 203 C. The administrative members of the College Senate shall consist of a number of administrators which is not fewer than thirty percent of the number of faculty members and not more than forty percent of the number of faculty members. The number of faculty members used to determine the number of student senator positions in a given school year shall also be the number used to determine the number of administrative senator positions for that same school year. The administrative members shall include the President of the College and each Vice President. All additional administrative members shall be designated by the President after consultation with the Vice Presidents.

- 204 D. The Chairman of the Board of Trustees shall appoint three
Trustees to the College Senate for terms of 1 year, subject to the tenure
limits given in these Bylaws.
- 205 E. The President of the Alumni Association shall appoint three
graduates of the college to the College Senate for terms of 1 year,
subject to the tenure limits given in these Bylaws.
- 206 F. Membership in the College Senate shall extend from July 1 to June
30. Elections to the Senate and to committees and councils of the Senate
shall be held during the spring term.
- 207 **Section 2.** At any time immediately before or during a Senate year, a
senator may resign her/his senate office for any reason for the remainder
of the Senate year by submitting a written statement to that effect to the
Senate president.

Article III. Functions of the College Senate

- 300 **Section 1.** The College Senate shall act as a legislative body in such
affairs as are delegated to it by the Board of Trustees. These shall
include, but not be limited to, the following:
- 301 A. to assist in establishing the educational aims and purposes of the
college;
- 302 B. to establish, subject to the approval of the Board of Trustees,
academic standards and policy for the admission, retention, and
graduation of students;
- 303 C. to establish, subject to the approval of the Board of Trustees, the
curriculum necessary to achieve the educational aims of the college, as
well as to review periodically that curriculum;
- 304 D. to establish, subject to the approval of the Board of Trustees,
policies and regulations affecting student welfare such as housing, food,
health, dress, general behavior, the Campus Center and bookstore;
- 305 E. to establish, subject to the approval of the Board of Trustees,
policies affecting social activities on campus such as traditional events,
cultural events, exhibitions and all-campus events;
- 306 F. to establish, subject to the approval of the Board of Trustees,
policies affecting all forms of student financial assistance administered
by the Financial Aid Officer;

307 G. to approve the original provisions and the amendments of charters
for campus organizations;

308 H. to superintend the annual review of the social regulations of the
college;

309 I. to make recommendations for consideration by the appropriate
administrative officers, or the Board of Trustees, concerning other
matters relating to the welfare of the college.

Article IV. Organization of the College Senate

400 **Section 1.** The presiding officer of the College Senate shall be the
President of the College or in the President's absence the Vice President
for Academic Affairs and then successively the Vice President for
Student Affairs, the Vice President for Business Affairs, the Vice
President for Development, and the Vice President for Admissions and
Financial Aid. If a special meeting of the Senate is requested by a
petition of ten or more voting members of the College Senate under the
provisions of section 3, and if none of the appropriate presiding officers
under this section are able to convene the requested meeting, the
petitioners may select one of themselves to convene the meeting. If a
quorum is present, the Senate shall immediately act to select one of its
own members to preside over the business brought before the Senate.
Senators who have a scheduled class during the Senate meeting time may
request, prior to the first Senate meeting of the quarter, an excused
absence for that quarter only and thus not be counted in the number
required for quorum.

401 **Section 2.** There shall be a trained Secretary of the College Senate, not
necessarily a member, appointed by the President of the College. The
Secretary shall be responsible for preparing agenda of meetings and
communicating such agenda and proposals to the College Senate
members in advance of meetings. The Secretary shall supervise the
taking of minutes and shall codify College Senate actions. He shall keep
the records in such a manner that they can be readily inspected by
members of the college community. The Secretary shall assist those
preparing resolutions in determining how such resolutions would be
affected by previous actions recorded in the College Senate code.

402 **Section 3.** Regular meetings of the College Senate shall be held on the
fourth and eighth Wednesdays of each term during the academic year.
Special meetings of the College Senate may be held during the academic
year at the call of the presiding officer or upon the request of ten voting
members of the College Senate transmitted in writing to the presiding
officer as designated in this Article, Section 1.

- 403 **Section 4.** The agenda for each regular College Senate meeting shall be in the members' mailboxes forty-eight hours (excluding Saturdays, Sundays and holidays) in advance of the meeting. The agenda shall contain such items as the campus committees or members of the College Senate shall request the Secretary to include. For any subject requiring a vote, the proponents shall prepare a detailed report for distribution with the agenda, such reports to include proposed resolutions and substantiating statements. The College Senate shall have the right to waive the forty-eight hour rule by majority vote of the members present and voting.
- 404 **Section 5.** Except for the Administrative Council, Curriculum Committee, and Personnel Committee, nominations of administrative personnel, faculty and students for councils and standing committee membership shall be made by the Administrative Council. Additional nominations may be offered by petition in accordance with Senate resolutions. Nominations for the Administrative Council and Personnel Committee must be by petition only, unless an insufficient number of candidates petition to fill the vacancies. In that case, the Administrative Council shall nominate additional candidates sufficient to provide at least one candidate per open position. There shall be no circulation, publication, or offering for publication, of the list of those nominated by the Administrative Council until the list of all candidates is distributed to Senate members. The list shall indicate which candidates have been nominated by the Administrative Council.
- 405 A. The Secretary shall prepare ballots showing the names of the nominees, and no distinction shall be made on the ballot between those nominated by the Administrative Council and those nominated by petition.
- 406 B. For standing committee and council positions, each Senate member may vote for as many of the nominees as there are numbers of positions to fill on each committee. The nominees shall be ranked according to the number of votes received, and the highest ranked shall be declared elected relative to the number of vacancies on the respective committees.
- 407 C. In cases of ties, precedence in determining those elected shall be determined by Senate resolution. In each case where there is no contest by reason of the number of nominees equaling the number to be elected, the presiding officer shall declare the nominees elected without it being necessary to cast votes and count the same.
- 408 **Section 6.** All standing committees shall submit written reports of their actions to the Secretary of the College Senate and the members of the College Senate, eight days prior to each scheduled Senate meeting. These reports will be included in the Senate agenda packets. In

accordance with parliamentary practice, all committees shall report annually to the College Senate on their activities and shall present special reports when such are requested by it.

- 409 **Section 7.** The President shall determine which persons shall occupy committee posts in cases where the occupant is described by administrative or staff function rather than by specific title. The President shall be an ex-officio member of all standing committees and councils, except the Judicial Council and the Appeals Council. He may appoint another person to serve as his representative in his absence.
- 410 **Section 8.** The Administrative Council shall appoint persons to fill vacancies for unexpired terms on committees and councils described in these Bylaws until the succeeding July 1. Vacancies for the remaining portion of the committee and council unexpired terms extending beyond June 30 of a given academic year shall be filled by the spring Senate elections following the nominating and voting procedures as prescribed in Article IV, Section 5, and Article VI. The Division Chairman in every division shall appoint student or faculty replacements for vacancies on the Curriculum Committee. The period of time in which a person serves as a replacement for a vacancy shall not be counted in determining whether he is eligible for continuing service (in that position which is limited as to duration of service) unless the period of replacement exceeds one year. Senate, committee, or council vacancies shall exist whenever a person is removed, resigns from the governance position, changes his college status qualifying him for his position, or undertakes a leave or off-campus program without the expectation or eventuality of returning the following academic term. Committee or council positions temporarily vacated, presumably for a term or less, may be filled by the Administrative Council at its discretion, but the Administrative Council shall fill temporary vacancies in the Judicial Council, Academic Council, Traffic Council, and Appeals Council no later than necessary to deal with arising cases. Regular or temporary vacancies in departmental seats of student Senators may be filled by the respective department meetings. Regular vacancies in at-large Senate seats shall be filled by selecting from the at-large election list the next eligible Senator to serve, ties being resolved by the Administrative Council. A member of the Senate, committee, or council, replaced under the condition of a temporary vacancy, shall resume office upon return to campus by appearing at a meeting of the body embracing the office and claiming his seat.
- 411 **Section 9.** Students and others may attend meetings of the College Senate in the area designated as the gallery, except that the College Senate may bar the presence of visitors by adoption of a motion which substantiates the reasons for declaring that the College Senate shall sit in executive session.

412 **Section 10.** The following procedures shall govern the treatment of
absences of committee members other than those named by the Alumni
Association, the Trustees, or those on approved leaves or off-campus
programs:

413 A. After an elected member misses two meetings, the committee
chairman shall notify the member that a third absence may result in
removal from the committee.

414 B. After an elected member misses three meetings in an academic
year, the committee chairman shall notify the member that consideration
of his removal and replacement is being proposed to the Administrative
Council, and the member shall be informed of the time and place of the
next Administrative Council meeting occurring no sooner than five class
days following the time of the notice. At that meeting, or at a
subsequent meeting, the Administrative Council shall decide whether the
member shall be removed and replaced.

Article V. Organization of Divisions and Departments

500 **Section 1.** The chairmen of the divisions with terms beginning the
September 1st following their election shall be elected biennially in April
by the members of the respective divisions. All full-time faculty
members shall be eligible to serve as Division Chairmen.

501 **Section 2.** The election shall be by ballot. The names of three members
of the division shall be placed in nomination from the floor for the office
of Division Chairman in each election. A plurality of votes shall decide
which nominee shall be division chairman (a tie vote being resolved by a
run-off ballot).

502 **Section 3.** The Divisions of the Arts and Social Sciences shall elect
chairmen in even-numbered years; the Divisions of Professional Studies,
Science and Mathematics, and Humanities shall elect their chairmen in
odd-numbered years.

503 **Section 4.** The Division Chairmen shall convene the divisions for the
purpose of discussing division matters and other subjects submitted for
consideration by the administration or by voting members of the
division.

504 **Section 5.** Any proposal for the reorganization or realignment of the
divisional structure may originate with the College Senate, or with the
Trustees, and then be taken to the Administrative Council for
adjustment.

505 **Section 6.** In accordance with the election schedule adopted by the

College Senate, the chairman of each department shall summon the students majoring in that department to a meeting with the teaching faculty of that department. The prime order of business shall be the election of student Senators and of student departmental representatives to the divisions and departments by the students present, the elected representatives to be equal in number to the number of the faculty members. These elected student representatives shall attend departmental meetings during the subsequent academic year, which shall be held at least once each term. While departmental decisions may be reached by consultation and consensus, it shall always be in order at a departmental meeting for any of the departmental faculty and student representatives to offer a motion relative to departmental decisions and to vote thereon when such a motion is seconded and otherwise made eligible for a vote according to parliamentary procedure. Departmental student representatives shall be entitled to attend division meetings as voting members.

- 506 **Section 7.** By the end of Spring Quarter the Library Director will appoint one librarian to each academic division. The librarians will serve one-year terms as voting members and liaisons with the Library. The librarians are eligible for election to committees within the divisions; however, only one librarian may serve on any committee at a time.

Article VI. Nominations and Elections to Committees

- 600 It shall be a responsibility of the College Senate to establish the specific election procedures for electing members to the College Senate and its standing committees. Any recommended changes and the specific election schedule for the next academic year should be concluded no later than the May Senate meeting.
- 601 The Administrative Council shall make recommendations for such changes. The current procedures shall be printed in the Campus Life Handbook.

Article VII. The Administrative Council

- 700 **Section 1.** The Administrative Council shall be organized as follows:
- 701 A. The members of the Administrative Council shall be the President and the Vice Presidents of the college, six faculty members, and six students. The faculty and student members shall be nominated and elected in accordance with the provisions of Article IV, Section 5, and Article VI. The Chairman of the Board of Trustees shall appoint one Trustee to the Administrative Council for a term of 1 year, subject to the tenure limits given in these Bylaws. The President of the Alumni

Association shall appoint one graduate of the college to the Administrative Council for a term of 1 year, subject to the tenure limits given in these Bylaws. No elected member shall serve for more than four consecutive years.

- 702 B. The Administrative Council shall establish a regular meeting day, and the President shall serve as its chairman. In his absence succession to the chairmanship shall devolve upon the Vice President for Academic Affairs, and in his absence, upon the present faculty member with the longest term of service at Otterbein College.
- 703 C. The President shall annually appoint a Secretary whose duty it shall be to record the minutes and circulate them to all members of the College Senate.
- 704 D. Special meetings of the Administrative Council shall be called upon the request of two members of the Administrative Council to the Chairman.
- 705 E. The first item of business at each meeting of the Administrative Council shall be the adoption of the agenda which shall comprise items brought to the council by any of its members.
- 706 **Section 2.** The Administrative Council shall have the following functions:
- 707 A. to advise the President and the Senate concerning the general development of the college and to provide general leadership on campus in matters of concern to the college;
- 708 B. to advise the President and the Board of Trustees concerning the college budget and to set up a committee for this purpose composed of the President, the Vice President for Academic Affairs, the Vice President for Business Affairs, the Vice President for Development, the Treasurer, two faculty members, and two students;
- 709 C. to serve as a forum to hear any matter concerning college problems which any members of the administration, faculty, or student body may wish to petition to have brought before the Administrative Council for consideration;
- 710 D. to serve as the nominating committee for standing committees, its nominations to be subject to approval by the Senate which shall have opportunity to add nominations by petition in accordance with Senate resolutions;
- 711 E. to resolve questions of proper committee jurisdiction;