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OTTERBEIN
UNIVERSITY

Faculty Manual

INTRODUCTION

This *Faculty Manual* represents a revision of the 2002 *Faculty Manual*, approved by the Board of Trustees in February 2009. The revisions were suggested by a committee working in consultation with the Personnel Committee and the Faculty Council Executive Committee.

The *Faculty Manual* contains two components: general policies and personnel policies. The general policies present information intended to help orient new faculty members to Otterbein University and to serve as a reference for University policies and procedures. The second component details personnel policies and procedures that pertain to appointments, annual evaluation, tenure, renewal, promotion, termination, appeals, sabbaticals, and leaves.

Although additional University policies affecting faculty may appear in other campus publications or media, such as the University catalog, website or administrative memos, the *Faculty Manual* is a singularly important document, and should be considered the primary reference concerning the relationship between Otterbein University and individual faculty members. To ensure that the *Faculty Manual* remains current and relevant, the contents of this manual are subject to change through the established procedures of the University.

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SECTION ONE

VISION AND MISSION OF THE UNIVERSITY AND STATEMENTS ON DIVERSITY AND ACADEMIC FREEDOM

VISION STATEMENT

Otterbein University will be nationally recognized as a model community of educators, leaders, and learners who set the pace for higher education and contribute to the common good.

MISSION STATEMENT

Otterbein is an inclusive community dedicated to educating the whole person in the context of humane values. Our mission is to prepare graduates to think deeply and broadly, to engage locally and globally, and to advance their professions and communities. An Otterbein education is distinguished by the intentional blending of the liberal arts and professional studies, combined with a unique approach to integrating direct experience into all learning.

STATEMENT ON DIVERSITY AND INCLUSION

In its mission to educate the whole person in a context that fosters the development of humane values, Otterbein University is committed to the values and practices of diversity and inclusion. Diversity refers to the variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include but are not limited to race, ethnicity, nationality, gender, age, religion, language, abilities/disabilities, sexual orientation, gender identity, socioeconomic status, and geographic region. To ensure that all members of the Otterbein community have the opportunity to participate and contribute to the community, the University is committed to inclusive practices. In an inclusive organization, each person's resources and contributions are recognized, respected, and used in service to the organization's goals. Otterbein considers diversity and inclusion to be integral parts of the University's achievement of excellence, its commitment to life-long learning and human flourishing, and its pledge to recognize and nurture merit, talent, and achievement.

ACADEMIC FREEDOM 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 Universities 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

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.

Faculty members are entitled to freedom in the classroom in discussing their subject matter, but should be careful not to introduce into the classroom teaching controversial material that has no relation to the subject.

Faculty members are citizens, members of a learned profession, and officers of an educational institution. When faculty members speak or write as citizens, they should be free from institutional censorship or discipline; but, this special position in the community poses special obligations. As scholars and teachers, faculty members should remember that the public might judge the profession and the institution by their utterances. Hence, faculty members should at all times strive to be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that when they express their opinions, these opinions are not presented as institutional statements.

SECTION TWO

FACULTY PERSONNEL POLICIES AND PROCEDURES

I. Full-Time and Part-Time Faculty

A. Appointments

1. Selection Process for Full-Time Appointments

Departments initiate the appointment process for new full-time faculty positions by submitting a position request to the School Dean. The School Dean submits the request along with his or her recommendation to the Provost and Vice President for Academic Affairs. The request is reviewed by the Personnel Committee in consultation with a subcommittee of the Curriculum Committee. This joint committee then makes its recommendations to the Provost. The recommendations are taken forward to the President who, in consultation with the Provost, makes the final decision.

Upon approval of the position, departments will advertise the position in appropriate publications, determined in consultation with the School Dean and the Office of Academic Affairs. The School Deans will monitor all searches. The University encourages applications from minorities and women.

2. Search Procedures for Full-Time Faculty Appointments

a. Categories of Full-Time Appointments

- 1) **Tenure-Track Appointments:** All Tenure-Track positions must be filled through a competitive national search process.
- 2) **Non-Tenure-Track Appointments:** Non-Tenure-Track Appointments must be filled through a competitive national search process, but in rare cases, at the discretion of the Provost, and in consultation with the appropriate School Dean and the Department Chair, an exception to this requirement may be allowed.
- 3) **Visiting Faculty:** Upon the recommendation of the Department Chair or the School Dean, and with the approval of the Provost/VPAA, Visiting positions may be filled without a national search. Visiting positions are for one year at a time, with possibility of annual renewal for a maximum of three years. Under no circumstances may a faculty member remain in a Visiting position for more than three years.

See Appendix H, Search Procedures for Full-time Faculty.

3. Selection Process for Part-Time Appointments

Part-time faculty will be selected by Department Chairs in consultation with the School Dean. For the specific procedures guiding the hiring of part-time faculty, see the “Managers and Supervisors” page on the HR Intranet: www.otterbein.edu/intranet/HR/managers.aspx.

4. Other Employment

a. Employment of Members of the Same Family.

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

b. Employment Outside of the University and Outside Activities.

Unless otherwise specified, members of the faculty are full-time employees of the University. 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 is 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 university duties. Those outside activities that 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 University are expected to consult with the department Chair and their School Dean prior to involvement. The faculty member should submit a letter for approval through their School Dean to the Provost outlining the nature of the work to be accomplished and the estimated degree of interference with university 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

Annual appointments are from two weeks prior to the first day of fall semester to three weeks after spring commencement ceremonies. (Summer contracts are separate and do not include fringe benefits.)

Academic departments may propose to the School Dean for individual faculty contract(s) that include a 12-month period of time based on the needs of the department and request of an individual faculty member. A request for faculty teaching their full-teaching load across a calendar year may be granted by the School Dean. A 12-month appointment may be granted based on the ability of the department to assign faculty to fall and spring terms without additional overload for full-time faculty or adding adjunct part-time faculty above the expected and usual number and ability of the department to adequately staff all required/desired summer courses offered by the department.

Request for 12-month contracts are due to the School Dean by the middle of the fall semester (with a decision by the end of the fall semester) before the 12-month contract is realized beginning the next fall. Expectations of faculty for teaching, scholarship and service remain unchanged. Faculty teaching on a 12-month contract receive no additional benefits, should use semester breaks when classes are not in session for time away from campus and, if eligible, the 12-month contract will count as only two semesters in a faculty member's count toward sabbatical.

Academic departments that have programs requiring a heavy summer schedule of classes may propose to the School Dean for selective faculty to have an alternative annual appointment that would include either a summer/fall or spring/summer schedule. Alternative appointments may be granted based on the need of the department to teach summer classes and the ability of the department to assign faculty to fall and spring terms without additional overload for full-time faculty or adding adjunct part-time faculty above the expected and usual number.

Request for an alternative appointment are due to the School Dean by the middle of the fall semester (with a decision by the end of the fall semester) before the alternative annual appointment is realized beginning the next fall. Faculty on an alternative appointment should not be assigned overload teaching during any part of the academic year. Expectations of faculty for teaching, scholarship and service remain unchanged. Faculty on alternative appointments receive no additional benefits, should use the semester off for time away from campus and should make themselves available for summer assignments that are above and beyond regularly scheduled committee service. Departments with ongoing alternative appointments should attempt to rotate the alternative appointment among full-time faculty members with no one faculty member serving in an alternative appointment for more than three (3) consecutive years.

The faculty consists of individuals in tenured, tenure-track, non-tenure-track, visiting, part-time (adjunct and affiliate), and special appointment positions.

1. **Tenured Faculty** Tenured faculty are those who will be offered successive annual contract letters by the University in recognition of continued good service and future potential.

2. **Tenure-Track Faculty** 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 non-tenure-track appointment.
3. **Non-Tenure-Track Faculty** Non-Tenure-Track (NTT) faculty are those who teach on one-year contract letters, renewable upon the Chair's recommendation for up to six years. After the six years, appointments will be for three-year terms, with reviews conducted by the Chair and School Dean during the third year for continuing appointments. If the contract is not renewed, a terminal contract letter will be issued for the next year. Under no circumstances does a non-tenure-track contract convey the expectation to, or possession of, a tenure-track or tenured appointment. NTT faculty are eligible for travel and FSDC funds.
4. **Visiting Faculty** 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. Under no circumstances may a faculty member remain in a Visiting position for longer than three years.
5. **Adjunct Faculty** The term adjunct preceding the rank is used for paid part-time appointments. The Provost will confer the rank in consultation with the School Dean and Department Chair. Adjunct full, associate, and assistant professors must have a terminal degree in their field. Adjunct faculty without a terminal degree will be appointed adjunct instructors.
6. **Affiliate Faculty** Affiliate faculty are professionals who have teaching, or clinical expertise, or who provide other kinds of professional support for specific academic programs. These appointments will be made upon the recommendation of the Department Chair and Dean. The usual appointment duration is one year but such appointments may be designated as 3-5 year appointments, with the approval of the chair, Dean, and Provost. These positions may be paid or unpaid. The following ranks will be conferred as appropriate: Affiliate or Clinical Assistant Professor; Affiliate or Clinical Associate Professor; Affiliate or Clinical Professor; Affiliate or Clinical Instructor; or Affiliate or Clinical Senior Instructor. Affiliate faculty may request and receive courtesy benefits such as email, library access, and parking during the terms of their appointment.
7. **Special Appointments** These are for people with special professional expertise on short-term appointments. These will be semester- or year-long appointments. The following titles will be conferred as appropriate: Executive in Residence; Writer in Residence; Artist in Residence; or Educator in Residence. Other titles may be added as needed.

8. **Part-Time Appointments** Part-time faculty appointments will be made at the discretion of the Provost. 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.
9. **Curricular Support Faculty** These positions are for people who work in curricular support units, such as the Academic Support Center, Center for Teaching and Learning, or the Library. While these appointments may be NTT, part-time, tenure-track, tenured, dual administrative/faculty appointments, or other approved types of appointment, they typically have variations in expectations and employment conditions. Curricular support faculty may teach traditional classes but also have teaching and advising roles that are not credit-bearing courses (e.g., research consultations, information literacy, academic coaching, learning strategy workshops, training and professional development of student staff, faculty professional development, and teaching and learning consultations). They also have significant administrative responsibilities in units other than disciplinary academic departments (Library, ASC, CTL). Responsibilities, workload, performance criteria, sabbatical eligibility, and calendar are defined at the discretion of unit Directors and the Dean/Provost, and shall be outlined in individual position descriptions, and shall include faculty peer evaluation. (Details on librarian appointments are outlined in Appendix C.)

C. Ranks

1. Tenured/Tenure-Track Faculty
 - a. **Professor:** Earned doctoral degree or equivalent terminal degree; extensive, documented experience as a successful teacher and excellence in scholarship/creative work as specified in Departmental and Institutional Statements on Scholarship and Creative Work; and demonstrated leadership in teaching excellence, advising, professional development, scholarship/creative work, and service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval.
 - b. **Associate Professor:** Earned doctoral degree or equivalent terminal degree; documented experience as a successful teacher; and demonstrated success in professional development, advising, scholarship/creative work as specified in Departmental and Institutional Statements on Scholarship and Creative Work, and service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval.

- c. **Assistant Professor:** Earned doctoral degree or equivalent terminal degree, and demonstrated potential for success in teaching, advising, professional development, scholarship/creative work, and service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval.

Note: All Tenured/Tenure-Track Faculty are eligible for Dean's Travel, FSDC, and other faculty development awards.

2. Non-Tenure-Track Faculty

- a. **Professor:** Persons with an earned doctoral degree or equivalent terminal degree whose contract is for a specified renewable term; evidence of continued professional development and extensive, documented experience as a successful teacher; and demonstrated leadership in at least one of the following areas: teaching, professional development, advising, scholarship/creative work, or service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval.
- b. **Associate Professor:** Persons with an earned doctoral degree or equivalent terminal degree whose contract is for a specified renewable term; evidence of continued professional development and documented experience as a successful teacher; and demonstrated success in at least one of the following areas: advising, scholarship/creative work, or service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval.
- c. **Assistant Professor:** Persons with an earned doctoral degree or equivalent terminal degree whose contract is for a specified renewable term; and demonstrated potential for success in teaching and at least one of the following areas: advising, professional development, scholarship/creative work, or service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval.

- d. **Senior Instructor:** Persons with a Master's but no doctoral or equivalent terminal degree whose contract is for a specified renewable term; documented experience as a successful teacher; and demonstrated success in at least one of the following areas: advising, professional development, scholarship/creative work, or service.
- e. **Instructor:**
 - 1) Persons with a Master's degree but who have not completed a terminal degree and whose contract is for a specified renewable term. Demonstrated potential for success in teaching and at least one of the following areas: advising, professional development, scholarship/creative work, or service.
 - 2) Persons with a master's degree who are appointed into a tenure-track line but who have not yet completed their doctoral or equivalent terminal degree. Such faculty are automatically promoted to the rank of Assistant Professor and moved into the tenure-track category upon the successful completion of the doctoral degree or equivalent terminal degree within the timeframe specified by the University 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 University of an official transcript reflecting the degree.

Note: All NTT Faculty are eligible for Dean's Travel, FSDC, and other faculty development awards.

3. Visiting Faculty: Visiting faculty may hold the ranks of Professor, Associate Professor, Assistant Professor, or Instructor, as appropriate. A terminal degree is required for the rank of Assistant Professor and above. All Visiting Faculty are eligible for Dean's Travel, FSDC, and other faculty development awards.

4. Adjunct Faculty: Adjunct faculty may hold the ranks of Adjunct Full, Associate, or Assistant Professors, as appropriate provided they have obtained a terminal degree in their field. Adjunct faculty without a terminal degree will be appointed Adjunct Instructors.

5. Affiliate Faculty: The following ranks will be conferred as appropriate: Affiliate or Clinical Assistant Professor; Affiliate or Clinical Associate Professor; Affiliate or Clinical Professor; Affiliate or Clinical Instructor; or Affiliate or Clinical Senior Instructor.

D. Credit for Prior Employment

- 1. Faculty who are currently employed by Otterbein University and who are moving from non-tenure-track to tenure-track appointments may claim up to three years of credit toward promotion and/or tenure for their previous, full-time faculty employment at Otterbein.

2. A Ph.D. or equivalent terminal degree is required for all non-tenure-track faculty who wish to be considered for a tenure-track position.
3. Upon recommendation of the Department Chair and School Dean, and with the approval of the Provost/VPAA, newly appointed faculty at Otterbein may claim up to three years of credit toward promotion and/or tenure for previous full-time faculty service at another accredited academic institution, or an equivalent position at a research institution or other similar institution.
4. In all cases, credit toward promotion and/or tenure must be negotiated at the time of appointment to tenure-track. 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. For details see 3B.

E. Earned Professional Degree Equivalency Policy

Individual Departments must initiate and approve tested experience before a proposal goes to the appropriate Dean and the Provost and Personnel Committee for approval. In most cases the earned professional degree equivalency will be in lieu of a terminal degree. But in rare instances some departments may opt to apply the earned professional degree equivalency in lieu of both the undergraduate and terminal degrees. This policy is intended to be applied only in rare cases and should be determined to pose no threat to any of the general education programs whose courses require those teaching them to have earned a degree higher than the one the students are currently pursuing.

The following Ohio Department of Higher Education Guidelines should be factored in decisions regarding granting earned professional degree equivalency:

1. "A faculty member who has extraordinary practical or tested experience in a field that has been validated through publication and/or public recognition (such as in creative writing, painting, music, foreign language, or other areas of performance)."
2. "In instances where a degree one level above the degree that students are seeking is not widely available (e.g., for instructors of certain technically-, professionally, or occupationally-related courses), the chief academic officer, in collaboration with the faculty, determines appropriate qualifications and applies them consistently."
3. "Faculty members who possess the appropriate credential in their discipline but who teach in related disciplines; for example, engineering faculty members teaching math or business faculty members teaching economics."
4. "Faculty members with extraordinary professional experience brought in to teach a single course in a professional or technical area; for example, a successful entrepreneur teaching a course on commercialization."

The Provost is ultimately responsible for ensuring the following:

1. That faculty credentialing requirements are met;
2. That instructors who are working toward meeting credentialing requirements are appropriately mentored and making substantial progress in their coursework;
3. That exceptions to the requirements are carefully considered and justified; and
4. That exceptions are reserved for a small number of uniquely qualified individuals.

While an individual cannot be expected to fulfill all of the criteria listed below, they should satisfy as many of the criteria as possible to be deemed qualified through alternative credentialing.

1. Documentation of non-teaching work experience, including length of service, complexity of work, and closeness of the relationship between work performed to courses the faculty member would be eligible to teach.
2. Reputation, especially at a state or national level. This must be demonstrated to the satisfaction of the Department and the University.
3. Possession of special certifications or licenses.
4. Publications or Professional Creative Work at a state or national level. This must be demonstrated to the satisfaction of the Department and the University.
5. Possession of awards/honors/commendations in the field.
6. Professional union affiliations deemed the professional standard in one's field.
7. Evidence of excellence in the profession closely associated with their teaching field.
8. Experience teaching university-level courses.

II. Faculty Performance Criteria, Responsibilities and Procedures

A. Performance Criteria

All full-time faculty are expected to meet Otterbein's performance criteria for teaching, advising, professional development, scholarship/creative work, and service, as appropriate for their appointment category, i.e. tenure-track, non-tenure-track, or visiting.

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 peer evaluation, student course evaluation forms approved by the University, and through analysis and interpretation of these evaluations by the Department Personnel Evaluation Committee (DPEC), the School Personnel Evaluation Committee (SPEC), the School Dean, the Personnel Committee, and the Provost. As part of each faculty member's ongoing performance evaluation, department Chairs are also required to observe and evaluate the classroom teaching of all full-time department members in the years established for performance evaluation. 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 University. All course evaluations are submitted as part of the performance evaluation.

Tenured faculty must evaluate and submit, as part of the ongoing performance evaluation, a minimum of two courses annually, using the official "Student Course Evaluation Form" approved by the University.

Non-tenured track faculty must evaluate and submit all course evaluations annually for a minimum of the first three years of service. After three years of service, NTT faculty must submit, as part of the ongoing performance evaluation, a minimum of two courses, using the official "Student Course Evaluation Form" approved by the University.

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

2. Advising

Otterbein recognizes the importance of academic advising in promoting student satisfaction and retention. Hence, all full-time faculty at Otterbein University serve as academic advisers. 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 University 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. Scholarship

Otterbein University's vision is to "be nationally recognized as a model community of educators, leaders and learners who set the pace for higher education and contribute to the common good." Our mission is to "prepare graduates to think deeply and broadly, to engage locally and globally, to advance their professions and their communities" and an Otterbein education "is distinguished by the intentional blending of the liberal arts and professional studies." (Statement of Institutional Mission and Philosophy). We believe that effective teaching is critical to our success in achieving this vision and mission, and that scholarship/creative work 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 and presenting at professional, national, regional, or local conferences or meetings of professional organizations, and attending faculty development workshops aimed at developing/renewing teaching, scholarship/creative work, advising or service.

"Scholarship/creative work" is often an outcome of professional development. Because of the breadth of our mission, we recognize that scholarship/creative work may take many forms across our campus and within different departments. Scholarship may advance 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/creative efforts:

1. The scholarship/creative work complements the mission of the department and the institution.

2. The scholarship/creative work requires a high level of discipline-related or interdisciplinary expertise.
3. The scholarship/creative work breaks new ground, is innovative.
4. The scholarship/creative work can be replicated or elaborated.
5. The scholarship/creative work can be documented.
6. The scholarship/creative work is peer-reviewed.
7. The scholarship/creative work has significance or impact.

All faculty preparing portfolios for tenure, interim-tenure, or promotion review must provide written documentation of both "professional development" and "scholarship/creative work." In documenting the quality, scope, and direction of their scholarship/creative work, faculty should address the characteristics above. While "peers" (#6) may include those on the Otterbein campus, for decisions affecting tenure or promotion, external review beyond Otterbein is required.

As part of the review process, departments must also provide a "Departmental Statement on Scholarship/Creative Work" that assists the faculty member, the Department, the SPEC, the School Dean, the Personnel Committee, the Provost, and the President (all levels of review) in understanding the departmental mission and priorities as they relate to individual scholarly/creative work efforts. Individual efforts must meet both the departmental and institutional scholarship/creative work expectations, with the understanding that should a conflict arise, the University Statement assumes primacy.

4. Professional Development

We believe that effective teaching is critical to our success in achieving the University's vision and mission, and that professional development work 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 and presenting at professional, national, regional, or local conferences or meetings of professional organizations, and attending faculty development workshops aimed at developing/renewing teaching, scholarship/creative work, advising or service.

5. Service

All faculty at Otterbein must evidence a commitment to the mission of the University 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, providing professional workshops for peers, or

demonstrating leadership in successful accreditation or program review. At the university-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 University, service may include activities that positively connect Otterbein and its mission to alumni, schools, organizations, and communities locally, nationally, or internationally.

6. 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 University 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. Faculty Employment Responsibilities and Workload

1. Teaching Load

The normal academic year teaching load for full-time tenured and tenure-track faculty at Otterbein University is 21 load hours, while it is 24 load hours for non-tenure-track faculty. The normal academic year teaching load for tenure-track faculty in their first two years of employment at Otterbein University (if not receiving credit toward tenure for prior employment) is 18 load hours. Tenure-track faculty receiving credit toward tenure will have a reduced teaching load of 18 load hours for one year of employment at Otterbein University. Contingent upon the School Dean and the Provost/VPAA's approval, the Department Chair may adjust a faculty member's teaching load.

One teaching "load hour" typically corresponds to 750 minutes of contact with students per term, plus preparation and grading time, usually equivalent to an undergraduate student credit hour in a conventional lecture course. A Department Chair, School Dean, or the Provost/VPAA may recommend a different teaching "load hour" assignment for certain types of courses and teaching modes. The Provost/VPAA may approve the alternate assignment after discussion with affected Department Chairs and the School Dean based on evidence for practices at peer institutions, guidelines set by relevant professional associations and/or accrediting bodies, and outside preparation/work load. The Provost/VPAA's decision and rationale will be made available to the Faculty Assembly.

Full-time faculty, Department Chairs, or School Deans may appeal the load assigned to courses or teaching modes. Using evidence provided by concerned parties, the Personnel Committee will review the load assignment(s) in question and issue a recommendation to the Provost/VPAA, which will be shared with the Faculty Assembly. The Provost/VPAA will issue a final decision and rationale, which will also be made available to Faculty Assembly.

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. Syllabus collection, even for Independent Studies Courses, is a mandated Federal Compliance procedure that is part of the Higher Learning Commission (HLC) reaffirmation of accreditation process.

Otterbein requires that all faculty include some consistent information elements on their individual syllabi. Some departments, majors, or programs may require additional elements.

- a. For a list of the required syllabus elements, see the Course Syllabi link accessed via the Faculty Resources page on the Academic Affairs Intranet site: www.otterbein.edu/intranet/academic-affairs/faculty-resources/course-syllabi.aspx. This site provides templates as a resource for faculty to use. You may create your own syllabus or modify the template, but it must contain all the required syllabus elements.

3. Scheduling Final Exams

A final examination period will be scheduled at the close of each semester in the academic calendar. Such a period will be no less than three and no more than seven days in length for semester courses. The final examination period for all night and weekend classes, and for compressed terms, 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 prior approval of the Provost or the Associate VPAA.

Faculty wishing to alter the scheduled exam time for the class set by the Registrar must formally petition the Associate Vice President for Academic Affairs with the reasons justifying the requested change. Under ordinary circumstances, the petition must be submitted no later than the Friday of the eleventh week of the semester.

4. Office Hours

Office hours are an integral part of the teaching process and of the accessibility of faculty promised to students. Therefore, faculty members should set office hours available to the majority of their students. Office hours may be offered at different times during the week. Additional hours should also be available by appointment and on-line so all students have access to faculty members. The number of weekly office hours should be sufficient for the number of courses taught each semester.

5. Academic Advising

See Section II, “Faculty Performance Criteria, Responsibilities and Procedures.”

6. Campus Involvement

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 in various activities, sharing of ideas, and serving as role models.

The focal point of an Otterbein University education is 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 University year.

7. Travel to Professional Meetings

A fund has been established in each School Dean’s Office to provide financial support for faculty travel to present at or attend 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.

C. Procedures for Evaluation

1. Faculty Performance Evaluation

Each full-time faculty member—in the appointment categories of tenured, tenure-track, non-tenure track, or visiting—will undergo ongoing evaluation of performance.

The goal of the performance 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 Faculty Performance Evaluation for that year. Faculty performance evaluations are based on the academic year (August - May) and are completed in the fall semester (prior to fall break if at all possible).

Faculty evaluations for tenured faculty must use data secured from the faculty member, the Chair's classroom observations, other peer observations, and a minimum of two course evaluations, using the official "Student Course Evaluation Form." Faculty Performance Evaluation for tenured faculty begin three (3) years after tenure or first promotion and continue every three years thereafter or more frequently as needed at the discretion of the Chair or School Dean.

Faculty evaluations for tenure-track and visiting faculty are completed annually and must use data secured from the faculty member, the Chair's annual classroom observations, other peer observations, and student evaluations of all courses evaluations, using the official "Student Course Evaluation Form" approved by the University.

Faculty evaluations for non-tenure-track faculty are completed annually for the first six (6) years of service; after six years of service, performance evaluations can be up to every three years or more frequently as needed at the discretion of the Chair or School Dean. Performance evaluations must use data secured from the faculty member, the Chair's classroom observations (completed annually for the first three years), other peer observations, and student evaluations of courses evaluations, using the official "Student Course Evaluation Form" approved by the University. All courses must be evaluated and submitted with the NTT faculty performance evaluations for the first three years of service and a minimum of two courses must be evaluated and submitted with each performance evaluation.

The faculty member and the Department Chair will discuss the evaluative data and agree upon professional goals for the next evaluation cycle 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 School Dean, who will append his or her comments. Following the School Dean's discussion with the Chair about the faculty member's evaluation, a salary recommendation will be forwarded to the Provost for review. The Provost will forward the recommendation to the President and Board of Trustees for final approval.

2. Evaluation for Interim-Tenure, Tenure, and Promotion for Tenure-Track Faculty.

Faculty members to be considered for interim-tenure, tenure, and promotion will be notified of their eligibility in the Spring Semester of the preceding year by the Provost. The faculty member will prepare an interim-tenure, tenure, or promotion

portfolio to be reviewed by his or her Department Personnel Evaluation Committee (DPEC), School Personnel Evaluation Committee (SPEC), the School Dean, and the Personnel Committee, if appropriate.

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

The Departmental Review

- 1) The candidate's portfolio will be submitted to the Department Chair, who will chair the Departmental Personnel Evaluation Committee (DPEC). The DPEC will be made up of all tenured faculty members of the department. Those tenured faculty on sabbatical or leave of absence are excused from DPEC service, though they may participate if they so desire. The DPEC Chair shall explain all recusals in writing.
- 2) In the event that there is only one tenured faculty member in a department, one external tenured faculty representative will be appointed to serve on the DPEC. In the event that there are no tenured faculty members in a department, two external tenured faculty representatives will be appointed. In consultation with the candidate, the Chair will recommend the external faculty representative to the Dean and the final decision will be mutually agreed upon by the Chair and the Dean.
- 3) If a Department Chair is under review, the School Dean, in consultation with the candidate, will designate another member from within or outside the department as appropriate to serve as the DPEC chair.
- 4) In case of promotion to the rank of professor, if there is no one of this rank in the department, the School Dean will appoint a professor from another department to join the tenured faculty in their review of the faculty member undergoing review for promotion to professor. In consultation with the candidate, the Chair will recommend the external faculty representative to the Dean and the final decision will be mutually agreed upon by the Chair and the Dean.
- 5) The DPEC chair shall make the candidate's portfolio available for Tenure-Track (TT) and Non-Tenure-Track (NTT) department faculty to review and provide feedback, and these comments shall be relayed to the DPEC for consideration in the final review.
- 6) All members of the DPEC must review the portfolio and provide feedback to the DPEC chair.
- 7) The DPEC chair will convene a meeting of the DPEC to discuss the candidate's portfolio. The DPEC may request additional information from the candidate in the carrying out of its review.
- 8) The DPEC chair will then prepare a written, comprehensive evaluation of the member's teaching, professional development, scholarship/creative work, and service. This evaluation should capture the evaluative insights of the DPEC, as conveyed at the meeting to discuss the portfolio, and should summarize the

majority views (and minority views, if any). The DPEC assessment will include a specific recommendation (regarding tenure, promotion, etc.), and record the vote of the members of the DPEC on that recommendation. The final evaluation and recommendation should be signed by all members of the DPEC in order to document their participation in the review process. In addition, those DPEC members in the minority are strongly encouraged to write their own dissenting letter(s) for inclusion in the portfolio.

- 9) The DPEC chair will submit the portfolio and the signed final evaluation and recommendation—including the numerical vote—of the DPEC to the SPEC for their review.
- 10) The candidate will have the opportunity to provide a rebuttal to the evaluation and recommendation of the DPEC.

The School Review

Constitution of School Personnel Evaluation Committees

Each school will elect a School Personnel Evaluation Committee (SPEC).

The SPEC for the School of Arts and Sciences will include:

- 1) 1 member from each Area (Humanities, Social Sciences, The Arts, Math and Science) elected by the full-time faculty in the School; and
- 2) 3 at-Large members from the School of Arts and Sciences from departments not already represented in 1 above elected by the full-time faculty in the School Arts and Sciences.

The SPEC for the School of Professional Studies will include:

- 1) 1 member from each department (Business, Accounting and Economics; Education; Engineering, Equine Science; Health and Sport Sciences; and Nursing) elected by the full-time faculty in the School; and
- 2) 2 At-Large members from different departments elected by the full-time faculty in the School of Professional Studies.

Criteria for SPEC Membership

- All members must be tenured
- The SPEC must include at least one full professor
- Members of a SPEC may not serve simultaneously on the University Personnel Committee

Each member of the SPEC shall serve a term of three years, with staggered membership. Elections will be held in the spring, with terms beginning in the fall term following the elections.

The members of each SPEC will elect the SPEC Chair, who will coordinate all activities of the SPEC during the academic year. Any SPEC member who is under review by the SPEC will recuse himself/herself for the entire year. His/her Department or School will elect an alternate, as appropriate.

The School Review Process

- 1) The SPEC will be guided in their review by the candidate's departmental Statement on Scholarship/Creative Work, as approved by the Personnel Committee, and the Institutional Statement on Scholarship, as well as any other institutional or departmental statements on teaching, professional development, and/or service.
- 2) Following its review of the portfolio, the SPEC will prepare a detailed, written evaluation, which addresses all of the relevant criteria, and includes a recommendation, with a recorded "yes" or "no" vote of the SPEC, which must be signed by all members of the SPEC (See Section 2, "Tenure," "Interim-Tenure," and "Promotion"). The written evaluation is to be included in the portfolio
- 3) In interim-tenure cases, the SPEC will conduct an interview with the candidate.
- 4) The portfolio and the report will be submitted to the School Dean.
- 5) The candidate will have the opportunity to provide a rebuttal of the SPEC's assessment and recommendation.
- 6) The School Dean will forward the portfolio, the DPEC's and the SPEC's assessment and recommendations, all rebuttals (if any), along with his or her own evaluation and recommendation, to the Academic Affairs Office for review by the Personnel Committee and the Provost/VPAA.
- 7) Interim tenure evaluations and recommendations go from the School Dean to the Provost only, except in cases where a terminal contract has been recommended. In such cases, portfolio and recommendations are forwarded to the Personnel Committee for review. After its review, the Personnel Committee will submit its recommendation to the Provost.
- 8) A SPEC committee member recuses themselves from a committee vote to avoid a conflict of interest. The recused member participates in committee meetings only to provide clarification as is needed.

III. Tenure

A. Introduction and Definition

Tenure is defined as the right of the faculty member to be offered successive appointment letter contracts for the renewal of employment by the President of the University 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 Provost. When applicable the

Personnel Appeals Hearing Committee will also make a recommendation to the President.

B. Eligibility for Tenure

Tenure: Consideration for tenure will normally occur in the faculty member's nominal sixth year in a tenure-track position. Faculty may only apply for tenure once, and all faculty who are granted tenure will also be granted promotion to Associate Professor (if they do not already hold the associate professor rank).

Early Tenure: Faculty members may request to be considered for tenure earlier than their nominal sixth year. Such a request must be supported by the Department Chair and the School Dean and be approved by the Provost. If the request is approved by the Provost, the tenure review, which must follow the normal process for such reviews, may not take place earlier than a faculty member's nominal fifth year of service. A candidate selecting this option must have completed an interim tenure review. A faculty member who requests to be considered for early tenure but who fails to receive tenure is not eligible to reapply.

Credit Toward Tenure: A candidate in a full-time faculty position at Otterbein or who has previous full-time faculty service at another accredited academic institution, or its equivalent at a research institution or other similar institution, may count up to three years toward his or her service at Otterbein University upon the recommendation of the Department Chair and the School Dean, and with the approval of the Provost. If a faculty member is hired with three years of credit, the faculty member's Interim-Tenure Review will occur no earlier than the first term of his or her second academic year, and the Tenure Review will take place during the faculty member's third academic year at Otterbein.

Appointment with Tenure for Full-time Faculty: Upon recommendation of the Department Chair and the School Dean, and with the approval of the Provost and the President, a faculty member who is being hired to serve a critical programmatic need, and who has already earned tenure at a previous institution may be granted tenure at the time of his or her appointment.

Appointment with Tenure for Academic Administrators: Contingent upon the approval of the Provost (or Chief Academic Officer) and the President, an academic dean, associate academic dean, or assistant academic dean may be granted tenure as a faculty member at the time of his or her initial appointment to an academic administrative position at Otterbein. Contingent upon the approval of the President, the Provost (or Chief Academic Officer) may be granted tenure as a faculty member at the time of his or her initial appointment at Otterbein.

C. Criteria

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

D. Procedures

1. Interim-Tenure Review

a. Introduction and Definition – Interim-Tenure Review

An interim-tenure review is required of all tenure-track faculty at Otterbein University. The interim-tenure review 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 – Interim-Tenure Review

The interim-tenure review may not take place (1) before the second year at Otterbein or (2) after the fourth year at Otterbein.

c. Criteria – Interim-Tenure Review

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

d. Procedures – Interim-Tenure Review

- 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, which will be made available to all reviewers. The portfolio should follow the format outlined in the document, "Contents of Interim-Tenure, Tenure, and Promotion Portfolios" provided annually to candidates by the Academic Affairs Office.
- 2) Faculty, the DPEC, SPEC and School Dean, and the Personnel Committee, as appropriate, will follow the calendar for interim-tenure review provided annually by the Academic Affairs Office. After reviewing the portfolio and DPEC's recommendation, the SPEC will then conduct an interview with the candidate. The SPEC will forward the portfolio and its recommendation to

the Dean. The School Dean will forward the portfolio along with his or her own recommendation to the Provost, who will make the final determination. If either the SPEC or the School Dean recommends that a terminal contract be issued, the portfolio and recommendation will be forwarded to the Personnel Committee for its review. The Personnel Committee will submit its recommendation to the Provost, who will make a final determination.

- 3) In making their recommendations, all reviewers 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) When the SPEC decides it has sufficient information for a final evaluation to be made, in a final voting session, the SPEC will select one of the summary statements listed above, record the reasons, record a numeric “yes” or “no” vote by SPEC members, and forward the evaluation to the candidate, the Department Chair, and the School Dean. The School Dean will review the portfolio and recommendations and forward them, along with his or her own evaluation and recommendation, to the candidate, the Department Chair, the SPEC Chair, and the Provost. In the event of a recommendation that the faculty member be issued a terminal contract, the recommendation and the portfolio will be forwarded to the Personnel Committee, instead of the Provost, for its review and recommendation to the Provost. The Provost will review the portfolio and all recommendations and make a final determination.

2. Tenure Review

- a. All faculty preparing for tenure are required to submit a professional portfolio, which will be made available to all reviewers. 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 Interim-Tenure, Tenure, and Promotion Portfolios" provided annually to candidates by the Academic Affairs Office.
- b. Faculty, the DPEC, SPEC, School Dean 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, SPEC, and School Dean, which will then make their own written recommendations to the Personnel Committee. The Personnel Committee will review the portfolio and the recommendations and make a final recommendation to the Provost 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 SPEC, the School Dean or the Personnel Committee may request additional information regarding the candidate's performance. All such requests—and the information furnished--must be shared with all appropriate parties at the time of the request (e.g., the faculty member, the DPEC Chair, the SPEC Chair, depending on the level of review at which, and from whom, the additional information is being requested).

The Academic Affairs Office will provide a more detailed set of procedures for DPECS and SPECS annually.

E. Tenure Clock Relief

A non-tenured faculty member may seek an extension of the deadline for tenure review for up to a maximum of two years due to life changing events, including those covered under FMLA, that may be reasonably expected to significantly diminish the faculty member's ability to make adequate timely progress toward tenure in the areas of teaching, professional development, scholarship/creative work, and service.

The faculty member seeking an extension will submit his or her request in writing to the Provost through the Department Chair and appropriate School Dean. Except in emergencies, the request should be submitted at least six months prior to the scheduled tenure review.

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.

G. 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 a full-time or part-time administrative assignment without interrupting or impairing their tenure status, or eligibility for promotion, if applicable, but tenure shall apply only to rank and service as a full-time faculty member. The administrative assignment, however, is subject to change at any time by action of the Provost.
3. Tenured faculty members in good standing shall normally receive annual appointment contract letters until they retire or resign. Additionally, other conditions may impact contract renewal. See Section 2, "Termination of Contract."

IV. 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 and to ensure that tenured faculty members continue to meet their specified performance expectations. 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 University for all full-time faculty (see Section 2, "Faculty Performance Criteria, Procedures, and Responsibilities").

B. Procedures

The Office of Academic Affairs will notify faculty prior to the beginning of the year in which the review occurs, and will distribute a schedule containing relevant dates and deadlines pertinent to the post-tenure review process

In consultation with the Department Chair, 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/Creative Work, and Service, based in part on the past five years of performance evaluations (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.

These materials should be submitted to the School Dean by the beginning of the Spring Semester.

The faculty member and Chair should meet with the School Dean during the Spring Semester. 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 University in pursuit of the faculty member's development plan. The School Dean may approve the plan or suggest revisions to it.

The final plan must be approved by the School Dean by the end of the Spring Semester.

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 supervisory file.

In the year of the post-tenure review, the post-tenure review process will replace the performance evaluation procedure (see Section 2, "Procedures for Evaluation").

V. Promotion of Tenure-Track Faculty

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 Provost and 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.

To **Professor**: Earned doctoral degree or equivalent terminal degree; evidence of continued professional development, and extensive, documented experience as a successful teacher; evidence of continued scholarship/creative work as per standards articulated in both the institutional and departmental Statements on Scholarship/Creative Work; and consistent demonstrated leadership in the following areas: teaching, advising, scholarship/creative work, and service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval. Application and review normally occur during the nominal seventh year as an Associate Professor. Those applying and being reviewed beyond the seventh year should document in their portfolio only the previous six years prior to the review. However, a faculty member who believes that he or she has met the performance expectations for promotion to Professor may request consideration as early as the faculty

member's nominal fifth year as an Associate Professor. The request must be supported by the Chair and the School Dean and approved by the Provost.

To Associate Professor: Earned doctoral degree or equivalent terminal degree; evidence of continued professional development and documented experience as a successful teacher; evidence of scholarship/creative work as per standards articulated in both the institutional and departmental Statements on Scholarship/Creative Work; demonstrated success in advising, and service; and six years in rank as an Assistant Professor. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval. For newly appointed faculty the review for promotion to Associate Professor will normally coincide with the tenure review, except in cases of early tenure (see Section II.3.B). Consideration for tenure may occur no later than the nominal sixth year in a tenure-track faculty position. Application and review for promotion to Associate Professor normally occur during the nominal sixth year as an Assistant Professor.

To Assistant Professor: Earned doctoral degree or equivalent terminal degree and demonstrated capacity for successful teaching, advising, professional development, scholarship/creative work, and service. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval. 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 University 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 Spring Semester of the preceding year by the Provost.
2. All faculty preparing for promotion are required to submit a professional portfolio, which will be made available to all reviewers. 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 Interim-Tenure, Tenure and Promotion Portfolios" provided annually to candidates by the Academic Affairs Office.
3. Faculty, their DPEC, the School Personnel Evaluation Committee (SPEC), and the University Personnel Committee will follow the calendar for promotion and tenure provided annually by the Academic Affairs Office. Once the faculty member has

prepared the promotion and, or, tenure portfolio, it will be reviewed by the Department. The candidate's portfolio will be made available to all faculty members in his or her department so that they may review the portfolio and provide input into the DPEC's evaluation. The DPEC will prepare a signed written recommendation to be included in the portfolio and forwarded to the SPEC and the candidate. The recommendation will include the count of "yes" or "no" votes of the tenured faculty in the department. The candidate will have the opportunity to provide a rebuttal of the DPEC's assessment and recommendation.

4. The SPEC will review the portfolio and then make a written recommendation to the University Personnel Committee and provide a copy to the candidate and to the DPEC Chair at that time. At any time prior to submitting its recommendation, the SPEC may request additional information regarding the candidate's performance. All such requests—and the information furnished—must be shared with the faculty member or DPEC Chair at the time of the request. The candidate will have the opportunity to provide a rebuttal of the SPEC's assessment and recommendation.
5. The portfolio and recommendation will be submitted to the School Dean. The School Dean will forward the portfolio, the DPEC's and the SPEC's assessment and recommendations, along with his or her own evaluation and recommendation, to the Academic Affairs Office (with copies sent to the candidate, DPEC Chair, and SPEC Chair) for review by the University Personnel Committee and the Provost.
6. The Personnel Committee will review the portfolio. At any time prior to submitting their recommendation, the Personnel Committee may request additional information regarding the candidate's performance. All such requests—and the information furnished--must be shared with all appropriate parties at the time of the request (e.g, the candidate, the DPEC Chair, the SPEC Chair, depending on whom the information is being requested from). Upon the conclusion of its review, the University Personnel Committee will send its recommendation to the Provost, who may then hold a consultative meeting with the committee. After that, the Provost/VPAA will notify the President, the candidate, the DPEC Chair, the SPEC Chair, and the School Dean of the Personnel Committee's recommendation and of his or her own recommendation. If the University Personnel Committee's recommendation is negative, the candidate may appeal in accordance with the University By-laws, Article XVI.
7. Once the President has made his or her decision, the Provost will notify the candidate, the DPEC Chair, the SPEC Chair, the School Dean, and the Personnel Committee of the President's decision.

VI. Evaluation, Renewal, and Promotion of Non-Tenure-Track Faculty Appointments

- A. Renewal for non-tenure-track faculty is defined in Section 2 under "Types of Appointments"

B. Criteria

Faculty contract renewals are governed by expectation of rank as defined in Section 2 “Ranks” and 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 all non-tenure-track faculty.

C. Probationary Period

The first six years of appointment in a renewable non-tenure-track position shall be considered a probationary period. During this period, the faculty member shall undergo annual evaluations similar to those of all other full-time time faculty members in accordance with rank for non-tenure-track faculty members. Contract renewals will be for one year a time. In this probationary period, the decision to renew the contract of a faculty member holding a non-tenure-track appointment will be made by the Provost upon the recommendation of the appropriate Department Chair and School Dean.

D. Promotion of Non-Tenure-Track Faculty Appointments

1. Introduction and Definition

The decision to promote or not to promote will be made by the President. The President will base the decision on the recommendations of the Personnel Committee and the Provost. When applicable, the Personnel Appeals Hearing Committee will also make a recommendation to the President.

2. Eligibility and Criteria

The following criteria, in addition to the relevant Performance Criteria (see Section 2, “Performance Criteria”), will determine eligibility for promotion:

To **Professor**: Earned doctoral degree or equivalent terminal degree; evidence of continued professional development and extensive, documented experience as a successful teacher; as well as consistent demonstrated leadership in the following areas: advising, professional development, scholarship/creative work, and service as consistent with the institutional needs under terms of their ongoing contract and reflected in their performance evaluations. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University’s Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval. Application and review normally occur during the nominal seventh year as an Associate Professor; however, a faculty member who believes that he or she has met the requirements for promotion to Professor may request consideration as early as his or her nominal fifth year as an Associate Professor. The request must be supported by the Chair and the School Dean and approved by the Provost.

To Associate Professor: Earned doctoral degree or equivalent terminal degree; evidence of continued professional development and documented experience as a successful teacher; as well as demonstrated success in at least one of the following areas: advising, scholarship/creative work, or service as consistent with the institutional needs under terms of their ongoing contract and reflected in their performance evaluations, and six years in rank as an Assistant Professor. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval. For newly appointed faculty the review for promotion to Associate Professor will normally coincide with the extended contract review. Application and review for promotion to Associate Professor normally occur during the sixth year as an Assistant Professor. However, faculty may request consideration for extended contracts without seeking promotion.

To Assistant Professor: Earned doctoral degree or equivalent terminal degree and demonstrated potential for success in teaching and at least one of the following areas: advising, professional development, scholarship/creative work, or service as consistent with the institutional needs under terms of their ongoing contracts and reflected in their performance evaluations. In rare cases, a department may propose an exception to the above criteria, when the exception aligns with the University's Earned Degree Equivalency Policy. The proposed exception must be reviewed by the Dean and the Personnel Committee and their recommendations forwarded to the Provost and President for final approval. Persons appointed at the rank of Senior Instructor or 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 University 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.

To Senior Instructor: Evidence of continued professional development and documented experience as a successful teacher, as well as demonstrated success in at least one of the following areas: advising, scholarship/creative work, or service as consistent with the institutional needs under terms of their ongoing contract and reflected in their performance evaluation; and six years in rank as an Instructor. For newly appointed faculty the review for promotion to Senior Instructor will normally coincide with the extended contract review. Application and review for promotion to Senior Instructor normally occur during the sixth year as an Instructor. However, faculty may request consideration for extended contracts without seeking promotion.

3. Procedures

- a. Non-tenure-track Faculty members to be considered for promotion will be notified of their eligibility in the Spring Semester of the preceding year by the Provost.
- b. All non-tenure-track faculty preparing for promotion are required to submit a professional portfolio, which will be made available to all reviewers. The portfolio should address the relevant performance criteria outlined in Section 2, “Faculty Performance Criteria, Procedures, and Responsibilities” of the *Faculty Manual* for an individual non-tenure-track faculty member as consistent with the institutional needs under the terms of their ongoing contract and reflected in their performance evaluations. The format outlined in the document “Contents of Non-Tenure-Track Review and Promotion Portfolios” is provided annually to candidates by the Academic Affairs Office.
- c. Non-tenure-track faculty, the DPEC, the School Personnel Evaluation Committee (SPEC), and the University Personnel Committee will follow the calendar for non-tenure-track promotion provided annually by the Academic Affairs Office. Once the faculty member has prepared the promotion portfolio, it will be reviewed by the DPEC. The candidate’s portfolio will be made available to all faculty members in his or her department so that they may review the portfolio and provide input into the DPEC’s evaluation. The DPEC will prepare a signed written recommendation to be included in the portfolio and forwarded to the SPEC and the candidate. The DPEC’s report will include the count of “yes” or “no” votes of the faculty holding the rank of associate and full professor in the department. The candidate will have the opportunity to provide a rebuttal of the DPEC’s assessment and recommendation.
- d. The SPEC will review the portfolio and then make a written recommendation to the University Personnel Committee, including the count of “yes” or “no” votes of the SPEC, and provide a copy to the candidate and DPEC Chair at that time. At any time prior to submitting its recommendation, the SPEC may request additional information regarding the candidate's performance. All such requests—and the information furnished—must be shared with the faculty member or DPEC Chair at the time of the request. The candidate will have the opportunity to provide a rebuttal of the SPEC’s assessment and recommendation.
- e. The portfolio and recommendation will be submitted to the School Dean. The School Dean will forward the portfolio, the DPEC’s and the SPEC’s assessment and recommendations, along with his or her own evaluation and recommendation, to the Academic Affairs Office (with copies to the candidate, DPEC Chair, and SPEC Chair) for review by the University Personnel Committee and the Provost.
- f. The Personnel Committee will review the portfolio. At any time prior to submitting their recommendation, the Personnel Committee may request

additional information regarding the candidate's performance. All such requests—and the information furnished--must be shared with the appropriate parties (e.g., the candidate, the DPEC Chair, the SPEC Chair, depending on whom the information is being requested from). Upon the conclusion of its review, the University Personnel Committee will send its recommendation to the Provost, who may then hold a consultative meeting with the committee. After that, the Provost will notify the President, the candidate, the DPEC Chair, the SPEC Chair, and the School Dean of the Personnel Committee's recommendation and of his or her own recommendation. If the University Personnel Committee's recommendation is negative, the candidate may appeal in accordance with the University By-laws, Article XVI.

- g. Once the President has made his or her decision, the Provost will notify the candidate, the Department Chair, the School Dean, and the Personnel Committee.

VII. Termination of Service

A. By Retirement or Resignation

A faculty member who does not expect to return to teach at Otterbein University for the next academic year will be expected to submit a written notice of retirement or resignation, whichever is appropriate, to their School Dean and to the Provost.

B. Non-Reappointment

Prior to the awarding of tenure, the University 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 the individual's qualifications, performance, or institutional needs. In the case of non-reappointment of non-tenured or non-tenure-track faculty, the University is not required to provide decisions of judgment or qualifications or institutional needs. The University shall provide a written statement giving reasons for non-reappointment of non-tenured or non-tenure-track faculty members after the faculty member has consulted with the Provost 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 University. These provisions do not apply to visiting faculty members or part-time faculty members.

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, 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.

If the faculty member believes he/she has been the subject of discrimination, the faculty member should report the discrimination using the University's Discrimination and Harassment Policy #104.

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.

Note: All situations involving charges and findings of discrimination or harassment by a faculty member follow the process in the University's Discrimination and Harassment Policy.

2. A non-tenured tenure-track 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:

Universities 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, tenure-track faculty, or non-tenure-track faculty.

This section does not apply to instances of non-reappointment, 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. A committee composed of the Provost, School Deans, elected faculty representatives from the Personnel, Curriculum, and Graduate Committees, and the Department Chair, who may identify alternatives to the proposal, will review this assessment. 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 University 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 University department or program, if, in the judgment of the Provost and 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 University'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 at 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/creative 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 University Bylaws, and the *Faculty Manual*.

VIII. Appeals Procedures and General Provisions

A. Grounds 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 non-tenure-track 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 7 “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 that 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 Chair will record and forward the recommendations of the Personnel Committee to the Provost/VPAA and communicate them to the faculty member, Chair of the respective department and School Dean. The Provost/VPAA will forward the recommendations, along with his or her own recommendations to the President of the University.

C. Appealing to the Personnel Appeals Hearing Board

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

The Personnel Appeals Hearing Board is composed of five tenured faculty members, nominated in accordance with the provisions of Article IX, Section 1 of the Otterbein University Bylaws. Article IV, Section 5, and Article VI of the Otterbein University Bylaws, (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.

The Personnel Appeals Hearing Board 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, or insufficient regard for fundamental standards of fairness inherent in due process. (Article IX, Section 2 of the Otterbein University Bylaws)

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 Board. The Hearing Board will make its report and recommendation to the Board of Trustees through the President. (Article IX, Section 3 of the Otterbein University Bylaws)

1. The request for a hearing convened by the Personnel Appeals Hearing Board must be in writing and specify all grounds for appeal as stated above. .
2. In the case of termination, the faculty member shall receive a statement of reasons for termination prepared by the President of the University and be given the right to appear before the Personnel Appeals Hearing Board. Cases of promotion or the denial of sabbatical leave shall be handled similarly, with the appellant contesting the adverse decision supplying a written statement of the grounds for his or her appeal. The Personnel Appeals Hearing Board may request in writing a statement from the evaluation committee (e.g., Sabbatical Leaves Committee) containing the reasons for the decision that is being appealed.

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 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 Board 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 Board, the Board shall consider the case on the basis of obtainable information and reach a decision.
2. The Personnel Appeals Hearing Board 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 Board 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 Board 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 Board.
5. The hearings before the Personnel Appeals Hearing Board will be recorded and retained. All parties may have access to this information.
6. The Personnel Appeals Hearing Board will proceed to a decision within seven days of the start of its deliberations. 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 Board's 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 Board is outlined in Article IX, Section 1 of the Otterbein University Bylaws. A member of the Personnel Appeals Hearing Board who has been directly involved in action appealed to the Board shall be disqualified as a member of the Personnel Appeals Hearing Board.

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 IX, Section 3 of the Otterbein University Bylaws.

The President of the University shall transmit to the Board of Trustees or its Executive Committee a full report of the Personnel Appeals Hearing Board, along with his or her own recommendation. 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. In all cases, the Board's decision is final.

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, Section 4 of the Otterbein University Bylaws.

Appeals procedures in cases of negative promotion decision or a denial of a sabbatical leave may be addressed to the Personnel Appeals Hearing Board, except that after a decision has been reached the Hearing Board shall submit the report to the President. The President may present the recommendation of the Personnel Appeals Hearing Board 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 that 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 Board and a full report of the Personnel Committee or its Subcommittee on Sabbatical Leaves, along with his or her own recommendation. 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. In all cases, the Board's decision is final.

SECTION THREE

SABBATICALS AND LEAVES

1. Sabbaticals

The Sabbatical Leave program is the primary expression of the University'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 University. The sabbatical leave period is for one semester, 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. However, a faculty member may request a two semester sabbatical leave at half pay.

A. Projects

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

1. Scholarly/Creative 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. Study with a leader in the applicant's discipline.
- b. Study that broadens or deepens the applicant's teaching area (including cross-disciplinary studies).
- c. 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 University

- 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 University programs.

B. Eligibility

1. All tenure-track faculty members, librarians, and others granted eligibility prior to spring semester 2012 are eligible to participate in the sabbatical leave program. Eligibility begins with the 13th semester (7th year) of continuous service under annual contract or the first available semester thereafter. (These semesters 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 semester. This defines the sabbatical rotation schedule for sabbatical leaves.
2. Eligible faculty members who have been employed for 10 semesters and have had a break in service to the University for any reason, including an approved Leave-of-Absence, will be eligible for a sabbatical leave after completing four successive semesters of full-time faculty employment without a break or leave. 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 by defined the University's Human Resource Policies, service is considered to be uninterrupted and eligibility remains within the sabbatical rotation schedule.
3. A full-time Otterbein University faculty member with previous part-time faculty status at Otterbein University 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. In other words, the maximum credit that may be applied towards sabbatical leave eligibility shall be only one full-time equivalent year.

By mutual consent of the faculty member, Department Chair and School Dean, and contingent upon the approval of the Provost/Vice President for Academic Affairs (VPAA), a sabbatical leave may be taken in any semester of the academic year in which the sabbatical is nominally scheduled. The 11-semester count from the nominal semester of one sabbatical to the nominal semester of the next sabbatical will remain the same regardless of the semester in which the sabbatical is actually taken.

Faculty members who can show significant evidence of a future project may have the option to request a one-year deferral in applying for a sabbatical leave without affecting his/her sabbatical rotation schedule. This request may not be made two years in a row, must be made in consultation with their Department Chair and School Dean, and requires approval by the Provost/VPAA.

Faculty members who can show significant evidence of a project that will require a full two-semester for completion may request a two-semester sabbatical leave at half pay, in consultation with their Department Chair, School Dean and with approval by the Provost/VPAA. The two-semester term leave shall normally occur during the academic year, but may alternatively apply to a calendar year.

Faculty members or departments wishing to make any changes in sabbatical scheduling shall confer and discuss the proposed change with their Department Chair and School Dean, and approved by the Provost/Vice President for Academic Affairs prior to submitting a sabbatical leave proposal. Documentation of the revised schedule, and evidence of Department Chair and School Dean support and Provost/VPAA approval, needs to accompany the sabbatical proposal submitted to the Sabbatical Leaves Subcommittee.

Upon completion of a sabbatical, faculty members are expected to return to Otterbein University for at least one full semester to teach and to share the results of the sabbatical. Those who choose not to return will be required to reimburse the university for any funds that were awarded by the university for the purpose of that sabbatical. Exceptions to this policy can be appealed to the Personnel Committee for its review and a final decision on whether or not an exception will be granted.

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 Department Chair. Additional letters of recommendation may be solicited by the applicant and submitted to the committee. A proposal by a Department Chair must be accompanied by a letter of evaluation from a full-time faculty member designated by mutual agreement of the Chair and the Provost/VPAA. 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 for any reason is eligible to apply the following year. The faculty member's sabbatical rotation schedule will be shifted, accordingly.
8. Any faculty member electing not to apply for a sabbatical leave is eligible to apply the following year. The faculty member's sabbatical rotation schedule will be shifted, accordingly.

D. Sabbatical Leaves Subcommittee

The Sabbatical Leaves Subcommittee, a subcommittee of the Personnel Committee, will evaluate proposals. The Subcommittee will include: three faculty members elected by and from the School of Arts and Sciences; and, two faculty members elected by and from the School of Professional Studies. All members shall serve a four-year term. At each election, the School shall also elect an alternate whose sabbatical semesters complement those of the elected member. The Schools shall fill vacancies for unexpired terms. Alternates shall serve on the Subcommittee in place of elected members during those semesters when elected members have their sabbatical leave proposals considered, and when the elected member is on leave during the fall semester. The Provost/VPAA 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 be a tenured member of the faculty.

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 University 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 semester following the semester 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 one year. Should there be extraordinary circumstances that would not enable the individual to submit the report on time, an extension could be granted by the Provost/VPAA upon the submission of a formal, written request for such consideration.

- d. The Sabbatical Leaves Subcommittee will review documentation of the presentation of the results of the sabbatical leave proposal.

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 full semester (15-week period) is needed for completion. Should the requested leave be for a period of two semesters (at half pay), the proposed project must be judged to be of such length that at least two full semesters (30-week period) are 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 received by 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 Personnel Committee the granting of leaves to those faculty members whose proposals have met the criteria described above. The Personnel Committee will forward their recommendation, along with the memo from the Sabbatical Leaves Subcommittee, to the Provost/VPAA. The Provost/VPAA will forward these recommendations, along with his or her own recommendation, to the President. In preparing his or her own recommendations, the Provost shall seek input from the School Deans. All documents used by the Sabbatical Leaves Subcommittee in making its recommendations will be available to the Personnel Committee, the

Provost/VPAA and the President.

7. After reviewing these recommendations, the President shall submit a recommendation to the Board of Trustees through the Academic Committee of the Board 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, 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 University Bylaws) by the fourth week of the spring semester 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 seventh week of the spring semester 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 ninth week of that same spring semester 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 or she 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 University By-Laws. This procedure is stated in Section 2, # 9, F. "Appeals to the Board of Trustees in Cases Related to Promotions or Sabbatical Leaves."

If the faculty member believes he/she has been the subject of discrimination, the faculty member should report the discrimination using the University's Discrimination and Harassment Policy #104.

G. Approved Leaves

1. While faculty are on sabbatical leave, they shall not be gainfully employed by another organization except as approved by the Provost/VPAA in consultation with the President. When employment for pay is approved, income derived that exceeds expenses will be paid to the University.
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 assigned stipend be insufficient 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 submitted to the School Dean for evaluation no later than the end of the semester following the one in which the leave was taken. Once completed, the Dean's evaluation and original report of the sabbatical leave will be submitted to the Provost/VPAA. The report must include:
 - a. a description of the results and how the goals of the project were met, and an abstract suitable for presentation to the Academic Committee of the Board of Trustees;
 - 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, Common Hour, Faculty Scholars Series, Sabbatical Showcase for the Board of Trustees reception, or a department seminar open to the campus. With permission of the

author, selected sabbatical reports may also be forwarded to Otterbein Marketing and Communications personnel for promotional purposes.

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. Abstracts of each report submitted during the year will be presented to the Academic Committee of 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 University. Faculty who have not met this condition may petition the Provost/VPAA for special consideration given extenuating circumstances. 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 Provost/VPAA one semester 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. The request must be accompanied by recommendations from the Department Chair and the School Dean.
- 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.

Revised 5/14/11
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Revised 4/30/16

SECTION FOUR

BENEFITS

Following is a summary of the various benefits provided by the University to members of the faculty. Changes to benefits are made by the University's administration in consultation with the Faculty Assembly. More details on these programs may be obtained from the Office of Human Resources.

1. 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 University. The University pays the total cost of this insurance 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 two times annual regular earnings, not to exceed \$250,000, 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 University. If a break in service occurs, faculty may be required to re-establish eligibility for the benefit. Faculty are responsible for keeping beneficiary designations current, changes can be made by contacting the Office of Human Resources.

2. Medical Insurance

Otterbein University 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 not made within 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 need to sign up for coverage at the next annual open enrollment period.

The University pays a share of the premium cost for the employee which varies depending on the coverage or plan elected. 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 provided the faculty member enrolls within 31 days of their hire date. Information about the health 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, retirement, 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 University 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.

1. Dental Insurance

Dental insurance is available with generally the same eligibility and enrollment requirements as medical insurance. Coverage is available for eligible dependents and the employee is responsible for the cost to cover family members. 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.

2. 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 University during its annual open enrollment period. Full-time employees may participate in a Premium Redirection Account, which allows employees to pay for health and/or dental 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 University's medical and dental plans using pre-tax dollars. The University 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.

3. 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 that 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 University 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. The FMLA treats pregnancy and childbirth 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 up through the 42nd day for a normal delivery. Short-term disability payments may continue until the doctor indicates that the female faculty member is capable of returning to work, although she may not actually return at that time. The female faculty member is assured of returning to the identical or similar faculty position within the University (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. The male faculty member on FMLA leave is assured of returning to the identical or similar faculty position with the University 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 3).

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. 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. The female or male faculty member on FMLA leave is assured of returning to the identical or similar faculty position within the University 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 3).

Paid leave is only provided if the faculty member is eligible for short-term disability payments which requires a minimum of one year of full-time service or if individual arrangements are made with the approval of the Provost/Vice President for Academic Affairs.

4. Military Leave

Employees who perform and return from service in the Armed Forces, the Military Reserve, the National Guard or certain Public Health Service positions will retain certain rights with respect to reinstatement, seniority, layoffs, compensation, length of service promotions, and length of service pay increases, as required by applicable federal or state law.

The Uniformed Services Employment and Reemployment Rights Act allows part-time and full-time employees who enlist for up to five years of active duty in the United States military or who miss work because of reserve or National Guard training or a call-up to active duty to take a military leave of absence. Temporary employees are not eligible for reinstatement under this policy.

A. Notification

An employee who must take military leave should request military leave in advance whenever possible. A copy of official orders requiring the employee to report to duty must be submitted to Human Resources and to the employee's immediate supervisor prior to the leave. When advance notice is precluded, the employee or his/her family should notify Human Resources as soon as possible.

B. Pay During Leave

Employees who are members of the U.S. Military Reserves or National Guard or other military service will receive their gross pay minus wages received from the military during the leave period for one training period of two weeks active duty annually.

Employees who are members of the U.S. Military Reserves or National Guard or other military service who are called up for active service will continue to receive their gross pay minus wages received from the military during the leave period for one month.

Other military leave is generally unpaid, unless an employee elects to use vacation to receive pay during military leave. However, exempt salaried employees absent only part of a workweek to perform military service are paid in full for the workweek.

Otterbein University reserves the right to modify or change this policy with or without notice depending on both the economic circumstances of the University and the nature and duration of such emergency or conflict.

C. Health Coverage During Leave

During a paid or unpaid military leave, Otterbein will continue to pay the University's share of any health and/or dental premiums for the first 30 days, employees are responsible for paying their share of the premiums. Employees on military leave for 31 days or longer are eligible for health benefit coverage from the military.

Employees can also arrange to continue their coverage through the University's plan for up to 18 months under COBRA and will pay 102% of the total premium cost.

D. Impact on Other Benefits

Employees on military leave do not accrue vacation or sick leave. However, the time off counts toward an employee's length of service in determining the rate at which employees accrue vacation, pay, and or other benefits such as eligibility for sabbaticals after returning from military leave.

Once an employee returns from active duty, employees participating in the University's retirement plan can make up any missed contributions, and the employer will contribute the portion it would have contributed.

E. Return to Work

Employees returning from military leave of 30 days or less must report to work at the start of the next work period, allowing eight days for travel after the end of service.

Employees returning from military service of 31 to 180 days must apply for reinstatement within 14 days of concluding service. Those serving longer than 180 days must apply for reinstatement within 90 days of ending military service.

If the returning veteran is hospitalized for or convalescing from an illness or injury that was incurred in or aggravated by the period of service, s/he must report or submit an application to the employer, depending on the length of the period of service, within the time limits stated above, measured from the end of the period required for recovery. However, the period of recovery is normally limited to two years.

Exceptions to these deadlines are possible when circumstances beyond an individual's control prevent returning to work or applying for reinstatement within the specified period. Extensions are also permitted when individuals who fail to report to work or apply for reinstatement within the specified period are subject to the company's disciplinary policy for unexcused absences.

F. Reinstatement Rights

Employees returning from military leave are entitled to reinstatement to their former positions or, if qualified, to the jobs they would have held without any break in service if they meet the application and satisfactory service requirements and if their military service was for 90 days or less. However, employees serving more than 90 days can be reinstated to a position similar in pay, benefits, status, seniority and other employment terms or conditions.

Employees who no longer qualify for their former or equivalent positions will be offered training to bring their qualifications up to the level needed. If training does not qualify the returning employee for reinstatement to the former or an equivalent position, he or she can be reinstated to a position with lesser pay and status, but with no loss in seniority.

Employees who terminated group health plan coverage while on military leave can resume coverage under the University's plan without waiting periods or exclusions.

No life or accidental death and dismemberment benefits are payable under our current life insurance policy for any loss caused by war (declared or undeclared).

5. 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.

After one year of full-time employment, if a disabling illness or injury occurs after the start of the full-time contract period, the University 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 Provost/Vice President for Academic Affairs will, if necessary, assign appropriate work and will return the individual to the full salary pattern.

In computing disability periods, normal academic year University 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.

Otterbein University 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 up to three calendar months following the date the disability commences. An employee 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 University 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 University will continue to make premium payments for disability and life insurance coverage for up to five months. The University will also continue to make contributions to the retirement plan on the salary amount being earned 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 for by Otterbein University. 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 that 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 University. However, it is ultimately up to the University'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.

6. Liability Insurance

Otterbein University provides \$5,000,000 of educator's legal liability insurance that covers all trustees, officers, employees, volunteers, and students while serving in a supervised internship program. The policy provides \$5,000,000 of coverage per claim with an annual aggregate limit of the same. Violations of government regulations or statutes are excluded from coverage as are issues involving contaminants or pollutants. Federal Insurance Company underwrites the policy. The intent of the policy is to provide coverage in the events of lawsuits, which result from erroneous or wrongful acts, or omissions of individuals carrying out their official duties on behalf of the University.

In addition, the University currently provides \$1,000,000 under a general liability policy 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 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 an excess liability policy that provides coverage for claims in excess of \$1,000,000.

The University provides liability insurance that provides bodily injury and property damage coverage for travel on licensed, commercial airlines that provide regularly scheduled flights, excluding any loss that arises out of the use of non-owned aircraft resulting from the acts of war, hijacking and foreign hostilities. However, the liability insurance does not provide coverage for flights in privately owned planes. In order to obtain insurance coverage for flights in chartered planes; please contact the Vice President for Business Affairs who will work with our insurance carrier to secure coverage.

Any employee who becomes aware of a potential claim, which may be covered by the University's educator's legal or general liability insurance policy and/or property insurance policy, should contact the Vice President for Business Affairs as soon as possible. Timely notification of our insurance carriers is a requirement for coverage. The Vice President for Business Affairs will assume responsibility for interfacing with the insurance carrier in the processing of the claim. Policy coverage, limits, and carriers are subject to change annually.

7. Property Insurance

The University 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.

8. Educational Benefits

Otterbein University 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 to request benefits for the following academic year. 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 six- (6) month eligibility requirement must be met prior to the opening of the University 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 University 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 Provost/Vice President for Academic Affairs) while on sabbatical leave only, the University 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 University will pay the stipend when the Provost/Vice President for Academic Affairs Office receives an official tuition bill from the graduate institution. At the conclusion of the quarter/semester, the faculty member must submit to the Provost/Vice President for Academic Affairs' 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 University.

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 Provost/Vice President for Academic Affairs.

Recognizing that many graduate programs have a residency requirement that may require taking an unpaid leave-of-absence for one semester, the University will continue its contribution to the following benefit programs during that semester: 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 Otterbein University after six (6) months of employment. Enrollment must 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 University are eligible to receive a stipend equivalent to the tuition for five semester hours per 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. The University will pay this stipend 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 semester, the individual must submit to the Office of Human Resources an official transcript documenting successful completion of the course(s). Only one five-hour stipend is available during a 12-month period beginning with the first semester a course is taken under this program.

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 University. Unless specifically approved by the Provost/Vice President for Academic Affairs 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 University 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 University 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, parking decals, private lessons, etc. Faculty are required to designate on the EBRF form if their spouses have any tuition assistance from their employers and must apply for those benefits if taking classes at Otterbein.

F. Educational Grant for Dependent Children

Full-time Otterbein University 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 University of their choice. Otterbein University 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 University 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 semesters or twelve quarters will be granted for each child. The dependent must be the biological, adopted or legal stepchild 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 University 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 University selected, and must remain in good academic standing.

G. Tuition Exchange Program (TEP) for Dependent Children

The Tuition Exchange Program is a scholarship program that is available to the eligible dependent children of eligible full-time faculty. In order to receive a scholarship, the dependent child must be officially admitted by the gaining institution and be formally accepted into the Tuition Exchange Program; there is no guarantee that either will occur.

In addition, the University must maintain a "good standing" status from Tuition Exchange, Inc., in order to export students to other institutions. While the University will attempt to manage the TEP so that any eligible child who wants to apply for Tuition Exchange can do so, it cannot guarantee participation because the University has no control over the number of students who wish to attend Otterbein from other institutions. Therefore, there may be years when no or limited numbers of students will be certified to apply to the Tuition Exchange Program. In such cases, if more students apply for TEP than the University is allowed to export, seniority among all

employee groups will be used in determining which dependent children will be certified for participation.

The dependent children (as defined by the Internal Revenue Service and federal financial aid regulations) of full-time Otterbein University faculty who have been employed full-time for three years or who are tenured, are eligible to apply for the TEP with nearly 500 participating institutions in the nation. The three-year eligibility requirement must be met prior to the opening of the University 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 may be granted for each child. The child must be the biological, adopted or legal step child the faculty or staff member. The child must be and remain a dependent as defined by the Internal Revenue Service, must be enrolled in a regionally accredited University within 24 months of high school graduation or within 24 months after completion of military service, must attend University full-time as defined by the University selected, and must remain in good academic standing. Children who have an earned baccalaureate from another institution are not eligible for the TEP program. Benefits will cease at the conclusion of the term in which the child turns the age of 24.

A dependent interested in TEP needs to begin the application process approximately 12 months prior to the start of the freshman year in University. 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 re-certified for the TEP. Part-time faculty are not eligible for Tuition Exchange.

Each year the TEP calculates the maximum tuition benefit that schools are asked to waive. If a gaining institution's tuition exceeds the maximum benefit determined annually by TEP, there may be out-of-pocket expenses that the faculty or staff member will incur in order to cover the tuition not covered by the scholarship. In some cases, students may be required to apply for financial aid with the gaining institution that may be used to cover some of the tuition expenses. Room and board, books, supplies, labs, professional fees and other expenses are the responsibility of the parent and child. Faculty can learn more about this benefit by contacting the Office of Human Resources or by visiting the Tuition Exchange, Inc.'s web site at www.tuitionexchange.org.

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 eight semesters or 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 scholarships 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 University owned and sponsored facilities. The total of the scholarship benefit and the external funds described above may not exceed the Otterbein University 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, exchange program costs, parking decals, 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 University 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 University (e.g. 60%, \$14,000 X 60% = \$8,400 - \$3,000 in aid = \$5,400 waived by the University, employee is also responsible for the other 40% which in this example is \$5,600).

The child must be the biological, adopted or legal stepchild of 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 eight-semester 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 University 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 semester.
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 three 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 that equal to 70 are also eligible for retiree educational benefits (e.g., age 65 and 5 years of service, age 55 and 15 years of service.)

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 University, which is accompanied by the payment of retiree benefits.

L. Part-time Faculty, Spouse, and Dependent Children -Otterbein only

1. Eligibility

Part-time faculty must have accrued at least three (3) terms teaching at Otterbein. Current term may count as one of the three terms. Teach at least one (1) term during the academic year in which the benefit is used. Pay a fee of \$25.00 per term and pay any special fees over and above tuition.

2. Faculty/Spousal Waiver

As a combined benefit, part-time faculty and/or a spouse may enroll in up to one (1) course per term and receive a full tuition waiver. For part-time faculty this benefit may be applied to undergraduate or graduate courses. For the spouse, this benefit applies to undergraduate courses only. Upon accrual of six (6) terms teaching, the benefit increases to up to two (2) courses per term; upon accrual of nine (9) terms, it increases to up to three (3) courses per term. The benefit for the spouse may be applied to graduate courses at 50% of tuition value after a part-time faculty member has worked nine terms.

3. Dependent Children (At Otterbein Only)

Eligibility: Part-time faculty who:

Have accrued at least	Dependent child eligible for
3 terms of teaching	up to 25% tuition waiver
9 terms of teaching	up to 50% tuition waiver
15 terms of teaching	up to 75% tuition waiver

The child must be the biological, legal stepchild or adopted child of the employee and must be an IRS and federal financial aid dependent. The child must attend full-time and must enroll within 24 months after graduating from high school. Upon reaching age 24, the child is no longer eligible for a waiver. The parent and child are required to apply for financial aid, any aid that can be applied to the tuition waiver benefit (towards the 25%, 50% or 75% benefit) will be applied.

4. Procedures for Establishing Eligibility for Part-time Educational Benefits

Part-time faculty whose teaching meets one of the above levels of eligibility but who receives no teaching assignment during a succeeding academic year may write to the Human Resources Director requesting a continuation of the benefit. The Director will base approval of the request on length of service and the possibility of future teaching assignments.

To be eligible to receive the educational grant for a dependent child, the employee must submit an EBRF form by May 1 of the academic year prior to the grant period to the Director of Human Resources. They must also submit a FAFSA to the Director of Financial Aid at Otterbein University by May 1 of the academic year prior to the grant period. Failure to apply or submit the necessary papers to

the Financial Aid Office by the prescribed deadline may result in a loss of the benefit for the next year.

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 University.

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 unless prohibited by the plan document or certificate of coverage of the specific benefit. Full-time faculty who transfer to part-time status will have full-time pro-rated to part-time equivalent (half time) to establish eligibility for benefits.

9. 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 University, 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 University'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, a 403 (b) retirement plan which offers programs by the Teachers Insurance and Annuity Association of New York (TIAA-CREF), Vanguard Group of Valley Forge, PA. and Nationwide Financial Services.

Employees may join one, two or all three plans immediately upon being hired and make voluntary contributions. Employees are vested immediately.

After completing two consecutive years of eligible service at Otterbein, there is an 8% contribution by the University which also may be placed in any of the above funds. The University's 8% contribution is based on the faculty member's annual regular earnings and does not include overloads, stipends or other special pay.

New faculty who have worked as a full-time faculty member for an accredited University in the immediate two years prior to joining Otterbein may use any eligible service to reduce the two year waiting period. It is the responsibility of the faculty

member to inform the Office of Human Resources if they meet this criterion. The request for the waiver must be supported by a letter from their previous employer(s) indicating that they worked full-time in the immediate two years prior to joining Otterbein.

After completing ten consecutive years of eligible service at Otterbein, beginning with the 11th year of service, the University will increase its contribution to 13% of the faculty member's annual regular earnings, excluding overload and other special assignments. There is no matching requirement on the employee's part in order to receive the 8% or 13% contribution by the University.

Contributions may be made by the individual on a voluntary basis to any of the retirement funds offered by the University prior to the completion of the two years of service up to the maximum allowed by law. The University does not match those contributions made in this period.

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

A faculty member must have at least ten (10) years of full-time service at age 55 in order to enroll in the University's retiree plan and remain on the plan beyond the age of 65.

To continue on the plan beyond age 65, a retiree must enroll and remain enrolled in Medicare and/or any other similar universal government-provided health care benefits that may become available upon eligibility for those benefits.

Retiring faculty will have a one-time window of sixty (60) calendar days after the effective date of their retirement to elect retiree health and dental benefits, unless a spouse working at Otterbein covers them. In that case, the retiree could defer the election until the spouse's retirement, at which time he/she would have sixty (60) days to elect. If coverage is not elected within sixty (60) calendar days, or if coverage is elected and subsequently dropped, the retiree will not be eligible to enroll for coverage in the future.

Retirees are responsible for paying the full cost of health and dental premiums and any future increases to premiums. This includes the University's share of the premiums that are currently paid for active employees.

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 University ID card privileges (Bookstore discounts, free/reduced tickets to sporting/cultural activities, use of Library, recreation facilities, etc.) Retired employees are entitled to receive the same admittance benefits to University events as active employees. In addition, retired employees, spouses, and their dependents may use educational benefits as outlined in Section 4, IX, K.

10. Franklin County School Employees Federal Credit Union
Any part-time or full-time member of the faculty of Otterbein University 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
11. United States Savings Bonds
Any part-time or full-time member of the faculty of Otterbein University may buy U.S. Savings Bonds regularly each month through a paycheck withholding plan. Additional information is available in the Office of Human Resources
12. Pay Days and Direct Deposit
The University only pays by direct deposit. Faculty select the financial institution of their choice and can direct funds to one or two accounts with that institution. The University pays faculty on a monthly basis (25th or last working day before the 25th) 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 a faculty member's home address 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 that 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.
13. Battelle Memorial Institute Federal Credit Union
Any part-time or full-time member of the faculty of Otterbein University is eligible to join the Battelle Memorial Institute 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.

APPENDIX A

OTTERBEIN DIVERSITY AND INCLUSION STATEMENT EQUAL EMPLOYMENT OPPORTUNITY DIVERSITY AND HIRING PROCEDURES

Refer to Otterbein University's "Diversity and Inclusion Statement" and "Equal Employment Opportunity Diversity and Hiring Procedures" found on the Office of Human Resource's Intranet page: <http://www.otterbein.edu/intranet/HR/policies.aspx>

SEXUAL MISCONDUCT POLICY

Refer to Otterbein University's "Sexual Misconduct" policy found on the Office of Human Resource's intranet page: <http://www.otterbein.edu/intranet/HR/policies.aspx>

DRUGS AND ALCOHOL POLICY

Refer to Otterbein University's "Drugs and Alcohol" policy found on the Office of Human Resource's Intranet page: <http://www.otterbein.edu/intranet/HR/policies.aspx>

APPENDIX B

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 teacher (The word "teacher" as used in this document is understood to include the investigator who is attached to an academic institution without teaching duties) 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]** (Bold-faced numbers in brackets refer to Interpretive Comments which follow.)

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.

AAUP Policy Documents and Reports – 1990 Edition

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]
- c. University 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 University 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 University 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 University 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. (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.)

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 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 and Universities 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 for Higher Education 1950
American Association of Colleges for Teacher 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 and Mass Communication 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
University 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
Phi Beta Kappa Society 1968
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
University English Association 1968
National University 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 Community University Teachers Association 1970
University Art Association of America 1970
Society of Professors of Education 1970

American Anthropological Association 1970
Association of Theological Schools 1970
Association of Schools of Journalism and Mass Communication 1971
American Business Law Association 1971
American Council for the Arts 1972
New York State Mathematics Association of Two-Year Colleges 1972
University Language Association 1973
Pennsylvania Historical Association 1973
Massachusetts Regional Community University Faculty Association 1973
American Philosophical Association¹ 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 University 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
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

¹ Endorsed by the Association's Western Division in 1952, Eastern Division in 1953, and Pacific Division in 1962.

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
Association for Psychological Science 1989
University and University 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
International Society of Prostistologists 1990
Society for Ethnomusicology 1990
American Association of Physicists in Medicine 1990
Animal Behavior Society 1990
Illinois Community University Faculty Association 1990
American Society for Theatre Research 1990
National Council of Teachers of English 1991
Latin American Studies Association 1992
Society for Cinema and Media Studies 1992
American Society for Eighteenth-Century Studies 1992
Council of Colleges of Arts and Sciences 1992
American Society for Aesthetics 1992
Association for the Advancement of Baltic Studies 1994
American Council of Teachers of Russian 1994

Council of Teachers of Southeast Asian Languages 1994
American Association of Teachers of Arabic 1994
Association of Teachers of Japanese 1994
Academic Senate for California Community Colleges 1996
National Council for the Social Studies, 1996
Council of Academic Programs in Communication Sciences and Disorders 1996
Association for Women in Mathematics 1997
Philosophy of Time Society 1998
World Communication Association 1999
The Historical Society 1999
Association for Theatre in Higher Education 1999
National Association for Ethnic Studies 1999
Association of Ancient Historians 1999
American Culture Association 1999
American Conference for Irish Studies 1999
Society for Philosophy in the Contemporary World 1999
Eastern Communication Association 1999
Association for Canadian Studies in the United States 1999
American Association for the History of Medicine 2000
Missouri Association of Faculty Senates 2000
Association for Symbolic Logic, 2000
American Society of Criminology, 2001
American Jewish Historical Society, 2001
New England Historical Association 2001
Group for the Use of Psychology in History, 2001
Society for the Scientific Study of Religion, 2001
Society for German-American Studies, 2001
Society for Historians of the Gilded Age & Progressive Era, 2001
Eastern Sociological Society, 2001
Chinese Historians in the United States, 2001
Community University Humanities Association 2002
Immigration and Ethnic History Society, 2002
Agricultural History Society 2004
National Council for Accreditation of Teacher Education 2005
American Council on the Teaching of Foreign Languages 2005
Society for the Study of Social Biology 2005
Society for the Study of Social Problems 2005
Association of Black Sociologists 2005
Dictionary Society of North America 2005

Society for Buddhist-Christian Studies 2005
Society for Armenian Studies 2006
Society for the Advancement of Scandinavian Study 2006
American Physiological Society 2006
National Women's Studies Association 2006
National Coalition for History 2006
Society for Military History 2006
Society for Industrial and Applied Mathematics 2006
Association for Research on Ethnicity and Nationalism in the Americas 2006
Society of Dance History Scholars 2006
Association of Literary Scholars and Critics 2006
National Council on Public History 2006
University Forum of the National Council of Teachers of English 2006
Society for Music Theory 2006
Society for Historians of American Foreign Relations 2006
Law and Society Association 2006
Society for Applied Anthropology 2006
Society for Historians of American Foreign Relations 2006
American Society of Plant Taxonomists 2006
Society for the History of Technology (SHOT) 2006
German Studies Association 2006
Association of University and Research Libraries 2007
Czechoslovak Studies Association 2007

APPENDIX C

LIBRARIANS AS NON-TENURE-TRACK FACULTY

INTRODUCTION

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

Librarians will be considered Non-Tenure Track Faculty. The *Faculty Manual* guides the policies and procedures for librarians. This appendix clarifies the exceptions and differences for librarians.

1. Appointment of Librarians

A. Selection Process

The Library Department will follow the procedures listed in the *Faculty Manual* for appointment of new non-tenure track faculty, except as follows. The Library Department will work directly with the Provost/Vice President for Academic Affairs rather than one of the Deans. The Library Director will determine membership on the search committee in consultation with the Provost/Vice President for Academic Affairs. This committee traditionally includes librarians, library staff, and library student assistants, to ensure the person hired is the best fit for the library team.

The appointment of a Library Director will occur through the Provost/Vice President for Academic Affairs, in consultation with the President and the Personnel Committee.

B. Types of Appointments

Librarians are Non-Tenure Track faculty and will follow the guidelines listed in the *Faculty Manual*, Section B.3. Librarians' annual appointments are for 11 months rather than the shorter appointment length typical for other faculty.

Librarians are eligible to receive the same annual salary increments and benefits as those provided for faculty. Librarians will not be eligible for vacation or sick leave.

Full-time Librarians are eligible for sabbaticals and will follow the guidelines listed for faculty in Section Three. The Library Director will determine the sabbatical rotation for the librarians, such that no more than one librarian will be on leave in any given academic semester.

Librarians are eligible to apply for research funds under the same terms as faculty members.

C. 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:

1. **Professor:** Earned master's degree in Library Science (terminal professional degree) from an ALA accredited program; extensive, documented experience as a successful librarian; and leadership in librarianship, teaching, professional development, scholarship, and service. A second master's degree (or doctoral degree) in a subject field is recommended.
2. **Associate Professor:** Earned master's degree in Library Science (terminal professional degree) from an ALA accredited program; documented experience as a successful librarian; and demonstrated success in teaching, professional development, scholarship, and service.
3. **Assistant Professor:** Earned Master's Degree in Library Science (terminal professional degree) from an ALA accredited program, and the capacity for successful librarianship, teaching, professional development, scholarship, and service.
4. **Instructor:** In-progress Master's Degree in Library Science (terminal professional degree) from an ALA accredited program. Persons appointed at the Instructor level automatically will be promoted to the rank of Assistant Professor upon the successful completion of the terminal degree within the timeframe specified by the University at the time of hire (this period is normally no more than one year from the date of hire).

D. Credit for Prior Employment

Newly appointed librarians at Otterbein may claim up to four years of credit toward promotion for previous full-time service as librarians with faculty rank at accredited institutions. Credit toward promotion must be negotiated at the time of appointment. Librarians should confer with the Library Director on the amount of credit claimed prior to discussion with the Provost/Vice President for Academic Affairs. A written statement documenting the amount of credit granted toward promotion will be placed in the librarian's personnel file to determine the promotion timeline.

2. Librarian Performance Criteria, Procedures, and Responsibilities

A. PERFORMANCE CRITERIA

All full-time and part-time librarians are expected to meet Otterbein's performance criteria for teaching, professional development, scholarship, and service. The reappointments of librarians will be determined by institutional need and job performance. Since librarians are generally not assigned specific semester long teaching responsibilities, an important source for the evaluation of their work is the quality of professional service to the library, to the University, and to the profession.

1. Teaching

Effective teaching is an important criterion for decisions on promotion and renewal at Otterbein. All librarians 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 also will 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 but not limited to, library instruction evaluation forms administered to students and faculty members, peer review of instruction sessions and reference transactions. Additional forms of teaching evaluation may include interviews with students and faculty, as well as observation and evaluation by the Information Literacy Librarian, the Library Director and/or the Director of the Center for Teaching and Learning. Librarians who teach semester/term long courses should use the campus approved student course evaluation forms.

Librarians should attempt to obtain student and faculty evaluations of all information literacy sessions presented, but must evaluate a minimum of two instruction sessions annually.

All student and faculty library instruction evaluation forms must be returned to the Information Literacy Librarian no later than Monday of exam week. Student course evaluations are not to be administered during exam week.

2. Advising

All full-time librarians at Otterbein University are eligible to serve as academic advisers and are encouraged to participate in this worthwhile endeavor. The Academic Affairs Office assigns advisees to the librarians. Typically, the students assigned are "still deciding" on their academic majors and will often transfer to

another adviser upon declaration of majors. Librarians may elect to begin advising in their second year of employment.

3. Service

Service to the library, University, and community are essential for all librarians. The faculty statement on Service, found in the *Faculty Manual* (see Section 2, "Performance Criteria"), will guide the librarians.

4. Professional Development and Scholarship

Professional Development and Scholarship are extremely important to the librarians, as it is to the other faculty members at Otterbein University. Therefore, the faculty statement on Professional Development and Scholarship, found in the *Faculty Manual* (see Section 2), will guide the librarians.

5. Institutional Needs

The same institutional needs as listed in the *Faculty Manual* (See Section 2) will guide the librarians.

B. Procedures for Evaluation

1. Annual Performance Evaluation

Each librarian will undergo an annual evaluation of performance by the Library Director using the same procedures as outlined in the Faculty Manual for other non-tenure faculty. Since the library reports directly to the Provost/Vice President for Academic Affairs, all evaluation materials will be submitted to the Provost rather than a School Dean. Further, as described above in the Teaching Section, since librarians do not typically teach semester/term long courses, they do not have the ability to use the campus approved student course evaluation form.

2. Evaluation for Promotion

Sustained superior performance of duties as a professional librarian is recognized through a system of both promotion and increased remuneration for services. Librarians are eligible for promotion under the same procedures as faculty and will follow the procedures for promotion as listed in the *Faculty Manual* (see Section 2).

3. Eligibility and Criteria for Promotion

The Librarians will follow the Promotion criteria as designated in the *Faculty Manual* (See Section 2) for Non-Tenure Track Faculty.

C. Librarian Responsibilities

Each librarian is assigned general responsibilities within his/her particular area of competence. Under the guidance of the Library Director, the individual has latitude in meeting these responsibilities. As it is for all faculty members, academic freedom is a protected right of librarians.

4/8/92

Retyped 10/29/02

Revised 1/6/03

Retyped 1/27/04

Revised 3/17/04

Revised 3/8/14

APPENDIX D

CONTENTS OF INTERIM-TENURE, TENURE, AND PROMOTION PORTFOLIOS

Each faculty member applying for interim-tenure, tenure, or promotion review is responsible for compiling an updated Portfolio. **Note** that portfolios may now be submitted electronically via Digication. Prior to building the electronic portfolio, contact the Office of Academic Affairs for instructions regarding process and access to the ePortfolio template associated with interim-tenure, tenure and promotion reviews.

The Portfolio is central to the evaluation process. It is designed to provide 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.

Upon examination of the faculty member's submitted Portfolio, the School Dean and/or the Provost/VPAA may choose to include in the Portfolio other appropriate items from the candidate's Supervisory File. The School Dean and/or Provost/VPAA (as applicable) 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. **Table of Contents**
2. **Cover letter** summarizing the major items in the Portfolio
3. **Current resumé or Curriculum Vitae**
4. **Department-Level Review**
 - **Department Personnel Evaluation Committee (DPEC).** Comprehensive written evaluation prepared by the DPEC Chair of the faculty member's teaching, professional development, scholarship, and service, including 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 will be included (if applicable).
5. **School-Level Review**
 - **School Personnel Evaluation Committee (SPEC).**
 - i. **Memo from the SPEC** confirming the criteria which have been used for evaluation and the evaluation process.
 - ii. **Comprehensive written evaluation from the SPEC** which includes:
 - a. a description of how the candidate meets each of the relevant criteria in the

Faculty Manual,

- b. a recorded vote of the SPEC, and
 - c. the final recommendation. The recommendation must be signed by all members of the SPEC.
 - d. Minority reports will be included (if applicable).
- **Comprehensive written evaluation and recommendation from the School Dean.**

6. **University-Level Review**

- Written recommendation (or approval in the case of interim-tenure review) from the **Provost and Vice President for Academic Affairs.**
- Final approval memo from the **Board of Trustees** (if appropriate).

Note: All official review documents from the previous interim-tenure, tenure and/or promotion review must be included in the portfolio with the appropriate section. This includes those from the Department/DPEC, SPEC, School Dean and the Provost.

7. **Department Chair annual reviews with Chair and Dean feedback** (since the last formal review). These reports should provide evidence that the Chair has annually observed the faculty member's teaching, per the *Faculty Manual*.
8. **Personal employment performance reviews for other Otterbein work**, only if desired by the individual.
9. **Documentation of Teaching Effectiveness.** The faculty member is encouraged to include any information that supports teaching effectiveness. This section shall include:
- 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. **Student evaluation summary reports.** All faculty on tenure-track must include university-approved, summative course evaluations for all courses. The tenured faculty member up for promotion must include at least two university-approved summative course evaluations for each academic year since the previous evaluation. Evaluations using the university-approved online evaluation system may now be accessed by the faculty member. (Contact the Office of Academic Affairs if you need instructions regarding how to access those evaluation reports.) Summarized results from additional departmental or individual forms created by the department or the faculty member may also be included. Please do not include stacks of individual student forms.
 - 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.

10. **Documentation of Scholarship/Creative Work and Professional Development.** Please refer to the "Revised Institutional Statement on Scholarship and Professional Development" (Attachment A). Please contact your Department Chair for a copy of your department's "Departmental Statement on Scholarship/Creative Work".

11. Evidence of quality of **advising**, if available.

12. **Documentation of Service** (departmental, area, campus, or community contributions). This might include committee work, organizing/participating in conferences, or performing special duties for the department/school/campus.

13. **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 or promotion) you do not have to create an entirely new portfolio. Include any new materials and summarize any additions in a one-page cover memo. Candidates for promotion to full professor who have not submitted a portfolio for review for seven (7) years or more should seek council of their Department Chair and School Dean prior to submission.

CONTENTS OF NON-TENURE-TRACK RENEWAL AND PROMOTION PORTFOLIOS

Each non-tenure-track faculty member applying for renewal or promotion is responsible for compiling an updated Portfolio. **Note** that portfolios may now be submitted electronically via Digication. Prior to building the electronic portfolio, contact the Office of Academic Affairs for instructions regarding process and access to the ePortfolio template associated with non-tenure-track renewal and promotion reviews.

The Portfolio is central to the evaluation process. It is designed to provide 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.

Upon examination of the faculty member's submitted Portfolio, the School Dean and/or the Provost/VPAA may choose to include in the Portfolio other appropriate items from the candidate's Supervisory File. The School Dean and/or Provost/VPAA (as applicable) 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. **Table of Contents**
2. **Cover letter** summarizing the major items in the Portfolio.
3. **Current resumé or Curriculum Vitae.**
4. **Department-Level Review**
 - **Department Personnel Evaluation Committee (DPEC).** Comprehensive written evaluation prepared by the DPEC Chair of the faculty member's teaching, professional development, scholarship, and service, as appropriate for their appointment category, including 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 will be included (if applicable).
5. **School-Level Review**
 - **School Personnel Evaluation Committee (SPEC)**
 - i. **Memo from the SPEC** confirming the criteria which have been used for evaluation and the evaluation process.
 - ii. **Comprehensive written evaluation from the SPEC** which includes:

- a. a description of how the candidate meets each of the relevant criteria in the *Faculty Manual*,
- b. a recorded vote of the SPEC, and
- c. the final recommendation. The recommendation must be signed by all members of the SPEC.
- d. Minority reports will be included (if applicable).
- **Comprehensive written evaluation and recommendation from the School Dean.**

6. University-Level Review

- Written recommendation from the **Provost and Vice President for Academic Affairs.**
- Final approval memo from the **Board of Trustees** (if appropriate).

Note: All official review documents from the previous renewal or promotion review must be included in the portfolio with the appropriate section. This includes those from the Department/DPEC, SPEC, School Dean and the Provost.

- 7. **Department Chair annual reports with Chair and Dean feedback** (since the last formal review). These reports should provide evidence that the Chair has annually observed the faculty member's teaching, per the *Faculty Manual*.
- 8. **Personal employment performance reviews for other Otterbein work**, only if desired by the individual.
- 9. **Documentation of Teaching Effectiveness.** The faculty member is encouraged to include any information that supports teaching effectiveness. This section shall include:
 - 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. **Student evaluation summary reports.** All faculty on tenure-track must include university-approved, summative course evaluations for all courses. The tenured faculty member up for promotion must include at least two university-approved summative course evaluations for each academic year since the previous evaluation. Evaluations using the university-approved online evaluation system may now be accessed by the faculty member. (Contact the Office of Academic Affairs if you need instructions regarding how to access those evaluation reports.) Summarized results from additional departmental or individual forms created by the department or the faculty member may also be included. Please do not include stacks of individual student forms.
 - 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.

- 10. **Documentation of Scholarship/Creative Work and Professional Development**, if applicable, according to the terms of employment. Please refer to the "Revised Institutional Statement on Scholarship and Professional Development" (Attachment A). Please contact your Department Chair for a copy of your department's "Departmental Statement on Scholarship/Creative Work".
- 11. Evidence of quality of **advising**, if applicable, according to the terms of employment, and if available.
- 12. **Documentation of Service**, if applicable, according to the terms of employment (departmental, area, campus, or community contributions). This might include committee work, organizing/ participating in conferences, or performing special duties for the department/school/campus.
- 13. **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. renewal or promotion) you do not have to create an entirely new portfolio. Include any new materials and summarize any additions in a one-page cover memo. Candidates for promotion to full professor who have not submitted a portfolio for review for seven (7) years or more should seek council of their Department Chair and School Dean prior to submission.

September 2014

APPENDIX E

PREFACE TO THE OTTERBEIN UNIVERSITY BYLAWS

This document sets forth a system of governance which can best be described as community oriented. The governance plan is designed to encourage significant participation in the decision-making process by the entire University community through representation on all legislative bodies.

All segments of the University community are represented on legislative bodies, but not all are selected by the same process. For example, some members of the University Senate are democratically elected, but others are appointed and still others hold office by virtue of their positions at the University. Each senator will view a situation from the perspectives of a particular group, but it is not his primary purpose to act as a representative of that group. Rather, his purpose is to act in response to the goals and for the good of the total community.

It is well for those of us who are most continuously on campus to remember that the University community includes as full participatory members two groups which are only intermittently on campus, namely the trustees and the alumni. In addition, the University chooses to maintain an affiliation with the United Methodist Church. The points of view of all of these groups must be seen as part of the significant input to be considered in any final decision of the University community.

The exigencies of time and space do not permit or require active participation on campus and at Senate meetings by these elements of the community. Therefore, it is necessary to give them opportunities to express their views through such means as task force study groups and questionnaires.

Since the final legal authority and responsibility for the affairs of the University rest upon the trustees for any decision made, this element of the University community becomes the ultimate determiner in all University matters. In some areas, such as investments and capital funding, the trustees act unilaterally. Within the governance system, bills passed by the University Senate must be ratified by the authority of the trustees to become law. During the interim between meetings of the full Board of Trustees or its executive committee the President of the University represents this authority on campus. The spirit of the governance system, however, is such that all elements of the community should be given full recognition and participation. If, on occasion, a piece of enacted legislation is vetoed or changed by the board or its representatives, the on-campus community has the right to expect consultation with the board or its representatives and a rationale for any change or compromise made. When such action is carried out with the honest intent of abiding by the basic spirit of the governance document, the total University community needs to acknowledge this as consistent with the intent and constitutional standards of the system.

OTTERBEIN UNIVERSITY BYLAWS

The Bylaws are linked on the Senate intranet home page. Login to the O-Zone and select Senate from the A-Z index.

APPENDIX F

OTTERBEIN UNIVERSITY INTELLECTUAL PROPERTY POLICY

Approved by the Board of Trustees
May 18, 2013

Otterbein University Intellectual Property Policy

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I. Introduction

A. Preamble

1. Otterbein University ("the University") is committed to providing an environment that supports the research and teaching activities of its faculty, students and staff. The University supports an intellectual environment whereby creative efforts and innovations can be encouraged and rewarded, at the same time balancing the need to provide the University with the means to continue support of such efforts and innovation and also retaining for the University and its learning communities reasonable access to, and use of, the intellectual property for whose creation the University has provided assistance.

2. This Intellectual Property Policy ("the Policy") is intended to promote and encourage excellence and innovation in scholarly research and teaching by identifying and protecting the rights of the University, its faculty, staff, and students. The University encourages the development, production, and dissemination of intellectual property by its faculty members and strives to maintain an environment which continues to support such efforts.

B. Definition of Terms

1. In general, when the words "copyrights" and "patents" are used in this Policy, those words are meant to refer to the rights, privileges and protections afforded by U.S. laws and international treaties for those two categories of intellectual property.

2. Under pertinent federal statutes, **Copyrights** refer to the rights that protect all original Works of authorship fixed in any tangible medium of expression

3. **Patent** shall be understood to mean that bundle of rights that protect Inventions or discoveries which constitute any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof and any other Inventions or discoveries for which U.S. patents may be issued.

4. The term "**Works**" or "**Work**" shall refer to all intellectual property that constitutes original works of authorship fixed in a tangible medium of expression. The term "**Invention**" shall be used to refer to all new and useful inventions or discoveries, or new and useful improvements of the same.

5. **Overlaps Between Copyright and Patent:** Some materials created at the University are both patentable and copyrightable (e.g., a copyrightable Work that embodies a patentable Invention). Many Works may be patentable. For the Work that is both copyrightable and patentable, the Patent Policy of the University shall govern intellectual property rights in the Work.

6. Substantial Use is the use of resources other than those "ordinarily available" (described in II. B) to most or all faculty members, such as, release time from regularly assigned duties; direct investment by the University of funds or staff, or the purchase of special equipment for the project; use of multimedia production personnel and facilities; or extraordinary use of computing resources.

7. Institutional Works or Work include Works whose authorship cannot be attributed to one or a discrete number of authors but rather result from simultaneous or sequential contributions over time by multiple faculty and students.

8. Work for Hire is Work created by any employee within the scope of University employment or by faculty members pursuant to a specific direction or assigned duty (other than the teaching of courses) from the University or any of its units.

C. Scope of Policy

1. This Policy creates an organizational framework and procedures to best support and promulgate Intellectual Property created at the University.

2. In general, an employer is considered to own all of the Intellectual Property created by its employees within the scope of their employment. However, in the college and university context, a different tradition has developed. Historically, universities have viewed traditional academic works, such as scholarly research or the development of course materials, as the property of the creator. This Policy affirms this tradition except as noted under Substantial Use, etc..

3. The University supports research and teaching through the provision of resources. When this resource provision is substantial, as described under Section II A-b "Substantial Use of University Resources," then the University is entitled to a share of any financial rewards derived from that Intellectual Property.

4. Works that are functional and concern the operation of the University, such as admissions materials, campus web pages, or drafted policy, are considered the Intellectual Property of the University.

D. Institutional Use of Intellectual Property in the Category of Traditional Academic Work

1. All Intellectual Property developed by faculty members and students for use in the classroom generally remains the property of the creator. Notwithstanding such ownership, the University shall have a perpetual, royalty-free right to use, copy, distribute, display, publicly perform or make derivative works of such Works for the University's instructional, educational, and administrative purposes, including satisfying requests of accreditation agencies.

2. Many faculty, staff and students experience high costs and practical inconvenience in obtaining permission to use material for research and teaching which is the subject of intellectual property protection. Faculty members are therefore required to seek from publishers and other persons to whom faculty members assign rights in their intellectual property, a non-exclusive, perpetual, royalty-free license for their own non-commercial research and teaching and, where possible, for anyone within the University to use that intellectual property for non-commercial research and teaching. The University shall work to develop standard license terms and shall otherwise, to the extent possible, assist faculty members in securing such licenses.

II. Ownership of Intellectual Property

A. Copyright Policy

The university exerts ownership over the copyrights for Works with potential commercial value in the categories noted below. If the University does decide to develop a Work for commercial use, then any income received through the commercialization of this Work will be shared with the creator(s) as indicated under the Division of Income for Intellectual Property with Potential Commercial Value section.

- a. External Grants and Contracts: Otterbein University honors copyrights that are stipulated in the terms or conditions of an external grant or contract, which includes sponsored research or other types of agreements. Copyright ownership of all material that is developed in the course of or pursuant to a sponsored research or other agreement to which the University is a party shall be determined in accordance with the terms of the sponsored research or other agreement. In absence of terms specifically assigning ownership, the copyright shall become the property of the University if the terms of such agreement directly or indirectly create any obligation on the part of the University or if ownership is conferred upon the university by operation of another provision of the policy.
 - i. If no such terms or conditions exist, then property rights default to the faculty, staff or administrative employee or student, except where subject to the exceptions outlined in this policy (substantial use, institutional Works, etc.). Otterbein will be granted royalty-free, non-exclusive, and irrevocable license to use and reproduce any intellectual property produced under the grant or contract for internal, non-commercial purposes.

- b. Substantial Use of University Resources: Ownership of Works which are developed with the "Substantial Use" of University resources shall reside in the University.
- i. In most cases, determinations of "Substantial Use of University Resources," shall be made at the time that those substantial resources are requested and approved by the Chief Academic Officer or other appropriate Vice President. Ordinarily, this determination shall be specified in writing in advance of the allocation of those resources.
 - ii. As of the date of this Policy, "ordinarily available" resources include office space and personal office equipment, office computer workstations, library and other general use information resources, including incidental consultation and support from university personnel, and the means of network access to such resources. Incidental involvement of students receiving funding from the University is also excluded from the definition of "Substantial Use." For purposes of this policy, "Release time" is a period of time separate from sabbatical leave that is negotiated with the University for the purpose of research or scholarship.
 - iii. As the institutional mission evolves, the concept of Substantial Use of University Resources may need to be updated by the Board of Trustees, and such revised definition may be incorporated as an Addendum to this Policy.
- c. Institutional Works: The University shall retain ownership of Works created as Institutional Works. For example, software tools developed and improved over time by multiple faculty and students where authorship is not appropriately attributed to a single or defined group of authors would constitute an Institutional Work. The mere fact that multiple individuals have contributed to the creation of a Work shall not cause the Work to constitute an Institutional Work.
- d. Work for Hire: The copyright of material that is created by any employee within the scope of University employment, such as Works that are functional as referenced under "Scope of Policy" I.C.4) or by faculty members pursuant to a specific direction or assigned duty (other than the teaching of courses) from the University or any of its units shall be the property of the University. (e.g., if the University expressly directs a faculty member to create a specified Work or if the Work is created as a specific requirement of employment or as an assigned institutional duty, such as may have been included in a written job description or an employment agreement).

- e. Regardless of ownership as determined above, Otterbein will be granted royalty-free, non-exclusive, and irrevocable license to use and reproduce any intellectual property for non-commercial purposes.

B. Patent Policy

1. Otterbein University is committed to a liberal arts and professional education for its students. While not the primary goal of the University, through the development of courses or the pursuit of research, patentable Inventions may result in part or wholly due to the assistance of Otterbein in the form of funds or facilities. This policy establishes guidelines for the determination of ownership and, where applicable, the division of income. At heart, this policy recognizes the importance of protecting the inventor's creative endeavors, while at the same time recognizing the institutional commitment and support when applicable.
 - a. Contractual Agreements: Inventions that arise out of research funded under contract from government, philanthropic, industrial, or other organizations or entity shall be subject to the terms of the applicable grant or contract. Further, the ownership of an Invention that is developed in the course of, pursuant to, or related to an agreement to which the University is a party shall be determined in accordance with the terms of the agreement. In those situations when ownership is not assigned, the ownership of the Invention shall become the property of the University if the terms of such agreement directly or indirectly create an obligation on the part of the University or if ownership is conferred upon the University by operation of another provision of the Otterbein Patent Policy.
 - b. Independent Work: Inventions that do not rely on a Substantial Use of University Resources and are largely conducted during the inventor's own time remain the property of the inventor and may be commercialized at the inventor's expense. Please see the definition of "Substantial Use of University Resource" under the COPYRIGHT POLICY. However, in some cases, the inventor may decide, in agreement with Otterbein, to have the Invention managed by the University. In this situation, Otterbein Patent Policy dictates the division of income.
 - c. Inventions Created with Substantial Use of University Resources: Inventions that rely on University support through Substantial Use of University Resources are considered property of the University. Please see the definition of "Substantial Use of University Resource" under the COPYRIGHT POLICY in Section IIA-b. The inventors of such Inventions are required to assign all rights to the University subject to a perpetual royalty free license for the inventors to use for their own non-commercial research and/or teaching.

2. If the University does not wish to develop this property through the patent process and commercial development, then the property rights may be returned to the inventor, upon request and for good cause shown.
 - a. The inventor shall then be responsible for the patent application and registration if he or she decides to seek patent protection for the Invention. The University shall relinquish all claims to income resulting from such a patent. This determination will be made by the Chief Academic Officer within ninety days of the University's notification of the Work.
3. If the University does decide to develop this property and patent the Invention, the University and the inventor shall be jointly responsible for the development and costs of the patent application and registration, and any income received through the commercialization of the Invention will be shared with the inventor as indicated under the Division of Income section.
4. Regardless of ownership as determined above, Otterbein will be granted royalty-free, non-exclusive, and irrevocable license to use and reproduce any intellectual property for non-commercial purposes.

C. Voluntary Transfers of Ownership

1. The creator(s) of intellectual property may voluntarily transfer the intellectual property rights to a Work and/or Invention, in whole or in part, to the University. Such transfer shall be in the form of a written agreement signed by the creator(s) and the Chief Academic Officer on behalf of the University.
2. Should a Work and/or Invention become the property of the University, then the original creator(s) and/or inventor(s) has an obligation to promptly assign all rights related to the Work and/or Invention to the University subject to a non-exclusive, perpetual, royalty-free license for his or her own non-commercial research and teaching even when he or she leaves the University.
3. If the University does not wish to develop a Work and/or Invention, then the intellectual property rights may be returned to the creator(s). This determination will be made by the Chief Academic Officer (Provost/Vice President for Academic Affairs) within ninety days of the University's notification about the Work and/or Invention.

D. Outside Consultants and Independent Contractors

As it is the University's policy that the University retain ownership of a Work and/or Invention that have potential commercial value, are supported by a specific allocation of University funds or that are created for a specific University purpose, the University generally shall require that any agreement for the payment of fees to outside consultants and independent contractors shall include an assignment by the consultant or other

participant to the University of any ownership interest, including any copyright or patent interest, in the resulting Works and/or Inventions.

III. Division of Income for Intellectual Property with Potential Commercial Value

A. Net Income Division

If the University does decide to develop an intellectual property (Work or Invention) with potential commercial value, any income received through the commercialization of this Work and/or Invention will be shared with the creator(s). All accumulated net income, minus any administrative or related expenses incurred by the University and by the producer, will be shared with the producer in the following manner:

	First \$5,000	5,000-15,000	Above 15,000
Producer	100%	70%	50%
Producer's Department & School	0%	20%	30%
University	0%	10%	20%

B. Net Income Division When There is More than One Creator

- 1. Producer and Co-Producer** refers to the creators of intellectual property with potential commercial value which is owned by the University.
- Co-producers will share their portion equally unless otherwise agreed.
- The producer's share will continue even should the producer leave the University.
- The division of the share of income retained by the producer's department and school will be determined by the dean from the appropriate school in consultation with the chair from the inventor's department.
- In cases where the University has an ownership right in a copyright or patent, this policy does not preclude the possibility of a separately negotiated agreement between the interested parties.

IV. Students

A. Intellectual Property Produced by Students

1. As outlined under the section “Institutional Use of Intellectual Property in the category of Traditional Academic Work,” the University makes no claim to work created for use in the classroom.
2. The University makes no claim to copyright ownership of an intellectual property generated by students working on their own and not making Substantial Use of University Resources.
3. Students working on a project governed by a contract or agreement to which the University is a party shall be bound by the terms of that contract or agreement.
4. If substantial resources are requested and agreed to by the University, then the ownership of Works developed through Substantial Use of University Resources is owned by the University, unless a separate contract is negotiated.
5. Students who are hired in a staff role or position will be governed by this policy as it pertains to staff members for purposes of this policy only.
6. Students employed by faculty to work on a project in a general support role will not have ownership rights in any of the intellectual property that may be produced.
7. Students working collaboratively with faculty on projects that result in intellectual property may be granted the same rights and obligations of intellectual property ownership as would another faculty employee working collaboratively on the project. Students and faculty should establish these rights at the outset of their collaboration.
8. Every effort should be made to recognize the contribution of students when working collaboratively with faculty and other staff or administrative employees, whether in independent scholarly and creative work, or as paid or credit-earning assistants or collaborators.
9. Students may also be subject to rules and restrictions of their departments and/or programs of study which are not inconsistent with this Policy. For example, students who copyright their theses or dissertations must grant the University rights to reproduce and distribute copies of their Works in accordance with the policies of the University.

B. Recording Classroom Instruction

1. The conventional means for recording classroom instruction and discussion has been written note taking. The University and faculty encourage written note-taking, and

consider notes taken for the purpose of the student's personal learning to be the student's intellectual property. Student retain intellectual property rights for purposes of their own learning but are subject to the restrictions in 2 (below).

2. If the student chooses to disseminate to a third party outside the University or profit from their written notes or course materials in any fixed tangible medium of expression, then the instructor's written permission is required. Similarly, if a student decides to record a class using any medium other than writing, the faculty permission is also required. This agreement between the faculty and the student should be established at the onset of class.
3. As part of an institutionally approved accommodation under the Americans with Disabilities Act, the approved students have license to record classes and to use recordings for purposes of their own learning, only.

IV. Procedural Matters Concerning Intellectual Property with Potential Commercial Value

A. Disclosure

1. All faculty, staff and students shall disclose in writing to the Chief Academic Officer on a timely basis all potential intellectual property with potential commercial value conceived or first reduced to practice in whole or in part in the course of their University responsibilities or with the Substantial Use of University Resources. Where the intellectual property that is or may be developed in pursuant to an agreement to which the University is a party, the disclosure requirement may be modified or determined in accordance with the terms of the agreement.
2. If there is reasonable doubt regarding ownership, the University will have ninety days after receiving the written disclosure to make a determination of ownership. If no response is forthcoming, then Producers may consider the intellectual property their individual property and pursue commercialization at their own expense. All faculty, staff, and students have a duty to disclose to the Chief Academic Officer on a timely basis any intellectual property with potential commercial value emanating from subject matter of a licensed patent held by a third party.
3. If an intellectual property is developed with Substantial Use of University Resources and is deemed at the time of development to not have potential commercial value, resulting in the University voluntarily transferring ownership to the Producer, yet is subsequently developed for commercial purposes, then the Producer must disclose that fact to the University at that later point. If the university voluntarily transferred all of the ownership, the university may not claim ownership at this later date.

4. If the University has maintained ownership over any portion of that property, the creator must disclose to and arrange for any sharing of commercial value with the University at any future date.

B. Use of University Name and Logo

The University does have a claim to intellectual property that reflects on the identity of the University and suggests endorsement by the University, including use of the University name and logo. Members of the Otterbein community may present themselves as affiliated with the University but may not in any way imply or infer that the University endorses a product without a written agreement of endorsement. The University trademark, logo and name may not be disseminated beyond the University for purposes that go beyond one's routine Work or for products sold for profit, without permission

C. Conflict Resolution

1. Any disputed issues related to intellectual property, including the interpretation of the Otterbein University Intellectual Property Policy shall be reviewed and determined by the Intellectual Property Committee. Any subsequent amendments of this Policy shall also be reviewed by this Committee.
2. The Intellectual Property Committee is an administrative committee that is constituted annually. Membership shall consist of one elected faculty representative of each school and the Library (elections to be held at the start of the academic year) the Director of Sponsored Programs and an elected student representative. Each year, the members of the Committee shall elect a Chair.
3. The complainant must submit a letter with reasonable details to the Intellectual Property Committee explaining the issue to be resolved. The Intellectual Property Committee will review the dispute and advise the parties of its decision within 90 days of receipt of the letter. At that time the Committee shall also notify the President of their decision. The Intellectual Property Committee may summon relevant parties to the dispute, however, only members of the Committee and participants in the dispute are to attend and participate in these hearings.
4. Any dispute, controversy, claim or other matter arising under, out of or relating to this Policy that is not resolved through this internal campus conflict resolution process shall be submitted to the President for reconsideration. The President's decision is final and will be conveyed to the Committee, the parties involved in the dispute and the Board of Trustees.
5. Should a dispute arise related to intellectual property, then either party may seek injunctive relief at the Ohio court to halt the use of the disputed material until the outcome of the dispute is settled. This injunctive relief is in addition, but not in substitution, to any other relief to which a party seeks.

D. Application of Policy

1. This Policy shall not apply to existing written agreements between the University and/or faculty members and any external organization or individual, concerning the development, legal protection, or commercialization of specific intellectual property, and entered into prior to the date on which this Policy is adopted by the Board of Trustees.
2. If an existing written agreement is renewed, revised, or amended after the date on which this Policy is adopted by the Board of Trustees, reasonable attempts shall be made to conform such agreement to the requirements of this Policy as of the date on which it is renewed, revised, or amended.

E. Implementation

1. The policies set forth above constitute an understanding that is binding on the University, and on its faculty and staff or administrative employees, students, and others as a condition of their participating in University research programs or their use of University resources. The University may require formal copyright or patent assignments or agreements to implement the policy as appropriate, but the absence of such executed assignments or agreements shall not invalidate the applicability of this Policy.
2. Any proposed changes to this Policy will be addressed to the Chief Academic Officer. The Chief Academic Officer may designate an individual or task force to review these proposals. If the changes are procedural but not interpretive, then any change will be put into effect within a reasonable time after notification of University faculty staff and students. Any interpretive changes or changes to the intent of this policy must be approved by the Board of Trustees.

F. Notification

The University shall inform all persons subject to this Policy of its terms as soon as efficiently possible after its adoption and at regular intervals thereafter. The University is committed to an open and considered discussion of this Policy, so all members of the community understand how the Intellectual Property they produce are governed by this Policy.

G. Effective Date

This Policy shall take effect immediately upon its adoption by the Board of Trustees, May 18, 2013.

APPENDIX G

CHAIRS' MANUAL

I. Position Definition

The Department Chair is a member of both the faculty and the administration. In the dual roles the individual is the liaison between departmental faculty and the central administration, with a particularly close supporting relationship to his or her School Dean and the Provost and Vice President for Academic Affairs (hereafter referred to as Provost).

The dual roles mean that each Chair will be expected to continue meeting in an exemplary way the teaching, scholarship, professional development, and service responsibilities of faculty members, while taking on the additional administrative tasks described below. In recognition of the increased professional commitment of Chairs, the Provost negotiates with each Chair an appropriate reduction in teaching load and recognizes leadership contributions in the personnel reward system. The amount of teaching load reduction is guided by factors such as the size of a department, the management of unique facilities, and the demands of external accreditation.

On a very basic level department chairs are expected to evaluate their department faculty (including direct observation of their teaching), ensure the curriculum is offered in an appropriate rotation so that students can complete the major in a timely fashion, ensure responsible departmental spending to stay within the department budget, serve as an advocate for the department on campus, and be sure that students receive appropriate academic advising. Because chairs participate actively in the curriculum, personnel and budgetary processes and procedures with the University, Chairs hold pivotal appointments in the life of the institution. The intent of this Manual is to facilitate the implementation of their responsibilities and, as a result, make us all better servant-leaders of the faculty and students at Otterbein.

II. Major Responsibilities

A. Personnel Evaluations

a. Tenure, Interim-Tenure, Post-Tenure, Non-Tenure Track, and Promotions

It is difficult to think of any decisions we make as faculty which are more important than those related to our faculty colleagues with whom we work. The *Faculty Manual* describes in great detail the criteria to be used and procedures we must follow in making decisions on tenure, interim-tenure, post-tenure, renewal, and promotion. Failure to evaluate colleagues by the criteria or to meet deadlines not only raises the specter of inequity in the professional review of colleagues but also opens you and the University to potential litigation.

The heart of our personnel evaluation system is peers evaluating peers. See Section Two, “Faculty Performance Criteria, Procedures, and Responsibilities,” in the *Faculty Manual*, for a complete explanation of the evaluation process. The Departmental review is the critical first step of the interim-tenure, tenure, and promotion review process and the Chair has a vital role to play in it. Be very conscious of the deadlines for each step in the process. These dates are sent annually to faculty undergoing review and their chairs, and are published on the Academic Affairs website. An effective chair offers to make sure that candidates undergoing review understand the protocols for the construction of a portfolio and for the review more generally.

b. Annual Performance Evaluation—Faculty

Using the form provided by the Provost, found on the Academic Affairs website, Department Chairs will conduct annual performance evaluations of each member of their department. The annual performance evaluation is based on the calendar year (January -December). On the form to be used, the written evaluation begins with the faculty member’s own self-report on his or her year of teaching, scholarship & professional development, and service. The Chair must then share what he or she has written with the faculty member and provide the faculty member with the opportunity for response in writing. Once this response is written—or if the faculty member elects not to write it—the chair and faculty member should sign the form. Once the chair has signed copies of all faculty members undergoing a review, he or she should submit them to the appropriate School Dean. Since these evaluations are used by the Provost and the School Dean in determining annual salary adjustments, they must be completed following the deadlines distributed annually by the Academic Affairs Office. Normally during the first week of April, each Chair will meet with their School Dean to discuss the performance of each faculty member within the department.

Please note that faculty undergoing interim-tenure, tenure, promotion, or post-tenure reviews do not do annual performance reviews for the year that is already captured in the portfolio or documents that they have prepared and submitted as part of such a review.

Annual faculty performance evaluations must use data secured from the faculty member’s self-report, the Chair’s annual classroom observation and/or other peer observations, and the official “Student Course Evaluation Form” from at least two courses from the calendar year under review. All full-time faculty who are in the probationary period prior to consideration for tenure or who are in a visiting or non-tenure track position must submit to his or her chair the “Student Course Evaluation Form” from all courses from the calendar year under review. See Section Two, “Faculty Performance Criteria, Procedures, and Responsibilities” in the *Faculty Manual*. Following the Dean’s discussion with the Department Chair, a salary recommendation will be forwarded to the Provost and then to the President for final

approval. The Chair and the faculty member are notified of the disposition of the recommendation by the end of the academic year.

c. Annual Performance Evaluation—Staff

Chairs must also complete annual performance reviews of all staff who work within the department. This review, which includes an opportunity to discuss goals for the coming year, is completed at the end of the academic year. The forms for the review of staff are found on the Human Resource webpage.

B. Faculty Searches

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. In consultation with their School Dean, the Chair gathers data on the need for the request. This could include data on enrollment, demand, connection to the curriculum, connection to the mission of the department and university, etc. The position request form can be found on the Academic Affairs webpage. The Personnel Committee consults with a subcommittee of the Curriculum Committee and recommends through the Provost 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 Provost, who will monitor all searches. The University encourages applications from underrepresented minorities, and chairs should commit themselves to the best practices aimed at recruiting as diverse an applicant pool as possible. For directions to pursue in this regard, consult with your School Dean and/or use the Search Process link on the Chairs and Directors Resource page on the Faculty Resources link via the Academic Affairs Intranet site.

It is the department Chair's responsibility to form a search committee who will gather complete dossiers for the leading candidates that include resumes, certification of degrees, adequate supporting letters of reference, and any other items of significance. The search committee will complete an initial screening of the applicants and identify candidates for a preliminary interview, usually via Skype. Telephone inquiries to references about candidates should be noted in writing and included in the dossier available to the search committee.

The search committee selects several whose qualifications most closely match those of the "ideal" candidate, ranks them in order of preference, and submits them to the School Dean. The School Dean consults with the Provost on the finalists and then collaborates with the Chair on the candidates to be invited.

The Chair and the Dean will invite several candidates, normally three, from the group selected by the search committee to visit the campus. Official transcripts are to be received by Academic Affairs prior to the scheduled interview.

In the time between the on-campus invite and the actual visit, or in the time between the completion of the visit and the final deliberations, the references listed on an applicant's vita—if not called already—must be. The results of these calls should be recorded in writing and shared with the search committee. Chairs are encouraged to delegate some of these calls to members of the search committee.

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 Director of Human Resources, the School Dean, the Provost, and where appropriate Program Directors and other appropriate parties (e.g., The Dean of University Programs, the Dean of the Graduate School, The Department of Education chairperson). 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. The chair should review with faculty and any students involved in the interview process appropriate questioning of candidates. Interviewers should not ask about the candidate's family responsibilities, national origin, or other topics that could lead to a claim of discrimination. Candidates are also expected to do a teaching demonstration or a presentation of their research or creative work as appropriate. Chairs should take the steps necessary to solicit evaluative feedback from those who interact with the candidates.

Following the interviews, written evaluations with rankings on each candidate should be prepared by the chair and forwarded to the Provost, who after consultation with the chair, will make a recommendation to the President. The chair contacts the top candidate to let them know that he or she is the first choice. With the approval of the President, the appropriate Dean 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.

C. Part-Time Faculty

With the increase in the number and types of academic programs offered by Otterbein has come increasing dependence upon the use of part-time faculty. Section Two of the *Faculty Manual* includes a statement on this important segment of our faculty.

Part-time faculty are selected by Department Chairs in consultation with the School Dean. Chairs will maintain a list of potential part-time faculty and will recruit qualified applicants as needed.

When hiring part-time faculty, Chairs should meet with potential applicants and should ensure that applicants complete the necessary paperwork in Human Resources to finalize their hiring. This includes a standard background check that is required of all employees at Otterbein. Chairs must ensure, too, that part-time faculty submit official transcripts to the Academic Affairs office for the highest degree germane to the teaching for which they are being hired.

Part-time faculty should be periodically reviewed. At a minimum the Department Chair should annually review their teaching evaluations for their classes. These are available by:

1. Logging into Campus Labs at: <https://otterbein.campuslabs.com/ce/>, using your Otterbein credentials. (Please note: this is a different web address than the one used to access your individual faculty page.)
2. Clicking on the Reporting tab in the upper left hand corner, underneath the campuslabs logo, and select Faculty Summary Reports.
3. Department Chairs/Program Directors will see a list of their part-time faculty and a link to their summary report. If a part-time faculty member is missing from the list, please contact Academic Affairs. You can also view different terms in the Showing Term drop-down box.

D. Curriculum

a. Review

One of the measures of the academic integrity of the College is its curriculum. The departments are the generators of the standards expected of students who enroll in the courses and declare majors, minors, or concentrations in each area. As the leader of the department, the Chair is responsible for certifying to the College community that its curriculum reflects contemporary scholarship, is presented through the use of teaching methodologies that facilitate student learning, and prepares students for the next steps in their professional lives.

This means that the Chair should lead an annual informal review with department faculty on the state of the curriculum. As mandated by the Curriculum Committee and Institutional Effectiveness Committee, every seven years the department will undergo an extensive internal review. This review will include an external curricular evaluator. Recognizing that some departments are reviewed, as well, by external professional associations, the Institutional Effectiveness Committee will coordinate these evaluations with those mandated internally. In all reviews of the curriculum, the Chair is responsible for successful implementation and outcome of the curriculum. The chair should ensure that the curriculum is guided by clear and achievable (or measurable) learning outcomes. These outcomes should reflect

contemporary scholarship, be reached by the use of teaching methodologies, and prepare students for life beyond Otterbein.

b. Scheduling of Classes

Our curriculum becomes alive for our faculty and students through the scheduling of classes in mutual cooperation with the Registrar, the School Dean, and where necessary, appropriate program directors. The Chair's role in the process is pivotal to the success of our academic programs. In meeting that responsibility many factors come into play, including the availability of appropriate faculty for teaching the classes (sabbatical leaves must always be considered in building class schedules) and the need for students to enroll in the courses required to complete the department's program(s). In consultation with their School Dean, who will review all departmental schedules in advance of their publication by the Registrar, chairs should monitor enrollments with an eye toward capacity and maximization of resources.

A chair's role in the construction of schedules includes the summer sessions. There are some courses that students count on taking in the summer to stay on track for their degree(s) or that are fundamentally part of a degree path. Chairs should dialogue with their faculty, and with the appropriate program directors and Deans about summer offerings that are likely to be in demand.

An equally important consideration when developing a schedule is Otterbein's commitment to the liberal arts, expressed very clearly by the Integrative Studies program, the Senior Year Experience and the other general education requirements which are pre-requisites for graduation. Department Chairs must work closely with the Integrative Studies Chair in making certain that courses are scheduled that enable students at all status levels to meet the Integrative Studies requirements.

To make the best use of its resources, occasions may arise when low enrollment in a course requires its cancellation. Courses with fewer than seven enrolled students will be cancelled, although appeals to the School Dean are considered. Courses taught as overload or by part-timers to less than seven are taught at a pro-rated rate.

Please be advised that there is a ten hour overload-teaching maximum. No full time faculty member in your department should carry an overload of more than ten hours per academic year.

An effective chair pays especial attention to the construction of a reasonable teaching schedule for new faculty members.

D. Budget Management and Requests

All of us who administer budgets are responsible for keeping within the authorized allocations. Shifts may be requested among the operating lines, but for the fiscal health of the University, Chairs must not exceed the total operating budget. If a Chair realizes at some point during the fiscal year that the budget may be insufficient to meet unexpected developments in the department, discussions should be held as soon as possible with his or her School Dean.

In addition to a department's annual operating budget, it is important that chairs be aware—and good stewards—of departmental gift accounts and/or endowed accounts. Some gift accounts can be used generally to support departmental initiatives. Others are restricted to uses set forth by donors.

The University's Academic Affairs Intranet Site contains Budget Request forms for the following fiscal year for non-faculty budgetary items such as equipment, program initiatives, and additional administrative support. These tend to be due early in the spring semester.

III. Other Responsibilities

A. Promoting Faculty Goals and Initiatives

Chairs, the School Deans and the Provost share a responsibility to support faculty in their professional development. Using the data provided by a number of evaluation sources and our own interaction with faculty colleagues, the annual performance review should include a description of goals for the coming academic year. When agreed upon by the Chair and the faculty member, they become the professional development program for the year and are among the criteria used in the annual review the following year.

Chairs should also make sure that faculty are aware of internal sources of funding—Deans Travel, FSDC grants, CTL initiatives, etc. —to support research & teaching initiatives.

Chairs should encourage faculty to submit their accomplishments for the Faculty Achievements resource that is shared with the Otterbein University Board of Trustees, and the administration, faculty, and staff of Otterbein University. Chairs should bring to the attention of the University's marketing and webpage administrators achievements that are especially noteworthy for their possible publicizing on the university's homepage.

B. Advising

In conjunction with teaching, effective advising of students is one of the primary professional responsibilities of the Otterbein faculty. Because students are the focus of our educational program, we have an obligation to provide them with effective advising. Consequently, it is important that Chairs monitor the quality of advising given by each department member. The level of that quality should be discussed at each faculty member's annual performance review.

While most advising responsibilities are met during the course of the year, Chairs will be asked to provide faculty advisers for summer orientation weekends.

Chairs of large departments may want to consult with their School Dean in assigning advisees in order to balance advising loads in the department or to assign students to department members who work particularly well with special groups (e.g., "undecided" or "special areas within the discipline").

C. Mediation

Chairs also play a key role in the mediation of student issues that tend to involve departmental classes and/or faculty. Effective chairs are ones who listen to and dialogue constructively with the student and faculty involved.

Some mediation issues center on academic misconduct. Chairs are encouraged to dialogue with their School Dean on the appropriate steps to be taken in such cases.

Chairs should be aware of the Family Educational Rights & Privacy Act (FERPA), which requires student consent to discuss a student's academic performance with the student's family members.

D. Admission

In cooperation with the Admissions Office, Chairs should gain an understanding of and, when appropriate, be involved in recruitment activities. This does not mean the Chair must be the department's sole representative at every admission function. The Chair is responsible, however, for enlisting departmental support for recruitment activities, such as Otterbein Experience days for prospective students, Summer Orientation advising sessions, and the telephoning of prospective students.

E. Grants

While the teaching, advising, and committee load carried by Otterbein faculty is heavy, Chairs should encourage department faculty to work with the Office of Sponsored Programs in preparing proposals to enrich the curriculum, support faculty development, or secure equipment that the university's extant budget lines devoted to equipment can fund.

F. Departmental Awards

In advance of the Academic Convocation held at the end of the school year, departments must forward to Academic Affairs the names of the winners of departmental endowed awards.

Chairs should work to ensure that winners are determined in a fair and open way.

G. Modeling and Encouraging Departmental Cohesion and Campus Citizenship

Effective chairs find ways to build cohesion—formally and informally—in their department. This can happen in departmental meetings and in other venues designed to bring a department together.

Chairs should, moreover, encourage attendance and participation in things like the Fall Faculty Conference, Common Hours, Convocations, Graduation, School Meetings, and Senate Meetings. This is in keeping with the section of the *Faculty Manual* devoted to faculty expectations as it pertains to Campus Involvement.

IV. Guidelines and Time Table for Chair Evaluations

A. Rationale

Having described the position of Chairs, the next steps in strengthening this important responsibility in the administration of the University's academic programs are to provide guidelines for evaluating Chairs and to establish a time table for performance review of persons holding the positions.

The rationale for a time table is the decision by the ~~College~~ University to appoint Chairs to five year terms. During the fifth year of the term, the department, Chair, and Provost will evaluate the Chair's performance. The School Dean asks someone (usually another chair) to query departmental faculty (including the current chair) in ways that preserve their anonymity about who should lead the department. The purpose of the querying is to solicit nominations and to get a sense of the challenges and opportunities in front of the department. This person prepares a report summarizing the views of the department's faculty. The Dean and then the Provost confer and decide to whom the offer will be made. Sometimes this means a

continuation of the current chair. The five year review will provide the Chair the opportunity to assess his/her own desire to continue in that position. The goal of this procedure for chairing the department is, of course, to enhance the leadership of each academic program of the College.

Criteria

What follows are the guidelines for Chair evaluation, to which, if mutually agreed, the department and Chair may add quantitative or qualitative measurements of their own. The five year term begins with the appointment of the person to the position.

Should the department or Chair have special concerns with a Chair's leadership between five year reviews, the School Dean or Provost may request that an evaluation occur before the end of the term.

Personnel Issues

How effective is the person in meeting the student and faculty personnel crises that occur inevitably in any organization; how skilled is the individual in dealing positively and constructively with personnel in the department,

Does the Chair oversee the hiring process so that it is fair and meets the mission of the department and the university.

How effective is the Chair in administration of the faculty and staff evaluation program? Even though agreement on an evaluation might not occur in each case, do faculty see evaluations as being conducted in a fair, equitable manner? Does the Chair actively support formative faculty development, as well as meet responsibilities for summative reviews?

Curriculum

Does the Chair lead in an annual discussion of the appropriateness and effectiveness of the curriculum, even when a formal review is not being conducted? Does the Chair lead in keeping the curriculum current with pedagogical and research advances in the discipline? Is the Chair open to advocating these advances, even if opposition may occur?

Vision

Does the Chair demonstrate vision for the department, asking questions and leading the development of plans for where the department might be in three or five years? How is the Chair progressing in the development and implementation of the vision?

Miscellaneous Issues

Effectiveness in administration of the budget; in completing administrative tasks in an efficient and timely manner; in supporting the University's student recruitment efforts; in encouraging scholarship in both pedagogy and discipline; in working collaboratively and constructively with their School Dean and the Provost; and serves the greater university community.

Conclusion

There are probably other expectations of Chairs which should be addressed in this Manual, but to continue might erode the goal of an overview of the responsibilities of Chairs. If specific issues are not addressed here, it is most likely that they are in another University publication or section of the *Faculty Manual*. The Chairs' meetings with their Dean and Provost provide opportunities, too, to discuss matters that cannot be anticipated no matter how detailed a Manual. The intent of this document, then, is to clarify the general parameters of the important work Chairs do for the University. That is recognized with grateful appreciation.

07/16/2013

APPENDIX H

SEARCH PROCEDURES FOR FULL-TIME FACULTY

1. Search Procedures for Full-Time Faculty Appointments

a. Position Announcement and Constitution of Search Committee

- 1) The Department Chair, in consultation with the School Dean, selects members of the search committee.
- 2) The Department Chair and the search committee, in consultation with the School Dean, prepare the position announcement.
- 3) Typically, the committee will comprise no more than five faculty members.
- 4) The position announcement will be placed in *Inside Higher Education* and/or an appropriate publication in the discipline for which the position is sought.

b. Initial Screening of Applicants

- 1) The School Dean and the Department Chair will ensure a complete application package that will include all the items stated in the advertisement—typically, a letter of interest, three professional letters of reference, and curriculum vitae. The application should be addressed to the School Dean.
- 2) Using the information in the advertisement, the search chair and committee establish a set of criteria that they will use to separate the applicants into two groups: Qualified and Not Qualified. They will complete a Screening Data Log as part of this initial separation. The search chair should send to the School Dean a list of those candidates deemed “not qualified,” via the Screening Data Log.
- 3) The criteria should match the position requirements stated in the advertisement. The committee *should not* use the preferred or desirable qualifications to determine the status of any application at this stage.
- 4) Candidates are deemed “qualified” as long as they meet the minimum requirements listed in the advertisement. The committee may not rank candidates at this stage.

c. Notification of Application Status

- 1) The School Dean will inform those candidates in the “Not Qualified” category in writing that they will not be considered further for the position.

d. Advanced Screening of Qualified Applicants

- 1) At this stage, the semi-finalists are identified as a result of a more careful screening of the candidates who have been deemed qualified.
- 2) Using the materials in candidates’ folders, the committee evaluates each candidate against the advertised criteria for the position.

- 3) The Committee should also conduct telephone or Skype interviews with the semi-finalist candidates themselves, working from an agreed upon common list of questions or topics.

e. Selection of Finalists

The next steps are crucial to the search process, since the end result is a list of finalists to be invited to the campus.

- 1) The committee conducts comprehensive reference checks for each candidate still in the pool. These checks are to be completed before inviting a finalist to campus. It is important that all references be asked the same questions. Therefore, the committee should work from a written list of questions or topics upon which the members have agreed. There should be more than one person doing reference checks on each candidate. It is also important that the committee advise the candidates of their status and secure their permission to contact listed references, including their immediate supervisor, if possible.
- 2) Since non-American citizens or permanent residents may apply for a position, if in doubt about a candidate's employment eligibility, the search chair or department chair may ask the question: "Are you authorized to work in the U.S?"
- 3) The committee reviews its findings and ranks candidates based on the advertised criteria, rather than in comparison to each other. Should the committee elect to use a scale, it should indicate the degree to which the candidates meet the advertised criteria. At this stage, preferred or desirable qualifications may be taken into consideration. The committee identifies the three strongest candidates to be further interviewed. If it so wishes, the committee may keep a second-tier list in case some of the top candidates drop out.
- 4) The committee should also request that finalist candidates submit official copies of their transcripts.
- 5) The committee submits the folders of the top candidates (maximum of four, if one of the four candidates is local) to the School Dean for review. The folders should include a letter of application, current *curriculum vitae*, and at least three letters of recommendation, or summaries of each reference check.
- 6) Attached to the files should be a brief discussion of the search process (including a description of efforts to recruit minority candidates) as well a rationale for choosing the finalists and a copy of the position announcement.
- 7) The School Dean will consult with the Provost and obtain approval of the travel budget for on-campus visits.

f. Campus Interview

- 1) Upon the School Dean's approval, the search committee proceeds with the arrangement for campus interviews. Travel arrangements and interview schedules are set up by the School Dean's office.

- 2) All finalists must be interviewed by members of the search committee, the Department Chair, the School Dean, and the Provost (or, in the absence of the Provost/VPAA, the Associate VPAA and Dean of University Programs).
- 3) The campus interview should include a teaching demonstration/opportunity to interact with students and a forum for all department members to interact with the candidate. It is recommended that the committee make available the *curriculum vitae* of candidates in the department office for faculty members in the department to review.
- 4) The committee should solicit written evaluations of candidates from everyone who has had a chance to interview them.
- 5) All self-identified non-citizens and non-resident aliens who are among the finalists must meet with the Director of Human Resources during the interview process.
- 6) As part of their campus visit, all candidates should be given a packet prepared by the Office of Human Resources, containing information about faculty benefits.
- 7) If there are internal candidates in the pool, their on-campus interview should be first. They should be treated the same way as external candidates. They should not receive privileged information about the search that is not available to other candidates. As an example, internal candidates should not be invited to review the curriculum vitae of other candidates, or to attend presentations made by other applicants, since this opportunity will not be extended to all other applicants. Similarly, internal candidates cannot be allowed to attend meetings in which the department may choose to discuss the searches or to offer any opinion on the candidacy of other applicants.
- 8) The committee and other officers with whom candidates meet should provide them with a full explanation of the University's mission and the expectations of the institution in the areas of teaching, professional development, scholarship/creative work, and service.
- 9) Departments must obtain prior approval of the hospitality budget for candidates' campus visits. The budget for dinners is \$30 per person (search committee and candidate). All expenses over this amount are borne by the hiring department.

g. Recommendation of Selected Candidate

- 1) Upon completion of the interview process, the search committee makes a written recommendation through the Department Chair to the School Dean. In consultation with the Department Chair, the School Dean identifies the top candidate for the position. A list of other acceptable candidates may also be prepared, in case the top candidate declines an offer.
- 2) Upon the Provost's approval, the School Dean instructs the Search Committee chair to telephone the candidate to say that he or she is the department's choice.
- 3) Once the Search Committee chair has made this contact with the candidate, the chair should inform the School Dean, who will then telephone to make an offer to the top candidate and to review the conditions of hire (rank, salary, etc.).
- 4) Once the offer is verbally accepted, the School Dean notifies the Provost, who then sends a formal letter of offer to the candidate, detailing the agreed upon terms of employment.

- 5) Upon receipt of the candidate's written acceptance of the University's offer, the Provost forwards an appointment form to the Director of Human resources, who prepares the formal contract.

h. Conclusion of Search

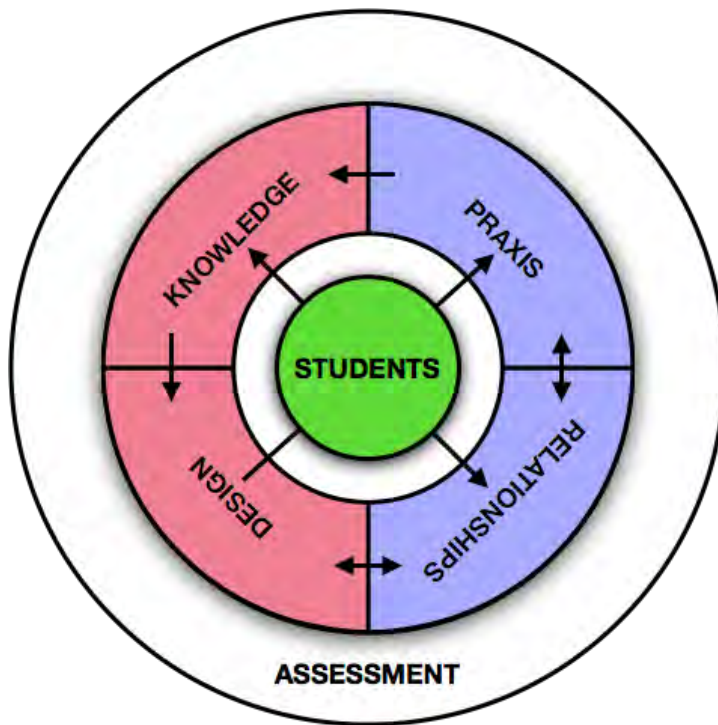
- 1) After a candidate has accepted the offer of employment and signed a contract, the Committee chair calls other finalists who interviewed on campus to inform them that the search has been concluded. Other candidates still in the pool are similarly informed in writing and thanked for their interest in the position.
- 2) All application folders are archived in the Academic Affairs office for a period of three years.

APPENDIX I

FIVE PRINCIPLES FOR EFFECTIVE TEACHING

An Operational Model

Teaching is a complex and challenging endeavor. To untangle its intricacies, five principles have been identified, describing the work of an effective teacher. Principles of Knowledge, Design, Praxis, and Relationships form a network that directly impacts our interactions with students; while the Principle of Assessment, an integral component of being a reflective practitioner, influences the entire process.



Some Notable Features of the Model

Students are the hub of the model.

Salmon indicates an internal orientation: principles in the “control” of the teacher.

Blue indicates an external orientation: principles that are purposefully mediated through the involvement of others.

Knowledge-Design-Praxis-Knowledge represents a scholarly teaching cycle. Applying knowledge of content, pedagogy, and culture, instructors design lessons to implement in the classroom.

Reflection on the classroom experience leads to increased understanding of teaching and learning.

Relationships influence or are influenced by knowledge of cultures and peoples (as we interact with students), by design (as we define/re-define our roles in pursuit of teaching and learning), and by praxis (as we engage classrooms and make connections with students).

Assessment encompasses all of our work, whether we are collecting data to inform instruction, to evaluate students, or to develop professionally.

The Principle of Knowledge

Having content proficiency is a necessary, but not sufficient condition, for good teaching. Certainly, without disciplinary and/or interdisciplinary expertise, it is difficult to imagine how one could help others in the search for truth(s). However, to promote deep and meaningful learning, subject matter knowledge must be accompanied by pedagogical knowledge (an understanding of how to stimulate inquiry and engage students). And content knowledge and pedagogical knowledge are not housed in silos.

Pedagogical content knowledge (PCK) refers to “teachers’ interpretations and transformations of subject-matter knowledge in the context of facilitating student learning” (Shulman, 1986). As part of PCK, teachers must: (a) understand students’ conceptions/misconceptions of the subject, (b) be capable of providing multiple representations of the subject matter, and (c) recognize the implications of distinct teaching methods associated with specific content. When awareness of the linguistic and cultural characteristics of a diverse student population (including race, ethnicity, gender, sexuality, and impacts of physical and mental health challenges) is considered, a network of multi-faceted knowledge emerges: a web of understanding required of master teachers.

The Principle of Design

Design permeates effective teaching, from the shape of the curriculum to the development of a course to the creation of an assignment to the planning of a class session. Design might best be defined as intentional teaching, teaching informed by a sense of an overall plan or framework that influences what is done from moment to moment.

For many accomplished teachers, the preparation of curricula, individual courses, assignments, and class sessions begins with learning outcomes (What should learners know and be able to do?) and works backwards (How will I help them get there?). Although focus on outcomes is of primary importance, this fundamental approach to *Understanding by Design* (Wiggins and McTighe, 2005) should not imply rigidity or lack of variety. On the contrary, attention to design can help the instructor avoid too much repetition or structure, enabling them to take risks (including the exploration of high impact practices such as experiential learning, use of appropriate technology, and problem-based learning). Furthermore, instructors can more easily make adjustments to feedback, to time constraints, to need for relationship building, and to student confusion. In short, intentional teaching prepares the instructor for “just-in-time” teaching.

The Principle of Praxis

Facilitating meaningful educational experiences is shaped not only by sound theoretical planning, but also by expert decision-making while teaching. The most effective professors are those who are talented at bringing theory into practice. The principle of praxis involves a synergetic relationship between awareness and action.

Learning can be situated as a conversation, a dual venture, between students and teachers (as opposed to a teacher simply “carrying out” their plan – even if it was crafted as being “good in theory”). These conversations require adaption of one’s practice in the classroom to ensure that students continue to be encouraged to learn, with teachers using agile questioning techniques, encouraging time and space for thinking, and monitoring both class climate and understanding. Because of the nature of a class “period/session,” these reflections and adaptations are often done instinctively and seemingly without thought. They prompt both in-the-moment decisions based upon what is the next best teaching action and projections for where learners need to move.

When observing teaching at its best, we witness Freire’s assertion that praxis involves both action and reflection. At times, the implementation of theory-into-practice may be camouflaged, but for skilled teachers, it occurs within and throughout the teaching of a lesson.

The Principle of Relationships

Teachers may be defined not merely by the content of what is taught, but by the relationships they find themselves in. The most important relationship, obviously, is that between teachers and the students in their classrooms, but teaching takes place outside the classroom as well. Teachers mentor their students by being available to them at reasonable times to help with coursework and life decisions, and to direct them to expert help when necessary. Furthermore, the relationship between advisors and their advisees takes many forms: one-on-one guidance; advising a co-curricular organization; facilitating honors and distinction projects or research and creative works, fostering education beyond a syllabus. Engaged advising is good teaching.

On a separate note, relationships with one’s colleagues—both departmental and outside of the department—is also crucial, as colleagues often serve as resources for pedagogical questions. Finally, by engaging with colleagues in one’s discipline, one is able to bring the fruits of current research into the classroom, to mentoring and to advising.

The Principle of Assessment

Faculty must commit to assessing what and how students are learning, in part to evaluate student achievement but also to consider their own role in the learning process. This ensures that the faculty member is a reflective practitioner, who continually evaluates the effects of their strategies and actions on student outcomes. A variety of

teacher-led formative assessment strategies (Classroom Assessment Techniques - CATS) can be employed to periodically check for understanding and to acquire fair and constructive reactions that inform next-steps for instruction. Furthermore, assessments like *In-Semester Student Feedback Sessions* (administered by the Center for Teaching and Learning) provide an instructor with data on what is helping students learn in their classes, what may be hindering learning, and what might be done to enhance experiences in the future.

Multiple forms of assessment (self-reflection, teaching evaluations, classroom observations, teaching artifacts, letters of support, etc.) and multiple sources of assessment data (self, peers, students) should be used to gain a robust picture of the teaching being assessed. Because each of these different assessors and assessment tools contribute different perspectives, each should be interpreted and analyzed in that light. Of central importance to all these assessment measure is the faculty member's self-reflection. This self-examination of teaching should demonstrate a critically reflective, scholarly approach to teaching.

In closing, assessment marks evidence of progress in the teaching-learning cycle and in the profession. Thus, it should be a lifelong, ongoing process, regardless of appointment or position along a career timeline.