



**NORWICH**  
**UNIVERSITY**

# **FACULTY MANUAL**

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## Purpose of this manual, approval and revisions

This manual defines the roles, rights, and responsibilities of the faculty of Norwich University in conducting the academic business of the institution.

Proposed revisions to the Faculty Manual of Norwich University must originate with the faculty. Any faculty member may propose an amendment, which will be submitted to the Faculty Senate for consideration. The Faculty Senate will then present the amendment, along with the Senate's recommendation, to the Faculty Assembly.

Revisions may be recommended upon a two-thirds vote of the members present at the Assembly. Amendments will be forwarded without modification through the SVPAA to the President of the University for approval. Upon approval by the President, revisions to the Faculty Manual will be distributed as soon as possible through the SVPAA's office to all University faculty.

Revision Date	By (initials)	Changes
8 Sept 2014	SLF	Removed section on Human Subjects in Research (to be replaced with a university IRB); amended eligibility to vote for Chair, Vice-chair, and At-large members in Section 1 – Faculty Senate – Membership; amended the Tenure Appeals Process in Section 2.
26 Jan 2016	SLF	Add Student Life Senate Committee; revise Faculty Development section; add restriction to the Faculty Development Coordinator position; change schedule for Faculty Assemblies.
17 Feb 2017	RDP/CMF	Revise Section 2 on Faculty Appointments, Promotion and Tenure; numbered sections; changed layout and section numbering

## Glossary

NTTF	Non-tenure-track faculty
SVPAA	Senior Vice President of Academic Affairs and Dean of the Faculty
TTF	Tenure-track faculty (including tenured faculty)
“the faculty”	Includes all faculty (TTF and NTTF)

**NOTE:** *On August 1, 2017, an administrative change has replaced the position of “Senior Vice President of Academic Affairs and Dean of the Faculty” with “Provost and Dean of the Faculty.” The process for revising the faculty manual to reflect this change is underway. References to the SVPAA in the manual can be interpreted as Provost.*

# 1 Academic Structure and Governance



## 1.1 Statement on Shared Governance (Endorsed by Faculty Assembly on 10 November 2015)

The long-term goal of shared governance is to create a university community based on open communication, accountability, and mutual respect, for the sake of best advancing the institution's missions. Shared governance is the process by which faculty and administrators share responsibility for reaching decisions on policy and procedure. These decisions include matters of institutional planning; academic programs, curriculum and academic regulations; university, college, school, department, and program spending priorities; faculty compensation and advancement; administrative appointments and reappointments; and issues that affect the success of the institution in fulfilling its missions. As noted in the Faculty Manual, the Faculty Senate is the "...sole governance body of the faculty" and has "...legislative authority on all matters pertaining to the educational interests of the university." Shared governance requires that administrators seek faculty input in these matters, weigh that input carefully, and report back to the faculty on the reasons for arriving at final decisions. For faculty, shared governance requires careful consideration of university issues within its purview; reaching decisions on the process by which faculty input will be made; reaching decisions on the content and form of the input; communication of input through the channels made available; and attention to the communication from administrators regarding final decision. The primary goal of shared governance is to reach agreement on matters vital to the institution and its constituents, or, where disagreements remain, to assure those on the dissenting side that their views were heard and fully considered.

### 1.1.1 Basic Principles of Shared Governance at Norwich University

From this definition, and from analysis of current practices of shared governance at Norwich University, input collected from faculty, and consideration of the guiding policies and procedures that identify or constrain areas for shared governance, this shared governance ad-hoc committee identified four principles that could be implemented across the university:

1. Shared governance is a privilege, responsibility, and duty of all faculty and administrators, and requires broad participation.
2. Administrators and faculty share responsibility and accountability in all steps of the process related to decisions on policy and procedure.
3. Shared governance requires a "full-cycle" approach in formulating and making decisions on policy and procedure. For administrators, a "full-cycle" approach requires soliciting faculty input, weighing that input, arriving at decisions, and reporting back to the faculty on the rationale for those decisions. For faculty (in matters where faculty do not make final decisions), a "full-cycle" approach requires involvement in the process, form, and content for providing faculty input. For both administrators and faculty, effective communication is essential.
4. Shared governance should be practiced wherever possible in institutional decision-making at all levels.

The following are priority areas in which shared governance needs to be fully implemented:

- a) planning and organization;
- b) academic programs, curriculum, and academic regulations;
- c) spending priorities;
- d) faculty compensation and advancement; and
- e) administrative appointments and faculty hiring.

## 1.2 The Faculty Senate

This section constitutes the Bylaws of the Faculty Senate of Norwich University, which is the sole governance body of the faculty. The Faculty Senate is the representative body of all faculty at Norwich University with legislative authority on all matters pertaining to the educational interests of the university. Its purview includes, but is not limited to curriculum, academic standards, policies and procedures and any other matters that affect institutional decision making, goal setting and resource allocation. The Faculty Senate and its Bylaws in no way abrogate the authority of the President of the University or the authority and purview of the Trustees of the University as established in the Board of Trustees' Articles of Association and Bylaws. However, the Senate is recognized by the university as an advisory and consultative body to the President on all matters that may affect the attainment of the university's educational objectives.

### 1.2.1 Responsibilities and Functions of the Faculty Senate

1. Provide a forum for the practice of shared governance and encourage and facilitate faculty participation in university governance.
2. Collect information, provide a forum, and deliberate on academic matters, present and proposed academic policies, procedures and programs, major curricular issues, and the university's mission and long range plan, and make recommendations to the [SVPAA](#) and university president, and thereby to the Board of Trustees.
3. Collaborate with the University administration on matters of mutual interest.
4. Ensure the effective operation of Faculty Senate committees and provide input and faculty representatives to other university committees.
5. Provide procedures for faculty to submit any matter of concern to the Faculty Senate or one of its committees.
6. Recommend to the faculty, in accordance with its bylaws, changes in its procedures for conducting business, selecting members and electing officers.
7. Keep a record of Faculty Senate discussions and actions in the form of minutes and an annual report.

### 1.2.2 Membership

1. The SVPAA shall be a voting ex-officio member.
2. A Chair and Vice-Chair who shall be tenured full-time faculty members elected at large by the voting members of the Faculty Assembly.
3. Two at-large full-time faculty members, elected by and from the voting members of the Faculty Assembly.
4. Three full-time faculty members elected by and from the Tenured and Tenure-track faculty and lecturers from each college, except for the College of Graduate and Continuing Studies, which shall have one senator, and the College of National Services, which shall have one non-voting ex-officio member.
5. One senator shall be elected by and from the Professional and Administrative Non-tenure-track Faculty (NTTF). The [SVPAA](#)'s office will collect nominations from eligible [NTTF](#) and conduct elections.
6. Visiting, research, field, and adjunct faculty are not directly represented on the Faculty Senate and do not vote for senators. They may bring concerns to the Faculty Senate through their college senators, at-large senators, or through attendance and direct address of the senate.

7. Terms of office shall be for three years. All representatives shall be elected in the Spring semester preceding the beginning of their term. After serving for two terms, individuals may not be reelected for one year. Serving one-half a term or more counts as a full term; serving less than one-half a term does not count towards an individual's term of office. In the event of any vacancy, appropriate elections shall be held to elect a representative to serve for the remainder of the unexpired term.

### 1.2.3 Officers and Executive Committee

#### **1.2.3.1 Chair and Vice Chair**

The Chair of the Faculty Senate shall preside over meetings of the Senate, and generally represents the Senate to the University. The Chair of the Senate shall preside over meetings of the Executive Committee and create reports and requests of the Executive Committee. The Chair shall receive a minimum of one-quarter release time to carry out the duties as Chair. The Vice-Chair oversees the committees of the Faculty Senate, and assumes the duties of the Chair in the event of the Chair's absence.

#### **1.2.3.2 Secretary**

At the first meeting of each academic year, the Senate shall elect from its membership a Secretary who shall record and maintain all official records. In addition, all official records of the Senate shall be maintained in the [SVPAA](#)'s office for a minimum of ten years and shall be open to every member of the faculty. After ten years, records will be retired to the library's special collections archive.

The secretary shall keep minutes of all deliberations and decisions, except for those made while in closed session. The minutes shall include a record of all motions made, all votes taken, and the substance of all questions, concerns, and deliberations undertaken. It is important to create a historical record of these issues for reference by the Faculty Senate and as part of the institutional record of the university.

#### **1.2.3.3 Parliamentarian**

At the first meeting of each academic year, the Senate shall elect from its membership a Parliamentarian who shall make recommendations on all matters referred to the Parliamentarian by the presiding officer. Recommendations of the Parliamentarian shall be made in accordance with the latest edition of *Robert's Rules of Order*.

#### **1.2.3.4 Executive Committee**

The Executive Committee shall consist of the Chair, Vice-Chair and Secretary of the Senate. The Executive Committee usually meets before each Faculty Senate meeting to draft the agenda, and as needed to prepare for and follow up on the business of the Faculty Senate. Brief minutes will be taken to summarize the issues discussed. At least twice each semester, the Executive Committee shall meet with the President of the University and the [SVPAA](#).

### 1.2.4 Meetings

#### **1.2.4.1 Notice and Agenda**

##### 1.2.4.1.1 Regular meetings

Faculty Senate meetings usually shall be held once a month, September through May. Each year, the Executive Committee will publish the dates of regular senate meetings. The Executive Committee shall determine meeting agendas and shall review meeting agendas with the [SVPAA](#) and President before each meeting, who may add matters for the agenda at that time. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting. Matters not included on the agenda may be brought before the Senate, but only for discussion purpose, unless two-thirds of the voting members present agree to vote.

#### 1.2.4.1.2 Special meetings

The Faculty Senate or Executive Committee may call special meetings at any time. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting.

#### 1.2.4.1.3 Petitioned meetings

Upon petition to the Chair of the Faculty Senate by 15 percent of the [TTF/NTTE](#), the Faculty Assembly shall meet to consider a specific motion contained in the petition. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting.

### **1.2.4.2 Attendance and Quorum**

Attendance shall be recorded at all Faculty Senate meetings. All present shall sign in and identify themselves before attending. A quorum for all meetings of the Senate shall consist of at least two-thirds of the voting members of the Senate and is presumed to exist unless a count is called for in accordance with *Robert's Rules of Order*, latest edition. Any senator may request that the chair determine whether a quorum is present. If a quorum is not present, debate is suspended, as the only business allowed without a quorum is to adjourn, recess, or summon absent members.

Voting members are defined under Membership above. Voting members are expected to be present at all meetings of the Faculty Senate. When a voting member is unable to attend, he or she may appoint an alternate with voting rights for that meeting, or may assign a voting proxy to another senator. The Senate chair must be notified of an alternate or proxy in writing or by email in advance of the meeting. If a senator resigns or misses two meetings in an academic year without an alternate or proxy, the appropriate college will be asked to elect an alternate member or an election will be held to replace an at-large senator.

### **1.2.4.3 Minutes**

All members and observers have the right to ask that their comments be recorded in the minutes, and to attach a minority report to the minutes and other Faculty Assembly reports. These minutes will be filed with the [SVPAA](#) and will be available for examination by all members of the faculty.

### **1.2.4.4 Normal order of business**

1. Call to order
2. Approval of minutes of previous Faculty Senate meeting
3. Report by the [SVPAA](#)
4. Executive Committee report by Chair of the Senate
5. Continuing business
6. New Business
7. Information reports of committees and invited guests
8. Announcements
9. Adjournment

### **1.2.4.5 Rules of Order and Suspension of Rules**

The Chair of the Faculty Senate shall preside over meetings of the Senate. The rules of parliamentary procedure found in *Robert's Rules of Order*, latest edition, shall govern senate meetings. However, the rules shall be liberally interpreted to provide orderly debate but still allow full discussion. The Parliamentarian of the Faculty Senate shall advise the presiding officer on questions of order and procedure. Rules and procedures governing the conduct of the Faculty Senate may be suspended by two-thirds of the voting members present.

### **1.2.4.6 Open and Closed Meetings**

All meetings of the Faculty Senate shall be open to all members of the University community, who may speak when recognized by the presiding officer. Any senator may call for a closed meeting; a majority of those voting members present may vote to close a meeting to all but voting members.

#### ***1.2.4.7 Voting***

The position of the Faculty Senate on issues will be established by a majority of those voting unless otherwise specified. Voting shall be by voice vote, a show of hands or by written ballot. A written ballot may be used at the discretion of the presiding officer or when requested by any voting member.

#### **1.2.5 Recommendations and Reports of the Faculty Senate**

The recommendations of the Faculty Senate together with any minority reports will be forwarded by the Chair to the SVPAA within one week, who will then forward them within one week to the President of the University. Minutes of the meetings, where a recommendation was adopted, should accompany recommendations. In case of major disagreement between the President of the University and/or the [SVPAA](#) and the Faculty Senate, the matter in question will be brought to the attention of the Board of Trustees by the President of the University, with the Chair of the Senate in attendance.

The Executive Committee Faculty Senate shall also create an annual written report, usually in June, summarizing Senate and Faculty Assembly activities for the academic year.

## 1.3 Faculty Assembly

### 1.3.1 Responsibilities and Functions of the Faculty Assembly

1. Provide a forum for the practice of shared governance and encourage and facilitate faculty participation in university governance.
2. Discuss and vote on proposals presented by the Faculty Senate.
3. Provide procedures for faculty to submit any matter of concern to the full faculty. Collect information, provide a forum, and deliberate on academic matters, present and proposed academic policies, procedures and programs, major curricular issues, and the university's mission and long range plan, and make recommendations to the SVPAA and university president, and thereby to the Board of Trustees.
4. Collaborate with the University administration on matters of mutual interest.

### 1.3.2 Membership

Voting members of the Faculty Assembly shall consist of all [TTE](#) and [NTTE](#), except visiting, research, field, adjunct faculty, and members of the College of National Services, who are non-voting ex-officio members.

### 1.3.3 Meetings

#### **1.3.3.1 Notice and Agenda**

##### 1.3.3.1.1 Regular meetings

Faculty Assemblies usually shall be held in October, February, and April. Dates will be determined by the Faculty Senate through the Chair of the Senate and the [SVPAA](#). The Faculty Senate Executive Committee will publish the dates of full-time faculty Assemblies. The Executive Committee shall determine the agenda for the meetings and shall review the agenda of a meeting with the [SVPAA](#) and President two weeks before the meeting, who may add matters for the agenda at that time.

Faculty members and faculty groups with agenda items will submit them in writing to the [SVPAA](#) at least two weeks before the meeting. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting. Matters not included on the agenda may be brought before the Assembly, but only for discussion purpose, unless two-thirds of the voting members present agree to vote.

##### 1.3.3.1.2 Special meetings

The Chair of the Senate or the [SVPAA](#) may call a special Assembly at any time. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting.

##### 1.3.3.1.3 Petitioned meetings

Upon petition to the Chair of the Faculty Senate by fifteen percent of the [TTE/NTTE](#), the Faculty Assembly shall meet to consider a specific motion contained in the petition. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting.

#### **1.3.3.2 Attendance and Quorum**

Voting members are expected to be present at all Faculty Assemblies. Attendance shall be recorded at all Faculty Assembly meetings. All present shall sign in and identify themselves before attending. A quorum for all meetings of the Faculty Assembly shall consist of majority of the voting members and is presumed to exist unless a count is called for in accordance with *Robert's Rules of Order*, latest edition. Any member may request that the chair determine whether a quorum is present. If a quorum is not present, debate is suspended, as the only business allowed without a quorum is to adjourn, recess, or summon absent members.

### **1.3.3.3 Minutes**

The Faculty Senate will select a member to take minutes of the meetings. All members and observers have the right to ask that their comments be recorded in the minutes, and to attach a minority report to the minutes and other Faculty Assembly reports. These minutes will be filed with the [SVPAA](#), and will be available for examination by all faculty.

Clerical support will be provided by the office of the [SVPAA](#).

### **1.3.3.4 Normal Order of Business**

1. Call to order
2. Approval of minutes of previous Faculty Assembly meeting
3. Report by the [SVPAA](#)
4. Faculty Senate report by Chair of the Senate
5. Continuing business
6. New business
7. Information reports of committees and invited guests
8. Announcements
9. Adjournment

### **1.3.3.5 Rules of Order and Suspension of Rules**

The [SVPAA](#) shall preside over meetings of the Assembly. The rules of parliamentary procedure found in *Robert's Rules of Order*, latest edition, shall govern assembly meetings. However, the rules shall be liberally interpreted to provide orderly debate but still allow full discussion. The Parliamentarian of the Faculty Senate shall advise the presiding officer on questions of order and procedure. Rules and procedures governing the conduct of the Faculty Assemblies may be suspended by two-thirds of the voting members present.

### **1.3.3.6 Open and Closed Meetings**

All meetings of the Faculty Assembly shall be open to all members of the University community, who may speak when recognized by the presiding officer. Any senator may call for a closed meeting; a majority of those voting members present may vote to close a meeting to all but voting members.

### **1.3.3.7 Voting**

The position of the Faculty Assembly on issues will be established by a majority of those voting unless otherwise specified. Voting shall be by voice vote, a show of hands or by written ballot. A written ballot may be used at the discretion of the presiding officer or when requested by any voting member.

### **1.3.4 Recommendations and Reports of the Faculty Assembly**

The recommendations of the Faculty Assembly together with any minority reports will be forwarded by the [SVPAA](#) within one week to the President of the University with a copy to the chair of the Faculty Senate. Minutes of the meetings, where a recommendation was adopted, should accompany recommendations. In case of major disagreement between the President of the University and/or the [SVPAA](#) and the Faculty Assembly, the matter in question will be brought to the attention of the Board of Trustees by the President of the University, with the Chair of the Senate in attendance.

In the absence of Faculty Assembly action on agenda questions, recommendations may be made by the Faculty Senate.

## 1.4 Committees of the Faculty Senate

The Faculty Senate shall be assisted in its considerations by the following standing and ad-hoc committees, as well as any other ad hoc committees it may create.

### 1.4.1 Standing Committees

1. Benefits, Budget and Finance Committee
2. Calendar, Schedules and Examinations Committee
3. Committee on Academic Standing and Degrees
4. Committee on Academic Technology
5. Faculty Development Committee
6. Library Committee
7. Promotion and Tenure Committee
8. Student Life Committee
9. University Curriculum Committee

### 1.4.2 Ad-Hoc Committees

Ad-hoc committees may be established within the purview of the Senate by the Executive Committee or the Senate as a whole. The Chair of the Senate shall ask Senators to ask for volunteers to serve on these bodies from the faculty of their respective colleges. Ad-hoc committees include, but are not limited to:

1. Academic Integrity
2. Architectural, Landscaping and Decoration
3. Student Life (inc. Commandants Advisory, Admissions and Financial Aid, Advising, Athletics, Career Development, Substance Abuse).

### 1.4.3 Responsibilities and Functions of Committees of the Faculty Senate

1. Collect information, deliberate upon, and make recommendations to the Faculty Senate on issues within the committee's purview.
2. Carry out the functions defined in the committee's bylaws, and recommend amends to those bylaws to the Faculty Senate as necessary.
3. Keep a record of committee discussions and actions in the form of minutes and an annual report.
4. Provide a mechanism for the practice of shared governance.

### 1.4.4 Membership

Usually, committee membership consists of one or two full-time faculty members ([JTF](#) and lecturers) from each college, except for the College of Graduate and Continuing Studies, which shall have one member, and the College of National Services, which may have a non-voting ex-officio member. One member shall be elected by the Non-tenure-track Faculty (NTTF) (except those in the College of Graduate and Continuing Studies).

Exceptions to membership rules may be defined in committee bylaws. For example, the Promotion and Tenure Committee consists solely of members of the tenured faculty who are full professors. Under no circumstances can a restriction be used to deny a college a seat on a representative committee.

Terms of office shall be for three years, with a limit of two consecutive terms on the same committee. All representatives shall be elected in the Spring semester preceding the beginning of their term. Serving one-half a term or more counts as a full term; serving less than one-half a term does not count towards an individual's term of service.

### 1.4.5 Officers

All committees shall elect a chair and a secretary from among their committee members. The chair must be a full-time faculty member.



#### **1.4.5.1 Chair**

The chair shall run all meetings, create and distribute agendas, and send to the Chair of the Faculty Senate, at least one week in advance, the time and place of any committee meeting and its agenda. The Chair of the Faculty Senate shall pass this information along to all faculty.

#### **1.4.5.2 Secretary**

The secretary of a committee shall keep minutes of all committee deliberations and decisions, except for those made while in closed session. Committee secretaries shall send the minutes in a timely manner to the Secretary of the Faculty Senate, who shall pass this information along to all faculty.

### 1.4.6 Meetings

#### **1.4.6.1 Notice and Agenda**

##### 1.4.6.1.1 Regular meetings

Faculty Senate committees shall meet as needed. The Committee Chair shall determine the agenda for the meetings. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting. The date, time and place of regularly scheduled meetings should be published as far in advance as possible.

##### 1.4.6.1.2 Special meetings

The committee may call special meetings at any time. Notice and agenda shall be provided to the faculty at least one week before the scheduled meeting.

#### **1.4.6.2 Attendance and Quorum**

Attendance shall be recorded at all committee meetings. A quorum shall consist of a majority of the voting members and is presumed to exist unless a count is called for in accordance with *Robert's Rules of Order*, latest edition.

Voting members are defined under Membership above or in individual committee bylaws. Voting members are expected to be present at all committee meetings. When a voting member is unable to attend, he or she may appoint an alternate with voting rights for that meeting, or may assign a voting proxy to another voting member. The committee chair must be notified in writing or by email in advance of the meeting. If a member resigns or misses two meetings without an alternate or proxy, the appropriate college will be asked to select an alternate member.

#### **1.4.6.3 Minutes**

The minutes shall include a record of all motions made, all votes taken, and the substance of all questions, concerns, and deliberations undertaken. It is important to create a historical record of these issues for reference by the Faculty Senate and future committee members, and as part of the institutional record of the university. All members and observers have the right to ask that their comments be recorded in the minutes, and to attach a minority report to the minutes and other Faculty Assembly reports. These minutes will be filed with the [SVPAA](#) and will be available for examination by all members of the faculty.

#### **1.4.6.4 Normal Order of Business**

1. Call to order
2. Approval of minutes of previous committee meeting
3. Report by the committee chair
4. Continuing business
5. New Business
6. Announcements
7. Adjournment

#### **1.4.6.5 Rules of Order and Suspension of Rules**

The committee chair shall preside over committee meetings of the Senate. The rules of parliamentary procedure found in *Robert's Rules of Order*, latest edition, shall govern senate meetings. However, the rules shall be liberally interpreted to provide orderly debate but still allow full discussion.

#### **1.4.6.6 Open and Closed Meetings**

All meetings of the Committees of the Faculty Senate shall be open to all members of the University community, who may speak when recognized by the presiding officer. Any voting member may call for a closed meeting; a majority of those voting members present may vote to close a meeting to all but voting members.

#### **1.4.6.7 Voting**

The position of the committee will be established by a majority of those voting unless otherwise specified. Voting shall be by voice vote, a show of hands or by written ballot. A written ballot may be used at the discretion of the presiding officer or when requested by any voting member.

#### 1.4.7 Recommendations and Reports of Committees of the Faculty Senate

The recommendations of the committee together with any minority reports will be forwarded by the Chair to the Faculty Senate within one week, who will then present them to the Faculty Senate. Minutes of the meetings, where a recommendation was adopted, should accompany the recommendations. All Faculty Senate committee reports will be items on the agenda of Faculty Senate meetings or Faculty Assemblies as appropriate, and committee representatives will be prepared to discuss the reports. The Committees of the Faculty Senate shall also submit annual written reports to the Senate, usually in May.

## 1.5 Colleges, Schools, Departments, and Programs

### 1.5.1 College Deans and Associate Deans: Appointment, Duties and Responsibilities

A College is composed of academic departments and/or schools grouped according to disciplinary relationships, shared educational goals or instructional methods.

The College Dean is the chief administrative and academic officer of the College, and is appointed by the President of the University with the concurrence of the [SVPAA](#) based upon the recommendation of candidates by the faculty within the College following a College search process.

In all Colleges except National Services, a Dean shall possess the qualifications required for full-time appointment to the faculty at the level of Associate Professor or higher, in accordance with the individual Colleges standards for hiring, promotion and tenure, and a minimum of five years of administrative experience at the department chair level or higher. Uniformed faculty members serving as Dean of a College will have the Vermont Militia rank of Colonel. The National Services College shall select its Dean from among the faculty of the Army, Air Force and Naval ROTC units according to its own procedures.

The Dean reports to the Senior Vice President for Academic Affairs and Dean of the Faculty and sits on the Deans' Council. College Deans will be assigned release time by the [SVPAA](#). A College Dean normally teaches one course per year.

Responsibilities for College Deans include, but are not limited to the following:

1. Establishing and maintaining the internal organization of the College, with appropriate regard for collegial, disciplinary, and professional considerations and with the concurrence of the [SVPAA](#).
2. Conducting College activities in a manner that ensures all faculty have the opportunity to participate meaningfully in faculty governance, the ongoing administration of the College, and in the determination of the College's internal policies and procedures.
3. Recommending to the [SVPAA](#) together with the written recommendations of the department, if applicable, new faculty appointments and termination of faculty according to University policies and procedures as provided in Academic Memoranda.
4. Promoting faculty development and teaching excellence.
5. Facilitating interdisciplinary teaching and research.
6. Submitting to the University Promotion and Tenure Committee, through the [SVPAA](#), in conformance with established University and College regulations and with due regard for professional and collegial process, his or her recommendations for promotion and tenure of faculty within the College, together with the recommendations of the College's Promotion and Tenure Committee.
7. Preparing, in conformance with established University and College regulations and with due regard for professional and collegial process, the written annual evaluations of the chairs and directors within the College, and submitting his or her salary and merit recommendations, if applicable, to the [SVPAA](#).
8. Assigning and supervising the College support staff.
9. Ensuring and coordinating regular curricular planning, implementation, assessment, and review within a College to promote academic excellence.
10. Monitoring student performance and the maintenance of academic standards in the College's programs of instruction.
11. Ensuring that faculty workloads are appropriate, equitable, and satisfactory to College standards of productivity.
12. Preparing, defending, and managing the College's budget.
13. Serving as the primary intermediary between the College and major University administrative offices and support services.
14. If applicable, assigning administrative tasks to chairs, directors, and support staff, and supervising their performance.
15. Leading the College's planning process and ensuring the College's compliance with the University's long range plan.

16. Participating in the University's activities for admissions and in the University's efforts for enrollment management.
17. Working in conjunction with the Development office to attract external financial support for the University's academic programs.

A College Dean may use a portion of the College's allotted release time for an Associate College Dean. The Dean may delegate some of the responsibilities above to the Associate Dean.

In Colleges with Associate Deans, the Associate Dean is appointed by the College Dean according to recommendations of the College's faculty and with the concurrence of the [SVPAA](#). The faculty of the College will nominate one or more candidates and will submit the candidates for appointment as Associate Dean to the College Dean. The College Dean will facilitate the nomination process.

To ensure the effective, collegial administration of the College, the College Dean, using formal written evaluations from the College faculty, evaluates the administrative performance of the Associate Dean annually.

A majority of the full-time faculty members in a College may request that the Dean recall the Associate Dean from office. The request must be in writing, must be signed by those faculty members making the request, and must contain a statement of the reasons for the request. The Associate Dean will be provided a copy of the request and shall have two weeks from receipt of the request to respond in writing. Within thirty days of the receipt of the request, the Dean will notify the College's faculty of his or her decision whether or not to approve the request for recall, and shall provide the College with written reason for the decision. The College Dean, with the concurrence of the SVPAA, may remove an Associate Dean at any time.

To ensure the effective, collegial administration of the College, the faculty within each College will conduct a comprehensive assessment of the College Dean every three years.

A majority of full-time faculty members in a College may request that the [SVPAA](#) recall the College Dean from office. The request must be in writing, must be signed by those faculty members making the request, and must contain a statement of the reasons for the request. The College Dean will be provided a copy of the request and shall have two weeks from receipt of the request to respond in writing. Within thirty days of the receipt of the request, the [SVPAA](#) will notify the College faculty of his or her decision whether or not to approve the request for recall, and shall provide the College with written reason for the decision. The [SVPAA](#), with the concurrence of the President, may remove a College Dean at any time.

### 1.5.2 School Directors and Department Chairs: Appointment, Duties and Responsibilities

School Directors and Department Chairs are appointed by the Dean of the College according to recommendations of the School's full-time faculty and with the concurrence of the [SVPAA](#). The full-time faculty of a School will select one or more candidates and will submit the candidates for appointment as Director to the College Dean. The College Dean will facilitate the selection process. The appointment process for Department Chairs will use the same process within the department.

Typically, a School Director or Department Chair will serve for a term of three (3) years and not more than two (2) consecutive terms, with the expectation of release time from instruction. Release time for School Directors and Department Chairs is determined on an individual basis by the College Dean within the release time allocated to the College by the [SVPAA](#), and will be based upon the number of faculty, students and majors, and other professional/accreditation activities required by the nature of the School or Department.

Summer compensation for the School Director or Department Chair is determined by the College Dean in consultation with the [SVPAA](#). This additional compensation is outside of the academic-year contract and will be

based upon the summer advising and administrative needs of each School or Department. Administrative requirements established by professional accrediting authorities, may also apply. Summer compensation will not normally exceed .25 FTE.

The duties and responsibilities of the School Director or Department Chair include but are not limited to the following:

1. Submitting to the [SVPAA](#) through the Dean of the College, with due regard for professional and collegial process, and in conformance with applicable University, College, and Departmental policies and procedures, his or her written recommendations for new faculty appointments and termination of faculty.
2. Submitting to the College's Promotion and Tenure Committee, in conformance with established University, College and School or Departmental regulations and with due regard for professional and collegial process, his or her recommendations for promotion and tenure of the faculty within the School or Department, together with the recommendations of the School or Departmental Promotion and Tenure Committee.
3. Submitting to the [SVPAA](#) through the Dean of the College, in conformance with established University, College and School or Departmental regulations and with due regard for professional and collegial process, the written annual evaluations of the faculty within the School or Department, including his or her salary and merit recommendations.
4. Being responsible for School or Departmental operations and reporting to the Dean of the College on administrative matters.
5. Coordinating and facilitating the work of faculty in the School or Department including the apportionment of teaching assignments and advising responsibilities, in accordance with applicable Departmental, School, College and University policies and procedures.
6. Maintaining course content, requirements for the major(s), and academic standards within the School or Department.
7. Submitting annual assessment reports: both internally within the University and as required by outside accrediting agencies.
8. Preparing, defending, and implementing the School or Departmental portion of the College budget subject to direction by the Dean of the College.
9. Managing curricular reviews, updates, and planning for the Department, with due regard for needed coordination both within and without the College.
10. Prioritizing development objectives for the School and communicating these priorities to the Dean. The Director should also be available as may be occasionally needed to support fundraising activities.
11. Coordinating annual meetings with the School's visiting committee and/or advisory board(s), as applicable.
12. Instructing new faculty members with respect to University regulations and policies, customs and courtesies.
13. Coordinating recruitment activities with the Office of Admissions, and meeting with prospective students.
14. Directing accreditation efforts.

To ensure the effective, collegial administration of the School or Department, the Dean of the College, using formal written evaluations from the School or Department faculty, evaluates the administrative performance of the School Director or Department Chair annually.

A majority of the full-time faculty members in a School or Department may request that the Dean recall the School Director or Department Chair from office. The request must be in writing, must be signed by those faculty members making the request, and must contain a statement of the reasons for the request. The School Director or Department Chair will be provided a copy of the request and reasons for the request, and shall have two weeks from receipt of the request to respond in writing. Within thirty days of the receipt of the request, the [SVPAA](#) will notify the School's or Department's faculty of his or her decision whether or not to approve the request for recall, and shall provide the

School or Department with written reason for the decision. The College Dean, with the concurrence of the [SVPAA](#), may remove a School Director or Department Chair at any time.

School Directors/Department Chairs may delegate a portion of their responsibilities to one or more faculty members as program coordinators, elected by the full-time faculty of the school/department, who serve to direct, chair, or coordinate programs at the level of the academic major. Coordinators of programs may assist the Department Chair / School Director with such things as organizing a course schedule, managing outcome assessments within the major, evaluating curriculum, talking with prospective students, working with advisors, and chairing search committees.

## 2 Faculty Appointments, Promotion, and Tenure

## 2.1 Faculty of Norwich University

The faculty of Norwich University include the following:

### 2.1.1 Tenure-track faculty

Tenure-track faculty are tenured or eligible for tenure (probationary) and are engaged in full-time service to the University, as defined in "Faculty Salaries and Professional Activities." Ranks for Tenure-track faculty include instructor, assistant professor, associate professor and professor. Tenure-track faculty are eligible for promotion and/or tenure via the Norwich University Promotion and Tenure Committee.

### 2.1.2 Non-tenure-track faculty

#### **2.1.2.1 Professional and Administrative faculty**

Members include Program Directors, Program Managers and Program Coordinators in the College of Graduate and Continuing Studies, as well as designated positions in the Kreitzberg Library, the Sullivan Museum and History Center, the Academic Achievement Center, and other units as approved by the Senior Vice President of Academic Affairs and Dean of the Faculty (SVPAA). Professional and Administrative faculty are not eligible for tenure but may earn promotion in professorial rank.

#### **2.1.2.2 Lecturers**

This designation shall be limited to those possessing specialized knowledge or skills without the usual regard for academic degrees. Such full-time appointments shall be made on a yearly basis. After six years, the position may be continued, converted to Tenure-track faculty with a national search, or eliminated at the discretion of the College Dean, in consultation with the Department Chair or School Director, with the approval of the [SVPAA](#).

#### **2.1.2.3 Visiting faculty**

This designation, with rank commensurate with academic experience upon hire, shall be limited to individuals deemed to be distinguished in their field, special, and/or emeritus status from another institution, or who are not faculty of other institutions. These full-time appointments shall not extend beyond two (2) academic years.

#### **2.1.2.4 Research faculty**

This ranked designation is for those who have research as their principal assignment, and whose salary support is primarily derived from grant and contract funds from external sources. Research faculty are not eligible for tenure.

#### **2.1.2.5 Field faculty**

This designation is for those who are contracted as supervisors or mentors of students.

#### **2.1.2.6 Adjunct faculty**

This non-ranked designation shall be limited to part-time appointments on a course-by-course, semester-by-semester or annual basis.



## **2.2 Appointments to the Faculty**

1. Appointments to the faculty are made without regard to age, gender, gender identity, sexual orientation, race, ethnic background, or religious affiliation.
2. Appointments to the faculty are made by the SVPAA with the concurrence of the President. The College Dean submits the name of the faculty candidate to the SVPAA for approval.
3. The usual full-time contract year runs from July 1 to June 30. Terms of usual appointments are set forth in written annual contracts issued by the SVPAA no later than the first Friday following the April Board of Trustees meeting. In specific program circumstances, the SVPAA may approve different contract dates.

## 2.3 Tenure Track Faculty

### 2.3.1 Probationary Appointments

Normally, initial appointments to the tenure track faculty at Norwich University are probationary. The normal probationary period consists of six years of full-time teaching at Norwich University or of performing such other duties as may be assigned in lieu thereof and indicated contractually by the [SVPAA](#). At the conclusion of the probationary period, the appointee is granted a tenured appointment or is separated from the University after a one-year terminal contract.

At the written request of the appointee, up to two years of credit toward tenure may be awarded for teaching as a member of the full-time faculty at an accredited institution of higher learning. In order for prior experience to be credited, the appointee must, by the end of the first contract year, submit a written request to the [SVPAA](#) for approval. Approval by the [SVPAA](#) must be given in writing. No credit toward the probationary period will be awarded for years spent on leave.

Unless terminated for just or sufficient cause, probationary appointments may only be terminated after due notice from the [SVPAA](#), who will forward notice of termination to the recipient by certified mail, return receipt requested.

Termination notices will be sent according to the following schedule:

1. For faculty whose contracts begin July 1:
  - a. No later than March 1 of the first academic year of service (April 1 for the appointee whose initial appointment is for the second semester);
  - b. No later than December 15 for the second academic year of service (March 1 for the appointee whose initial appointment is for the second semester);
  - c. No later than July 1 or August 1 of the third or subsequent year of service, or a minimum of twelve months before the expiration of an appointment after two or more years of service.
2. For faculty whose contracts begin on dates other than July 1:
  - a. For those in their first year of Norwich employment, no later than three months before the expiration of the first year's contract;
  - b. For those in their second year of Norwich employment, no later than six months before the expiration of their latest contract.
  - c. For those in their third or subsequent year of Norwich employment, no later than twelve months before the expiration of their latest contract.

### 2.3.2 Tenured Appointments

Tenured appointments are renewable annually unless:

1. The appointee is separated for just or sufficient cause (subject to Academic Due Process as defined in "[Academic Process](#)");
2. The appointee is separated as a result of a reduction in force, as defined in "Professional Misconduct in Research and Other Scholarly Activities";
3. The appointee suffers physical or mental incapacitation, as defined in the University's health care and disability policies; or
4. The appointee retires, as defined in "Offer for Transition to Full Retirement."

### 2.3.3 Tenured Faculty Who Become Administrators

Tenured faculty appointed to full-time (non-teaching) administrative duties may retain tenure for a maximum period of five years while serving as administrators, unless this restriction is waived through recommendation by the College Dean, the [SVPAA](#), and the President, and then approved by the Board of Trustees. The President and the [SVPAA](#) are exempt from this regulation.

#### 2.3.4 Pre-Tenure Review Process

During the third year of a candidate's probationary period (or the second year if the candidate has been granted two years of credit for previous teaching), the College Dean will initiate a pre-tenure review process in accordance with procedures established by each college and approved by the University Promotion and Tenure Committee and the [SVPAA](#). This pre-tenure review is intended to inform probationary candidates of progress towards tenure and to alert these candidates to any deficiencies in their teaching, professional development, and university service. The pre-tenure review process should be included in each college's P&T Procedures after approval by the university P&T Committee.

#### 2.3.5 Tenure Review Process

During the final year of the candidate's probationary period, the College Dean will initiate the tenure review process in accordance with procedures established by each college and approved by the University Promotion and Tenure Committee and the [SVPAA](#). The [SVPAA](#) initiates the college tenure review for the College Dean.

1. College deans submit in writing their recommendation and the recommendations of the department and college Promotion and Tenure Committee, together with other supporting documentation, to the [SVPAA](#) who forwards this material to the University Promotion and Tenure Committee. The latter committee in turn submits its recommendation (along with those of the department, college and College Dean) and supporting documentation to the [SVPAA](#). The candidate's portfolio will remain in the [SVPAA](#)'s office until all actions are completed.
2. The SVPAA submits in writing his or her recommendations to the President, together with those from the department, college, College Dean and the University Promotion and Tenure Committee. The President, in turn, submits those recommendations, together with his or her own, to the Board of Trustees for final action.
3. A negative recommendation will be communicated in writing to the faculty member at the time any such recommendation is made. This communication will include a summary of the reasons for the negative recommendation, which shall be final unless the faculty member appeals. The faculty member may appeal a negative recommendation to the next higher level. (See Tenure Appeals Process below.)
4. For the good of the University and after consultation with the affected department and/or college, the President may recommend to the Board of Trustees a grant of tenure prior to the completion of the probationary period.

#### 2.3.6 Tenure Criteria

Recommendations for tenure will be based on department or school, and college, standards of performance in three areas of faculty responsibility:

##### **2.3.6.1 Teaching**

The University considers excellence in teaching pre-eminent among areas of faculty responsibility. The university seeks to tenure individuals of demonstrated teaching excellence, as measured by such evaluative instruments as colleague visitations and reviews, recommendations of department chairs, student evaluations, and peer evaluations written by outside observers.

##### **2.3.6.2 Professional Development**

The University seeks to tenure candidates who demonstrate continued professional growth in accordance with their department or school's professional standards.

##### **2.3.6.3 University Service**

The University seeks to tenure candidates who, by active participation in university activities, contribute beyond their teaching responsibilities.

Standards of performance and evaluation procedures will be established by each department or school and approved by the college and University Committee on Promotion and Tenure and the [SVPAA](#).

### 2.3.7 Recommendations and Supporting Documentation for Promotion and Tenure Candidates

The University Promotion and Tenure Committee, in order to evaluate candidates for promotion and tenure, requires uniform and concise information.

By October 15 of each year, college deans shall submit to the office of the [SVPAA](#) the names of all eligible candidates for promotion and tenure. Names of emeriti candidates ordinarily should be forwarded at the same time.

By the first Wednesday of the spring semester, college deans shall submit to the office of the [SVPAA](#) the following information about candidates recommended at the college level for promotion and tenure.

1. Letter of Recommendation from the Department Chair or School Director (limited to two pages), which will include:
  - a. a summary of professional qualifications: degrees, years of teaching, or related professional activities;
  - b. summary and analysis of departmental support;
  - c. evaluation of teaching, professional development, and university service;
  - d. any information not normally available to the Committee: recommendations for merit increases, candidacy for an award, recognition in one's field.
2. Letter of Recommendation from the College Dean (limited to two pages), which will include:
  - a. a summary of college promotion and tenure committee action, to include the specific vote for each action taken on the candidate;
  - b. the College Dean's separate recommendation;
  - c. any other information pertinent to the decision.
3. Candidate's Resume (limited to four pages), which will include (in the following format):
  - a. education;
  - b. relevant employment, including teaching;
  - c. concise statement of duties and assignments at Norwich;
  - d. professional activities;
  - e. university committees and other assignments;
  - f. professional and scholarly awards, honors, and memberships.
4. Summary Rating Sheet: The College Dean shall submit the candidate's yearly ranking or rating for all years since the last advancement (promotion and/or tenure). Any quantitative or qualitative systems may be used as long as it has been specified in the college's promotion and tenure guidelines. Submitted materials may include any letter(s) written by the candidate in rebuttal or disagreement with an evaluation that are contemporaneous with that evaluation.
5. Summary of Student Evaluations, either quantitative or qualitative. The College Dean shall submit a tabular summary of the quantitative responses for each semester since the last advancement (promotion and/or tenure). The summary will include the candidate's overall semester average compared to the University, College and Department averages. This tabular summary of quantitative responses shall be supplemented by all student comments organized by courses.
6. Supplemental Materials. The candidate shall submit, through the appropriate college, all supplemental materials to the office of the [SVPAA](#). These materials shall include the candidate's annual evaluations for all years since the last advancement (promotion and/or tenure) and supporting materials at the discretion of the candidate.

### 2.3.8 Tenure Appeals Process

The following process will be adhered to when a faculty member appeals a denial of tenure occurring at any level.

1. Right of Appeal: A candidate receiving a negative recommendation for tenure at any level has the right to appeal that recommendation to the next higher level.

2. Only when the President has rejected a candidate for tenure and the candidate was approved at all preceding levels, can the candidate appeal to the Board of Trustees.
3. Notification of Candidate
  - a. Within ten working days of a negative recommendation for promotion or tenure, the candidate will be notified by email or regular letter citing reasons for the negative recommendation. The letter will be written by the chair of the departmental Promotion and Tenure Committee if the negative recommendation occurs at the departmental level, by the chair of the college Promotion and Tenure Committee if the negative recommendation occurs at the college level, by the chair of the University Promotion and Tenure Committee if the negative decision occurs at that level, by the SVPAA if the negative recommendation occurs at that level, and by the President if the negative recommendation occurs at that level.
  - b. Within ten working days of receiving notice of a negative recommendation, a candidate choosing to appeal shall state that decision in a certified letter of intent. The letter shall be sent to the chair of the Committee, or to the appropriate senior administrator, hearing the appeal. If the negative recommendation occurred at the presidential level, the letter shall be sent to the Board of Trustees.
4. Scheduling of Appeal Date  
 Within 20 working days (40 working days at the Trustee level) of receiving the letter of intent to appeal, the chair of the appropriate appellate level will schedule and hold a hearing. The chair of the Board of Trustees shall determine the composition and chair of the hearing group from among the members of the Board of Trustees. The candidate will be notified by certified mail of the hearing date at least seven calendar days in advance of the hearing.
5. The Candidate's Portfolio  
 The portfolio of the candidate appealing a negative recommendation will be passed on as originally submitted to the appellate level.
6. Hearing Format
  - a. The hearing format will be as follows:
  - b. The candidate will be allowed a twenty-minute oral presentation. At the same time, the candidate may present to the appellate level a written statement.
  - c. Those hearing the appeal will be given the opportunity to question the candidate.
  - d. The candidate will be excused from the meeting after all opportunity for questions and answers has been provided.
  - e. Those hearing the appeal will discuss and vote on the appeal.

Within ten working days of an appeals hearing, the candidate will be sent a certified letter written by the chair of the committee hearing the appeal, or by the appropriate senior administrator. The letter will inform the candidate of the decision on the appeal and will indicate reasons for that decision.

### 2.3.9 Transferring Tenure within Norwich University

#### **2.3.9.1 General Information**

Under extraordinary circumstances, in which transferring tenure from one department/program to a different department/program is warranted for the good of the institution, the Senior Vice President for Academic Affairs (SVPAA) may authorize the initiation of a tenure transfer process.

#### **2.3.9.2 Procedure**

1. The tenured faculty member, the releasing department, and the receiving department must be in agreement and make a request jointly and,
2. The College Dean(s) whose releasing and receiving departments reside therein must recommend the transfer proposal.
3. Recommendations must then go to the College Promotion and Tenure committee(s) for its recommendation, and the University Promotion and Tenure Committee makes its recommendation to the [SVPAA](#) for consideration.
4. The [SVPAA](#) makes her/his recommendation to the President for action.

Although a new tenure application is not necessary, the academic qualifications of the candidate and the need for the transfer must be clear. If the request is initiated by program closure, "Reduction in Force: Faculty" procedures will be followed.

### 2.3.10 Academic Rank for Tenure-Track Faculty

#### **2.3.10.1 Instructor**

Unless otherwise specified in the College Standards of Performance, this rank is intended for appointees who are nearing the completion of the doctoral degree and who have little or no full-time teaching experience in accredited institutions of higher learning.

#### **2.3.10.2 Assistant Professor**

Unless otherwise specified in the College Standards of Performance, the basic qualifications for this rank are the earned doctoral degree, or the master's degree and three years of full-time teaching experience in the rank of Instructor in accredited institutions of higher learning.

#### **2.3.10.3 Associate Professor**

Unless otherwise specified in the College Standards of Performance, a basic qualification for this rank is the earned doctoral degree. Significant publication or equivalent scholarly contributions may be considered in lieu of the doctorate. Six years of full-time teaching experience at the rank of Instructor or Assistant Professor in an accredited institution of higher learning are required.

#### **2.3.10.4 Professor**

Unless otherwise specified in the College Standards of Performance, a basic qualification for this rank is the earned doctoral degree or outstanding scholarly contribution. A minimum of seven years of full-time teaching experience at the rank of Associate Professor in accredited institutions of higher learning is ordinarily required.

### 2.3.11 Academic Promotion

All promotions of faculty, except those of College Deans, are recommended to the [SVPAA](#) by the College Dean. The [SVPAA](#) initiates recommendations concerning College Deans. Recommendations will be based upon College Standards of Performance, recommendations of college members, and the [SVPAA](#)'s evaluation.

The College Dean submits recommendations for promotions to the [SVPAA](#), who forwards this material to the University Promotion and Tenure Committee. The promotion process to be followed is the same as the tenure review process outlined above.

Credit toward eligibility for promotion is given only for years in which the faculty member's contract specifically designates full-time teaching duties or other duties assigned in whole or in part in lieu thereof by the [SVPAA](#). Credit toward eligibility for years spent on official leave (see "Fringe Benefits," for types of leave) will be given only for years spent in full-time teaching in an accredited institution of higher learning.

Appropriate professional degrees may be considered in lieu of academic degrees, and professional experience may be considered in lieu of teaching, although credit given for such experience will not exceed 50 percent of the requirement for any given rank.

In all cases, strong and convincing evidence of teaching competence will be required for promotion to the various ranks. Contributions to the University, the community, and the academic profession, as specified in the College Standards of Performance, will be considered in assigning or promoting faculty members to the various ranks.

It is also understood that any of the requirements of rank may be waived by the President in individual cases, after consultation with the affected department and/or College, for the good of the University.

#### 2.3.12 Promotion Appeals Process

The promotion appeals process to be followed is the same as the Tenure Appeals Process above.

## 2.4 Non-tenure-track Faculty

Appointments as non-tenure faculty may be made at the discretion of the University.

### 2.4.1 Rank Definitions

#### 2.4.1.1 *Lecturer*

This designation shall be limited to those possessing specialized knowledge or skills without the usual regard for academic degrees.

#### 2.4.1.2 *Instructor*

This rank is intended for appointees who are nearing the completion of the doctoral degree, or who have completed a graduate level professional degree (in the case of the Library or Museum) at an accredited degree granting institution, and who have little or no full-time professional experience in accredited institutions of higher learning.

#### 2.4.1.3 *Assistant Professor*

The basic qualifications for this rank are the earned terminal degree in the field of appointment, or the master's degree and three years of full-time professional experience in the rank of Instructor in accredited institutions of higher learning.

#### 2.4.1.4 *Associate Professor*

The basic qualification for this rank is the earned terminal degree in the field of appointment. Significant publication or equivalent scholarly contributions may be considered in lieu of the doctorate. Six years of full-time professional experience at the rank of Instructor or Assistant Professor in an accredited institution of higher learning are required.

#### 2.4.1.5 *Professor*

The basic qualification for the rank is the earned terminal degree in the field of appointment or outstanding scholarly contribution. A minimum of seven years of full-time professional experience at the rank of Associate Professor in accredited institutions of higher learning is ordinarily required.

#### 2.4.1.6 *Research Faculty Ranks*

Research faculty is a ranked designation with ranks of Research Associate, Research Assistant Professor, Research Associate Professor, and Research Professor commensurate with academic qualifications and experience. Generally, research faculty possess an earned doctorate, or the highest terminal degree associated with their field of study, and have substantial experience in the research field.

### 2.4.2 Promotion for Professional and Administrative Faculty

#### 2.4.2.1 *Promotion Procedures*

1. The procedures contained herein will be referenced by the Promotion and Tenure Committee when considering promotions for Professional and Administrative faculty.
2. Whereas this section provides guidelines based on instruction, professional development, and service, the Norwich University Performance Development Form will continue to be used to evaluate annual administrative and supervisory performance.

3. Promotions for Professional and Administrative Faculty will be recommended to the [SVPAA](#) by the College Dean or Unit Director and will be accompanied by the recommendation of the appropriate college or unit promotion committee. (The [SVPAA](#) will initiate recommendations for deans and directors.) Recommendations will be based on College or Unit Standards of Performance and will be forwarded to the University Promotion and Tenure Committee for deliberation and recommendation.
4. Credit toward eligibility for promotion will be allowed only for years in which the non-tenure-track faculty member's contract specifically designates full-time duties (at least .75 FTE for 12-month contracts). Credit toward eligibility for time spent on official leave (see "Fringe Benefits") will be allocated only for time spent in full-time positions in accredited institutions of higher learning.
5. In all cases, strong and convincing evidence of position-related competence will be required for promotion. Contributions to the University, the community, and the academic profession, as specified in the college or unit's Standards of Performance, will also be considered.
6. For the good of the University, the President may waive any requirements for initial appointment or promotion.

### ***2.4.2.2 Recommendations and Supporting Documents***

The University Promotion and Tenure Committee, in order to fairly evaluate candidates for promotion, will augment its regular membership with three non-tenure-track faculty senior in rank to the candidate under consideration. These faculty will be selected by the [SVPAA](#) and will hold full privileges only at meetings at which promotion candidacies of non-tenure-track faculty are considered.

By October 15 of each year, the College Dean or Unit Director will submit to the office of the [SVPAA](#) the names of all eligible candidates for promotion.

By the first Wednesday of the spring semester, the College Dean or Unit Director will submit to the office of the [SVPAA](#) the following information about candidates recommended for promotion:

1. Letter of Recommendation from the College Dean or Unit Director (limited to two pages), which will include:
  - a. a summary of professional qualifications: degrees earned, years of academic and professional service, and related professional activities;
  - b. summary and analysis of departmental / school / college / unit support;
  - c. evaluation of instruction and position-related performance, professional development, and university service;
  - d. related information not otherwise available to the Committee such as recommendations for merit increases, candidacies for awards, and recognition in a professional field;
  - e. summary of action of the appropriate Academic Promotion Committee, to include the specific vote for each action relevant to the candidacy;
2. Candidate's Resume (limited to four pages), which will include:
  - a. education;
  - b. relevant employment including instruction;
  - c. concise statement of duties and assignments at Norwich;
  - d. professional activities;
  - e. university committees and other assignments;
  - f. professional and scholarly awards, honors, and memberships.
3. Summary Rating Sheet: The College Dean or Unit Director will submit the candidate's yearly ranking or rating for all years since the last promotion. Any quantitative or qualitative systems may be used as long as it has been specified in the college or unit's Procedures for Promotion. Submitted materials may include letter(s) written by the candidate in rebuttal or disagreement contemporaneous with that evaluation.
4. Summary of Appropriate Evaluations including Instructional Evaluations, either quantitative or qualitative. The College Dean or Unit Director will submit a tabular summary of all available constituent evaluations for each academic semester since the last promotion. The summary will include



the candidate's overall average compared to college or unit averages. This tabular summary will be supplemented by all written comments, if available.

5. Supplementary Materials: The candidate will submit, through the appropriate college or unit, all supplementary materials to the office of the [SVPAA](#). These materials will include the candidate's annual evaluations for all years since the last promotion and supporting materials at the discretion of the candidate.

### ***2.4.2.3 Appeals Process***

Promotion appeals filed by Professional and Administrative faculty will follow the process stipulated above in Tenure-track faculty.

## **2.4.3 Research Faculty**

### ***2.4.3.1 Appointment***

Generally, research faculty will be nominated by a full-time faculty member who is either the Principal Investigator (PI) or will sponsor the research faculty member as a PI on a successful contract or grant administered under the auspices of Norwich University. Such nominations will be forwarded to the Department Chair and then to the College Dean, who will pass the nomination with recommendations to the Senior Vice President of Academic Affairs and Dean of the Faculty. Once the appointment is approved, the College Dean will work with the Department Chair and Associate Vice President for Research to arrange for appropriate office/laboratory space and administrative support.

### ***2.4.3.2 Length of appointment***

Research faculty appointments should match the terms of the grants or contracts providing salary support.

### ***2.4.3.3 Compensation***

Research faculty salary will match the terms of the grants or contract supporting their appointment. If the position is structured as a consultant on the grant or contract, the research faculty member will be paid as an independent contractor. If the position is structured as a Norwich employee, the research faculty will be paid as a benefits-eligible faculty member.

### ***2.4.3.4 Terms of appointment***

The designation of research faculty as full-time or part-time employees will be directly linked to the specification of the grant or contract providing salary support, and shall be clearly defined in research faculty contracts and noted as a percentage of effort (e.g., full time = 100%, 20 hours/week = 50%). Should funding for research faculty become unavailable, an appointment will terminate, regardless of whether this occurs prior to or at the end of the current appointment period.

### ***2.4.3.5 Tandem appointments***

Research faculty who are part-time may accept adjunct teaching positions at Norwich as long as the total commitment for their time does not exceed 100%. For instance, if a research faculty member is funded at 50% for research, he or she may contract to teach up to two courses (total of six credits) per semester during the academic year as an adjunct faculty, and accept funding for 50% of his or her time during the summer months.

### ***2.4.3.6 Evaluation and promotion***

Performance and contributions of research faculty will be evaluated annually by a department chair or school director (or a college dean if required). Promotion between the ranks will be considered in line with professional development criteria applicable to members of the full-time faculty in those same ranks in a time frame determined through recommendation of the research faculty's dean, the Associate Vice President for Research, and the Senior Vice President for Academic Affairs and Dean of the Faculty.

### **2.4.3.7 Student mentoring**

Research faculty are eligible to serve as mentors in the Student Research program.

## **2.5 Professor Emeritus**

“Professor Emeritus” is an honorary title, not an academic rank. All faculty selected will receive the honorary title “Professor Emeritus,” whatever their previous academic rank has been.

### 2.5.1 Nominations for the Professor Emeritus Category

Nominations for Professor Emeritus will be made by active faculty (including the candidate) to the Promotion and Tenure Committee of the candidates’ college. The written nomination will be accompanied by a candidate’s updated resume consistent with the specifications of [Item 3 of Section 2.3.7, "Recommendations and Supporting Documentation for Promotion and Tenure Candidates"](#) above. The nomination will include up to ten pages of documentation detailing the candidate’s performance with respect to the criteria listed below.

The College Promotion and Tenure Committee will forward its recommendation to the University Promotion and Tenure Committee, which will add its own recommendation and forward nomination documents and recommendations to the [SVPAA](#). The [SVPAA](#) will forward his or her own recommendation with the Committees’ recommendations to the President. The President then will send his or her recommendation to the Board of Trustees for final action. A candidate receiving a negative recommendation has the right to appeal to the next higher level. A candidate denied an affirmative recommendation at any level will be so notified by the committee or individual denying support to the candidacy, and the candidate so notified may add a written statement to the nomination papers to support the candidacy.

### 2.5.2 Criteria for the Professor Emeritus Category

Nominators and committee members shall be guided by criteria such as the following:

1. Normally fifteen years of service at Norwich University.
2. Distinguished scholarship.
3. Notably effective teaching.
4. Dedication to the University.
5. Contributions to the public image of the University.

### 2.5.3 Privileges of Professor Emeritus

1. Use of office space and secretarial aid, if available, for scholarly matters such as research, writing, exhibitions, performances, and preparation of public lectures.
2. Use of University facilities on the same basis as the active faculty.
3. Invitations to University functions.
4. Inclusion in academic processions.

### 2.5.4 Dates for forwarding materials

Under ordinary circumstances, materials should be forwarded according to the normal timetable for forwarding promotion materials. Under unusual circumstances such as illness or early retirement, the Promotion and Tenure Committee may decide to alter dates for submission.

After consultation with the affected department, school, or college, the President may recommend to the Board of Trustees that the honorary title of “Professor Emeritus” be awarded to an individual for the good of the University.

## **2.6 Military Rank**

The laws of the State of Vermont authorize the President of the University to appoint members of the faculty to the following military rank in the Vermont State Militia:

1. Professor, Colonel;

2. Associate Professor, Lieutenant Colonel;
3. Assistant Professor, Major;
4. Lecturer and Instructor, Captain.

## **2.7 Faculty Academic Seniority**

The seniority of members of the faculty is determined by the following order of criteria:

1. Rank
2. Time in rank
3. Time in service at Norwich University from date of signing of initial contract

Seniority is normally applied as a criterion in assigning individual facilities, and in determining the order of academic processions.

### 3 Faculty Rights and Responsibilities

### 3.1 Academic Freedom

The University endorses the American Association of University Professors' 1940 statement on academic freedom and subscribes to the following principles:

1. 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.
2. Teachers are entitled to freedom in the classroom in discussing their subject but they should be careful not to introduce into their teaching controversial matter that has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
3. College and University teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

*AAUP Policy Documents and Reports, 1990 Edition, pages 3 and 4*

## 3.2 Teaching

### 3.2.1 Class, Examination, and Conference Schedules

Faculty members are expected to adhere to published class and examination schedules. Changes in the published time or place of a class within the approved academic calendar and approved daily schedule may be made only with the specific prior approval of the appropriate college dean(s). Changes outside of the approved daily schedule or academic calendar require approval of the appropriate college dean(s) and the [SVPAA](#).

The teaching effectiveness of faculty members is enhanced by a positive attitude of concern for individual students and a willingness to help those with specific difficulties. Accordingly, each faculty member is to establish and post a schedule of a minimum of five conference hours per week. An effort should be made to distribute these hours through the week and select hours that will be convenient to students concerned. In addition, the faculty member is urged to establish and publicize to the students a policy whereby conference time other than the posted times may be arranged by appointment.

Members of the faculty are not to be absent from their duties without advance arrangement with department chair, school director, or college dean, except in case of illness, and then notification should be made as soon as possible. For any uncovered absence or class not rescheduled, faculty are expected to prepare an alternate activity or assignment, in lieu of class time, that meets the instructional objectives of the class period. Faculty members are requested to dismiss all classes promptly at the conclusion of the scheduled class period.

## 3.3 Professional Development

### 3.3.1 Faculty Development

#### 3.3.1.1 *Mission Statement*

The purpose of the Faculty Development Program, administered collaboratively by the [SVPAA](#), the Faculty Development Coordinator, and the Faculty Development Committee, is to provide resources and opportunities

- To improve teaching effectiveness and engage in curriculum reform;
- To pursue scholarly and creative projects;
- To exchange information and ideas about the teaching-learning process; and
- To recognize faculty for excellence in scholarship, teaching, and university service.

#### 3.3.1.2 *Faculty Development Coordinator*

The Coordinator is responsible for overseeing the Faculty Development Program. The responsibilities of the Coordinator include:

- Chairing the Faculty Development Committee;
- assessing the professional needs of the faculty;
- developing programs to meet those needs;
- organizing an annual event for faculty to support their professional development;
- determining and arranging for the annual distribution of resources;
- conducting annual evaluations of the Program;
- facilitating the Charles A. Dana Lecture Series;
- reviewing and approving Faculty Development Activity Expense Grants and Professional Expense Grants.

##### 3.3.1.2.1 Compensation

The Coordinator will receive release time from teaching equivalent to one three-credit course per semester and a summer stipend.

##### 3.3.1.2.2 Qualifications

The qualifications for the position are:

- being a tenured teaching member of the faculty;
- experience on the Faculty Development Committee;
- administrative experience; and
- effective communication skills.

##### 3.3.1.2.3 Appointment Process and Term Limits

The Coordinator is appointed by the [SVPAA](#) after consultation with the Faculty Development Committee and the Faculty Senate Executive Committee. The Coordinator can serve no more than two consecutive three-year terms; however, there is no limit on the total number of terms a faculty member may serve. The Coordinator may not simultaneously act as the Associate Vice President for Research.

#### 3.3.1.3 *Faculty Development Committee*

The Committee consists of the Faculty Development Coordinator, two members from each of the three undergraduate colleges, and one from the Professional and Administrative Faculty.

The functions of the Committee include:

- determining and publishing annual limits for all Faculty Development funding sources;
- reviewing and approving Curriculum Development Expense Grants, Publication Expense Grants, and Research Expense Grants;
- making recommendations to the [SVPAA](#) on Charles A. Dana Research Fellowships, Curriculum Development Fellowships, and Charles A. Dana Category I Grants, and Independent Study Leaves;
- selecting the Board of Fellows Faculty Development Prize recipient(s);
- reviewing and approving guidelines for applying for Faculty Development funding opportunities, including College Grants;
- reviewing the Faculty Development section of *The Faculty Manual* and recommending changes to the Faculty Senate.

### **3.3.1.4 Faculty Development Programs**

Complete descriptions of these funding sources, including due dates, amounts, limits, deadlines, and guidelines for applying for them, can be found on the Faculty Development subsite of the Faculty Senate SharePoint site.

#### 3.3.1.4.1 Expense Grants

##### 3.3.1.4.1.1 College Grants

**Description:** These grants can be used to support faculty development activities compatible with the goals and objectives of the Faculty Development Program. Each college, plus the professional and administrative faculty, will establish guidelines, which must be approved by the Faculty Development Committee, for their use of these funds.

**Eligibility:** Will vary.

##### 3.3.1.4.1.2 Curriculum Development Expenses Grants

**Description:** Curriculum Development Expenses Grants can be used to defray expense related to the development of courses or programs.

**Eligibility:** Full-time faculty (exclusive of research faculty)

##### 3.3.1.4.1.3 Faculty Development Activity Expenses Grants

**Description:** Faculty Development Activity Expenses Grants provide funding to present papers at, and participate in activities such as workshops, seminars, conferences, professional meetings, and courses (exclusive of courses needed in anticipation of obtaining a degree).

**Eligibility:** Full-time faculty (exclusive of research faculty)

##### 3.3.1.4.1.4 Publication Expenses Grants

**Description:** Publication Expenses Grants can be used to defray expenses related to publishing creative or scholarly works.

**Eligibility:** Full-time faculty (exclusive of research faculty)

##### 3.3.1.4.1.5 Research Expenses Grants

**Description:** Research Expenses Grants can be used to defray expenses, except salary and living expenses, related to research for a creative or scholarly project.

**Eligibility:** Full-time faculty (exclusive of research faculty)



#### 3.3.1.4.2 Fellowships and Awards

##### 3.3.1.4.2.1 Charles A. Dana Research Fellowships

**Description:** These fellowships support creative, or scholarly projects, not study leading to advanced degrees.

**Eligibility:** Tenured and tenure-track faculty

##### 3.3.1.4.2.2 Curriculum Development Fellowships

**Description:** These fellowships support faculty developing courses or programs, not study leading to advanced degrees. This development must clearly be beyond the scope of expected ongoing revision of courses.

**Eligibility:** Tenured and tenure-track faculty

##### 3.3.1.4.2.3 Charles A. Dana Category I Grants

**Description:** Grants will be awarded annually to eligible faculty for superior scholarship, teaching ability, and university service.

**Eligibility:** Tenured and tenure-track faculty except faculty who have received a Charles A. Dana Category I Grant within the five preceding years; who have the rank of Charles A. Dana Professor; who will be on Independent Study Leave during the grant year; or who are in administrative positions and hold faculty rank, including deans. Faculty with administrative release time, such as Department Chairs, and School Directors, are eligible for consideration.

##### 3.3.1.4.2.4 Board of Fellows Faculty Development Prize

**Description:** The Board of Fellows Faculty Development Prize is awarded to fund a creative, curriculum, or scholarly project conducted by an individual or a team.

**Eligibility:** A tenured or tenure-track faculty member must be part of the application team.

#### 3.3.1.4.3 Independent Study Leaves

**Description:** Eligible faculty may apply for ISL to enhance their professional effectiveness through scholarly pursuits that mutually benefit the individual and the University.

**Eligibility:** Tenured faculty who have completed six years of full-time teaching at Norwich University and tenured faculty members who have completed another six years of full-time teaching at Norwich University following the completion of their previous ISL. Periods of absence for study, research, or assignments with other institutions or agencies are not included in this qualification period.

### 3.3.2 Service

#### ***3.3.2.1 Academic Advising***

It is the responsibility of each student to know and meet graduation and other requirements and to make every reasonable effort to obtain adequate academic advising. Frequent advisor contact will help to ensure the student has current academic information and is making adequate progress toward his or her educational goals.

The responsibilities of the academic advisor include:

- assisting students to register for courses and make changes in registration
- keeping appropriate records, such as transcripts and advising work sheets, that document the progress of advisees toward their degrees
- acting as a resource for students about the policies, procedures, services, and educational opportunities of the University
- assisting students in choosing educational objectives commensurate with their abilities and interests

- assisting students in exploring the possible short-and long-range consequences of their academic choices

Academic advising is based upon a complex set of policies, procedures, publications, personnel, and services that are supervised by the Coordinator of Advising (assisted by the Academic Advising Committee). The responsibilities of the Coordinator of advising include:

1. Coordinating the many components of the academic advising program, including services provided by the [SVPAA](#)'s office, the Registrar's office, the Commandant and Dean of Students' office, the academic colleges, the faculty, and the students
2. developing appropriate procedures for the academic advising program
3. gathering appropriate academic advising material and disseminating it to the faculty advisors
4. providing academic advising orientation, and in-service training for faculty who serve as freshman advisors
5. issuing the Faculty Handbook on Academic Advising and updating it as necessary
6. coordinates academic advisor evaluation process
7. providing an academic advising orientation program for freshmen before fall classes begin
8. providing assistance and responding to questions about academic advising from faculty, students, and parents
9. reviewing and evaluating, with the assistance of the Academic Advising Committee, the academic advising program and suggesting improvement in it
10. assuring a continuity of academic advising services from year to year, throughout the calendar year

Each academic program is responsible for maintaining an academic advising program that meets the needs of its declared majors. Academic programs will ensure that faculty advisors establish and observe office hours, meet with their advisees on a regular basis, and maintain appropriate advising files on each advisee. Because academic advising is a primary responsibility of faculty, College Deans will include an assessment of advising effectiveness in each faculty member's yearly evaluation.

### 3.3.3 Academic Regalia

Academic Regalia is to be worn at Convocation and Commencement and on special occasions as indicated by the [SVPAA](#). Faculty are expected to provide their own regalia on all occasions when regalia is to be worn.

Regalia consists of a robe, cap, and hood symbolic of the highest degree held by the wearer, as well as the school where, and discipline in which, the degree was obtained.

The tassel worn with the cap is black for holders of bachelor's or master's degrees and black or gold for holders of doctorates.

Appropriate professional attire is to be worn with academic regalia.

## 4 Faculty Pay and Compensation

## 4.1 Faculty Salaries and Professional Activities

Faculty are normally hired and paid for full-time work during the regular academic year (a nine-month contract period, one week before the start of fall semester classes, to one week after spring semester commencement). Faculty pay for a nine-month contract is distributed over a twelve-month pay period.

Salaries of individual faculty members are determined by College Deans and the [SVPAA](#). Those of College Deans are determined by the [SVPAA](#).

Salaries are determined on the basis of teaching experience, professional accomplishment, teaching competence, and related activities. Faculty benefits, in addition to salary, are specified in the annual contract and in the Faculty Manual chapter on Fringe Benefits.

Years creditable toward teaching experience are those spent at the rank of Instructor or above in accredited institutions of higher learning.

Professional accomplishment is measured in terms of degrees, publications, service on professional boards or committees or within associations, work as a consultant, and by obtaining scholarships, fellowships, or grants intended for either personal or University use.

Teaching competence is determined on the basis of the college's evaluation. Attendance at conferences and seminars and the taking of courses intended to refresh or update command over subject matter or teaching skills is considered professional development.

Related activities are those which contribute to a healthy academic environment, included working on committees, advising extracurricular activities, advising and encouraging students, supporting the Corps of Cadets, and making contributions in keeping with special skills.

The [SVPAA](#) holds annual conferences with College Deans in which each faculty member is rated in keeping with a standard college report form.

In addition, each faculty member submits annually a supplementary report of activities creditable as professional.

An effort is made within available funds to provide annual cost of living increases, to redress imbalances when warranted, and to maintain levels competitive with those of other institutions.

Faculty members are expected to devote full time during the nine-month regular academic year to the following activities:

### 4.1.1 Teaching

- Teaching the students of the University in formal classes, laboratories, in informal groups and conferences, and preparing for such teaching.
- Advising and counseling students in both curricular and extracurricular activities.
- Self-renewal and/or enrichment study for the purpose of keeping abreast of the profession and for improving teaching skills.

(Note: Faculty members are not permitted to tutor one of their own students for compensation)

### 4.1.2 Service

- Administrative and committee work, professional service for the University, and representation of the University before the public.
- Activities such as attending meetings, delivering reports and papers in professional societies intended to advance the profession, and accepting administrative offices.

- Consulting service to, and research for, government or industry of such a nature as to enhance the prestige of the University, vitalize one's teaching, and provide helpful contacts for students.
- Service to the community through participation on local boards and committees, election to town office, etc., and service to sister institutions, governmental bodies, and to institutions maintained for the public benefit.

Full-time faculty members are expected to limit additional remunerative employment during the nine-month regular academic year. Formal service as a consultant to government, industry, etc., should not exceed twelve hours per week during the nine-month regular academic year unless permission of the College Dean and the [SVPAA](#) is obtained. Teaching in on-line programs of Norwich University should be limited to one six-credit course (or two three-credit courses) a semester during the nine-month regular academic year. During winter and summer breaks from the regular academic year, faculty are not required to provide services to Norwich University and are free to pursue research or engage in additional remunerative employment with Norwich University or other entities, and are not required to report on or receive permission to pursue these activities, except as required for research involving human subjects.

## 4.2 Fringe Benefits

Faculty who have an annual contract and who work half-time or more are eligible for certain insurance, retirement, and educational benefits that are provided for all eligible University employees. Some benefits apply to the faculty member's spouse and legal dependents. These benefits are summarized below. Complete information may be obtained from Human Resources.

Faculty and their dependents, for benefit purposes are defined as follows:

- **Faculty:** University personnel under annual contract to teach or to perform other duties assigned in lieu of teaching. Specifically included in this category are full-time professional staff with faculty rank holding Norwich University contracts.
- **Spouses:** Married or civil union partners of faculty.
- **Legal Dependents:** Children who meet the five IRS tests to determine dependency.

### 4.2.1 Statutory Benefits

#### 4.2.1.1 Social Security

All employees are covered by the Social Security and Medicare Program. The University matches the required employee contribution to Social Security (6.2% of annual income up to \$106,800, as of 2011), and to Medicare (1.45%), which has no income cap.

#### 4.2.1.2 Workers' Compensation

The University pays the full cost of Workers' Compensation. This insurance provides benefits to employees sustaining work-related injuries or occupational illnesses.

#### 4.2.1.3 Unemployment Insurance

All eligible employees are covered by unemployment insurance.

### 4.2.2 University Benefits

#### 4.2.2.1 Cafeteria Plan

The University maintains a Cafeteria Plan of Benefits that includes Life Insurance and Long Term Disability Insurance for all eligible employees, and provides options for health and dental coverage, as well as a cash allowance for those with other coverage who opt out of these plans. Information on these employee benefits, including the current Cafeteria Plan Explanation Booklet, is available at <http://my.norwich.edu/hr/Pages/Benefits.aspx>. Please contact the HR Office for details.

#### 4.2.2.2 Retirement

The University has a defined contribution retirement plan, with plan contributions invested under options provided by TIAA/CREF. The University encourages eligible faculty and staff to take advantage of this important benefit. The University contributes 1% of eligible salary to the plan for all eligible employees. When an eligible employee contributes 5% of eligible salary, the University provides a matching contribution of 6.5%, for a total University contribution of 7.5% of eligible salary to the employee's annuity contract. Contributions to the plan are fully vested immediately. Participants may make additional contributions, within established federal guidelines, but the University will not match such contributions.

For additional information, see <http://enroll.tiaa-cref.org/norwich/>.

#### **4.2.2.3 Educational Benefits**

Eligible faculty and staff, their spouses, and their legal dependents are eligible for tuition scholarships to cover the tuition for undergraduate University courses and programs. Tuition scholarships for graduate education are available for eligible employees and spouses. Some costs must be paid by the faculty member (e.g. all fees associated with the program, room and board, and summer school). In addition, the benefit for graduate programs is taxable after the first \$5,250 per calendar year. The application form may be found at <http://my.norwich.edu/hr/Documents/tuitionScholarshipapp%20ct%20form.pdf>. Please contact the HR Office for details.

#### **4.2.2.4 Tuition Exchange Program**

The University belongs to two tuition exchange programs – Tuition Exchange Program (TEP) and the Council of Independent Colleges (CIC). The dependents of faculty and staff members may apply for a tuition benefit at other institutions. Eligibility for the TEP at Norwich requires five years of employment and is dependent on an import/export system imposed by the program. The CIC has less stringent requirements. For additional information, see <http://my.norwich.edu/hr/Documents/Tuition%20Exchange%20Process%2010.10.pdf>. Please contact the HR Office for details.

#### **4.2.2.5 Family Leave**

The University couples its policy on paid medical and sick leave with a policy on Family and Medical Leave that complies with the federal requirements of the Family & Medical Leave Act (FMLA) and the Vermont Parental and Family Leave Act (VPFA). Under the laws, all benefits eligible employees (working 20 hours a week or more on an annual basis) are entitled to up to twelve weeks of unpaid leave per year, if requested, for the following reasons:

1. Birth of the employee's child or to care for child;
2. a child's placement with the employee for adoption or foster care;
3. to care for a family member who has a serious health condition; or
4. the employee's own serious health condition. Paid sick leave will be approved upon receipt of a medical certification indicating the medical-necessary duration. In the case of birth or adoption of a child, employees are entitled to twelve weeks of leave, six of which may be paid sick time.

The Family and Medical Leave policy and request form may be found at <http://my.norwich.edu/hr/Documents/Leave%20Policy%20Form.pdf>. The policy on paid Medical and Sick Leave for faculty may be found under Sick Leave in the Staff/Employee Handbook. Please contact the HR Office for details.

#### **4.2.2.6 Independent Study Leave**

This program is described in [Independent Study Leaves](#) in Section 3.

#### **4.2.2.7 University Leave**

An unpaid leave of absence may be granted by the [SVPAA](#) for a period of up to one year. The request form found at Family and Medical Leave may also be used for this purpose.

#### **4.2.2.8 Athletic, Cultural, and Social Events**

Most scheduled events sponsored by the University are open to faculty without charge. A Norwich University photo ID, available through the Student Activities Office, is necessary for admission to some of these events. The Student Activities Office is located in the Wise Campus Center, Room 228. Spouses and legal dependents also enjoy this same privilege. However, activity passes must be issued annually by the Human Resources Office. Children under the age of 18 must be accompanied by a faculty member or spouse.

#### **4.2.2.9 University Athletic Facilities**

Faculty, spouses, and legal dependents may use University athletic facilities free of charge at times approved by the Director of Athletics. An activity pass is required. Children under the age of 18 must be accompanied by a faculty member or spouse.

#### 4.2.3 Adjunct Faculty Benefits

All adjunct faculty are eligible for the [Statutory Benefits](#) above, and for the following [University Benefits](#), as described above:

- Norwich University Retirement Plan for personal contribution to the investment options provided by TIAA-CREF, without university contribution.
- Athletic, Cultural, and Social Events
- University Athletic Facilities
- *Note: Proposed change to Parental Leave still pending*



### 4.3 Offer for Transition to Full Retirement

The effective date for implementing the transition described below must be July 1. Declaration to implement the transition on July 1, must be made no later than May 1.

Taking the offer for transition to full retirement requires a signed, irrevocable agreement between the faculty member and the University stating that the faculty member:

- a) commits to retirement from Norwich University
- b) relinquishes full-time status on the faculty of the University, and
- c) relinquishes tenure.

The transition period to full retirement under this offer may be for two (2) years only.

The agreement to take the option for transition to retirement supersedes and voids all current contracts with the University.

Eligibility is limited to those tenured faculty members who have reached 55 years of age or older with a minimum of 10 years of service to Norwich University.

#### 4.3.1 Provisions

1. For half-time teaching (two courses per semester) of nine months (two semesters), the University will pay 55% of the current annual salary paid to the faculty member.
2. The faculty member will retain benefits based on 55% of full time salary. However, the Monthly Benefit Allowance for the Cafeteria Plan and the Medical Allowance if applicable will be computed as if the faculty member were employed full time.
3. Faculty in transition to full retirement are eligible for salary adjustment prorated according to increments provided full-time faculty. Adjustments for equity do not apply to faculty in transition to full retirement.
4. Employment for half-time teaching includes prorated obligations for advising. No other duties are required. Whenever possible, the faculty member will receive consideration for preferred scheduling for classes. The faculty member will not be precluded from accepting other employment during the transition period, as long as the teaching and advising obligations are met.
5. Instructional faculty class assignments or equivalent work will be defined by the appropriate College Dean and approved by the SVPAA. Where possible, the faculty member will be assigned to teach the courses of his/her choice.
6. Faculty in transition to full retirement are accorded all the usual privileges enjoyed by full-time faculty members.
7. No summer employment is assured or committed.
8. Participation in the transition will not preclude future employment as an adjunct faculty member. No such employment is assured or committed. If such employment occurs, the faculty member will be afforded access to computing facilities for academic purposes.
9. A faculty member employed in transition to full retirement may terminate the employment under this provision and retire earlier by giving prior written notice to the College Dean and the [SVPAA](#) at least 30 days before the beginning of a given semester or applicable term/cycle. Such action places the faculty member on full retirement upon completion of all responsibilities at the conclusion of the last semester in which the faculty member is active.
10. If the faculty member participation in the transition to retirement has not reached the eligibility age for participation in Medicare (currently 65 years of age) upon completion of the transition period, the university will provide access to participation in the Norwich University Medical/Hospital Plan and the Norwich University Dental Plan on the same basis as if the faculty member had continued employment as a full time faculty member. This will include the same allowances toward the cost of the coverage options under the plans as are available to active employees.

Upon attainment of age 65, the retired faculty member will be eligible to continue to participate in the Norwich University Medical/Hospital Plan on the same basis as any retiree. The current medical plan provision for three months of continued coverage upon retirement will be deemed to have been satisfied. The medical plan currently provides that retired employees may continue to participate in the plan indefinitely by paying the full monthly premium as determined under the COBRA provisions for continued coverage. This and all other provisions of the medical plan are subject to change, and the provisions of the Norwich University Medical/Hospital Plan then in effect will govern if there is any inconsistency with the provisions of this transition to retirement plan.

Upon attainment of age 65, the retired faculty member will be eligible to continue to participate in the Norwich University Dental Plan on the same basis as if he or she retired on that date. The dental plan has no coverage provision for retirees, so the normal COBRA rules, providing for 18 months of continued coverage with payment of the full premium, apply. This and all other provisions of the plan are subject to change, and the provisions of the Norwich University Dental Plan then in effect will govern if there is any inconsistency with the provisions of this transition to retirement plan.

## 4.4 Reduction in Force: Faculty

### 4.4.1 Introduction

Faculty “reduction in force” is the process to be applied when tenure-track faculty positions must be eliminated. Natural attrition and voluntary early retirement are the preferred methods for reducing the number of faculty. Where these methods are not sufficient, faculty reduction may become necessary.

Changes in program demands or a significant decrease in student population may result in program contraction or discontinuance and may necessitate a reduction in force.

Any reduction in force requires good faith action by both the faculty and the administration. This document describes procedures to be followed when the elimination of faculty positions becomes necessary as part of a reduction in force.

### 4.4.2 College Planning for Reduction in Force

Each College will maintain a specific reduction in force plan which is updated annually and approved by the [SVPAA](#). This plan will be developed and updated through regular lines of authority from school directors and department chairs to the College Dean.

In developing this plan for reducing the size of the faculty, the University’s ability to provide education of high quality will be the first consideration. Attention also will be paid to maintaining gains which have been made in equal employment opportunity. Consistent with these considerations, faculty will be separated in the following order:

- Non-tenure-track faculty
- full-time faculty with probationary tenure-track appointments
- full-time faculty with tenure

(Note: appointment types are defined in [Faculty Appointments and Tenure](#))

In exceptional cases it may be necessary to vary the order of termination to ensure the needed variety of course offerings and preserve program strength.

### 4.4.3 Reduction in Force: Conditions and Procedures

Institutional conditions under which tenure-track faculty may be terminated pursuant to a reduction in force are limited to program contraction or discontinuance for:

#### 4.4.3.1 Academic Reasons

Program discontinuance or contraction for academic reasons may lead to termination of tenure-track faculty. Academic reasons include, but are not limited to, significant changes in enrollment patterns and in academic goals as established by the SVPAA and the Faculty Senate.

##### 4.4.3.1.1 Procedures

The development and implementation of procedures for effective and continuing evaluation of existing and proposed programs are the responsibility of the [SVPAA](#).

- a. The [SVPAA](#) or College Dean may initiate a recommendation for reduction in force for academic reasons.
- b. In either case, the college involved must review the recommendation and make its recommendation to the Faculty Senate. Recommendations must address program criteria, program standards, student achievement, the impact on staffing and the impact of the change on other areas of the University.
- c. Within one month of receiving the college recommendation, the Faculty Senate must review it and submit its recommendation to the [SVPAA](#).

- d. The [SVPAA](#) will expeditiously submit his or her recommendations together with all others to the President, who shall make a decision.
- e. The [SVPAA](#) will ensure compliance with the procedures outlined above.

#### **4.4.3.2 Financial Reasons**

Tenure-track faculty may be terminated as a result of financial conditions which affect the financial integrity of the institution and which cannot be alleviated by less drastic measures.

1. If the situation warrants, the Administration may initiate a recommendation for reduction in force for financial reasons based on the normal processes of fiscal and budgetary planning.
2. The Administration will provide evidence of financial constraints to the Faculty Senate and its Benefits, Budget and Finance Committee.
3. The Finance Committee of the Faculty Senate will review the administrative data and make an expeditious recommendation to the Faculty Senate. The Faculty Senate will make its recommendation to the [SVPAA](#).
4. The [SVPAA](#) will submit his or her own recommendations, together with all others, to the President, who will make a decision.
5. The [SVPAA](#) will ensure compliance with the procedures outlined above.

#### 4.4.4 Termination Due Process

##### **4.4.4.1 Notice**

Any tenure-track faculty member to be terminated as a result of reduction in force will be given notice on the same schedule as probationary appointments as outlined in [Probationary Appointments](#).

At minimum, this notice will include the following information:

- the process by which the University determined that a reduction in force was necessary
- the process by which the individual in question was identified as one to be terminated

Notice will be provided in writing.

##### **4.4.4.2 Appeal Process**

Within thirty days of receipt of the notice, the faculty member may present in writing reasons why the decision should be changed or modified. This response shall be addressed to the [SVPAA](#). Within ten days of receiving the request for reconsideration, the [SVPAA](#) will forward the material with a recommendation to the President, who will sustain or change the decision based on all available information. The President will respond to the faculty member within ten days of receipt of the recommendation from the [SVPAA](#). A copy of the response will be sent to the [SVPAA](#).

##### **4.4.4.3 Transfer and Rehire Rights**

Any tenure-track faculty member who is to be terminated as a result of reductions in force shall have the right to transfer into any vacant faculty or staff position for which he or she is qualified. The faculty member will further have the right for three years following the effective date of termination to be rehired by the University for any vacant faculty or staff position for which he or she is qualified.

If two or more persons terminated have the right to be rehired for a position, the last person identified for termination under these procedures will be offered the position first, and if it is refused, the next-to-last and so on. In cases of equal rights to a position, the College Dean and [SVPAA](#) may choose, after appropriate coordination, the person to receive the first offer of employment.

If all terminated faculty members who have rehire rights to a position refuse the employment, it may be filled by an outside applicant. Refusal of a position for which the individual is qualified will end a terminated faculty member's right to re-employment. This refusal must be in writing.

#### ***4.4.4.4 Special Arrangements***

In cases of termination due to reduction in force, the University may consider on an individual basis such special arrangements as early retirement, retraining, severance pay, transfer to another position, or other possible solutions.

Tenure-track faculty terminated as a result of reduction in force are eligible for continuation of medical insurance benefits under the University's group plan. Upon the termination of the faculty member's employment as a result of reduction in force, the faculty member's health insurance coverage under the University plan, as well as that of his or her dependents, of any, shall continue for three (3) calendar months following the month in which the faculty member is terminated by the University at no cost to the employee and/or dependents, provided that the faculty member and dependents, if any, were covered under the plan immediately before termination. Thereafter, the terminated faculty member and dependents may continue to participate in the Plan indefinitely, provided they pay the necessary insurance premium in a timely manner. The premium rate will be the same as that for retirees.

## 5 Academic Process

## 5.1 Academic Due Process

The following procedures prescribe academic due process at Norwich University. The University may exercise its right to dismiss faculty for just or sufficient cause before the expiration of the term of their appointment as stated in [Section 2, Faculty Appointments and Tenure](#), according to the academic due process procedures described herein.

### 5.1.1 Preliminary Review Procedure

#### 5.1.1.1 College Investigation

Action will be initiated at the college level to resolve the matter by agreement. A college evaluation will identify deficiencies cited as just or sufficient cause for termination. The Dean of the College will present to the faculty member a written statement of the deficiencies and evidence to support the statement. The faculty member will sign one copy of this statement to certify that the statement and the evidence have been presented to him/her. The faculty member will be given the opportunity to rebut the evidence or to take appropriate action to correct any deficiencies.

#### 5.1.1.2 Administrative Review

If a solution is not reached at the college level, the Dean of the College will submit a written history of the negotiations together with a written response from the faculty member to the [SVPAA](#). The SVPAA may attempt to mediate discussions between the Dean of the College and the faculty member. If no solution is found, the [SVPAA](#) will charge the Promotion and Tenure committee to conduct a complete investigation of the College evaluation and the faculty member's response. The [SVPAA](#) will not participate in the investigation of the matter as a member of the Committee. If the [SVPAA](#) is serving as the Chair of the Promotion and Tenure Committee during the year when the investigation is required, the Committee will select a replacement from its membership to serve while the investigation is conducted.

#### 5.1.1.3 Faculty Investigative Committee

The Promotion and Tenure Committee will conduct an investigation and review the proceedings. It will recommend to the [SVPAA](#), the Dean of the College, and the faculty member actions to be taken by the University and the faculty member to resolve the matter. If agreement is not reached among all three, formal dismissal proceedings will be instituted.

### 5.1.2 Formal Dismissal Proceedings

- A. The [SVPAA](#) will prepare a statement of charges including a citation of evidence justifying the charges.
- B. The [SVPAA](#) will initiate the election of a Faculty Hearing Committee consisting of five elected members of the tenured faculty. The election will be supervised by the Promotion and Tenure Committee. Each party is entitled to two challenges of elected members without stated cause. The Hearing Committee will elect a chairman from its membership. The [SVPAA](#) will charge the Hearing Committee with determining the place and date of the hearing. The date established will allow the faculty member at least twenty days after receipt of the statement of charges to prepare a defense. The Hearing Committee will further be charged with conducting the hearing in accordance with academic due process as established herein.
- C. The Hearing Committee will request the faculty member to respond in writing to the statement of charges. The response should reach the Hearing Committee at least one week before the hearing.
- D. The Hearing Committee will recommend to the [SVPAA](#) whether suspension of the faculty member during the hearing procedures is advisable.
- E. Conduct of the Hearing:
  1. The purpose of the hearing is to present a complete and thorough disclosure of the charges and evidence in defense of the faculty member. This is to be an academic hearing, not a formal legal proceeding. It is more important that the hearing be conducted according to the tenets of fairness and common courtesy, than by academicians' imperfect interpretation of legal precedents.

2. The hearing will be open only to those members of the faculty and staff who are directly involved in the matter.
  3. The hearing will be conducted by the chairperson of the committee, who determines the order of proof and secures the presentation of evidence. The chairperson will be advised by the University Director of Human Resources concerning all aspects of conduct of the hearing.
  4. The [SVPAA](#) or his/her designee will present the case for the administration. The faculty member may have a full-time faculty member as counsel in presenting the defense.
  5. Written evidence in support of the charges or in defense of the faculty member may be presented during the hearing provided the documents have been disclosed to all parties before the hearing. Consideration will also be given to written documents presented by the administration or the faculty member at the hearing in rebuttal of testimony. Either party will be given the opportunity to respond to any written testimony.
  6. Oral testimony may be presented at the hearing. The administration and the faculty member will present to the Committee a list of witnesses to be called to testify. The Committee will assist in securing the appearance of witnesses at the hearing. Either party shall have the right to question the witnesses who give oral testimony. Written depositions from witnesses who cannot appear may be entered as evidence under item 5 above.
  7. The faculty member or his/her counsel and the [SVPAA](#), or his/her designee may argue orally before the Committee. Briefs may be requested by the Committee.
  8. All evidence will be duly recorded. A complete transcript of the hearing will be made and copies furnished the [SVPAA](#) and the faculty member within thirty days of the completion of the hearing.
- F. The Committee will reach a decision, in conference, based on the evidence and testimony of the hearing. An explicit finding relative to the charges is expected.
- G. The [SVPAA](#) and the faculty member will be notified of the decision in writing.
- H. The [SVPAA](#) will inform the President of the decision. The President and the chairman of the Hearing Committee will brief the Board of Trustees on the case and the decision. If the Board chooses to review the case, it will do so on the record of the committee hearing and present opportunity for argument, oral, written or both, by the principals at the hearing or their representatives. The Board will either sustain the decision or return the case to the Committee with the objections clearly stated.
1. The Committee will then reconsider, dealing with each objection and, if necessary, seek new evidence. Its decision will be framed and communicated as before.
  2. The Board will study the reconsideration and make a final decision.
- I. The decision of the Committee need not be made public until reviewed by the Board of Trustees. Until the proceedings have been completed, all parties should confine their public statements on the matter to announcements of time and place of the hearing and the like. Decisions of both the Committee and the Board of Trustees will be announced by the President.



## 5.2 Dispute Resolution Policy

### 5.2.1 Dispute Resolution Policy

A. This policy supersedes all previous dispute resolution policies.

Norwich University strives to foster an environment in which regular and non- full-time faculty feel free to bring up professional issues and employment disagreements for constructive consideration. This policy is intended to cover faculty issues relating to:

1. Disciplinary actions.
  2. Improper and/or unfair school or departmental policies, procedures, rules, regulations, ordinances, and statutes or their improper or unfair implementation.
  3. Acts of reprisal as a result of using this procedure.
  4. Acts of reprisal as a result of being a witness or giving information during the informal or formal steps of this policy.
  5. Disputes involving alleged violation of federal and/or state constitutional rights. These do not include situations in which a person believes he/she has been subjected to discrimination on the basis of gender, race, ethnicity, religious beliefs, disability, sexual orientation, age or veteran's status, for which the procedures are given in the Norwich University Non- Discrimination Policy.
- B. The following matters are not grievable under this procedure:
1. The contents of Norwich University policies, procedures, and rules approved by or with the authority of the President and the Board of Trustees.
  2. The measurement and assessment of work activity through an annual evaluation except where the employee proposes to show the evaluation to be arbitrary (i.e. not done according to sound reason or judgment).
  3. Termination or suspension from duties because of reduction in force, or release from the University as a result of a demonstrable emergency. Reduction in Force policy for faculty, including the appeal process, is given in Section 4: Faculty Pay and Compensation/Reduction in Force: Faculty.
  4. Promotion and/or Tenure decisions. The process for appealing these decisions is given in [Section 2: Faculty Appointments and Tenure](#).
  5. Revocation of tenure. The process governing revocation of tenure is given in [Section 5: Academic Process/Academic Due Process](#).
- C. There are three dispute resolution processes:
1. Informal dispute resolution
  2. Mediation
  3. Formal dispute resolution

Faculty who are not satisfied with the outcomes of informal dispute resolution or mediation may request formal dispute resolution. All faculty may use these processes freely and without fear of punishment or intimidation.

Supervisors are expected to recognize that faculty may need assistance in resolving disputes. All parties involved in dispute resolutions are expected to keep all proceedings confidential. However, frivolous claims may be grounds for disciplinary action.

Note: Faculty who are uncertain whether their complaint may be considered under this procedure are encouraged to seek the advice of the [SVPAA](#).

### 5.2.2 Informal Dispute Resolution

Many faculty and their supervisors can solve their disputes informally and are encouraged to do so. In addition, supervisors can sometimes help two individuals understand and resolve their differences. Informal resolutions are encouraged within each department or school. However, faculty are always welcome to discuss their disputes directly

with their Dean who will work to encourage a mutual understanding and a fair decision. The Director of Human Resources may serve as a resource in this process.

### 5.2.3 Mediation: An Alternate Dispute Resolution Process

A faculty member or a supervisor who does not agree with the outcome of the informal problem solving process may choose mediation as a second step in solving problems. Mediation may also be requested at any stage in the formal dispute resolution process, and may be recommended by the [SVPAA](#). Both parties and the [SVPAA](#) must agree to mediation. Mediation is a voluntary procedure led by a neutral third person to assist in reaching a mutually agreed upon solution. The [SVPAA](#) will usually act in this role, but may appoint a mediator, e.g., the Director of Human Resources could serve in this role.

### 5.2.4 Formal Dispute Resolution Process

If a dispute is not resolved informally or through mediation, faculty may choose the formal dispute resolution process. Norwich University has established this formal internal procedure to resolve, fairly, concerns related to conditions of employment. No one from outside the University may participate in the formal process. Should mediation be requested during the formal stage, outside mediators may be appointed.

**Step I:** A faculty member who wishes to use the formal dispute resolution process should write a letter of complaint to the Department Chair within two weeks of completion of the informal solving process or the mediation process. This letter should describe those acts or occurrences the employee questions and explain what she or he wants done. The faculty member should also send a copy of the letter to the Dean. The Department Chair will investigate the matter and respond in writing with a copy to the Dean within two weeks. Department Chairs who wish to use this formal process start at step II. Deans who wish to use this formal process start at Step III.

**Step II:** If the faculty member who requested formal dispute resolution does not agree with the Department Chair's response, she or he may submit a letter of appeal to the appropriate Dean within two weeks after the date shown on the written response. The faculty member should also send a copy of the appeal to the [SVPAA](#). The Dean will investigate the matter and respond in writing, with a copy to the [SVPAA](#), within two weeks.

**Step III:** If the faculty member who requested formal problem solving does not agree with the Dean's response, she or he may request a hearing on the matter within two weeks after the Dean's response. The hearing will be conducted by the [SVPAA](#).

#### 5.2.4.1 Record Keeping

Records of formal dispute resolution procedures are maintained in a separate file in the Human Resources' Office under the employee's name.

## 5.3 Professional Misconduct in Research and Other Scholarly Activities

### 5.3.1 Policy Statement

Norwich University is committed to fostering an environment in which the highest ethical standards in the conduct of research and other scholarly activities are followed. The primary responsibility for maintaining such standards of honesty in the pursuit and dissemination of knowledge rests with the faculty, their collaborating staff members, and students.

An individual engaged in research and/or other scholarly activities must be aware of the ethical standards governing his/her discipline and of applicable regulations. Persons subject to this policy should report conduct that they believe in good faith constitutes misconduct in research or other scholarly activities. Protection shall be provided to whistleblowers as detailed below in the section on Whistleblower Protection.

"Professional misconduct in research and other scholarly activities" means fabrication or falsification of any information, breaching non-disclosure, fraud, or plagiarism in proposing, performing, or reviewing research, in reporting research results, or in conducting scholarly activities. Pertinent definitions and qualifications include:

- Fabrication is making up data or results, and recording or reporting them.
- Falsification is misrepresenting professional credentials, manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Breaching non-disclosure is unauthorized use of information that was acquired confidentially.
- Fraud constitutes misuse of research funds, information, equipment, or time.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- Professional misconduct does not include honest error or differences of opinion.

Persons found in violation of this policy under the procedures described below are subject to disciplinary action and may also be subject to civil or criminal prosecution.

Any allegation of misconduct in research and other scholarly activities against a member of the faculty or his/her collaborators merits a prompt, thorough, and fair review. All time limits contained in this policy should be adhered to except in the event of extenuating circumstances not reasonably foreseeable or avoidable. In the event a delay is anticipated, the responsible administrator or body should document the reasons for delay. If the status of the matter is such that the accused or third parties have been notified that an inquiry or investigation is in progress, notice of the delay and the reasons therefore should be provided.

### 5.3.2 Reason for the Policy

Integrity in research and scholarship is a fundamental value upon which Norwich University is founded. Without integrity, we could not justify the privilege of academic freedom intrinsic to scholarship and education, nor could we provide to society the advancements of knowledge that derive from free and open inquiry. This policy is designed to address important issues of scientific integrity that arise in the course of daily academic life. While no set of guidelines can ensure responsible research conduct, this policy serves to set the high standards of integrity that we expect from all faculty, trainees, staff, and students.

Federally funded research requires varying degrees of compliance, and this document is, therefore, based in part on 42 CFR 93. Individual agency regulations differ in wording and emphasis. Information about the policies of particular federal agencies is available from the appropriate personnel in the Office of Academic Research.

### 5.3.3 Strategic Direction

This policy supports the strategic goal of strengthening research while fostering our stated values including respect, integrity, and promoting the intellectual capacity to engage in ethical decision making as expressed in the University's capstone document titled NU2019.

### 5.3.4 Applicability of the Policy

This policy covers faculty, staff, graduate students, undergraduates, and personnel who have research responsibilities in conjunction with their employment or in conjunction with a course of study, and any other persons who are required by law or federal regulation to be covered by an approved University policy regarding misconduct.

### 5.3.5 Policy Elaboration

#### **5.3.5.1 Stage 1: Allegation of Misconduct**

##### 5.3.5.1.1 Initiation of a Charge

Signed and dated statements containing an allegation of misconduct and the reasons and bases for suspecting misconduct by a member of the University shall be sent to the Professional Integrity Officer (PIO), a tenured faculty member appointed annually by the [SVPAA](#). If the one suspected of misconduct is the PIO, a dean or a higher administrator, then the allegation shall be made to the immediate administrative supervisor of the person suspected. An exception must occur if the person alleging misconduct is that immediate supervisor; in such a case, the allegation must then be sent to the supervisor of the person making the allegation. The individual who receives the allegation (hereafter called the "Informal Inquirer") must conduct an informal inquiry into the allegation to determine if the allegation is frivolous or for other reasons does not warrant a more thorough inquiry.

##### 5.3.5.1.2 Informal Inquiry

Within ten calendar days, the Informal Inquirer shall conduct a limited informal inquiry to determine whether the allegation is frivolous, or for other reasons does not warrant a more thorough inquiry. If so, the Informal Inquirer shall prepare a written finding for the file (see [Guidelines for the Confidentiality of Records, below](#)) and the informal inquiry shall end. If the allegation is judged not to be frivolous, or if any person in addition to the accuser and/or the immediate supervisor of the accused is consulted in connection with the informal inquiry, the accused individual shall be provided a copy of the signed and dated statement of the allegation and shall be accorded an adequate opportunity to respond to the allegation. If the response of the accused convinces the Informal Inquirer that the charge does not warrant a more thorough inquiry, the Informal Inquirer shall prepare a written finding for the file as indicated above, and the inquiry shall end.

##### 5.3.5.1.3 Continuation to a Formal Inquiry

If the Informal Inquirer decides that the allegation warrants a more thorough inquiry, the Informal Inquirer shall, within ten calendar days of receipt of the allegation, notify in writing either the Associate Vice President for Research (AVPR) if the charge is associated with research, or the Associate Vice President for Academic Affairs (AVPAA) if the charge is associated with a non-research-related scholarly activity. The AVPR or AVPAA (as appropriate), hereafter called the Investigation Director, shall conduct a formal inquiry to officially document the validity of the charge. The Informal Inquirer shall supply to the Investigation Director a copy of the original signed and dated statement of the allegation along with her/his written notification. The accused will already have been given a copy of the allegation by the Informal Inquirer. The Investigation Director shall also provide written notice to any and all collaborators associated with the research or scholarly activity under review, and to the administrator of any applicable institutional research review board, that a formal inquiry is pending.

#### 5.3.5.1.4 Conflict of Interest

It is crucial to avoid the appearance or reality of a conflict of interest. If, in the normal assignments of responsibility in the Initiation of a Charge, Informal, and Formal Inquiries, the task of Informal Inquirer or Investigation Director would pass to someone who may have a conflict of interest, then that person must pass the task of Informal Inquirer or Investigation Director to the first individual in the normal chain of command who does not have a conflict of interest. Examples of apparent or real conflicts would include, but not be limited to, cases where the Informal Inquirer or Investigation Director initiated the charge of misconduct, or where one of these individuals was a collaborator in the research or scholarly activity in the course of which misconduct is alleged to have occurred. Similarly, other individuals who may be asked to participate in an inquiry must avoid real or apparent conflicts of interest.

### ***5.3.5.2 Stage 2: Formal Inquiry***

#### 5.3.5.2.1 Selection of the Review Panel

The Investigation Director shall appoint a Review Panel of three or five academically qualified and impartial members within ten calendar days. Scholars from other institutions who are recognized experts in the discipline of the accused individual(s) may serve as necessary to ensure a panel qualified to review the allegation. The Investigation Director should ensure, insofar as he/she can, that none of those appointed to the Review Panel has any real or apparent conflict of interest regarding the planned inquiry. The accused person shall have the opportunity to challenge proposed panel members for good cause shown, including but not limited to circumstances in which the accused believes the member(s) to be unqualified due to bias or lack of expertise.

#### 5.3.5.2.2 Charge of the Panel

The Investigation Director shall explain, in writing, the responsibilities of the Review Panel and shall provide it with all material already at hand.

#### 5.3.5.2.3 Material to be Provided to the Panel

The person accused of misconduct shall be obliged to provide the Review Panel with all requested material, such as:

- a) a list of all persons connected with the work;
- b) copies of relevant grant applications and work progress reports;
- c) all requested relevant research notebooks, journals, and other records;
- d) copies of relevant abstracts and papers, published or pending;
- e) other relevant information and materials as required.

In the event the accused fails to respond or otherwise cooperate, the Review Panel shall continue its inquiry insofar as is feasible.

The Review Panel may interview anyone who could contribute information helpful to the inquiry. The accused individual(s) shall be requested to cooperate with the Review Panel and shall have the opportunity to be heard and defend themselves against the allegation, including the presentation of additional relevant evidence and witnesses. If the accused resigns or refuses to participate, the Review Panel shall continue the inquiry.

#### 5.3.5.2.4 Conclusion of Formal Inquiry

The Review Panel shall complete its formal inquiry and send a written report to the Investigation Director in no more than 30 calendar days. The report must indicate the reasons for deciding either to terminate the inquiry if the allegation is not substantiated (see [Guidelines for the Confidentiality of Records, below](#)), or is

to continue further with an investigation. An investigation may continue, even if the original allegation was not substantiated, if the formal inquiry provided evidence of misconduct. In the latter case, an amended allegation shall be provided to the accused. The accused and the accuser shall receive copies of the report by the Review Panel, which must include findings of fact, conclusions, and the bases therefore. They shall have ten calendar days to comment in writing on the findings of the inquiry. Their comments shall be added to the record.

### **5.3.5.3 Stage 3: Investigation**

#### **5.3.5.3.1 Notification of the Senior Vice President of Academic Affairs (SVPAA)**

If the Review Panel determines that there is sufficient basis to continue with an investigation, the Investigation Director shall notify the SVPAA (unless the Investigation Director is the SVPAA).

#### **5.3.5.3.2 Sponsored Projects**

It is the responsibility of the SVPAA to assure timely compliance with funding agency regulations regarding the reporting and disclosure of information relevant to misconduct in research and scholarly activity. When a sponsoring agency is notified that an investigation is underway, a copy of the notification shall be sent to the person(s) accused of misconduct. In general, sponsoring agencies shall be notified if, and only if, an Investigation (Stage 3) is initiated, unless earlier notification is required by law, by regulation, by prior agreement between the University and the funding agency, or by extraordinary circumstances. Any of the following shall be a compelling reason for notifying a sponsor before the investigation stage is reached:

- a) there is an immediate and previously undisclosed threat to the public health, safety, or welfare that requires notification,
- b) there is immediate need to protect sponsoring agency funds or other assets,
- c) there is immediate need to protect the interests of the University member making the allegation, or the person accused of misconduct, or any co-investigators and associates, requiring early notification,
- d) there is good reason to believe the allegation will be reported publicly,
- e) there is prima facie evidence of criminal violation. In this instance, notification must occur within 24 hours.

#### **5.3.5.3.3 Further Investigation**

The Review Panel shall continue with an investigation along the lines indicated in [Stage 2](#). The Review Panel may request that its membership be expanded following the procedure outlined in Selection of the Review Panel; the expanded panel should have an odd number of members. The accused shall again have the right to challenge proposed additions to the Review Panel for good cause shown.

#### **5.3.5.3.4 Expanding the Investigation**

The Review Panel may expand the investigation to include other projects with which the accused individual(s) is or has been involved where the investigation thus far:

- a) suggests a substantive link between the project under investigation and other projects,
- b) establishes that the same research team was or may have been involved in other projects,
- c) indicates a pattern or practice of misconduct, or
- d) reveals other appropriate circumstances under which review should be expanded. If the investigation uncovers new evidence of misconduct, not previously alleged, the Investigation Director shall give the accused, in writing, an amended allegation.

#### **5.3.5.3.5 Time Limit**

The Review Panel shall complete this phase of the investigation in no more than 120 calendar days and document its decision to the Investigation Director in a written report. The accused and the accuser shall

receive copies of the report, which must include findings of fact, conclusions, and the bases therefore. They shall have ten calendar days to comment to the Investigation Director, in writing, on the findings of the investigation. Their comments shall be added to the record of the investigation.

### **5.3.5.4 Subsequent Actions**

#### **5.3.5.4.1 Notification of the Senior Vice President for Academic Affairs**

Within ten calendar days of receiving the full report of the Review Panel, the Investigation Director shall forward the report to the SVPAA (if appropriate). The Investigation Director shall notify any other appropriate parties of the findings of the Review Panel, and shall recommend to the SVPAA an appropriate course of action. The Investigation Director shall notify the accused person(s) that these actions have been taken.

#### **5.3.5.4.2 Notification of Sponsors**

If the Review Panel has determined that misconduct occurred in sponsored research, the SVPAA shall notify the sponsoring agency or agencies in writing of the findings of the investigation. If a sponsor received notice of an investigation in progress in accordance with Sponsored Projects ([see above](#)), then the sponsor shall be notified in writing of the outcome of the investigation even if the Review Panel finds that the allegation was without foundation.

#### **5.3.5.4.3 Disciplinary Actions**

If all or part of the allegation is proven against the individual(s) accused of misconduct, the individual(s) shall be subject to disciplinary action(s) by the SVPAA, which may include termination as provided in Norwich University's Faculty Manual. Procedures in this policy are not, however, intended to supersede procedures outlined in any other memoranda within Norwich University's Faculty Manual. Individual(s) guilty of academic misconduct may also be expected personally to make restitution as appropriate under the circumstances of the case.

#### **5.3.5.4.4 Notification of Journals**

The SVPAA shall notify the editor(s) of journals to which abstracts and papers, emanating from research determined to be the product of misconduct, have been submitted and/or published.

#### **5.3.5.4.5 Notification of Other Institutions and Agencies**

Institutions with which the individual(s) has been affiliated and the relevant sponsoring agencies should be notified by the SVPAA if there is reason to believe that the validity of previous research might be questionable.

#### **5.3.5.4.6 Appeals**

If the allegation against an individual(s) is proven, wholly or in part, the SVPAA shall notify the accused of these results and of any disciplinary action to be taken. In that letter, the SVPAA shall notify the individual(s) that a written appeal can be directed to the SVPAA (or to the President if the SVPAA was the Investigation Director) within ten calendar days. The written appeal must be based solely upon issues of procedural error that substantially damaged the accused; decision without rational basis; decision rendered in violation of fundamental rights of the accused, as established by Constitutional or statutory law; or new evidence that was not reasonably available during the time of inquiry or investigation. In an appeal, the burden of proof is upon the individual making the appeal. The decision of the SVPAA (or President) shall be final.

### ***5.3.5.5 Guidelines for the Conduct of an Inquiry/Investigation***

#### **5.3.5.5.1 Standards of Adjudication**

A finding of professional misconduct in research or other scholarly activities made under this policy requires that:

- there be a significant departure from accepted practices of the relevant professional community,
- the misconduct be committed intentionally, knowingly, or recklessly, and
- the allegation be proven by a preponderance of the evidence.

#### **5.3.5.5.2 Privacy**

All University persons called upon to administer this policy, including but not limited to the Review Panel, shall diligently protect the privacy of those against whom allegations are made. Confidentiality shall therefore be maintained except as necessary to consult with persons as required by this policy and except insofar as disclosure is required by law. All notebooks, journals, and other materials submitted to the Panel shall be held in trust by the Panel.

#### **5.3.5.5.3 Restoration of Reputation**

If the alleged misconduct is not substantiated by a thorough investigation, efforts must be undertaken to restore fully the reputation of the researcher and others under investigation. At a minimum, written notifications must be sent to each individual and agency contacted at any point during these proceedings, describing the outcome of the investigation and including a definitive statement that the University supports and continues its commitment to the individual(s) against whom an allegation of misconduct was levied. If the accused believes the charges resulted in unfair treatment in the workplace, he/she may follow grievance procedures described elsewhere in applicable University policies.

#### **5.3.5.5.4 Collaborators**

Collaborators named in allegations, against whom charges are not commenced under this policy, are presumed to be innocent of misconduct except where allegations are lodged against them as individuals and reviewed under the procedures of this policy.

#### **5.3.5.5.5 Whistleblower Protection**

Disclosure of suspected misconduct is a responsibility of faculty, staff, and students. Retaliation against those who report misconduct is contrary to University policy. If a member of the University (a "whistleblower") makes an allegation of misconduct in good faith, the University shall, to the maximum extent possible, protect the whistleblower from retaliation by the accused or third parties, including but not necessarily limited to the initiation of disciplinary action against persons who engage in such conduct. If a claim is filed externally with an administrative agency or in a court of law against the whistleblower because of the filing of an allegation under this policy, the University shall retain or authorize the retention of legal counsel to provide a defense and indemnify the whistleblower against any judgments resulting from such action, provided that the whistleblower filed such allegation, or provided testimony relating to such an allegation, in good faith and in connection with his/her employment or enrollment at the University. If an allegation made in good faith results in loss of employment by the whistleblower, or so strains working relations that it is impractical for the whistleblower to continue in his/her original position, the University shall make a good faith effort to find substantially equivalent employment elsewhere in the University. If a whistleblower makes an allegation that he or she knows, or should know, is not true, or if an allegation is fabricated to harm the accused person, or if an allegation is made maliciously or recklessly, the above protections shall not apply and appropriate disciplinary action shall be taken against the whistleblower.



### ***5.3.5.6 Guidelines for the Confidentiality of Records***

#### **5.3.5.6.1 Confidentiality**

All records, documents, and the like submitted, generated, or otherwise developed in connection with proceedings under this policy are confidential. The official record shall be maintained for at least seven years.

#### **5.3.5.6.2 Records of Proceedings Terminating before Stage 3**

All records, documents, and the like relative to proceedings that terminate prior to Stage 2 shall be maintained confidentially in the office of the Informal Inquirer. The records and documents shall be sealed, and filed under the name of the individual against whom allegations were made, in a repository created for the purpose of records maintenance under this policy. Under no circumstances should such records be referenced or included in the personnel file of the individual(s) against whom allegations were made. The same procedures shall apply relative to proceedings that terminate prior to Stage 3, except that such records shall be maintained in the office of the Investigation Director.

#### **5.3.5.6.3 Access to Records**

Access to records shall be limited to persons to whom access must be granted to ensure compliance with the dictates of the law and this policy. All access and disclosure requests and responses thereto, shall be documented and maintained as part of the file.

#### **5.3.5.6.4 Administration of Confidentiality**

All persons called on to administer this policy shall exercise diligence to assure compliance with these confidentiality requirements. No disclosure of, or access to, such records shall be permitted, except as required by law or essential to effect this policy.

### ***5.3.5.7 Review of Policy***

After completion of an investigation, faculty practices and institutional policies and procedures for promoting the ethical conduct of research and other scholarly activity and investigating allegations of misconduct should be scrutinized and modified in light of the experience gained.

## Making Changes to the Manual

Be sure to use the Track Changes function for all proposed changes.

Use the proper headings (best seen in Outline view) for all items that should appear in the Table of Contents.

Use the proper Styles, as in the sample section below (to be added in 2013-2014)

After changes are approved, doublecheck the formatting of Styles, then recreate the Table of Contents.

Any time numbered or lettered lists are used, use a style for automatic numbering/lettering.

Do not use tabs, paragraphs, or extra spaces for formatting; these are built in to the stylesheets.

Heading styles examples

Heading 1: Section Headings

Heading 2: First heading of chapters or sections. When creating a new chapter, selected "Insert Break/Section Break (New Page)." Use the text of the chapter heading in the footer for the new section. Be sure to deselect "link to previous" in the footer settings.

Normal: Use for all text. Times New Roman 12.