



# FACULTY HANDBOOK

2021-2022

# 2021-2022 OCCIDENTAL COLLEGE FACULTY HANDBOOK

## MISSION OF THE COLLEGE

The mission of Occidental College is to provide a gifted and diverse group of students with a total educational experience of the highest quality – one that prepares them for leadership in an increasingly complex, interdependent and pluralistic world

The distinctive interdisciplinary and multicultural focus of the College's academic program seeks to foster both the fulfillment of individual aspirations and a deeply rooted commitment to the public good.

## INTRODUCTION

This Handbook serves as a guide for tenured and tenure-track faculty members throughout their academic careers at Occidental College. This document delineates their responsibilities as teachers, scholars, mentors and guardians of the academic program. Guidelines for hire and promotion, organization and governance, and college policies that



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## I. THE RESPONSIBILITIES OF FACULTY MEMBERSHIP

### A. General Faculty Responsibilities

As stated in the By-Laws of the College (approved 2004):

"The Board shall delegate to the faculty the following powers and duties:

1. To prescribe requirements for admission, courses of study, conditions of graduation, and



responsibility of that choice, but should either request a leave of absence or resign his or her academic position.

For more than a century the Occidental faculty acted upon two principles: That colleges and

## II. APPOINTMENT

A.



### III. REAPPOINTMENT, TENURE AND PROMOTION

To ensure the highest possible standards of individual performance, as well as to provide the mentoring and support faculty members need if they are to continue to improve their performance, all faculty members on regular appointment receive periodic reviews. All faculty will normally undergo the following reviews over their tenure at the College: Annual Reviews, a Tenure Review, a Tenure Review, an Associate Professor Review, and a Promotion/Full Professor Review. In addition, Full Professors will be regularly reviewed. Details for each of these reviews are in the subsequent sections. The Dean of the College may recommend or require additional reviews and may stipulate the processes and procedures under which such reviews will take place.

#### A. General Principles for Reappointment, Tenure and Promotion

1. Appointment to the faculty does not carry presumption of promotion or tenure. The granting of tenure does not presuppose advancement in rank. Although tenure decisions must be made within a specific period, there is no fixed length of service that automatically qualifies a faculty member for subsequent advancement to higher rank.
2. Tenure is understood as continuous appointment as a member of the faculty of the College, without annual or periodic renewal of contract.
3. Matters of personality, life-style, and individual taste are not used as evaluative criteria in matters of tenure and promotion.
4. Occidental College is an Equal Employment Opportunity employer and does not discriminate against employees or applicants because of race, color, religion, gender, pregnancy, national origin, ancestry, citizenship, age, marital status, physical disability, mental disability, medical condition, sexual orientation, or any other characteristic protected by state or federal law. The College actively seeks racial, gender, and ethnic diversity in the faculty and staff, and provides equal employment opportunities for women and minorities at all levels within the institution. The College is not only committed to equal employment opportunity in employment, but to a program of multicultural education involving cultural and ethnic diversity among all constituents of the College community.

Nondiscrimination has long been a matter of policy and principle at Occidental. It is reaffirmed here in compliance with Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, the Americans with Disabilities Act of 1990, Section 504 of the Rehabilitation Act of 1973, the Immigration and Nationality Act, Title IX of the Education Amendments of 1972, regulations of the Internal Revenue Service, and with all applicable laws of the State of California.

Equal employment opportunity will be extended to all persons in all aspects of the College-Employee relationship, including recruitment, hiring, placements, transfers, promotions, compensation, benefits, training, social & recreational activities.

5. The College also subscribes to the AAUP's ~~Committee~~ <sup>Committee</sup> on Academic Freedom and Tenure (Committee A) statement "On Collegiality as a Criterion for Faculty Evaluation" adopted in November 1999. This statement can be found at [www.aaup.org/statements/Redbook/collegia.htm](http://www.aaup.org/statements/Redbook/collegia.htm). It is reprinted here in Appendix 1 to this handbook.

6. See Section VI.G for Grievance Procedures related ~~to~~ <sup>to</sup> matters of reappointment, tenure, and promotion.

#### B. Criteria for Reappointment, Tenure and Promotion

Conversion from the rank of Instructor to Assistant ~~Professor~~ <sup>Professor</sup> is contingent upon completion of the appropriate terminal degree. This is specified at the time of initial appointment and does not require a departmental

Outstanding teaching and exemplary service to the College may compensate for modest professional achievement in cases of promotion to full professor.

### 3. Service to the College

Service to the College may take a variety of forms, including service on regular and ad hoc committees, the assumption of administrative, governance or organizational duties either within or outside departments and programs as the need arises, and participation in vari

- (1) The Review Committee Chair shall ~~work~~ with the candidate to be certain that the review file is completed in a timely manner. By April 30 of ~~the~~ prior academic year, the Chair of the Review Committee will confirm the current membership ~~of~~ the Review Committee with the Dean. The candidate submits a portfolio (see b) below) to the Review Committee by October 30.
- (2) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate's ~~teaching, professional achievement, and~~ service to the college. The Review Committee will write an honest ~~assessment~~ of the candidate's strengths and areas where improvement is expected.
- (3) The Review Committee will provide the candidate a copy of the review, signed by all of the members of the Committee. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity ~~to~~ read the document and has received a copy. The signed review will be submitted by the ~~Review~~ Committee Chair to the Dean of the College by December 15. A copy of the review will ~~also~~ be retained by the Department Chair.
- (4) All documents that are part of the review, ~~except~~ ~~for~~ ~~the~~ ~~original~~ ~~documents~~ ~~submitted~~ ~~to~~ ~~the~~ ~~Review~~ ~~Committee~~ ~~Chair~~ ~~for~~ ~~the~~ ~~review~~ ~~process~~ ~~will~~ ~~be~~ ~~retained~~ ~~by~~ ~~the~~ ~~Department~~ ~~Chair~~.

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electronically and in hard copy form. A three year reappointment normally indicates regular progress towards tenure and promotion. This review document must include the recommendation by the Review Committee and must be signed by



- (1) The Review Committee Chair shall work with the candidate to be certain that the review file is completed in a timely manner. By April 30 of the prior academic year, the Chair of the Review Committee will confirm the current membership of the Review Committee with the Dean. The review portfolio as described below in b) must be completed and submitted to the Dean's Office by September 15. After September 15 no other information will be accepted except when requested by the Advisory Council or approved for inclusion by the Advisory Council at the candidate's request.
- (2) The candidate and the Department Chair each provide a list of at least four external reviewers who may be qualified to evaluate the candidate's professional work. The candidate and the Department Chair shall consult to ensure that at least four of the reviewers submitted by the Department Chair are distinct from the reviewers submitted by the candidate. These lists must be sent electronically to the Dean of the College by April 30. Both lists must include a short rationale for the choice of each of these reviewers and a description of the reviewer's relationship to the reviewers, if any. Materials to be included in mailings to external reviewers must be transmitted electronically to the Dean's office by August 1.
- (3) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate's teaching, professional achievement, and service to the college in accordance to the criteria listed in section III. The Review Committee must decide whether or not to recommend tenure and/or promotion to Associate Professor. This recommendation is forwarded to the Advisory Council both electronically and in hard copy form. This review document must include the recommendation by the Review Committee and must be signed by all members of the Review Committee, and may include signed statements of dissenting views. In each case, the entire review document shall be made available to the candidate in advance of the deadline, October 15, when all materials are due in the Dean's Office. The candidate will sign the document before it is submitted, indicating that he or she has had an opportunity to read the document and has received a copy. The candidate may submit a confidential response to the review to the Dean of the College within one week. This letter is exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.
- (4) All documents that are part of the review, except for the student course evaluations, must be submitted electronically in a manner described by the Dean of the College for access by the Review Committee and later by the Advisory Council.
- (5) The Advisory Council reviews the materials and makes a recommendation to the Dean of the College, who in turn makes a recommendation regarding tenure and promotion subject to approval by the President and the Board of Trustees. The Dean of the College will normally communicate the final decision to the candidate immediately following the spring meeting of the Board of Trustees.
- (6) Normally, the decision to recommend tenure and promotion to Associate Professor shall be made at the same time, except in extraordinary circumstances.

b. What the Candidate Provides to the Dean

It is the candidate's responsibility to present their best case through a portfolio of relevant materials. Each faculty member under review is responsible for assembling this portfolio for submission to the Dean. The following is the College's recommendation of what should be included in the portfolio.

- (1) a narrative that contextualizes the evidence in the criteria for review. In the section on professional achievement, there should be a discussion of future plans for professional work;
- (2) a current curriculum vitae;

- (3) copies of all annual reports which discuss teaching, professional achievement and service;
- (4) copies of all Review Committee Reports and any correspondence from the Advisory Council;
- (5) relevant course syllabi, exams, and related materials;
- (6) student course evaluations with summary sheets;
- (7) all peer teaching observations and evaluations during the period of review (as described in VII.I);
- (8) course grade comparison sheets;
- (9) summary grade reports (which may be obtained at the Dean's office) for all courses taught





- (6) course grade comparison sheets;
- (7) summary grade reports (which may be obtained in the Dean's office) for all courses taught during the period of review;
- (8) publications, manuscripts, and other evidence of scholarship and professional achievement.
- (9)

- (2) The Review Committee chair shall work with the candidate to be certain that the review file is completed in a timely manner. By April 30 of the prior academic year, the Chair of the Review Committee will confirm the current membership of the Review Committee with the Dean. The review portfolio as described below in b) must be completed and submitted to the Dean's Office by August 31. After August 31 no other new information will be accepted except when requested by the Advisory Council or approved for inclusion by the Advisory Council at the candidate's request.
- (3) The candidate and the Department Chair each provide a list of at least four external reviewers who may be qualified to evaluate the candidate's professional work. The candidate and the Department Chair shall consult to ensure that at least four of the reviewers submitted by the Department Chair are distinct from the reviewers submitted by the candidate. These lists must be delivered to the Dean of the College by April 30. These lists must include a short rationale for the choice of each of these reviewers and a description of the faculty member's relationship to the reviewers, if any. Materials to be included in mailing to external reviewers must be transmitted electronically to the Dean's office by August 1.
- (4) The Review Committee will review the evidence provided by the candidate and the Department Chair and assess the candidate's teaching, professional achievement and service to the college in accordance to the criteria listed in section I and the principles adopted by the College. The Review Committee must decide whether or not to recommend promotion to Full Professor for the

- (8) summary grade reports (which may be obtained from the Dean's office) for all courses taught during the period of review.
- (9) publications, manuscripts, and other evidence of scholarship and professional achievement.
- (10) any other documentary evidence that might assist in an evaluation.

The candidate must provide a list of 20 students who have been enrolled in one or more of the faculty member's classes since promotion to Associate Professor electronically to the Dean's Office by April 30.

c. Role of the Department Chair

The Department Chair will solicit letters from Occidental faculty and staff, in consultation with the faculty member, evaluating the faculty member's class teaching, and/or program of professional development, and service to the college by April 30. These letters should be sent electronically by the faculty or staff directly to the Dean of the College by September 30. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, by the Hearing Board.

d. What the Review Committee Provides to the Dean

The Review Committee submits its report and any statements of dissenting views, signed by the candidate, to the Dean of the College by September 30.

e. What the Office of the Dean of the College Provides to the Advisory Council

In addition to all the materials provided to the Review Committee, the Dean of the College will provide the following to the Advisory Council.

- (1) Confidential letters solicited from students discuss the faculty member's teaching and advising. These letters will be solicited by the Dean of the College from the list of 20 students provided by the candidate and from a random list of 20 students enrolled in one or more of the candidate's courses since the tenure review. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.
- (2) Untenured regular faculty members in the department of a person under review may communicate directly and confidentially with the Dean in writing both in hard copy and electronically by September 30. These letters are exclusively for consideration by the Advisory Council, and in the case of a grievance, the Hearing Board.
- (3)

Option 1: Co-mentoring Program. In this program Full Professors join a co-mentoring group of Full Professors once they have been promoted to the rank of Full Professor. Each faculty member is reviewed once every five years by their co-mentoring group. These co-mentoring groups with membership of no more than ten faculty members meet at least once a year to discuss a colleague's teaching, professional achievement, and service to the college. The faculty member under consideration provides at least the most recent three years' data for her annual reports as well as student course evaluation summaries and evidence of professional involvement. She or he is



- i. All Council members, including the Dean of the College Chair, have one vote. The President does not vote.
- j. Proxy voting by members unable to attend a meeting is not permitted, although they may present their opinions in writing on any issue to be voted on in their absence.
- k. Affirmative motions for tenure and/or promotion require a 2/3 majority of those present as does a vote to defer until a subsequent year. Thus, if eleven Council members are present at the time of voting, eight affirmative votes are required; seven when there are ten Council members present; six when there are eight or nine; and five when there are seven present.
- l. The aim of all deliberations by the Advisory Council is to achieve consensus. This requires that all members participate in the discussion. The Dean shall summarize the discussion and in due course call for any appropriate motion. For tenure or promotion, a vote is then taken. Using written ballots, members record their votes and then reveal them openly around the table.
- m. Voting on procedural matters requires a majority without a paper ballot, unless one is requested.
- n.





#### IV. NON-TENURE TRACK FACULTY

Types of faculty appointments are discussed in Section IIA. Non-tenure track faculty teach, provide service, and

## 2. First Year Review

At the conclusion of the first semester of a part-time NTT contract, the Department Chair will discuss the possibility of reappointment for the next academic year with the NTT faculty member. During the Spring semester, the Department Chair reviews course evaluations and syllabi of the NTT faculty member pursuing reappointment. Based on this review, the Chair submits a reappointment recommendation to the Dean by March 1st. This recommendation will include a justification for renewal as it relates to departmental needs (i.e. future hiring, course enrollments, subject matter). The Dean will consider the justification for reappointment and decide whether renewal is warranted. This decision will be based on the faculty member's performance, on departmental needs, on overall composition of the faculty, and on the fiscal condition of the College. If the renewal is approved, the continuing part-time NTT faculty member will receive up to a one-year appointment. In special cases, the contract length may require adjustment based on departmental needs.

## 3. Process and Principles of the Three-Year Reviews

An evaluation should be conducted every three years as a part-time NTT faculty appointment during the Spring semester to determine reappointment eligibility. The Department Chair, in consultation with other department faculty, is responsible for conducting the evaluation following the parameters outlined below. While the criteria for reappointment are similar to first-year review, the College expects an increased level of classroom performance.

- a. The Department Chair will work with the faculty member to be certain that the review is completed and submitted to the Dean no later than March 1st.
- b.

- c. The Department Chair will work with the faculty members to be certain that the review file is completed in a timely manner.
- d. The Chair, in consultation with other department faculty, will review the evidence provided by the candidate, review the NTT's professional activities, assess the candidate in teaching. The Chair must draft a review document describing the faculty member's progress in the aforementioned areas and decide

## 2. Benefits for Full-time NTT Professors

Full-time NTT faculty are eligible for the following:

- a. Medical and Hospital Insurance (eligibility established on first day of the month following initial appointment as in VIII.D.)
- b. Dental Insurance (eligible after one year of full-time appointment.)
- c. Participation in the College's defined contribution retirement plan (eligibility established after one year of full-time employment )
- d. Life Insurance (eligibility established after one year of full-time employment)
- e. Disability Insurance (eligibility established after one year of full-time employment)
- f. Worker's Compensation Insurance (as in VIII.H.)
- g. Disability Leave (in accordance with state laws)
- h. Family Leave (in accordance with federal and state laws)
- i. Tuition Exchange Program (eligible after five years of full-time employment)
- j. Full tuition remission for dependent children who are admitted to Occidental and enrolled in the College (eligible after 5 years of full-time employment)

## 3. Service Expectations for Full-time NTT Professors

- a. Service responsibilities will be limited in the first year of employment for full-time NTT faculty. First-year NTT faculty will be exempt from formal student advisement. Service responsibilities will increase gradually in the second and third year of full-time employment. The extent and nature of the service assignments will be determined after consultation with the Dean, the Department Chair, and the NTT faculty member.
- b. During the third year of employment at the College, the departmental service obligations for full-time NTT faculty may include advising students, mentoring of student comprehensive projects, independent studies, internships, or student research projects.
- c. Under certain circumstances, College service may substitute for traditional departmental service.

## 4. First Year Review

At the conclusion of the first semester of a full-time NTT contract, the Department Chair will discuss the possibility of reappointment for the next academic year with the NTT faculty member. During the Spring semester, the Department Chair reviews course evaluations and syllabi of the NTT faculty member pursuing reappointment. Based on this review, the Chair submits a reappointment recommendation to the Dean by March 1st. This recommendation will include a justification for renewal as it relates to departmental needs (i.e. future hiring, course enrollments, subject matter). The Dean will consider the justification for reappointment and decide whether renewal is warranted. This decision will be based on the faculty member's performance, on departmental needs, on the overall composition of the faculty, and on the fiscal condition of the College. If the renewal is approved, the continuing full-time NTT faculty member will receive a 2-year appointment. In cases where the Dean is not able to extend a 2-year appointment, a one-year appointment will be offered.

## 5. Process and Principles of the Three-Year Reviews

An evaluation should be conducted every three year

addresses the faculty member's teaching effectiveness. This evaluation should also include a statement regarding recommendation for reappointment and a justification for renewal as it relates to departmental needs (i.e. future hiring, course enrollments, subject matter). Both the Chair and the faculty member will be required to sign the evaluation document prior to its submission to the Dean.

- c. The faculty member will submit the following materials to the Chair 1-week prior to the scheduled evaluation meeting:
  - (1) current curriculum vitae
  - (2) copies of all annual reports
  - (3) copies of any Chair reviews
  - (4) relevant course syllabi, exams, and related materials
  - (5) student course evaluations with summary sheets
  - (6) course grade comparison sheets
  - (7) summary grade reports (which may be obtained from the Dean's office) for all courses taught

(9)



9. The Faculty Council President shall be responsible for the preparation of official Minutes of all regular and special meetings of the faculty.

10. The Minutes shall be kept in the office of the Dean of the College and posted online.

11.



The Faculty Council deliberates on matters of general interest to the faculty and serves as an advisory, consultative and supervisory group to faculty committees. It conducts elections to the Advisory Council, Faculty Council, and Academic Planning Committee.

2. A faculty member who is taking a year's leave from the College will not be put on the ballot for Faculty Council President, Faculty Council, Advisory Council, or the Academic Planning Committee.
3. After serving a full term on the Advisory Council or Faculty Council, or a full elected term on the Academic Planning Committee, an individual faculty member may choose to receive one year free of committee assignments. A full term for untenured faculty on Faculty Council is a one-year term, followed by the option of a one-year exemption from committee service.
4. After serving a full term on the Advisory Council or the Faculty Council, or a full elected term on the Academic Planning Committee, an individual faculty member may choose the next five years to take his or her name off the ballot for the elected body on which he or she has just served.
5. Individual faculty members who have been elected or appointed to the Faculty Council, the Advisory Council, and/or the Academic Planning Committee and have served a full term four or more times may petition the Faculty Council asking to be excused from re-nomination list for the rest of their career at the College.
6. Any faculty member elected Faculty Co

following the guidelines set for by IRAP (Institutional Research, Assessment and Planning).  
Moreover, the chair leads the effort for program review every eight years a process which includes a self-study, external review and the creatio

## VI. FACULTY PERSONNEL POLICIES

### A. Changes to Faculty Appointments and Termination of Appointment

Faculty members holding regular positions shall be notified in writing by the Dean of the College of any changes in appointment, rank, or salary. Such changes normally become effective on August 15 of the ensuing academic year. Notifications of promotion date shall be made as soon as possible after formal action by the Board of Trustees.

The College recognizes that many departments are related to one another by subject matter or discipline, and that departmental lines are somewhat arbitrary and therefore impermanent. It may be necessary at times to transfer tenured faculty from one department or program to another, or to rearrange department lines. Such transfers or rearrangements may be undertaken when, in the judgment of the Academic Planning Committee and the Dean of the College, after consultation with faculty members and departments and programs involved, they would best serve the long-range educational program of the College. When such transfers involve shifts in teaching responsibilities, adequate resources shall be made available for appropriate retraining or redirection of competence.

Processes and procedures related to the termination of a regular faculty member are presented in three areas of the handbook. Issues surrounding termination as a result of regular review processes are presented in III.C. Issues related to termination by cause are presented in III.D. Termination due to financial exigency is presented in VI.M.

### B. Resignation

Unless mutually agreed upon between the faculty member and the College, it is expected that resignations will become effective only at the end of the academic year. It is further expected that the faculty member will recognize the effect of the resignation on the academic program of the College and inform the Dean of the College when actively considering the interruption or termination of service. Resignations to become effective at the end of the academic year should be submitted in writing to the Dean of the College by May 15 or within thirty days following receipt of information concerning appointment for the following year, whichever is later. Unexpected resignations after this date are considered a breach of professional ethics.

### C. Sabbatical Leaves

1. The purpose of these leaves is to provide release time for intellectual enrichment and professional growth. Eligibility for sabbatical leaves is established upon the granting of tenure. Subsequent sabbaticals may be granted at four-year intervals following initial eligibility. Time away from the College on leaves of absence as described below, does not apply toward eligibility for sabbatical leaves.
2. Sabbatical leaves are granted for one semester with full salary or one year with half salary. Those on sabbatical leave for one semester will have a three-seventh teaching load during the other semester of the academic year. Full college contributions to insured benefit plans will continue during sabbatical leaves regardless of whether on full or partial salary. Contributions to the retirement plan will be pro-rated, i.e., they will be paid at the established percentage but only on the salary actually earned during the period of the leave if on partial salary. Persons approved for leaves less than full salary should contact Human Resources regarding pay and benefit adjustments prior to the beginning of the leave.  
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4. Persons granted sabbatical leave are obligated to return to the College for the full academic year following completion of the leave period. A written report summarizing activities and accomplishments while on sabbatical leave must be submitted to the Dean of the College by September 15 of the following academic year. These reports become a part of the faculty member's permanent record and may be used by the Advisory Council in consideration of subsequent sabbatical requests.
5. Approval of sabbatical leaves is subject to available financial resources, departmental priorities, and educational program needs, and to Advisory Council evaluation of the leave application. The Council may recommend that the faculty member undertake certain activities during the leave period as a condition of approval. Accomplishments during prior leaves will also be considered.
6. Faculty members on sabbatical leaves are excused from committee service (except as described in III.C.1.) during the time of their leave. It is their responsibility, in consultation with their Department Chairs, to ensure that their advisees are assigned to other colleagues during their leave.

#### D. Early Career Leave

As part of the process of the Pre-Tenure Review, faculty who wish to be considered for the Early Career Leave must include, as part of their packet of materials submitted to the Dean of the College, a separate one-page statement of plans for future professional development, including a detailed proposal for this research leave. This proposal will be evaluated during the normal review process by the Advisory Council, and upon their recommendation, the Dean of the College may grant the candidate a one-semester paid leave in the year following this review. Normally, only candidates who receive the maximum recommendation leading toward tenure will be considered for this leave.

#### E. Retirement

Occidental College has no fixed retirement age. If there is an early retirement program in effect, faculty who are eligible for the program will be so notified and the policy effect will be detailed. Regular faculty who retire after at least ten years of full-time service will be granted Emeritus status.

#### F. Leaves of Absence

1. Faculty members may apply for leaves of absence with salary to pursue professional activities, for other purposes that will enhance their service to the College, or for personal reasons. Such leaves are ordinarily not granted for a period longer than one academic year. Certain fringe benefits may continue during the leave period. Faculty members whose leave of absence is approved should consult the Human Resources Office about benefits well in advance of the leave period.
2. Requests for leaves of absence must be approved by the Dean of the College. Applications should be submitted to the Dean of the College as far in advance as possible. These applications should include information similar to that required for sabbatical leaves, including a statement from the department chair.
3. Faculty members on leaves of absence are excused from committee service. It is their responsibility, in consultation with their department chairs, to insure that their advisees are assigned to other colleagues during their leave.
4. Unless otherwise specified at the time approval is granted, persons on leaves of absence are expected to return to the College for a full academic year following completion of the leave period.
5. Time on leaves of absence does not normally count towards sabbatical leave.

#### G. Faculty Grievance Procedures

Faculty members having a personal complaint regarding actions of any committee, administrative officer, or member of the faculty may seek redress through the grievance procedure. These complaints may include, but are not

limited to, matters of salary, tenure, and promotion, assignment of space, facilities, and discriminatory or inequitable treatment. Faculty members have the responsibility to serve Hearing Boards according to the procedures outlined below.

#### 1. For complaints against the Advisory Council relating to Reappointment, Tenure and Promotion

On receipt of a faculty member's complaint, the Faculty Council will appoint a Hearing Board within two weeks to investigate the matter. Hearing Boards consist of five tenured faculty members drawn from a randomly generated list of all eligible, tenured faculty that the Faculty Council requests from Information Technology Services each year (See Section V. C). The following faculty are not eligible to serve on Hearing Boards: all members of the department or program involved and/or the Review Committee; current Faculty Council members; members of the faculty with administrative appointments, with the exception of department chairs; faculty who are on leave or sabbatical; members of the Advisory Council who reviewed the case or of the current Advisory Council; and anyone who has written confidential letters related to the case. For each grievance case, the Faculty Council selects the first three members of the Hearing Board from the top of the random list. At the conclusion of the selection of the first three members of the Hearing Board, the Faculty Council will continue to use the randomly generated list to select two additional members of the Hearing Board. These selections will be made to assure diversity on the Hearing Board in terms of gender, discipline, race and/or other characteristic that, in the opinion of the Faculty Council, is necessary to afford the reality and the perception of a fair hearing. All individuals selected for the Hearing Board must state (1) their willingness to serve and (2) the absence of a conflict of interest in the particular case before the Board. For subsequent requests for a Hearing Board, the Faculty Council continues to move down the random list following the above process.

The complainant is notified of the composition of the Hearing Board immediately by the Faculty Council President. The complainant has the right to ask that (at most two) faculty members be removed from the Board. The complainant must notify the Faculty Council President within two days if he/she wishes to eliminate one or two members of the original list. If he/she wishes to eliminate two, then the Faculty Council will replace the two within a week and the Hearing Board is finalized. If he/she wishes to eliminate one, a replacement is found as soon as possible. If the complainant wishes to eliminate the replacement, he/she must notify the Faculty Council President within two days and another replacement is found. These selections follow the procedures and principles of the above paragraph and should be finalized within one week. Once the Hearing Board is finalized, the Dean and the complainant are notified by email of the composition of the Board.

Within one week of that notification the Hearing Board must convene to select a chair and inform the Faculty Council President, the Dean of the College and the complainant of that selection. Within two weeks of that notification, the complainant must email an electronic version of the full written report with the complainant's grievance with all pertinent information and data to the Chair of the Hearing Board who will forward the documents to the entire Hearing Board. The Chair of the Hearing Board shall request in writing by email that the Dean submit copies of the Review Committee's report and the Dean's summary letter of the Advisory Council's action. The Dean has one week from receipt of request to submit these materials. The Hearing Board must decide within two weeks of receipt of materials as to whether a detailed investigation is warranted and notify the complainant in writing of its decision. If an investigation is warranted, the Hearing Board must complete its work within six weeks of that notification.

The Hearing Board may gather information from all sources it deems appropriate. The complainant has the right to appear before the Hearing Board for an oral presentation.

The Hearing Board must keep a written record of its proceedings. The record should include a calendar of their meetings, who was interviewed, and short summaries of each proceeding. After completion of the proceedings a sealed confidential copy will be filed with the Office of the Dean of the College with those records.

Documents before the Hearing Board and/or issued by the Hearing Board should be treated as confidential by all parties.

When the material is referred to in either the Advisory Council report or the complainant's grievance, the Hearing Board will have access to: confidential letters from colleagues, students and outside evaluators with identification of the writer of the letter removed; teaching evaluations; and previous department or Advisory Council reviews.

In its deliberations, the Hearing Board should be guided by the following questions: Were faculty handbook policy and procedures followed? Was appropriate evidence bearing on the decision sought out and considered? Were only relevant and proper standards or concerns considered? If the Hearing Board determines the case is without merit based on these questions, the Hearing Board issues a written statement explaining their finding which is given to the Advisory Council, the Dean of the College, and the complainant by email and the grievance process is concluded. The complainant may, at his or her own discretion, comment on the findings orally to the Board in writing within 10 days from receipt of the report, and may request that the Hearing Board respond in writing to that statement.

If the Hearing Board feels the complainant's case has merit, it returns the case to the Advisory Council, along with a written report summarizing the points which it determines should be addressed by the Advisory Council. The complainant and the Dean of the College receive a copy of this report.

In cases where the Hearing Board feels the complainant's case has merit the Advisory Council makes the

The Dean of the College and the complainant are notified by email of the formation of the Hearing Board by the Faculty Council President. A copy of the complaint will also be sent to the person(s) or group(s) the complaint is against. This procedure applies when the complaint is against the Dean of the College. Both the complainant and the person or group the compla



## H. Outside Employment

1. Occidental College encourages faculty involvement in activities that contribute significantly to the reputation of the College and to the professional and scholarly stature of the faculty member, provided these activities do not interfere with the basic respon

## K. Procedures for Actions Leading to Warning, Reprimand, or Dismissal

The following was also adopted by faculty and endorsed by the Board of Trustees in 1971 from the Association of American University Professors and the Association of American College's 1940 Statement of Principles on Academic Freedom and Tenure. ~~By vote of the faculty in 1994, allegations of misconduct based on cases of sexual harassment are handled separately (consult the HR Resources office for a statement of the Unlawful Harassment and Sexual Harassment Policy). Reports of discrimination, harassment, and retaliation (including on the basis of sex or gender) are handled separately by the Civil Rights and Title IX Office. Copies of the Sexual Misconduct Policy and Discrimination, Harassment, and Retaliation Policy can be obtained from the Civil Rights Coordinator.~~

Professional incompetence or unfitness to continue as a member of the faculty may be considered "adequate cause" for the beginning of procedures for warning, reprimand, dismissal, or other sanctions. Cases of dismissal of a faculty member prior to the expiration of a term of appointment should be rare. Any final decision on dismissal must take into account the faculty member's record as a teacher and scholar. When charges are brought against a faculty member, the hearing and the judgment are the responsibility of the faculty acting through its Hearing Committee referred to below, subject to the authority of the Board of Trustees to render a final decision. The academic strength of Occidental College requires that its faculty have first-hand concern with the work of the college.

disclosed to the faculty member.  
e. Any decision to warn, reprimand, or dismiss a facu

VII.



4. Changes in the designated time or place for class meetings may not be made without consultation with the Registrar and approval by the Department Chair and Associate Dean.

#### I. Peer Evaluation of Teaching

1. Peer evaluation of each tenure-track faculty member based on classroom visitations must occur for at least one course in the candidate's first two terms of teaching, at least one more course before the candidate's pre-tenure review, and at least one more course between the candidate's pre-tenure review and the tenure review.
2. For each evaluation, the candidate chooses one or more observers from the Occidental faculty in consultation with the candidate's Department Chair or, at the discretion of the candidate, with th



required to contribute 4% of their salaries, and receive the maximum 8% contribution from the College. Additional tax-sheltered contributions above the 4% of salary applied to the regular TIAA-CREF plan may be



2. Under the California Unemployment Insurance Code, faculty members are entitled to tax-free short-term disability income payments when unable to work because of illness or an injury which is not job-related. Inasmuch as the cost of these payments is covered by a mandatory salary deduction, faculty members when eligible are urged to apply for this benefit, for which they have, in effect, already been paying through salary deductions.

#### H. Workers' Compensation Insurance

Workers' Compensation Insurance is designed to cover occupational injuries and illnesses, and covers all authorized medical expenses, as well as temporary or permanent disability income and death benefits. To be eligible for this coverage, state law requires that an injury or illness incurred as a result of and during the course of employment be reported promptly to the College Health Center and the Human Resources Office. The full cost of Workers' Compensation Insurance is paid by the College.

#### I. Sick Leave

The College does not have a structured program of sick leave for faculty members, but arrangements for continuation of salary are made, as appropriate, on an individual basis, to a maximum of one semester during the regular academic year.

#### J. Pregnancy Disability Leave

Pregnancy disability may be granted on the same terms and conditions as those for illness or disability, with the duration of the leave to be determined by the College in consultation with the faculty member in compliance with federal and state laws regarding family leave. Any faculty member who is on pregnancy disability may be eligible for disability insurance benefits if her physician certifies that she is unable to do her regular work. To apply for these benefits, contact the Human Resources Office.

#### K. Family Leave

The College complies with federal and state laws regarding family leave benefits which pertain to both medical leaves for the employee and leaves to care for a serious family member. To apply for these benefits, contact the Human Resources Office.

#### L. Domestic Partner Policy

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8. Tuition remission is not available to children or spouses of faculty members on temporary, special, visiting, or adjunct appointments, or holding the title of Lecturer or Teacher, even though they may be teaching full time.

9. Spouses or domestic partners (as defined by the College) of full-time faculty may receive one-half tuition

dependent for tax purposes at the time of death or disability. Dependents of disabled employees must also qualify as the employee's legal dependents for tax purposes upon and during enrollment at Occidental.

#### Q. Dependent Care Account

The College offers regular full-time faculty members (as defined in II.A.) the opportunity to pay for qualified dependent care expenses with pre-tax salary dollars through a dependent care spending account. Faculty members participating in the Dependent Care Account (DCA) may set aside part of their salary each payday through payroll salary reduction and request reimbursement from this account after a dependent care expense is incurred. Detailed information regarding the DCA program is available in the Human Resources Office.

#### R. Occidental College Child Development Center

The Occidental College Child Development Center (CDC) provides an exemplary program in early childhood education for the benefit of children of Occidental College employees and members of the community. The CDC offers a model of educational excellence in early childhood by providing appropriate activities and experiences that challenge the child and optimize advancement in the following areas: physical social, emotional, creative, and intellectual.

The hours of operation are from 7:00 am until 6:00 pm Monday through Friday. Children between the ages of 2 and 5 may attend up to 10 hours per day. Employees are encouraged to contact the CDC for specific information regarding the curriculum as well as special tuition discounts that may apply.

## APPENDIX

### On Collegiality as a Criterion for Faculty Evaluation

In evaluating faculty members for promotion, renewal, tenure, and other purposes American colleges and universities have customarily examined faculty performance in three areas of teaching, scholarship, and service, with service sometimes divided further into public service and service to the college or university. While the weight given to each of these three areas varies according to mission and evolution of the institution, the terms are themselves generally understood to describe the key functions performed by faculty members.

In recent years, Committee A has become aware of an increasing tendency on the part not only of administrations and governing boards but also of faculty members serving such roles as department chairs or as members of promotion and tenure committees to add a fourth criterion in faculty evaluation: "collegiality." By the reasons set forth in this statement, we view this development as highly unfortunate, and we believe that it should be discouraged.

Few if any responsible faculty members would deny collegiality, in the sense of collaboration and constructive cooperation, identifies important aspects of a faculty member's overall performance. A faculty member may legitimately be called upon to participate in the development of curricula and standards for the evaluation of teaching, as well as in peer review of the teaching of colleagues. Much research, depending on the nature of the particular discipline, is by its nature collaborative and requires teamwork as well as the ability to engage in independent investigation. And committee service of a more general description, relating to the life of the institution as a whole, is a logical outgrowth of the Association's view that a faculty member is "officer" of the college or university in which he or she fulfills professional duties.

Understood in this way, collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of scholarship, teaching, and service. It is rather a quality whose value is expressed in the successful execution of these three functions. Evaluation in these areas will encompass the contributions that the virtue of collegiality may pertinently add to a faculty member's career. The current tendency to isolate collegiality as a distinct dimension of evaluation, however, poses several dangers. Historically, "collegiality" has not infrequently been associated with ensuring homogeneity, and hence practices that exclude persons on the basis of their difference from a perceived norm. The invention of "collegiality" may also threaten academic freedom. In the heat of important decisions regarding promotion or tenure, as well as other matters involving such traditional areas of faculty responsibility as curriculum or academic hiring, collegiality may be confused with the expectation that a faculty member display "enthusiasm" or "dedication," evince "a constructive attitude" that will "foster harmony," or display an excessive deference to administrative or faculty decisions where these may require reasoned discussion. Such expectations are flatly contrary to elementary principles of academic freedom, which protect a faculty member's right to dissent from the judgments of colleagues and administrators.

A distinct criterion of collegiality also holds the potential of chilling faculty debate and discussion. Criticism and opposition do not necessarily conflict with collegiality. Gentle criticisms of institutional practices or collegial norms, even the occasional malcontent, have been known to play an invaluable and constructive role in the life of academic departments and institutions. They have sometimes proved collegial in the deepest and truest sense. Certainly a college or university replete with genial Babbits is not the place to which society is likely to look for leadership. It is sometimes exceedingly difficult to distinguish the constructive engagement that characterizes true collegiality from an obstructiveness or truculence that inhibits collegiality. Yet the failure to do so may invite the suppression of dissent. The very real potential for a criterion of "collegiality" to cast a pall of stale uniformity places it in direct tension with the value of faculty diversity in all its contemporary manifestations.

Relatively little is to be gained by establishing collegiality as a separate criterion of assessment. A fundamental absence of collegiality will no doubt manifest itself in the dimensions of scholarship, teaching, or, most probably, service, though here we would add that we all know colleagues whose distinctive contribution to their institution or their profession may not lie so much in service as in teaching and research. Professional misconduct or malfeasance

should constitute an independently relevant matter for faculty evaluation. So too should efforts to obstruct the ability of colleagues to carry out their normal functions, to engage in personal attacks, or to violate ethical standards. The elevation of collegiality into a separate and discrete standard is not only inconsistent with the long-term vigor and health of academic institutions and dangerous to academic freedom, it is also unnecessary.

Committee A accordingly believes that the separate category "collegiality" should not be added to the

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