



# THE AMERICAN UNIVERSITY OF ROME

## **FACULTY HANDBOOK**

**THE AMERICAN UNIVERSITY OF ROME**

**Approved by the Board of Trustees May 2023**

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## **I. INTRODUCTION**

This Faculty Handbook provides an overview of AUR’s academic organizational structure and procedures, descriptions of roles and functions, and other key policy information and expectations related to the professional experience of full-time faculty at The American University of Rome.

The provisions of this Faculty Handbook derive their authority from the faculty, administration, and Board of Trustees. The document stands as a supplement to The American University of Rome Employee Handbook, ANINSEI, and The Italian National Contract (CCNL), all of which are found on the university website under MyAUR.

The American University of Rome, in collaboration with, and final approval by, the Board of Trustees, reserves the right to amend or modify this handbook as necessary as a result of faculty or administrative decisions, actions by the Board of Trustees, Italian or U.S. law, or evolutions in administrative structures or methods of delivery on policies and procedures. If areas of policy have been omitted or are not clearly stated, modifications to the manual will be made with reference to the AUR Employee Handbook and The Italian National Contract. The term ‘faculty’ throughout this Handbook refers to full-time faculty unless otherwise stated. The current body vested with the power to propose changes to the text of this handbook is the Academic Council or Executive Committee in consultation with the Dean, President, Faculty and Board of Trustees.

### **The AUR Mission**

The American University of Rome prepares students to live and work across cultures as skilled and knowledgeable citizens of an interconnected and rapidly changing world. AUR is a private, independent, not-for-profit institution of higher education, primarily offering undergraduate liberal arts and professional programs to degree-seeking and study abroad students from around the world. Taking the best of the American approach to interdisciplinary, student-centered learning, our international faculty and staff use Rome as our classroom and Italy and Europe as invaluable resources. AUR’s creative programs promote intellectual excellence, personal growth and an appreciation of cultural diversity in an international environment.

### **AUR Goals and Core Values**

Goal 1: To deliver unique liberal arts and pre-professional academic programs, taught by a highly qualified international faculty and supported by advanced teaching & learning methods, resources and technologies so that student learning will reach ever higher levels of excellence.

Goal 2: To sustain a rigorous, student-centered and interactive environment that broadens perspectives and enables communication across cultures through the curriculum, faculty scholarship, co-curricular activities and campus life.

Goal 3: To use of the cultural, social and experiential opportunities of Rome, Italy and Europe as resources for our programs.

Goal 4: To offer an up-to-date and broad range of programs and courses to a diverse student body.

Goal 5: To foster a university-wide culture of assessment that delivers continuous quality improvement in our academic offerings, administrative capacity, and human, physical, and technological resources.

## **Policy for Revision of the AUR Faculty Handbook and Authority of the Board of Trustees**

The faculty recognize that the authority of the AUR Board of Trustees includes the following powers related to faculty and academic programs:

*AUR Bylaws Article I, section 2.5: Review and approve proposed changes in the University's academic programs and other major enterprises, and any major changes thereto, that are to be consistent with the University's mission, plans, and financial resources.*

By established precedent, the university refers to the Board of Trustees any changes considered substantive according to the guidelines and policies set down by the Middle States Commission on Higher Education. Substantive changes include: modifications to the mission or objectives of the university as a whole, significant departures from current educational programming in the form of new programs or divisions, addition of different credential levels or modes of delivery, change in valuation of credits or hours, and/or addition or subtraction of premises (see MSCHE "Substantive Change Policy" for additional details).

Changes that do not involve a modification of the university or program mission or objectives, such as changes to individual courses or to the internal functioning of a program's curriculum, are evaluated and approved by the university's Curriculum and Academic Affairs committee and are not subject to Board approval. Article I, section 2.6: Approve institutional policies on faculty appointment, promotion, tenure, and dismissal and institutional policies on personnel or anti-discrimination policies for other categories of employees.

Article I, section 2.12: Adopt institutional policies on student learning and on faculty teaching, pursuit of scholarship, and performance of public service, including the protection of academic freedom.

Any amendments to the Faculty Handbook adopted by the Board of Trustees in relation to these purviews become effective upon written notice delivered by the Board of Trustees to the Academic Council. All other amendments to the Faculty Handbook should follow the procedures outlined below.

### **1. Single Amendments**

Proposals to revise individual sections of the Faculty Handbook may be submitted by any tenured or tenure-track faculty member, committee, or task force within the University. A proposal for amendment should include:



- a) Text to replace or supplement, in whole or in part, a current section or subsection of the Faculty Handbook.
- b) A summary of the positive and negative potential effects of the amendment
- c) An account of the procedure involved in creating the amendment (if arising from a committee or task force). Each proposal should focus on a single section or subsection of the Handbook; revisions to more than one section require separate proposals.

## **2. Proposal Procedures**

To be considered by the Academic Council, a proposal must be submitted for review to the Dean & Executive Committee at least three weeks prior to the next Academic Council meeting. If submitted after this deadline, the proposal may not be considered until the subsequent Faculty Executive Council meeting.

The Dean & Executive Committee will take one of the following actions:

- a. Send the proposal directly to the Academic Council without change, comment, or recommendation.
- b. Send the proposal to the Academic Council with the committee's endorsement, objection, and/or comments.
- c. With the consent of the proposing individual, task force, or committee, alter the proposed amendment and send it with or without comment to the Academic Council for consideration.
- d. Reject the proposal and return it to the proposing individual, task force, or committee without sending it on to the faculty. The proposing entity may then revise the proposal and resubmit it to the Deans & Executive Committee, or request that the proposal continue to the Academic Council along with a report describing the D&DC's objections.

The Academic Council will accept or reject the amendment with a simple majority vote. Prior to voting, the Academic Council may modify the proposed amendment, or return the proposal to the Deans & Executive Committee for additional revision.

Once approved by the Academic Council, all amendments to the Faculty Handbook will be communicated to the Board of Trustees by the President or the Dean of Academic Affairs or his or her designee. Amendments requiring Board approval (AUR Bylaws Article I, sections 2.5 and 2.6) should be transmitted to the Board's Faculty and Academic Affairs Committee at least three weeks prior to the Board meeting in which the amendment is to be considered.

Amendments to the Faculty Handbook will be recorded in the minutes of the Academic Council and will take effect immediately, unless specified otherwise in the amendment.

The Office of the Dean of Academic Affairs will maintain a list of all the approved amendments during each academic year, which will be updated after each meeting of the Academic Council and posted alongside the Faculty Handbook on MyAUR and the AUR website. At the end of each academic year (following the June Board meeting), all the approved amendments will be incorporated formally into the Faculty Handbook and the fully revised Handbook will replace the old version.

### **3. Periodic General Revision**

If changes are properly proposed and approved in any given year, those changes will be memorialized in the Handbook at the end of the school year.

Every three years, the Dean of Academic Affairs will appoint a task force consisting of the Dean and three tenured or tenure-track faculty members to conduct a general review of the Faculty Handbook to assure alignment with current policies and the University's mission. The amendments to the Handbook proposed by this task force should follow the procedures delineated above.

The Policy for Revision of the Faculty Handbook itself may be modified by the procedure described above, but must be approved by a two-thirds majority of the Academic Council

## II. INSTITUTIONAL STRUCTURE

### A. President

The President is the chief academic leader and the principal executive officer. He or she, in collaboration and approval of the Board of Trustees, is responsible for overseeing the academic direction of the university, for ensuring the delivery of its mission and priorities, and for exercising the executive management of operations, subject to bylaws and policies established by the Board of Trustees. The President serves at the pleasure of the Board, concerning the term and compensation, and with such conditions of employment, as the Board shall determine. The President's authority is vested through the Board. The President is the *Rappresentante Legale* in Italy and serves as an ex officio member of the Board. Without limitation on the generality of the foregoing, and subject to the direction of the Board of Trustees and policies established by it, the President shall have the further authority:

- (1) except where the same may be reserved to the Board of Trustees by law, by the Board's Bylaws, or by resolution of the Board of Trustees, to appoint or approve the appointment of employees to various posts and positions in the university bearing titles designated or approved by him or her and to prescribe their authority and duties, which may include the authority to appoint subordinates to various other posts and positions
- (2) to remove or approve the removal of employees so appointed
- (3) to sign, execute, and acknowledge, in accordance with board pre-approval, and on behalf of the university, all deeds, mortgages, contracts, leases, reports, and other documents and instruments, except where the signing or execution thereof by some other officer or employee of the university shall be expressly authorized and directed by law, by the Bylaws, by resolution of the Board of Trustees, by resolution of the Executive Committee of the Board of Trustees or by any policy approved by the Board of Trustees.

### B. Dean of Academic Affairs

The Dean of Academic Affairs is the chief academic and administrative officer of both the Undergraduate and Graduate Schools and has faculty status whether or not he or she teaches a course. The Dean is concerned primarily with directing and collaborating on the implementation of strategic initiatives from university plans, continuously improving the quality of academic programming, teaching and learning, and advising; and overseeing the management of undergraduate and graduate administration including Career Development, Academic Services, Student Affairs, Study Abroad and Program Management. The Dean also works closely with Admissions and Marketing to align enrollment strategy with academic, finance, campus and other key area plans.

## **C. Executive Committee**

### **1. Charge**

The committee shall be concerned with maintaining the Faculty Handbook, seeing that it remain up to date and suggesting changes when deemed advisable. The committee shall solicit recommendations from the Academic Council at its first meeting of the academic year. The committee shall submit the full text of any Handbook changes to the Academic Council for discussion and possible vote of approval. Any such approved changes shall be submitted to the Board of Trustees for their approval.

The committee shall meet with the dean to:

- Discuss changes to the Faculty Handbook
- Advise the dean on matters related to academics
- Discuss issues of relevance to the university brought to it by any member of the committee or a full-time faculty member
- Set the agenda for Academic Council meetings

### **2. Meetings**

The committee should meet as least monthly as scheduled by the chair, including at least one meeting before each Academic Council session, for a minimum of four times in each of the fall and spring semesters. Minutes shall be taken and posted after approval in a place designated by University policy.

### **3. Composition**

The committee shall comprise the following members:

- The Dean of Academic Affairs (chair; *ex officio*)
- Four members of the full-time faculty from separate programs, appointed by the dean for a 2-year term

To the extent possible, faculty appointments should be chronologically overlapping to provide for continuity.

## **D. Program Directors**

Program Directors are appointed by the Dean of Academic Affairs from full-time faculty, and in consultation with, and approval by, the President. They manage the academic operations of their program(s) in line the mission and current academic plans, and report to the Dean of Academic Affairs.

### **1. Responsibilities of the Program Director:**

- Maintain, improve or create new mission-aligned academic programming framed by current strategic plans, passing it through the Curriculum and Academic Affairs Committee and ensuring that approved changes are effectively implemented.
- Carry out outcomes assessment on his/her program
- Contribute to outcomes assessment of general education
- Organize extra-curricular activities
- Coordinate fieldtrips
- Serve on the Curriculum and Academic Affairs Committee in rotation with other full-time faculty
- Serve on *ad hoc* committees as required
- Carry out teaching observations of adjunct faculty
- Draw up course schedules
- Find and interview new adjunct hires
- Find capstone supervisors
- Ensure that all capstone students have capstone supervisor
- Oversee the Capstone Process & Defense

### III. SHARED GOVERNANCE AT AUR

Universities perform a variety of complex tasks that are characterized by interdependence among the governing board, administrators, faculty, and students. The interdependencies call for adequate communication among these components and full opportunity for appropriate joint planning and effort. It is in this spirit that AUR commits to shared governance, where the (1) Executive Committee meet regularly with Dean to deliver on job description tasks (see Executive Committee job description), and (2) the Academic Council composed of full-time faculty and serves as the academic advisory to the President and the university administration. Both bodies coordinate efforts to provide a forum for discussing and disseminating planning ideas and information among the faculty, administration, and students. Both parties also seek to provide collegial mechanisms by which academic policies are formed and amended, in conjunction with the input and approval by the BOT, including those related to the strategic plans, curriculum, granting of degrees, faculty status, and student life.

#### **A. AUR Academic Council includes Full time faculty, teaching fellows and designated instructors, and two representatives of the adjunct faculty.**

Full-time faculty and Instructors, the Adjunct professors representatives (elected annually, see Appendix), have both voice and vote. The President, the Dean of Academic Affairs (which includes the Graduate School) are part of the AC (with voice and vote), and the Dean of Academic Affairs can invite other administrators (e.g., SAC members) to share or present specific issues and policies.

#### **1. Charge**

The Academic Council (AC) constitutes an important component of AUR's commitment to shared governance. In this capacity, the AC:

- Collaborates on matters relating to the curriculum to foster high standards of academic excellence throughout the institution
- Provides a forum for deliberation on issues that affect all or several stakeholders
- Provides a forum for deliberation on issues that are inter-disciplinary
- Sets degree requirements and certifies candidates for degrees. This charge is fundamental to all faculty members. The degree requirements are proposed at the academic program level and discussed and considered for approval in the broader forum provided in Academic Council and the Curriculum and Academic Affairs Committee.

○ Approval of candidates' degrees is voted on by the AC at the end of the semester meeting, and subject to final approval by the Board of Trustees.

- Endorses candidates for honorary degrees. Candidates for honorary degrees may be proposed by any member of the AUR community. The proposer should send a biography of the candidate and a statement as to why this person is considered suitable for an honorary degree to the Dean for inclusion on the agenda. In the event that the proposal is endorsed by the AC, the nomination will then pass to the Board of Trustees for approval. Once the nomination has been approved by both the AC and the Board of Trustees it will be put on a list of potential honorary degree recipients. Based on consultation with the Board of Trustees, the President chooses the recipients from this list. The President chooses the recipients from this list. If the award has not been made after five years, the name is removed from the list of potential honorary degree recipients
- Receives regular reports from the Curriculum and Academic Affairs Committee and votes on major curricular and policy proposals
- Receives reports from any *ad hoc* committees it establishes

## **2. Academic Council Officer is the Dean of Academic Affairs**

The Dean leads the Academic Council Meeting. If the Dean is absent, a member of the Executive Committee will be nominated to lead the AC meeting. The Dean serves as the liaison between the President, the Executive Committee and the Academic Council.

### **2.a. As leader of the Academic Council, the Dean:**

- Chairs the meetings of the AC
- In collaboration with the President, the Dean of Academic Affairs and the Executive Committee sets the agenda for AC meetings
- When the need arises, sets the agenda and holds Extraordinary Meetings of the AC
- Upon the request of a faculty member may seek a resolution of a grievance following the university's established procedure. In collaboration with the Executive Committee forms Appeal Committees, at the beginning of each Academic Year, from among the faculty to hear appeals, grievances etc.
- Works with Program Directors on scheduling of academic programs
- Ensures that academic offerings are consistent with the mission of the University and sufficient to meet student expectations and projected enrollment
- Deliberates on the academic direction of the University and debates new academic initiatives and appointments
- Makes recommendations on resources needed for teaching and scholarly, creative, and professional activities
- Collaborates with the President on all of the above matters

### **2.b. The AC Secretary:**

In collaboration with the President, the Dean of Academic Affairs, the AC Secretary sends the AC agenda to the faculty.

Ensures that minutes are taken and posted on the AUR server and that a hard copy is disseminated at the next Senate meeting

Any member of the regular full-time faculty or staff is eligible for AC Secretary. (The Associate Registrar currently serves in this role).

### **3. AC Meetings**

AC should occur one per month and a minimum of four regular meetings per academic year. The precise dates will be determined by the Dean, the Executive Committee and the President. Extraordinary meetings may be called either by the President or the Dean. The last meeting of the fall and spring semesters will approve candidates for graduation. The last meeting of the academic year will receive for approval a report from the Curriculum and Academic Affairs Committee summarizing the new courses and programs approved by the committee and will receive reports from standing and any *ad hoc* committees that have been set up during the academic year.

A quorum is constituted when at least 50% of the faculty eligible to vote are present. An item for the agenda may be put forth by any member of the faculty or administration and submitted to the Dean, or a member of the Executive Committee, at least one week before the AC meets. The minutes of the meeting will be available for review on the AUR server portal. Deliberations by the Academic Council are decided by a show of hands, or by a secret ballot if requested by an AC member and approved by a majority of those present. AC meetings can take place on telephonic or online formats (e.g. zoom) and deliberations can be expressed by show of hands or secret ballot if requested by an AC member and approved by a majority of those present.

A faculty member wishing to vote on a specific resolution included in an agenda item but unable to attend the meeting can delegate another AC member to vote on his/her behalf. The AC member should provide his/her proxy substitute with written authorization to vote on his/her behalf on a specified agenda item and should separately inform the AC Chair and the AC Secretary. No more than one proxy vote can be held by any one AC member at anyone meeting.



The agenda drafters reserve the right to determine that a subject matter is too important to be determined by proxy voting.

## **B. The Curriculum and Academic Affairs Committee.**

The CAAC oversees the curriculum and academic policies.

### **1. Membership**

The Curriculum and Academic Affairs Committee consists of five full-time faculty. Full-time faculty members sit on the committee on a rotational basis. Student Government is invited to send one representative each year for a one-year term. Full-time faculty and the student representative are the voting members of the committee. A quorum is constituted when at least 50% of the voting membership is present. The meeting is chaired by the Dean of Academic Affairs or his/her designee, who is non-voting. The Registrar attends the meeting and has voice but no vote. Other administrators or faculty members may attend the meeting at the discretion of the chair and have voice but no vote. Faculty members proposing new courses/programs who are not currently members of the committee may be invited to attend the meeting at which their proposal will be voted on, in order to present it and respond to questions from the committee members.

### **2. Meetings - Bi-weekly during term time or as required.**

### **3. Charge**

The membership of this committee is entrusted to see that the curriculum provides a high-quality, mission driven, American-style education that stresses multicultural and interdisciplinary learning experiences and, wherever possible, takes advantage of the University's location in Rome. This committee will:

- Establish the guidelines, with ultimate approval by the BOT, for the structuring of new majors or minors, and the evaluation of existing ones, to ensure the functionality of the curriculum and appropriate equivalency across programs;
- Review in detail new program proposals and course syllabi in light of their academic strength, their relationship to academic program goals, their ability to link learning activities to stated objectives, their stated assessment criteria, and their use of existing and new resources;
- Ensure course offerings support student learning goals with regard to the majors, minors and the general education program offered at AUR  
Watch for unnecessary duplication or conflicts in the courses and programs;

- Evaluate the university curriculum as a whole to establish benchmarks for general curricular issues such as course levels, credits, designations, and requirements;
- Create a 'dialogue' between undergraduate and graduate courses to facilitate the potential transition of students to MA Programs (e.g., via Minors);
- Send a report to the full-time faculty at the end of the academic year summarizing the new programs and courses approved during the academic year.

### **C. Calendar Committee**

#### **1. Charge**

The committee shall be concerned with establishing the University calendar. The committee shall submit the calendar for approval to the President's Leadership Council at least one year in advance of the start of the year concerned. The committee shall also review and, if necessary, act upon any requests for changes to an already approved calendar referred to it by the President's Leadership Council.

#### **2. Meetings**

The committee should meet at least once a year as scheduled by the chair. Minutes shall be taken and posted after approval in a place designated by University policy.

#### **3. Composition**

The committee shall comprise the following members:

- The University Registrar (chair; *ex officio*)
- The Assistant Registrar (*ex officio*)
- The Dean of Academic Affairs (*ex officio*)
- The Dean of Student Life (*ex officio*)
- The Graduate Studies Coordinator (*ex officio*)
- The Director of Human Resources (*ex officio*)
- A student selected by Student Government for a 1-year term
- A member of the full-time faculty, appointed by the dean for a 2-year term.

### **D. Library Committee**

#### **1. Charge**

The committee shall be concerned with any matter related to the Library which may be brought to it by a member of the university community. The committee shall advise the Library administration on its services, policies, and projects, and any other issue the administration shall put before it.

In this capacity, the Library Committee

- Assesses the library's collection and proposes policies and acquisitions for improvement
- Assesses student and faculty access to library resources, including electronic bibliographic databases and proposes policies for improvement
- Gathers, evaluates and disseminates data on the library's information technology capabilities
- Assesses the cooperative agreements with other institutions in terms of library resources
- Prepares a thorough and candid report for the University on the strengths and weaknesses of the University's library to be delivered by the end of the academic year

## **2. Meetings**

The committee should meet as least once a semester as scheduled by the chair. Minutes shall be taken and posted after approval in a place designated by University policy.

## **3. Composition**

The committee shall comprise the following members:

- The University Librarian (chair; *ex officio*)
- A student selected by Student Government for a 1-year term
- A member of the full-time faculty whose main appointment is in the Graduate School, appointed by the dean for a 2-year term
- Two other full-time members of the faculty, appointed by the dean for a 2-year term

To the extent possible, faculty appointments should be chronologically overlapping to provide for continuity.

## **E. Student Success Committee**

### **1. Charge**

The Student Success Committee helps to create an effective network of faculty and staff, dedicated to improving student success at AUR. The committee addresses a broad range of matters to coordinate and address overall and individual student well-being, academics, students' concerns with on and off campus activities, academics, placement and retention.

The committee should:

- Monitor student academic success

- Support students in planning and goal setting and attainment
- Support student success-related professional development/career opportunities

## **2. Meetings**

The committee should meet at least three times a year as scheduled by the chair, normally to include one meeting at the end of both the fall and spring semesters and another year-end meeting. Minutes shall be taken and posted after approval in a place designated by University policy.

## **3. Composition**

The committee shall comprise the following members:

- The Dean of Academic Affairs (chair; *ex officio*)
- The University Registrar (*ex officio*)
- The Dean of Student Life (*ex officio*)
- The Graduate Studies Coordinator (*ex officio*)
- The Director of Financial Aid (*ex officio*)
- The First-Year Experience Director (*ex officio*)
- A representative from Advancement
- A representative from Careers and Internship
- A representative from Admissions
- A student selected by Student Government for a 1-year term
- Two members of the full-time faculty, appointed by the dean for a 2-year term

To the extent possible, faculty appointments should be chronologically overlapping to provide for continuity.

## **4. Students at Risk Action Group**

A small number of committee members shall meet frequently during the semester to monitor and identify students considered to be at more immediate risk, alerting faculty, advisors, and other areas of the university as it deems appropriate. This group shall comprise the following members:

- The Dean of Academic Affairs (chair; *ex officio*)
- The University Registrar (*ex officio*)
- The Dean of Student Life (*ex officio*)
- The First-Year Experience Director (*ex officio*)

This group shall bring to the committee any recommendations it deems advisable.

## **F. Institutional Review Board**

### **1. Charge**

The Institutional Review Board (IRB) shall be concerned with reviewing and potentially approving any university-related research involving human subjects, following US Federal Regulation 45 CFR 46 “Protection of Human Subjects”. The committee addresses solely the ethical issues of the research and makes no judgement on its substantive merits.

Specifically the committee will evaluate first and foremost the welfare of the human subjects according to the guidelines laid down in a mandatory training course, and ensuring that the human subjects:

- Are not harmed or endangered by the research and all risks to the human subject are minimized;
- Are fully aware of the nature of the research and will have given their full informed consent freely;
- Understand that they have the right to withdraw at any moment without giving an explanation;
- Have not been given financial or other inducements to take part (though expenses incurred can be recompensed and small token gifts and refreshments can be offered);
- Have been given assurances of their anonymity or have given full consent to being named;
- Are aware that the data collected may be part of a thesis that may be published as a whole or in part;
- Are aware of where the data will be stored, who will have access to it, how it will be protected and whether it will be retained as a permanent record or be destroyed within a certain timeframe.

The committee will ascertain that the researcher has

- Made adequate provision for storing the data securely ensuring that it is only visible to people connected to the research;
- Obtained written consent from the human subjects demonstrating free prior informed consent in accordance with the ethical standards demonstrated in the training course and Italian and European laws on data protection.

The committee shall liaise with the administration to ensure that documentation and original data are stored in accordance with legal requirements and in line with the assurances made to human subjects at the time of the research.

At the request of a faculty member or a member of the administration, the committee may give an opinion on other aspects of research ethics, and may decline a request if it is considered that the subject is outside of the role or training of the committee.

## **2. Submissions to the Committee**

All students writing a graduate thesis or a field report that is in place of a thesis and that includes human subjects shall submit their proposal to the IRB in advance of commencing fieldwork.

Faculty may submit their own research to the IRB for evaluation. A faculty member may ask the IRB to evaluate an undergraduate project.

A faculty member or member of the administration may request the advice of the IRB on a matter concerning research ethics which is outside the framework described above, but the committee may decline the request.

## **3. Meetings**

The committee shall meet at least twice a year, once in May and once in November. Other meetings may be scheduled by the chair as the need arises. Minutes, including attendance and the results of all decisions, shall be taken and posted after approval in a place designated by University policy. Decisions shall be reached by a majority of those present. Four members shall comprise a quorum, including the external person and one with primary concerns in non-scientific areas, and must be present for every vote. In the event that a committee member submits personal research to the IRB, they will recuse themselves and the decision will be made by the remaining four members.

## **4. Composition**

The committee shall comprise the following members:

- Four members of the full-time faculty, when possible from separate programs and with an eye to diversity, and an external person, all appointed by the dean for a 2-year term and required to undergo a training program approved by the dean. The members shall annually elect a chair from amongst themselves. At least one member shall have primary concerns in scientific areas and another in non-scientific areas.

To the extent possible, faculty appointments should be chronologically overlapping to provide for continuity.

### **G. *Ad hoc* Committees**

*Ad hoc* committees can be formed by the President, the Dean of Academic Affairs. The purpose of *ad hoc* committees is to study and report on special problems, issues and initiatives, as well as to serve as members of search committees for certain faculty or administrative appointments. For *ad hoc* Committees, the nomination and balloting period may be of a shorter duration depending upon the circumstances of the situation.

## IV. FACULTY RESPONSIBILITIES

### A. Teaching

AUR is an institution focused on excellent teaching and learning and that encourages its faculty to develop - when appropriate - interdisciplinary courses and international perspectives. The mission of the university arises from respect for and pursuit of rigorous critical inquiry, creativity, the creation of new insights and knowledge. Drawing on the vision of the AUR founders, the goal of an AUR education is cultivation of global citizens who should be prepared to live and work across cultures. It is fundamental that teachers are competent in the classroom; that they foster critical thinking and intellectual discourse among their students. AUR endorses the AAUP's Statement on Professional Ethics, in which professors:

*... encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom. (AAUP Policies and Reports, 1966, revised 1978)*

To meet these standards, the faculty at AUR will:

- Maintain professional competency in the subject matter of their courses
- Ensure that the course content is consistent with the course description and learning outcomes approved by the Curriculum and Academic Affairs Committee
- Participate on rotation in the Curriculum and Academic Affairs Committee
- Clearly communicate the course learning objectives and how the class learning activities fulfill those objectives through a syllabus and their place in the broader context of the program's curriculum.
- State in the syllabus how student learning will be assessed and participate in the assessment of student learning outcomes
- Make all relevant resources (e.g. the syllabus, rubrics, grades, etc.) available to all students via MyAUR
- Meet their classes at scheduled times, arranging makeup classes for those which are missed
- Take advantage of opportunities to move outside the traditional classroom and use the environment of Rome, Italy, and Europe as a teaching venue
- Hold office hours for student conferences



- Give and proctor examinations as scheduled
- Award grades in a timely fashion that reflect course performance
- Treat students fairly and equitably
- Turn final grades in on time.

## **B. Faculty Workload**

The workload of full-time faculty is expected to be the equivalent of six courses of teaching each year spread over at least two semesters (faculty must be present, unless on leave, throughout the academic year) for ranks up to and including Full Professor. Program Directors receive course relief equivalent to one course per year as compensation for administrative work.

Teaching loads may be modified by the Dean of Academic Affairs, with budget approval, to take into consideration scholarly, creative, professional activities, and/or administrative duties.

Course releases for overload teaching duties, field trips or administrative work, should be paid out (and banked for future only in exceptional cases with pre-approval by the Dean. If a faculty member falls short of their teaching obligation within an academic year due to course cancellation, they may fulfill their shortfall within the subsequent academic year.

We should avoid, when possible, overload teaching by full-time faculty in order to provide a variety of instructors, methods and approaches, to students.

Adjunct (part-time) faculty may teach no more than the equivalent of three courses (9 credit hours) per semester.

## **C. Advising**

All full-time faculty members are called upon to participate in advising degree-seeking students about general curricular matters and matters relating to a student's major. In order to maintain the high degree of personal attention that characterizes the mission statement of AUR, we strive for an equal allocation of advisees across the entire faculty eligible to advise.

## **D. Curriculum Development and Program Review**

In order to be effective as teachers and mentors, faculty members are expected to keep abreast of new developments in their fields and to bring this knowledge to their classrooms. As such, the continuous improvement of curriculum and pedagogies should be an on-going endeavor of all faculty members. Faculty are encouraged to explore new and innovative approaches in their fields of expertise and in teaching methodologies, as this is part of AUR's teaching mission.

## **E. Scholarly, Creative, and Professional Activities**

AUR embraces the AAUP's Statement on Professional Ethics, that

*Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end, professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry. (AAUP Policies and Reports, revised 2009)*

### **E.1 Faculty Development**

All faculty members are encouraged to continue their professional development and remain up-to-date in their respective fields. To this end, all faculty are expected to complete an annual faculty development plan. (Details of this are in Section V.H.1.)

## **F. Service**

Faculty participation in professional activities affects their own development as well as the reputation of AUR and it is an important part of a full-time faculty member's responsibilities at the University. Faculty members are encouraged to serve the broader interests of the AUR community by:

- Supporting co-curricular activities for the students, particularly those which develop their educational and cultural perspectives Taking part in faculty workshops, seminars and outreach programs that are designed to improve teaching, research and advising.
- Taking part in activities that link the University to the broader community
- Assiduously attending meeting and participating in governance
- Any other activity as mutually agreed upon with the Dean of Academic Affairs.

## **G. Intellectual Property**

"Intellectual property" – broadly defined – includes inventions, technological innovations, and discoveries, as well as writings and other information in various forms including computer software. Intellectual property involving significant use of funds and/or facilities provided or administered by AUR is the property of AUR; all other intellectual property remains that of the author(s).

Syllabi for all courses developed and taught at AUR, will remain the intellectual property of AUR.

## **H. Conflict of Interest**

AUR employees shall actively avoid the appearance of or the fact of conflicting interests or any activity that damages AUR's reputation.

They shall discharge their responsibilities without favor and shall refrain from engaging in any outside matters of financial or personal interest incompatible with a fully engaged, impartial and objective performance of their University duties and responsibilities

They shall not, directly or indirectly, seek or accept personal gain which would influence, or appear to influence, the conduct of their official duties and responsibilities.

## **V. FACULTY POLICIES AND PROCEDURES**

Policies and procedures for appointment, reappointment, reappointment with tenure and promotion of faculty at The American University of Rome have the purpose of developing an outstanding international faculty who will provide students with the highest quality American style education and prepare them to live and work across cultures. Through their teaching and their scholarly, professional, and creative activities, the faculty will bring distinction to themselves while enhancing the academic reputation of the University.

### **A. Faculty Rank**

Full-time faculty appointments at the assistant, associate, and full professor ranks will be hired to tenure-track positions through open searches. Faculty will be appointed with the expectation, based on past accomplishments or an assessment of promise, that they will achieve excellence at AUR in the areas of teaching, scholarly, professional or creative activities, and service according to the criteria set forth later in this document.

Candidates for appointment to the faculty will be assessed according to the following:

- Academic credentials (advanced or terminal degree in field of expertise or a related field required)
- History of relevant professional employment
- Evidence of teaching effectiveness (or potential for excellence in teaching)
- Evidence of peer-review scholarly, creative or analogous professional activities
- Ability to thrive living in Rome
- Potential to thrive in AUR's small, private, multicultural Liberal Arts environment
- A record of continuous professional development
- Experience or willingness to participate in institutional service

#### **1. Assistant Professor**

A terminal degree in the field in which they teach or its equivalent in scholarly, professional or creative achievement for full-time faculty. Potential to meet the standards set forth later in this section for tenure by the time of the tenure decision.

#### **2. Associate Professor**

A terminal degree in the field in which they teach or its equivalent in scholarly, professional or creative achievement. Previous successful experience at the rank of Assistant or Associate Professor, or at least three years teaching experience at an accredited institution of higher education, and evidence of outstanding, peer-reviewed achievement in scholarly, creative, and other professional activities. A position of Post-Doctoral Research Fellow at a recognized

institute of higher education may be considered as equivalent to a position of Assistant Professor.

### **3. Full Professor**

Requirements: Terminal degree in the field in which they teach or its equivalent in scholarly, creative, and other professional achievements. Previous successful experience at the rank of Associate Professor or Professor at an accredited institution of higher education and evidence of excellence in teaching, committed service to the institution evidenced by significant leadership roles and committee assignments, and a significant body of internationally recognized scholarly, professional, or creative activities or evidence of distinguished recognized (juried) achievement in a professional or creative field.

### **4. The following non-tenure-track positions are also recognized.**

#### **4.1. Instructor**

Master's degree in the field of expertise or its equivalent in scholarly, professional or creative achievement. An instructor has a primary responsibility to teach existing courses and develop new ones, advise students and contribute to the academic administrative work of the institution. Research in the field of expertise is encouraged, but not required.

#### **4.2 Visiting Professor**

A title given either to a temporary appointment OR to a distinguished individual, deemed worthy of providing academic leadership and offering occasional classes or a cycle of lectures.

#### **4.3 Professor Emeritus**

A retired member of the faculty, normally a full professor, with a very clear record of outstanding scholarly, creative, teaching or professional achievement and who was a tenured member of the AUR faculty. Board approval is required to grant this status.

## **B. Initial Contract and Evaluation**

### **TENURE AND CONTRACTS FOR FACULTY**

Faculty are appointed initially on a two-year or three-year basis, and according to Italian labor law. At the end of the initial contracted period, the faculty will be reevaluated for renewal according to existing tenure processes and Italian labor law. New faculty members are also evaluated on an annual basis for teaching effectiveness and institutional compatibility. In contractual issues The American University of Rome abides by the CCNL, ANINSEI and all applicable Italian legislation.

Should the University decide during the initial contract period not to continue the agreement, the faculty member will be notified by 30 November (if s/he began teaching in the fall semester) or by 30 April (if s/he started teaching in the spring semester). The faculty member has recourse to an internal academic appeal process which is detailed in Section VI.D.

The BOT role in hiring occurs (1) in the initial approval of opening a tenure track position, as recommended by the dean and president; and (2) in the approval of tenure, after the tenure process is complete and on the basis of written recommendations by faculty, tenure committee, dean and approval of the president.

### **C. Faculty Search Process and Initial Appointment**

#### **1. Authorizing a Full-Time Faculty Search**

The Dean of Academic Affairs will discuss the needs for new faculty lines with the full-time faculty at Academic Council. Given the small size and inter-disciplinary nature of the AUR curriculum particular attention will be given to appointments that can meet the needs of more than one program. The President will make the final decision from a maximum of three candidates proposed by the search committee.

#### **2. Initiating Searches for Full-Time Faculty Positions**

After the President, and with pre-approval from the BOT, has opened a new faculty line, the Dean of Academic Affairs will appoint from amongst the full-time faculty a chair of the search committee. The chair of the search committee, in consultation with the Dean of Academic Affairs, will invite two or more other faculty members to join the committee. External scholars may be invited to join the search committee in place of an AUR faculty member. In the event that there is no faculty expertise in the area of the intended hire, the chair of the search committee may be appointed from outside.

#### **3. Time Frame for Searches for Full-Time Faculty Positions**

AUR recognizes that its desire to develop an international faculty creates challenges; in particular, the lengthy time required to obtain permission for non-EU citizens to work in Italy. Thus, it is imperative that search committees proceed with speed to complete their work as early as possible. Whenever possible, searches for positions beginning in September will begin with announcements the previous September with the goal of completion by January.

#### **4. Advertising and Recruiting for Full-Time Faculty Positions**

The search committee, in consultation with the Dean of Academic Affairs, writes the job description consistent with the position as approved by the President and BOT. The job description will include the following elements: starting date of appointment; rank(s); discipline; special teaching and administrative responsibilities; required and desirable qualifications of the candidate; salary range.

Search committee chairs, in consultation with the Dean of Academic Affairs, develop plans for advertising positions and recruiting candidates and a timeline for the search process. Positions are to be widely advertised and posted on the AUR website, circulated to the AUR community via email, posted in the Faculty Room and advertised externally as appropriate. The Dean of Academic Affairs approves the budget for advertising.

#### **5. Setting Up a Search File and Human Resource Policies**

A search file is to be started for each search. It should contain copies of advertisements, a record of where announcements have been placed, a list of candidates, and an Applicant Data Form. The Applicant Data Form provides for an analysis of the pool of candidates. Candidates' gender, nationality and ethnicity are determined by information they include in their application.

The candidates applying for a position should receive an automatic message confirming that their application has been received.

The chair of the search committee, in consultation with the Dean of Academic Affairs and Human Resources, will determine the appropriate formats for communicating with candidates and, as well as follow protocols for record management to preserve confidentiality.

#### **6. Setting Up and Managing Candidates' Files**

Candidates will submit their letters of application, together with other documents as specified in the call for applications, to the search committee. There will be a restricted file for each search with a list of candidates whose materials it contains. As the candidates' materials come in, search committee chairs arrange to have them made available to members of the search committee.

#### **7. Reviewing the Candidate Pool**

Search committee chairs report information concerning the response to advertisements to the Dean of Academic Affairs at two points during the search: at least two weeks before the date when the review of applications begins and at the date. Both dates afford

opportunities to expand recruitment. At this point the Dean of Academic Affairs extends the search or approves the pool of candidates and the search committee continues its review.

Upon the approval of candidates by the Dean of Academic Affairs, a “long” list of typically eight to ten candidates will be drawn up for remote preliminary interviews or interviews at professional meetings.

#### **8. Choosing Candidates to Interview for Full-Time Faculty Positions**

As soon as possible after the preliminary interviews are conducted, the search committee will develop a “short” list, generally comprised of three candidates. Copies of each of the short-listed candidates’ complete files will be given to the Dean of Academic Affairs for the Dean’s consideration and approval of those candidates to be invited for on-campus interviews. After notifying these candidates that references will be checked, the committee chair will solicit letters of reference including specific questions that arose from the preliminary interviews, and search committee members will read sample(s) of their publications, sections of their dissertations, articles in manuscript submitted or awaiting submission.

#### **9. Planning Campus Visits for Candidates for Full-Time Faculty Positions**

Candidates' letters of application and *curricula vitae* are to be made available to other faculty, and the search committee chair sees that the candidates meet as many full-time and adjunct faculty, students, and administrative staff as possible and solicit their colleagues’ and students’ opinions about the candidates they meet.

The search committee chair should send candidates in advance of their visits a packet of materials and a schedule for the visit. The candidate’s schedule should include a class presentation and a formal presentation in the candidate’s discipline open to all members of the AUR faculty and staff, and an interview with the Dean of Academic Affairs.

The search committee chair and the Dean of Academic Affairs will communicate to candidates AUR’s expectations of them with respect to teaching, scholarship, professional and/or creative activities, and service. The Dean of Academic Affairs will communicate to them expectations for tenure as described in this *Faculty Handbook*.

#### **10. Making Decisions and Offers for Full-time Faculty Positions**

Search committee chairs will present progress reports on their searches to the full-time faculty at Academic Council.



At the conclusion of campus interviews, the search committee will discuss and vote on candidates. The search committee chair will send a ranked list of acceptable candidates to the Dean of Academic Affairs along with the completed Applicant Data Form for each candidate on the short list.

The Dean of Academic Affairs will consult with the search committee chair on this ranked list and may choose to make telephone reference checks. The search committee chair ordinarily informs candidates that the committee's recommendations have been forwarded to the Dean of Academic Affairs. The Dean of Academic Affairs will inform the search committee chair of his/her recommendation before making the recommendation to the President, who has final approval. The Dean of Academic Affairs negotiates and writes the letters of appointment. The Dean of Academic Affairs will ask search committee chairs at the appropriate time to contact unsuccessful candidates.

#### **11. Keeping Records**

Search files (containing copies of advertisements, mailing lists for announcements, the Applicant Data Forms, and a list of candidates) are to be kept in the Office of the Dean of Academic Affairs as a record of searches. Unsuccessful candidates' files are to be kept for three years and then be destroyed.

#### **D. Criteria for Reappointment and Tenure**

The Dean of Academic Affairs, with input from Program Directors and the Executive Committee, conducts reviews of faculty and evaluation of faculty for reappointment prior to tenure. Candidates will be evaluated for tenure and promotion in the three areas of teaching; scholarly, professional or creative activity; service. The Dean of Academic Affairs will invite feedback from all faculty.

The criteria below are intended to act as guidelines to promote excellence across disciplines, recognizing that different forms of creative, professional and scholarly activity will each have their own mode of peer or jury review. AUR supports a judgment model of tenure and promotion based on collegial discussion and evaluation of the creative, professional and scholarly activities of the candidate. Determination of excellence or any other evaluative term remains the judgment of colleagues both within the institution and within the candidate's field of expertise via 3 written letters of external peer evaluation.

It is also recognized that activities in the three areas (teaching; scholarly, professional or creative activity; service) may overlap. However, an activity or accomplishment can be used to

demonstrate performance in only one area. Candidates are responsible for deciding the area in which they want the activity or accomplishment considered.

### **1. Evidence of Teaching Excellence**

A candidate for tenure or promotion will submit a teaching file as part of the evaluation portfolio that provides evidence of the quality of teaching in the classroom and outside the classroom. Teaching activities include classroom teaching, academic advising or mentoring of students, contributions to curriculum development, self-initiated improvements and/or teaching innovations, organizing and/or leading students on field trips in Rome and beyond, whether for credit or not, thesis supervision, and other activities that contribute to the goals of the University related to the education of students. The portfolio should contain the following elements:

*a.* A self-narrative including:

- Teaching philosophy and methodology
- Methods, use and results of assessments of student learning
- Teaching load with a summary of classes taught, including enrollments in the previous years, or since joining The American University of Rome if less than five years
- Summary and analysis of evaluations by students of the past two years, with methods adopted for addressing problems.
- Advising and/or mentoring activities
- Contributions to course and curriculum development
- Self-initiated improvements and/or teaching innovations including the use of technology
- Evidence of professional development (improving pedagogy, advising)
- Additional information about one's teaching activities that is not discussed elsewhere

*b.* Supporting documents organized as appendices may include the following documents:

- Copies of syllabi for a minimum of the previous two years.
- Evidence of assessment of student learning leading to course or pedagogical improvement
- Student evaluations for all courses taught in the previous two years
- Peer evaluations
- Results of surveys of advisees (if available)
- One or two examples of student work

- Teaching awards or recognition
- Additional evidence of teaching excellence selected by the candidate

The narrative must be organized into sections that address each of the items. Whenever possible, statements in the self-narrative should include the location of the documents in the appendices that support the statement.

## **2. Evidence of Scholarly, Professional, and Creative Activities**

It is expected that the candidate will provide evidence of on-going and consistent scholarly, professional or creative activities as a faculty member at The American University of Rome. Evidence of scholarly, professional and creative activity falls into the following categories:

**Group A:** Original and Peer Reviewed Scholarly, Professional and Creative Work Within One's Own Discipline:

- Publication of peer-reviewed book(s)
- Independent or collaborative scholarship or creative work resulting in refereed/juried/invited publication including in electronic media; invited performance including audio/video film productions; and/or invited and juried exhibitions
- Chapters in peer-reviewed books
- Publication in national or international conference proceedings
- Principal authorship of successful funded grants that demonstrate substantial investment of time and academic expertise
- Published case studies
- Published monographs
- Quality recognition of juried creative activity in one's discipline

**Group B:** Other Recognized Scholarly, Professional and Creative, Work within One's Discipline:

- Publication of a textbook
- Editor of a professional journal or multi-author book
- Chapters in a textbook
- Independent or collaborative research resulting in a feature publication in an invited practitioner journal
- Invited discussant or panelist at a professional gathering
- Analyst or expert witness in the international or national media or judicial system

- Paper/performance presentation at a national or international conference
- Active participation (e.g., serving as an officer, organization and planning committee work, review of scholarly material, resources person) in professional societies at the national and/or international level
- Professional consulting in one's academic/discipline area that demonstrates substantial investment of time and academic/artistic expertise
- Serving as a peer reviewer in one's discipline
- Book reviews published in an academic/discipline journal, including online journals
- Organizing a conference or exhibition

### **3. Evidence of Service**

The American University of Rome recognizes service in three categories: service to the University; service to the discipline and/or profession; service to the community. Each candidate must submit a file demonstrating substantial achievement in Group A. Service in Groups B and C is also valued.

#### **Group A: Service to the University:**

- Serving in an administrative role
- Committee work
- Representing the University at "on" and "off" campus activities and events
- Active Middle States participation
- Academic Advising
- Regular attendance at meetings, graduation, university events.

#### **Group B: Service to One's Profession/Discipline:**

- Officer of a professional association
- Board member of a professional association
- Chair of a committee of a professional association
- Member of an accreditation team
- Other active participation in professional societies at the local, regional, national and/or international level
- Editor or key role for an academic journal

#### **Group C: Professionally Related Community Service:**

- Member of a community agency/educational organizational board of directors
- Professional consultation
- Invited speeches, interviews, performances, etc. related to one's academic expertise at a local or regional level
- Other professionally related community service that demonstrates substantial time and academic expertise consistent with one's discipline
- Maintaining a blog for the general public
- Media work

Faculty candidates who have fulfilled the minimum criteria for eligibility listed above can apply for promotion or tenure.

#### **4. Role of Academic Judgment in Application of Criteria for Reappointment with Tenure**

Reappointment with tenure in the form of a permanent contract represents a significant commitment by the University to the faculty member and *vice versa*. In turn, there is the expectation that the faculty member will be making a commitment to continue to grow and develop as a teacher and scholar and as an active member of the AUR community dedicated to contributing toward the achievement of its mission, plans and goals. Because AUR is a small institution, the match between the interests and activities of the faculty member and the University is a significant factor in the granting of tenure. The brief probationary period imposed upon the University by Italian employment regulations makes the tenure decision that much more difficult, but it is no less important.

The precise criteria for reappointment should be determined at the moment of hiring, with due consideration of expected norms of each discipline.

At the time of reappointment with tenure, the faculty will use the aforementioned procedural review to exercise academic judgment in evaluating the potential further contribution of the candidate to: a) developing the curriculum (in line with current strategic and academic plans); b) achieving an international reputation in professional, creative and/or scholarly activities; c) contributing significantly to the institutional requirements for service at AUR. The elements below give a form of reference for collegial judgment.

##### *a.* Excellence in Teaching

- Excellent peer evaluations
  - Evidence of engagement with assessment of student learning and its use in improvement of courses and pedagogy
  - Creation of new program(s) approved through the Curriculum and Academic Affairs Committee
  - Creation of new course(s) approved through the Curriculum and Academic Affairs Committee
  - Course and instructor evaluations that demonstrate achievement of student learning goals, high student satisfaction and signs of continuous improvement
- b.* Scholarship, Professional, Creative Activities
- Three pieces of evidence at least one of which is from Group A (see section on Criteria for Reappointment, Tenure, and Promotion)
- c.* Service Contribution
- Two pieces of evidence at least one of which is from Group A (see section on Criteria for Reappointment, Tenure, and Promotion)

**E. Process for Reappointment Prior to Tenure Based on the Annual Evaluation of Faculty After First year of Service**

During the second year of the tenure process the Dean of Academic Affairs, in consultation with Program Directors, will make a reappointment recommendation to the President, who in consultation with the BOT, will make the final decision. As in all contractual matters this will be in compliance with CCNL, ANINSEI and all applicable Italian legislation."

**F. Process for Reappointment with Tenure**

An eligible faculty member will declare her/his desire to be a candidate for reappointment with tenure early in the fourth semester or sixth semester of full-time employment at AUR, depending on the initial contract. The faculty member will consult with the Dean of Academic Affairs about preparing materials. Materials to be submitted to the various bodies who act on the candidate's application will include the following:

- A letter of application in which the candidate explains and assesses her/his teaching; scholarly, professional and/or creative activities; and service contributions according to the criteria set forth above
- a current *Curriculum Vitae*

A portfolio that will contain:

- A teaching file as described in Section V.D.1. subheading Evidence of Teaching
- Evidence of scholarly, professional or creative activities (refer to section V.D.2 on Evidence of Scholarly, Professional and Creative Activity)
- Evidence of institutional, professional and/or community service (refer to section V.D.3 on Evidence of Scholarly, Professional and Creative Activity)

The referees will be asked to evaluate the candidate's scholarly, professional and/or creative work. The Dean of Academic Affairs will contact the referees selected and their names will remain confidential.

Optional letters about the candidate sent to the Dean of Academic Affairs by colleagues, students or alumni of AUR; these letters may be added to the candidate's portfolio at any time before its submission to the full-time faculty

The candidate's academic personnel file, kept in the Office of the Dean of Academic Affairs, should be reviewed by the candidate to confirm that it contains all annual reviews, peer and student teaching evaluations, professional development plans and any other appropriate material that the candidate believes should be there. Under the supervision of the Dean of Academic Affairs he/she may bring the personnel file up to date.

The application letter, *curriculum vitae* and portfolio of application materials will be made available to faculty in the Office of the Dean of Academic Affairs by October 1. Any external letters should be requested during the prior spring.

The full-time faculty will be convened and chaired by the Dean and meet by 31 October (or 31 March for spring semester candidates). The Dean of Academic Affairs will make available to the faculty at this meeting the letters of the external referees. The names of the external referees and the tenor of the evaluations by external referees will remain confidential. The faculty will then deliberate on and make a recommendation for or against reappointment with tenure. A favorable vote will be a simple majority of those present; no *in absentia* or proxy votes are allowed. Voting will be restricted to tenured faculty. Non-tenured faculty will be able to attend the meeting and will have voice, but no vote. Votes will be taken by secret ballot. When more than one candidate is considered, candidates who are under consideration may not vote on another candidate's case. The candidate will be informed whether the vote was favorable or unfavorable (but not of the tally for and against). Faculty discussions will remain confidential. At the discretion of the Dean of Academic Affairs, a brief summary of the

discussions may be communicated to the candidate taking care to respect anonymity and confidentiality.

By November 15, the Dean of Academic Affairs will make a written recommendation that will go first to the candidate. If the candidate is satisfied with the process, the recommendation of the Dean of Academic Affairs will be forwarded to the President, who makes the final decisions. The President's decisions will be made by 30 November and will be communicated to candidates in writing.

If a candidate is dissatisfied with the process and/or the recommendation of the Dean of Academic Affairs, he or she may appeal them before the President is notified (see Section VI.D. on Grievance policy, for appeals procedures). The results of any appeal become part of candidate's personnel files. The Dean of Academic Affairs will consider additional information arising in appeals before forwarding final recommendations to the President. Appeals should take place within 15 days but may delay the notification date indicated in the preceding paragraph.

### **G. Process for Promotion**

A faculty member meeting the eligibility requirements may declare her/his intention to be a candidate for promotion during spring the before the fall submission of promotion dossier. In unusual circumstances, a faculty member may request, in writing to the Dean of Academic Affairs, early consideration for promotion. In any case, procedures and feasibility of plans must be discussed with the Dean before initiating the process. Final decisions on promotion are made by president and in consultation with the BOT.

The recommended period of time for promotion to Associate Professor is after five years at the Assistant Professor rank. The application for promotion to Full Professor should also occur five years after promotion to Associate Professor. The decision to proceed should be done in consultation with one's Program Director and the Dean of Academic Affairs, as promotion to Full Professor should reflect a considerable contribution to one's field, teaching excellence, commitment to the institution and to the larger academic or creative world. It is not inevitable or common that all associate professors advance to full professor.

If the decision is made to proceed with promotion, the faculty member will consult with his/her Program Director and the Dean of Academic Affairs about preparing materials. At the meeting with the candidate, the Dean of Academic Affairs may explore which elements are suitable for external review, address specific questions to be asked of referees and the kind of experts the University might consult for evaluation in order to eventually solicit fruitful external peer evaluations.



Materials to be submitted to the various bodies who act on the candidate's application will include the following:

- A letter of application in which the candidate explains and assesses his/her teaching; scholarly, professional and/or creative activities; and service contributions according to the criteria set forth in Section V.D. above
- A current *Curriculum Vitae*
- A portfolio that will contain:
  - A teaching file as described in the section on Evidence of Teaching; Evidence of scholarly, professional or creative activities (refer to section on Evidence of Scholarly, Professional and Creative Activity)
  - Evidence of institutional, professional and/or community service (refer to section Evidence of Service)
  - Letters from external referees chosen in consultation between the candidate and the Dean of Academic Affairs: two for instructor and Assistant Professor applications, three for Associate Professor applications and eight for Full Professor applications
  - Optional letters about the candidate sent to the Dean of Academic Affairs by colleagues, students or alumni of AUR; these letters may be added to the candidate's portfolio at any time before its submission to the department meeting or full-time faculty meeting

The candidate's personnel file, kept in the Office of the Dean of Academic Affairs, should be reviewed by the candidate to confirm that it contains all annual reviews, peer and student teaching evaluations, professional development plans and any other appropriate material. Under the supervision of the Dean of Academic Affairs he/she may bring the personnel file up to date.

### **1. Promotion from Teaching Fellow to Assistant Professor**

The optimal and standard way to hire faculty into the position of Assistant Professor is via an open and transparent search in light of current institutional plans, needs and finances. AUR wants to uphold this standard. Promotion from the rank of Teaching Fellow to the rank of Assistant Professor, although possible, should be exceptional and reserved for Teaching Fellows that satisfy the criteria below and who receive a two-thirds majority vote by current tenured faculty members. The academic judgment of the faculty, the Dean of Academic Affairs, and the President must be informed by these prerequisites for eligibility for the transition from Teaching Fellow to Assistant

Professor. Final recommendation made by the Dean. Decision is made by President and requires board approval.

**Necessary Criteria:**

1. A terminal degree for the relevant discipline (PhD, MFA).
2. Evidence of peer- or jury-review scholarly or creative activities.
3. Excellence in Teaching, established by excellent student and peer evaluations, evidence of engagement with assessment of student learning and its use in improvement of courses and pedagogy
4. Evidence of relevant service to the university.
5. Two letters by external peer-reviewers for evidence of proper fit for the rank
6. Overall evidence of Criteria for Reappointment, Tenure, and Promotion

**2. Promotion from Assistant to Associate Professor**

Promotion from the rank of Assistant Professor to Associate Professor is characterized by the establishment of a record of outstanding accomplishment in teaching excellence; scholarship, professional or creative activities; and service and the potential to play a leadership role within the University. Greater weight is given to activity since the previous promotion or granting of tenure. The academic judgment of the faculty, the Dean of Academic Affairs, and the President is to be informed by the following minimum prerequisites for eligibility for promotion to the rank of Associate Professor, taking due account of the norms of each discipline. The elements below give a form of reference for collegial judgment:

- The standard is at least five years or experience at the rank of Assistant Professor. Exceptions can be made, depending on circumstances, such as previous experience, usually defined at the time of hiring.
- Excellence in Teaching, evidenced by excellent peer evaluations, evidence of engagement with assessment of student learning and its use in improvement of courses and pedagogy, evaluations that demonstrate achievement of student learning goals and high student satisfaction

**Scholarship, Professional, Creative Activities**

Three items of peer- or jury-reviewed scholarly, professional or creative activity or accomplishment; at least two of which are from Group A of V.D.2 Minimum

**Criteria for Reappointment, Tenure, and Promotion**

Service Contribution. Evidence of service, at least one element from Group A of Section V.D.3 Minimum Criteria for Reappointment, Tenure, and Promotion.

The application letter, *curriculum vitae* and portfolio of applications materials will be made available to faculty in the Office of the Dean of Academic Affairs and via an electronic platform. The full-time faculty will meet, convened and chaired by the Dean of Academic Affairs, by 31 October. The Dean of Academic Affairs will make available to the faculty at this meeting the three letters of the external referees. The names of the external referees and the tenor of the evaluations by external referees will remain confidential. The faculty will then deliberate on and make a recommendation for or against promotion. A favorable vote will be a simple majority and restricted to tenured faculty. Non-tenured faculty will be able to attend the meeting and will have voice but no vote. Votes will be taken by secret ballot; no proxy vote is allowed. When more than one candidate is considered, candidates who are under consideration may not vote on another candidate's case. The candidate will be informed whether the vote was favorable or unfavorable (but not of the tally for and against). The faculty's discussions will remain confidential. At the discretion of the Dean of Academic Affairs, a brief summary of the discussions may be communicated to the candidate taking care to respect anonymity and confidentiality.

By 15 November, the Dean of Academic Affairs will make written recommendations to the President that will go first to the candidate. If the candidate is satisfied with the process, the recommendation of the Dean of Academic Affairs will be forwarded to the President, who makes the final decision. The President's decision will be made by 30 November and will be communicated to the candidate in writing. Promotion will be effective 1 January or 1 September of the next academic year.

If the candidate is dissatisfied with the recommendation of the Dean of Academic Affairs, he/she may appeal before the President is notified (see Section VI. D. on Grievance policy, for appeals procedures). The result of the appeal becomes part of the candidate's personnel file. The Dean of Academic Affairs will consider additional information arising in the appeal before forwarding a final recommendation to the President. Appeals should take place within 15 days but may delay the notification date indicated in the preceding paragraph.

### **3. Promotion from Associate to Full Professor**

The process for promotion to full professor differs from promotion in lower ranks due to the larger role played by external referees. Promotion from the rank of Associate

Professor to the rank of Full Professor is characterized by the establishment of a consistent record of distinguished accomplishment and recognition in one's scholarly, creative, or profession field; in teaching excellence; and in service throughout one's academic career. In addition, the candidate for promotion to Full Professor will demonstrate leadership as a role model for other faculty and have accomplishments recognized locally, nationally and internationally. The academic judgment of the faculty, the Dean of Academic Affairs, and the President is to be informed by the following minimum prerequisites for eligibility for promotion to the rank of Full Professor, taking due account of the norms of each discipline. The elements below give a form of reference for collegial judgment:

- The standard is at least five years of experience at the rank of Associate Professor.
- Excellence in Teaching, evidenced by excellent teaching evaluations, evidence of engagement with assessment of student learning and its use in improvement of courses and pedagogy
- Scholarship, Professional, Creative Accomplishment, evidenced by at least six items of peer- or jury-reviewed scholarly, professional or creative activity or accomplishment; at least four of which are from Group A of Section V.D.2. Minimum Criteria for Reappointment, Tenure, and Promotion
- Service Contribution, evidenced by four items in evidence of service; at least three from Group A, of Section V.D.3 Minimum Criteria for Reappointment, Tenure, and Promotion, including chairing at least two governance and/or academic bodies

The application letter, *curriculum vitae*, portfolio of application materials, and referee letters will be made available to regular faculty (excluding administrators with faculty status) who are tenured, in the Office of the Dean of Academic Affairs by 31 October, but there is no formal meeting of the faculty. Instead, faculty members will write to the Dean of Academic Affairs with their recommendations and these will remain confidential. At the discretion of the Dean of Academic Affairs, a brief summary of the outcomes may be communicated to the candidate taking care to respect anonymity and confidentiality.

A committee of three academics in the field of expertise of the candidate from external institutions will be chosen, with one selected as the chair. The Dean of Academic Affairs will send a copy of the portfolio to each committee member. The committee will deliberate and, through its chair, will present a report to the Dean of Academic Affairs.

The Dean of Academic Affairs will consider the views of the full-time tenured faculty and the views of the committee of external referees and will make his/her recommendation. By 15 November, the Dean of Academic Affairs will make a written recommendation that will go first to the candidate. If the candidate is satisfied with the process, the recommendation will be forwarded to the President, who makes the final decision. The President's decision will be made by 30 November or 30 April and will be communicated to the candidate in writing. Promotion will be effective the following 1 January or 1 September.

If the candidate is dissatisfied with the process and/or the recommendation of the Dean of Academic Affairs, he/she may appeal before the President is notified (see Section VI. D. on Grievance policy, for appeals procedures). The result of the appeal becomes part of candidate's personnel file. The Dean of Academic Affairs will consider additional information arising in the appeal before forwarding a final recommendation to the President. Appeals should take place within 15 days but may delay the notification date indicated in the preceding paragraph.

#### **Timetable for Promotion Process**

Full-time faculty by 31 October

Dean of Academic Affairs by 15 November

President by 30 November\*

\*Assuming no appeal process is necessary.

#### **4. Professor Emeritus**

Tenured faculty who have reached the rank of Full Professor and who have made outstanding contributions to their profession within their discipline and to the university may be considered for Emeritus status after retirement. Upon retirement, a letter of request must be made to the President. If Emeritus status is granted, the retired faculty may teach one course per year, based on programmatic need and by mutual agreement with the appropriate Program Director and the Dean of Academic Affairs, as an adjunct at a rate 10% above the highest customary and usual rate for adjunct faculty at AUR.

#### **H. Faculty Evaluation**

Evaluation of full-time faculty is conducted through two procedures: 1) the Faculty Development Plan; 2) Full-time Faculty Evaluation.

## **1. The Faculty Development Plan**

This annual plan is written by the full-time faculty member concerned, comprises the plans for the up-coming year and addresses the areas of teaching, scholarship and service. The plan will begin with a brief (less than one page) update on the results of the previous year's Faculty Development Plan, followed by the plan for the upcoming year. The plan will be signed by the Dean of Academic Affairs. His/her signature indicates that this is considered an appropriate level of activity for the individual concerned.

AUR faculty have three important components to their work for the university: teaching, scholarship and/or creative activity, and service. Success as a faculty member comes from a balance of these activities, and the ongoing demonstration of the capacity to continue to grow in each of these areas. The university assesses this capacity in the faculty evaluation process.

The quality of teaching is the most critical aspect of a faculty member's evaluation at AUR. Each faculty member, in conjunction with his or her Program Director, should develop a teaching plan that will facilitate the individual's development and coordinate the individual's desires with the university's needs. Teaching plans are an important component of each individual's development plan. Teaching flexibility is highly valued at AUR. Faculty members are encouraged to be experimental with their teaching and to explore new approaches to their fields of expertise. Creating innovative courses and teaching approaches is an important part of what AUR does.

Expectations are that full-time, tenured or pre-tenure faculty members develop a research pipeline, that is, continuous scholarly work with projects in various stages of completion.

Scholarly accomplishments should demonstrate intellectual and professional growth. Quality, more so than quantity, is important in demonstrating research accomplishment.

Each faculty member is an important part of our community and contributes to creating a collegial atmosphere at AUR. Two components of community life are citizenship and service. Citizenship consists of those activities in which we are all regularly expected to participate, such as Commencement, Open Days, faculty meetings, program meetings, senate meetings, on-campus interviews and hosting for recruitment of faculty, and attendance at on-campus events. The American University of Rome relies on all faculty members to participate in these activities as a routine part of their obligations.

**2. Full-time Faculty Evaluation** will be carried out annually for non-tenured faculty and every third year for tenured faculty. The evaluation process comprises these elements: 1) the faculty member's self-review; 2) peer and/or program director class observations; 3) the evaluator's response (the Dean of Academic Affairs in the case of tenured faculty and the Dean of Academic Affairs and Program Director and/or Dean of the Graduate School in the case of non-tenured faculty); 4) the interview summary (optional).

*a.* Faculty Self-Review is an account of the achievements of the previous year (in the case of non-tenured faculty) or three years (in the case of tenured faculty) with a self-evaluation of his/her progress toward the goals stated in the faculty development plan, plus any other circumstances relevant to the performance of the faculty member.

*b.* Program Director or Peer class observations, which are done once a year for non-tenured faculty and once every three years for tenured faculty.

*c.* The Evaluator's Response is an evaluation of the full-time faculty member's progress towards the goals, plus any other circumstances relevant to the performance of the faculty member. The faculty member has the right to make a written response to the evaluator's response which will be attached to it and kept on file.

*d.* An optional interview may be requested by either party, which should be summarized and signed by both parties and added to the record.

**3. Student Course Evaluations** are conducted every semester for every course through the Office of the Dean of Academic Affairs.

**4. Classroom Observations** are carried out in the first or second semester of all new faculty and from this point onward on an annual basis for non-tenured full-time faculty and every third year for full-time tenured faculty. The Office of the Dean of Academic Affairs will inform the Program Director when evaluations need to be carried out. The first Classroom Observation is done by the Program Director, but subsequent observations may be done by Peers after approval of

the Program Director. Interim observations may be carried out at any time as circumstances arise.

**5. New, incoming full-time faculty** are evaluated at the end of the first year, according to a standard annual review. The Program Director writes a review of the new full-time faculty member's teaching, relying on the classroom observation and student evaluations, and institutional compatibility. This is forwarded to the Dean of Academic Affairs and it forms the basis for her/his recommendation of the continuation of employment beyond the *prova* period.

## **I. Faculty Role in Selecting the President and the Dean of Academic Affairs**

### **1. Selection of President**

The Board of Trustees establishes the composition of the Presidential Search committee, convenes the meetings and manages the process. The faculty recommendation is that the Dean of Academic Affairs and one member of the Executive Committee (selected by the Academic Council) will join the search committee for the President, which is convened by the Board of Trustees, and will contribute the faculty perspective via voice and vote. Taking into consideration the search committee's recommendations, the Board of Trustees makes the final selection of the President.

### **2. Selection of Dean of Academic Affairs**

When there is a vacancy for the position of Dean of Academic Affairs, the position will be advertised inside and outside AUR and follow a transparent process. The President will choose a chair of the search committee from among senior full-time faculty (preferably with dean-, division chair or high-level administrative experience.) Together they will invite three other faculty volunteers (from among the fulltime faculty) and two staff members to compose the search committee.

The search committee will review the applicants and forward to the President a shortlist in order of preference with a brief summary of its findings. The President will make the final decision from the short list, usually from a choice of at least three. Choice subject to board approval.



## **VI. UNIVERSITY POLICIES AND PROCEDURES**

### **A. Working Environment to Support Faculty Endeavors**

AUR is committed to excellence in teaching and to providing an American-style education in a Rome setting. As the physical environment either enhances or undermines successful teaching, it is important that the administration and faculty communicate about the physical plant and the facilities provided and that the faculty members play a constructive role in the decision-making process to the greater benefit of the quality of teaching and learning. The standard of facilities should be broadly in keeping with comparable institutions in the U.S.

### **B. Academic Freedom**

Academic freedom grants the faculty members the right to teach and speak out as the fruits of their scholarship and research dictate, even though their conclusions may not be popular. Faculty members are entitled to academic freedom inside the classroom when illustrating and discussing the subject material, but have an obligation to exercise sensitivity with regard to the special multi-cultural environment of AUR. In relations with the public, the faculty member should *always* make clear whether he/she speaks as expert on the subject in question, as an authorized institutional spokesperson, or as private citizen. As with most American universities, AUR endorses the *AAUP 1940 Statement of Principles on Academic Freedom* (with 1970 comments):

*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.*

*Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. 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.*

*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. ([www.aaup.org/statements/Redbook/1940stat.htm](http://www.aaup.org/statements/Redbook/1940stat.htm), footnotes omitted).*

### **C. Benefits, Leave, and Retirement Policies**

## **1. Retirement Policy**

The following policy aims at regulating the position of retiring Faculty based on the Italian legislation, while improving the future planning of AUR's academic operations.

According to Art. 56 of the national contract applied by AUR (CCNL ANINSEI), the contracts of faculty members who have reached the retirement age are automatically terminated at the finish of the academic year in progress.

However, if the faculty member who has reached the retirement age has not paid the required minimum of contribution for pension entitlement, it is possible for him/her to stay in service up to the age of 70.

Such option, granted by Law 54/1982, must be clearly expressed in writing by the employee at least 6 months prior to when the minimum retirement age is reached.

With the same procedure (written form, 6 months prior to the retirement age), the employer may request an extension of the faculty member's contract beyond the retirement age for academic and organizational reasons.

All employees will be entitled to remain employed at AUR until the first anniversary following the applicable retirement age. Nothing in this Handbook shall affect any employee's right to receive pensions allocated to him or her by the Italian state.

In compliance with the above, The American University of Rome carries out a yearly census to determine whether any faculty members are approaching the age of retirement. Those who have reached the age of 63 (female) and 64 (male) are invited by the HR Office to communicate their retirement positions, so that planning can start in accordance with the needs of both the organization and the faculty member and in the interest of both parties.

## **2. Holidays and Periods Between Terms**

AUR respects all Italian public holidays and the University will be closed on those days; American public holidays are not included, with the exception of the Fourth of July. Full-time faculty are expected to be available for duties from one week prior of the beginning of the fall semester through to June 30, except for statutory public holidays.

## **3. Absences and Leave**

AUR is committed to the support of faculty in pursuit of projects intended to improve his or her competencies as teacher and researcher; and therefore to improve future contributions to the mission of the University.

**a. Absences, Sick and Family Leave**

All faculty members must inform their immediate supervisor (Program Director or the Dean of Academic Affairs) immediately and in writing of any absence which will mean that he/she is not available to teach a scheduled class, and at that time suitable arrangements for informing the students will be determined.

In the event that absence continues, the Dean of Academic Affairs will make appropriate arrangements to cover the classes.

If the period of absence exceeds five working days, the faculty may apply for authorized leave, by submitting appropriate documentation (a medical certificate in case of illness or official documentation in case of grave personal circumstances) to the Dean of Academic Affairs. For all circumstances that are not expressly indicated in this Faculty Handbook, refer to the CCNL.

**b. Maternity and Paternity Leave**

AUR abides by the Italian Legislation on maternity and paternity rights.

**c. Sabbatical Leave**

Sabbatical leaves are administered through the Dean of Academic Affairs' office, and the leave is subject to approval by the Dean of Academic Affairs. Faculty may apply for sabbatical for one semester at full pay (benefits are not affected) or a full academic year at half pay after six full years of service at AUR.

Sabbatical leave is relief with full pay from all teaching and administrative responsibilities for a designated period of time in order to pursue scholarly, creative and/or professional activities. It is intended to permit a full-time faculty member to achieve academic objectives which could be reached, if at all, only over an extended period of time if pursued in concomitance with regular University duties. This implies that the recipients of this leave will be separated from all University duties during the period in question. Applications for sabbatical leave should be made in writing to the Dean of Academic Affairs one year before the requested sabbatical leave. The application must include an application letter that describes the intended academic, creative or professional activities, a description of how the activities will enhance or develop the candidate's professional and/or academic life, and the ultimate objectives that shall be pursued during the leave, as well as any documentation that might support the sabbatical request. The leave is subject to approval by the Dean of Academic Affairs. Within 90 days following

the return from sabbatical, the faculty member is required to submit a summary statement of leave activities to the Dean of Academic Affairs.

Because a sabbatical leave award is an investment in the future of the university as well as in the career of the faculty member who receives it, faculty members are expected to return to full-time employment at AUR for at least one year after their sabbatical leave. If they fail to do so, the university may request a refund of the salary and benefits paid during the sabbatical leave.

Faculty members are eligible to apply for a sabbatical leave if:

- They are a member of the tenured faculty
- They have accumulated six years of full-time service at AUR (the sabbatical occurs in the seventh year)
- Six years of full-time service has elapsed since their last sabbatical (i.e. faculty are eligible every seven years)
- Any fractional year of full-time service or any years spent on leave of absence do not count as years of accumulation toward a sabbatical

#### **d. Fellowship Leave**

Fellowship leave is authorized leave, usually without pay but not exclusively, for the purpose of taking up a paid fellowship at another institution. Although the faculty member will not receive pay from AUR, AUR will continue to pay his/her contributions and benefits during the period of fellowship leave.

Applications for fellowship leave should be made in writing to the Dean of Academic Affairs one semester before the requested leave. The application must include an application letter that describes the fellowship opportunity, a description of how the activities will enhance or develop the candidate's professional and/or academic life, and the ultimate objectives that shall be pursued during the leave, as well as any documentation that might support the leave request. The leave is subject to approval by the Dean of Academic Affairs. Within 90 days following the return from the leave, the faculty member is required to submit a summary statement of leave activities to the Dean of Academic Affairs.

### **D. Grievance Procedures**

The University recognizes that disputes can arise among faculty members and between faculty members and the administration. The faculty and the administration believe that it is desirable that such disagreements be settled rationally and expeditiously and that peers of the involved parties assist in an amicable resolution. The procedures discussed below are an attempt to

provide parties with informal and formal means for resolving their disputes. These mechanisms involve peers and offer a fair and open structure for addressing disagreements that arise in our academic community. To be eligible to file a grievance under this Faculty Grievance Policy, a person must be a full-time faculty member as defined in Section V.

If areas of policy have been omitted or are not clearly stated herein, decisions will be made with reference to the AUR Employee Handbook, ANINSEI, and The Italian National Contract (CCNL), all of which can be found on MyAur.

### **1. Pre-Grievance Efforts**

A faculty member who asserts a grievance is expected to make timely and good-faith efforts to resolve the grievance through consultation before resorting to the faculty grievance procedure, including discussing the grievance with the person or persons who appear to be responsible for it or discussing the grievance with the Dean of Academic Affairs. A faculty member who concludes that he or she has a grievance and has failed despite timely and good-faith efforts to resolve that grievance, may invoke the faculty grievance procedure. A grievance filed by a faculty member sets in motion a process that will occur in an academic, rather than judicial, setting.

### **2. Appeals of Promotion Decision, Non-Reappointment, Dismissal, or Sanctions other than Dismissal**

*a.* **Procedure:** To file a grievance, a faculty member must submit a written, signed statement to the Dean of Academic Affairs, or to a member of the Executive Committee if the grievance implicates the Dean of Academic Affairs, within ten (10) calendar days of the date the grievant became aware of the initiating incident. The grievance must contain the following information:

- the specific policy or established practice that has allegedly been violated;
- the date of the alleged violation and the date on which the grievant became aware of the alleged violation;
- the facts relevant to the alleged violation;
- the person(s) against whom the grievance is filed (the respondent) and the redress sought.

The Dean of Academic Affairs or member of the Executive Committee, as the case may be, shall provide a copy of the grievance and any documents submitted with the grievance to the respondent within three (3) days of receipt.

**b. Appeal Committee:** The Dean of Academic Affairs will ask the Executive Committee to select from among the faculty a three-member Appeal Committee. The Dean of Academic Affairs, or his/her delegate, is ex officio, non-voting and chairs the Appeal Committee.

**c. Grievance Hearing:**

The Dean of Academic Affairs, or his/her delegate, or the member of the Executive Committee, as the case may be (in any case, the “Presiding Officer”), shall notify each party of the names of the members of the Appeal Committee. Within seven (7) days of that notice, either party may submit a written challenge to any member of the Appeal Committee for cause. The challenge must explain the cause for removing the member. The Presiding Officer shall determine whether there is cause to dismiss the challenged member and select another member if necessary. The Presiding Officer shall notify the parties of any replacement members of the Appeal Committee. Either party may submit a challenge for cause to any replacement member to the Presiding Officer within three (3) days of that notice.

Hearings shall be scheduled as expeditiously as possible and with due regard for the schedule of both parties. The Presiding Officer shall convene the Appeal Committee and shall be present during all formal proceedings. The Presiding Officer shall provide written notice of the time and place of the hearing, the names of any witnesses, and copies of any documents submitted by the parties and deemed relevant by the Presiding Officer, to each party at least seven (7) days before the hearing. The length of the hearing process is at the discretion of the Appeal Committee. The Appeal Committee will review the evidence put forth in the appeal and recommend action to be taken, if any.

The hearing shall be conducted in good faith and must be completed within thirty (30) calendar days unless the Presiding Officer determines that an extension of time is necessary. The parties may consult with counsel or other advisers of their choosing in connection with the hearing, but neither such counsel or advisors will present at the hearing. However, witnesses may be called to the hearing and will leave after they provide their information. Minutes of the hearing will be taken by committee members, in rotation, and because of the confidential nature of the deliberations will not be available for public review. The minutes shall be kept in the Office of the Dean of Academic Affairs.

Any party shall be entitled to ask pertinent questions of any witness or the other party at appropriate points in hearings. The Presiding Officer shall determine

what questions are pertinent.

AUR faculty hearings are not formal judicial hearings. An AUR hearing is not a formal judicial proceeding. Its ultimate purpose is to evaluate the fairness of the action that gave rise to the grievance. To achieve that end, the Appeal Committee can exclude irrelevant issues or evidence, and can place reasonable limits on argument and the questioning of witnesses. Any grievance that is an allegation of illegal behavior should be referred to the appropriate Italian authorities.

After a hearing is conducted and all parties have had the opportunity to offer evidence and testimony, the Appeal Committee will issue a written recommendation and the reasons underlying that recommendation to the faculty member, respondent, the member of the Executive Committee or the Dean of Academic Affairs, as the case may be.

#### **E. Allegations of Professional Misconduct, Incompetence, Discrimination, Harassment, or General Grievance**

The internal investigations carried out against the professors or employees must follow the disciplinary procedures established by the collective agreement (CCNL Aninsei) and by Italian law. Evaluation of the situation and proper procedure must be determined and supervised by AUR's HR office.

- a) Any disciplinary action must be made in writing and in compliance with CCNL and Internal Policy of the University;
- b) Must be made within 10 days of awareness of the infraction. The employee may provide justifications in writing and may also ask to be heard verbally alone or with the assistance of a union representative;
- c) Within an additional 20 days, the employer, if it ascertains the facts alleged to be convincing, may communicate in writing the most appropriate disciplinary sanction based on the seriousness of the fact (e.g., verbal reprimand; written reprimand; fine of up to 4 hours' pay; suspension; dismissal).

- 1. Investigation of Allegations.** Faculty members adhere to the highest ethical standards. Misconduct by any member of the University community is a threat to the integrity of the University, as well as the individual. When allegations of professional misconduct or incompetence, discrimination, harassment, or other general grievance are made against a faculty member, a first appeal should be made to the Dean of Academic Affairs, who shall have fourteen (14) calendar days from the date of such allegation or notice to investigate and attempt to informally resolve the matter.

2. **Appeal Committee.** In the event that the Investigation fails to resolve the matter or is not requested, or the Dean of Academic Affairs feels such an investigation is unwarranted or inappropriate under the circumstances and the person making such allegations wishes to continue through a formal procedure, the Dean in consultation with such person, will select from among the faculty a three-member Appeal Committee.
3. **Procedure.** To proceed, the person making such allegations must submit a written, signed statement to the Dean of Academic Affairs within ten (10) calendar days of the close of any investigation under 1. above. The statement must contain the following information:
  - the specific allegations of professional misconduct, incompetence, discrimination, harassment or general grievance that have allegedly transpired;
  - the date of the alleged transgression and the date on which the person became aware thereof;
  - the underlying facts relevant to the allegation(s); and
  - the identity of the person(s) against whom the allegations are directed.

The Dean of Academic Affairs shall provide a copy of the statement and any documents submitted with the statement to the person against whom the allegations are directed within three (3) days of receipt.

#### 4. **Hearing.**

The Dean of Academic Affairs, or his/her delegate, is *ex officio*, non-voting and shall chair the Appeal Committee (in either case, serving as the “Presiding Officer”).

Hearings shall be scheduled as expeditiously as possible and with due regard for the schedule of all parties. The Presiding Officer shall convene the Appeal Committee and shall be present during all formal proceedings. The Presiding Officer shall provide written notice of the time and place of the hearing, the names of any witnesses, and copies of any documents submitted by the parties and deemed relevant by the Chair, to each party at least seven (7) days before the hearing. The length of the hearing process is at the discretion of the Appeal Committee. The Appeal Committee will assemble information about the alleged infraction or incompetence, review that information, and recommend action to be taken, if any.

The hearing shall be conducted in good faith and must be completed within thirty (30) calendar days unless the Presiding Officer determines that an extension of time is necessary. The parties may consult with counsel or other advisers of their choosing in



connection with the hearing, but neither such counsel nor advisers may attend the hearing. However, witnesses may be called to the hearing and will leave after they provide their information. Minutes of the hearing will be taken by committee members, in rotation, and because of the confidential nature of the deliberations will not be available for public review. The minutes shall be kept in the Office of the Dean of Academic Affairs.

Any party shall be entitled to ask pertinent questions of any witness or the other party at appropriate points in hearings. The Presiding Officer shall determine what questions are pertinent.

A hearing is not a formal judicial proceeding. Its ultimate purpose is to evaluate the information that gave rise to the allegations. To achieve that end, the Appeal Committee can exclude irrelevant issues or evidence, and can place reasonable limits on argument and the questioning of witnesses.

Upon conclusion of the hearing, the Appeal Committee will file a report with the Dean of Academic Affairs stating whether or not it has found, based on all adduced evidence, that an infraction was committed; the report has to illustrate clearly the basis for these findings. The Dean of Academic Affairs will make a recommendation to the President for remedial action.

#### **F. Professional Misconduct**

“Professional Misconduct” is here defined as a patent intentional misrepresentation of data, of research methods, of research methodology, or of data analysis; and plagiarism and other serious improprieties in proposing, conducting, or reporting the results of research. This policy encompasses all of the above definitions. Further, misrepresentation of academic qualifications is also considered to be professional misconduct and illegal under Italian law. All faculty are obliged to exercise the utmost integrity with regard to representation of their academic qualifications and research.

If the result of the investigation process described above is a finding of “no misconduct,” the parties who conducted the initial inquiry or formal investigation will undertake all reasonable efforts to restore the academic reputation of the individual. All efforts will likewise be taken to protect the status of the individual(s) who raised questions of possible misconduct. If, however, it is determined from the inquiry or investigation that the individual(s) who raised the possibility of misconduct acted in bad faith, appropriate disciplinary actions may be instituted against them.

All relevant documents concerning cases treated under the process for investigating professional misconduct shall be preserved in the Office of the Dean of Academic Affairs. If the process reveals no misconduct, then no entry will be made on the personnel file.

### **G. Harassment**

AUR aims to provide a warm and supportive environment for all employees, students and others. Harassment or the creation of a hostile work environment undermines this objective and is not acceptable behavior and has no place in an academic institution that promotes and respects the dignity and worth of every individual. It is also illegal under Italian as well as European law. Harassment is defined as words or gestures that intimidate, alarm or abuse another person and cause that person emotional and/or psychological stress. Such actions may include, but are not limited to:

- Humiliation, ridicule or belittlement
- Intimidation of either a verbal, written or visual nature including inappropriate use of social media, email or any other form of virtual communication
- Spreading of malicious rumors
- Excessive supervision or total lack of support

Interfering in the person's ability to perform his/her work

Note: A hostile environment is defined by persistent or pervasive conduct or by a single and severe episode. The more severe the conduct, the less need there is to show a repetitive series of incidents to prove a hostile environment. Verbal, nonverbal, graphic, or physical conduct may create a hostile environment if the conduct is sufficiently persistent, pervasive, or severe so as to deny a person equal access to the university's programs or activities. Whether the conduct creates a hostile environment may depend on variety of factors, including: the degree to which the conduct affected one or more person's education or employment; the type, frequency, and duration of the conduct; the relationship between the parties; the number of people involved; and the context in which the conduct occurred.

### **H. Sexual Harassment**

The American University of Rome is committed to maintaining a supportive learning and working environment in which all persons are treated with respect and dignity. Sexual harassment subverts the mission of the University and compromises the campus environment. It is unacceptable and unlawful conduct and will not be tolerated. The University also will not tolerate retaliation against persons who complain about alleged sexual harassment or who cooperate in an investigation of reported sexual harassment.

Members of the University community (students, faculty and staff) shall not engage in sexual harassment. This policy applies in all university-related settings and is not limited to the campus. This policy also prohibits the harassment of non-employees by a University student,

faculty or staff while on the campus or in such University-related settings. Members of the university community who do so are subject to disciplinary action, up to and including termination for employees and expulsion for students. In addition, the University will not tolerate students, faculty or staff being harassed by non-employees while in university-related settings.

### **1. Definition of Sexual Harassment**

Sexual harassment is unlawful discrimination under applicable law. Prohibited conduct may involve harassment of women by men, harassment of men by women, and harassment between persons of the same sex. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or participation in a university sponsored education program or activity;
- submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such an individual; or
- such conduct has the purpose or effect of unreasonably interfering with an individual's employment or academic performance or creating an intimidating, hostile, or offensive working or educational environment.

### **2. Examples of Sexual Harassment**

The following are some examples of conduct which, if unwelcome, may constitute sexual harassment depending upon the totality of the circumstances, including the severity of the conduct and its pervasiveness. This list is intended to illustrate unacceptable behaviors and should not be considered comprehensive or exclusive:

- Unwanted physical contact such as hugging, patting, pinching, or constant brushing against a person's body
- Lewd remarks, lewd whistles, or lewd references to one's own or another person's anatomy
- Stalking, physical assault, or coerced sexual activity
- Obscene or offensive gestures
- Display of graphic materials or web sites with sexually suggestive material
- Subtle or overt pressure for sexual favors
- Persistent and offensive sexual jokes and comments
- Persistent and unwanted requests for dates
- Sexually explicit or sexually suggestive mail, email and voice mail

### **3. Confidentiality**

To the extent permitted by law, the confidentiality of all persons involved in a sexual harassment investigation or complaint will be observed, except insofar as information needs to be disclosed so that the University may effectively and adequately investigate the matter or take appropriate corrective measures. It is understood that when a sexual harassment incident is reported to any University employee, that person has a duty to convey the information to the appropriate University authority for action.

### **4. Retaliation**

Persons who complain about sexual harassment, or who cooperate in the university's investigation and handling of a sexual harassment report or complaint, shall not be subject to retaliation for complaining or cooperating, whether or not the University finds that there was sexual harassment.

### **5. False Complaints**

Any member of the University community (students, faculty or staff) who knowingly files a false complaint of sexual harassment, or who knowingly provides false information to or intentionally misleads University officials who are investigating a complaint of alleged sexual harassment, will be subject to disciplinary action, up to and including termination for employees and expulsion for students.

### **6. Procedures**

The President of the University, or a designee of the President, will assign two or more full-time members of the AUR staff (faculty or staff depending on the parties involved) to form an investigative committee. Procedures for reporting, addressing and resolving sexual harassment complaints will be in compliance with the Italian legislation on matters of sexual harassment and will include an appropriate appeal process for any person who is so disciplined. Educational sessions on the nature of sexual harassment shall also be conducted periodically by the University for students, faculty and staff.

## **I. Discrimination**

AUR complies with Title IX of the Education Amendments of 1972, protecting people from discrimination based on sex in education programs or activities that receive Federal financial assistance. Title IX states that:

No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance.

The strength of AUR is its international perspective and cross-cultural content. The University encourages diversity among the student population, the faculty and other employees. Respect for, and sensitivity to, all members of the community is a prerequisite for a harmonious and productive campus. AUR does not discriminate in any of its programs, procedures, or practices against any person on the basis of age, citizenship, color, national origin, political affiliation, race, religion, gender or sexual orientation. All applicants are recruited on the basis of personal merit.

## **J. Consensual Relationships**

### **EMPLOYEES RELATIONSHIP**

The University prohibits sexual relations between a student and a faculty member or other university employee with whom the student has an academic or evaluative relationship.

Likewise, the University also forbids sexual relations between a faculty member and an employee when one person has an evaluative or supervisory relationship over the other. The respect and trust accorded a professor or a supervisor in an academic or evaluative role make voluntary consent by the student or subordinate employee suspect. Even when both parties initially have consented, the development of a sexual relationship renders both the faculty member or supervisor and the University vulnerable to allegations of sexual harassment because of the significant power differential that exists in such a situation.

No faculty member or supervisor may participate in the evaluation of a student's or employee's performance or any decisions that may reward or penalize the student or employee if a sexual relationship exists or has existed between the student or employee and the faculty member or supervisor.

Added: Immediate family members and members of the same household are not to be employed in any position where one has authority over personnel actions concerning the other. Any exceptions requires approval by the President, Department Head and recommendation of HR Manager.

## **K. Dismissal**

Notice of dismissal shall be made in writing. Faculty can be dismissed for professional incompetence, for misrepresentation of academic qualifications, for harassment, for established misconduct in scholarship and research, for gross moral turpitude, for criminal offences or other such serious convictions. would include that the assessment of the assumptions that could lead to a dismissal should definitely be discussed with HR.

In contractual issues The American University of Rome abides by the CCNL ANINSEI and all applicable Italian legislation.

Complaints involving faculty members should, in the first instance, be made in writing to the Dean of Academic Affairs, who should immediately inform the faculty member of the nature of the complaint(s). Should the faculty member wish to appeal, the grievance procedure should be followed, as outlined above in section VI.D. At the conclusion of the appeal process, the Dean of Academic Affairs will make his/her recommendation to the President.

#### **L. Resignation**

A member of the faculty who intends to resign should communicate his/her decision in writing one semester in advance of the intended separation from employment to the Dean of Academic Affairs and the President.

#### **M. Checkout List**

The list below outlines the bureaucratic steps to fulfill after dismissal, non-reappointment, and resignation. Following the outline will clear the individual of all personal obligations relating to university records or property, and must be completed as evidenced by the checkout list submitted to the HR office before release of the final paycheck.

- Personnel Records: Leave forwarding address, personal email and new telephone number and receive summary of benefits information, including information about life and health insurance, workers' compensation and unemployment compensation, tax deferred annuities and custodial accounts, and retirement system options.
- Registrar: Submit all final grades.
- Main Administrative Office: Return all keys and any outstanding equipment.
- Library: Return all library, audio-visual, and curricular material.
- Payroll: Turn in checkout list, identification card, and pick up or arrange for mailing of final check.

#### **N. Academic Personnel Files**

An academic personnel file for each faculty member is kept with the Office of the Dean of Academic Affairs and contains student course evaluations, annual reviews, a current *Curriculum Vitae*, official transcripts and Faculty Development Plans. A faculty member may ask for items to be added to his/her file to document professional development. Any other item added must be made known to the faculty member who must sign to indicate that he/she is aware of the presence of this item in his/her personnel file. The faculty member is not permitted to veto the addition of an item that the Dean of Academic Affairs deems proper to insert in the file, but is

permitted to write a rebuttal which will be attached to the item. The personnel file is available only to the individual concerned, those who are in the direct chain of command of that individual, and other persons at the written request of the individual. All financial records are kept in the Finance Office, and Human Resource personnel files are kept in the Human Resources Office. All Academic and HR records must be kept current.

#### **O. Privacy**

In accordance with Italian and European Union Legislation, AUR is committed to the full respect of privacy of all its faculty members. All legal information (and much more) may be found in <http://www.garanteprivacy.it/garante/navig/jsp/index.jsp>.

#### **P. Italian Employees' Statute**

The American University of Rome is registered as a legal entity with the Rome Tribunal, and is authorized to operate in Italy by the Ministry of Universities and Scientific and Technological Research. Hence, the Italian Employees Statute, law No. 300 of May 20, 1970 (<http://www.spazio-lavoro.it/04lavoro/l300-70.htm>) and subsequent legislation is the main reference for all rights not covered in this section.

## **VII. Practical Information for Faculty**

All practical information on syllabi, attendance policies, grading, classroom management, appeals and other teaching resources are found in the AUR Course Catalog.



## **VIII. Appendix**

### **Job Description of Adjunct Representatives to Academic Council**

**October 1, 2021**

In order for adjunct representatives to meaningfully represent the academic interests and perspectives of the entire body of AUR adjunct faculty, it will be necessary that the two representatives collaborate and follow certain protocols and procedures, including:

1. Making sure that the issues and views brought forward to the Academic Council as agenda items are aligned with AUR mission, strategic plans, HR rules and protocols, and budget constraints.
2. Making sure that the issues and views brought forward represent the majority of the entire adjunct body. For such representation to occur, the representatives will need to find legitimacy through surveys of adjunct faculty for themes to explore, followed up by a monthly meeting - prior to the AC meeting - during which the agenda items for AC are discussed and agreed upon by a simple majority vote.
3. Adjunct items should be limited to two per meeting and submitted the dean at least 5 days prior to a given AC meeting.
4. HR and compensation issues are not topics for Academic Council and should be discussed individually with HR and/or Dean. Adjunct surveys should not be aimed at collecting sensitive information according to GDPR rules. (amended May 12, 2022)
5. The adjunct representation contract lasts 1 year, and is compensated. To continue after one year, representatives need to be re-elected. (amended May 12, 2022)
6. Eligible candidates Candidates must have a continuous record of successful teaching (fall and spring) for a minimum 3 years. The 2 finalists should not come from the same program.

#### **The Election Process:**

1. In late spring, a nomination (including self-nomination) process will be opened with the adjunct community.
2. Once nominees are vetted by the dean and Executive Committee according to a set of criteria listed below, a voting survey will be sent to adjuncts. The two candidates with the most votes will be the representatives.