



**Samuel Merritt
University**

FACULTY HANDBOOK

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SECTION A—ACADEMIC AFFAIRS

ACADEMIC DIVISION—ADMINISTRATION

Office of Academic Affairs (OAA)

The Office of Academic Affairs serves students, faculty and external stakeholders through support of outstanding health science education programs at the undergraduate and graduate level. The division values student-centered learning, outcome measurement of performance, state-of-the-art learning technologies, faculty development, and best practices in teaching, within the context of diversity and inclusion.

The Division of Academic Affairs (OAA) is led by the Provost and Vice President, Academic Affairs. The Provost is the Chief Academic Officer of the University, serves on the President's Council and reports to the President. He/she is the senior administrative authority of the University in the president's absence. The Provost is supported by two Assistant Academic Vice Presidents (AAVP) to whom staff positions of the division report, including the Health Sciences Simulation Center, the Graziano Library, Academic and Instructional Innovation, the Center for Innovation & Excellence in Learning (CIEL), and the Motion Analysis Research Center (MARC). The Director of Institutional Evaluation and Research also reports directly to the Provost.

The Academic Division of Samuel Merritt University offers baccalaureate, masters and doctoral programs including the School of Nursing, the California School of Podiatric Medicine and four departments including Occupational Therapy, Physical Therapy, Physician Assistant and Basic Sciences (non-degree support). Nursing departments include the Bachelor of Science in Nursing, the Accelerated Bachelor of Science in Nursing, graduate programs (MSN), including Entry-Level Masters, Nurse Anesthesia, Case Management, Family Nurse Practitioner, and Doctor of Nursing Practice (DNP).

The Provost works in concert with the Faculty Organization (faculty governance body of the whole) and the Senior Academic Leadership Team (chief academic officers from all programs) for strategy and advisory functions. The Academic Division also utilizes standing committees such as Assessment, Ad hoc Program Development and Academic Council (Deans, Chairs, Program Directors and key divisional staff). Either the Provost or Assistant Academic Vice President/s serve as ex-officio members on all Faculty Organization's standing committees.

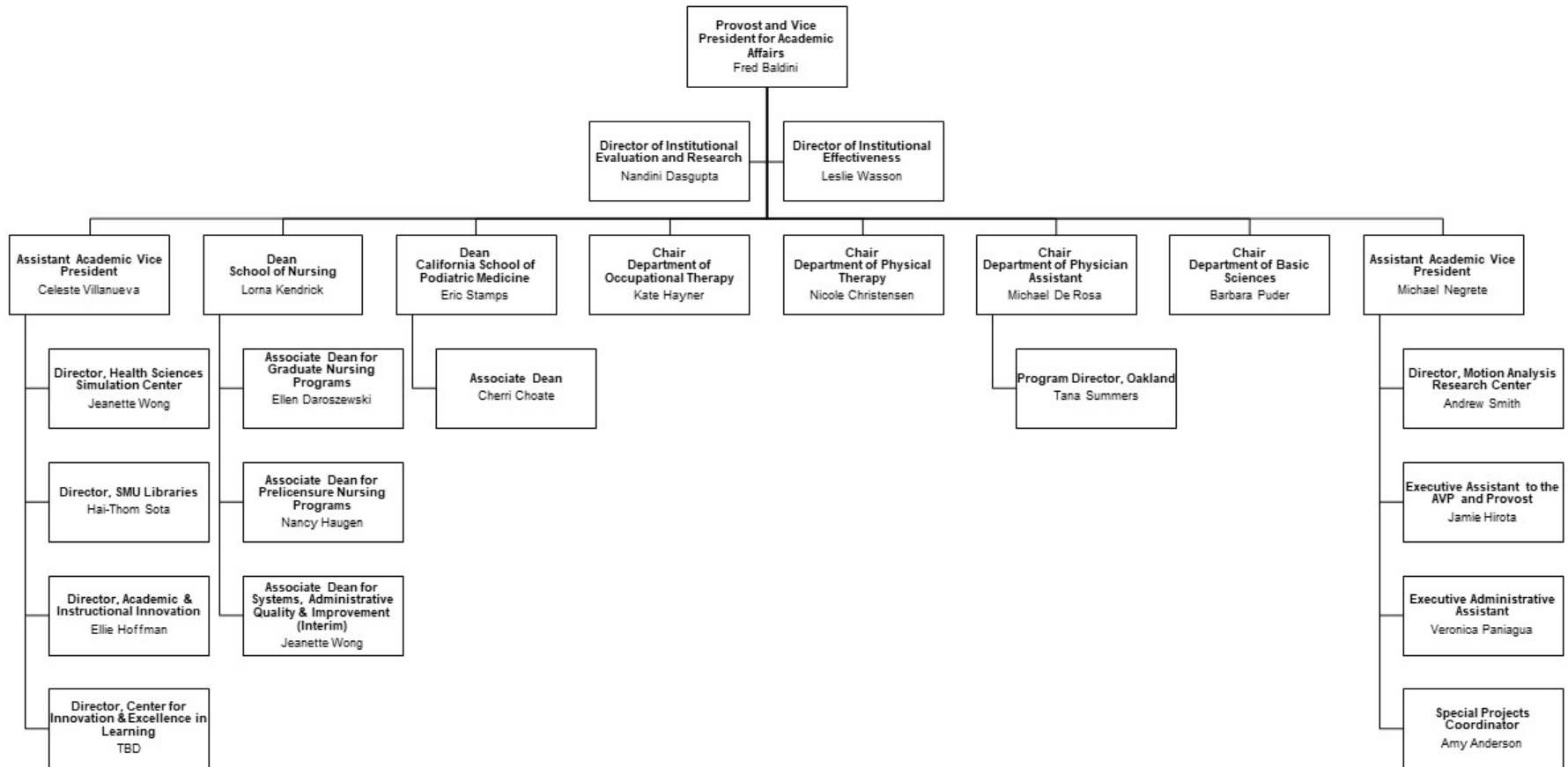
Academic Division Strategic Goals

In the spring of 2014, Samuel Merritt University's Office of Academic Affairs launched an effort to create a new vision for the Academic Division. Feedback was solicited from hundreds of stakeholders on campus to help develop the vision. The Senior Academic Leadership Team (SALT) analyzed and synthesized all of the feedback into a vision of its desired future. This document was then disseminated to SMU faculty, staff, and students, and feedback was collected from an online survey and a series of focus groups from all three campuses. Based on the feedback received, SALT drafted a description of its desired future. Using this Envisioned Future as a guide, workgroups of faculty and staff were formed to establish strategic goals and objectives around three major themes: Teaching & Learning, Faculty Roles & Responsibilities, and Structure & Process. Goals were drafted as statements of outcomes that the workgroups believed must be achieved for the Division to progress towards its desired future. For each goal, objectives were created to provide focus and direction for the specific activities that are being pursued. The goals and objectives were reviewed and refined and eventually resulted in an approved list of seven strategic goals (see below) and 25 related strategic objectives.

- Goal 1: The University recognizes faculty for Excellence in some combination of their areas of focus, i.e. teaching, scholarship, service and practice.
- Goal 2: There is a systematic, effective, and accessible approach to attract and develop faculty as teachers and/or scholars.
- Goal 3: Curricular scheduling structure promotes consistency, efficiency and Interprofessional Education.
- Goal 4: Administrative policies, procedures, processes and systems are efficient, aligned and easy to use.
- Goal 5: Faculty, staff and students embody a culture of innovation and continuous learning and improvement.
- Goal 6: Faculty, staff and students embody an inclusive, collaborative culture.
- Goal 7: Samuel Merritt University is a valuable contributor to improvements in health and well-being.

Organizational Chart—Division of Academic Affairs

Division of Academic Affairs



Updated: May 2020

ACCREDITATION (REGIONAL AND SPECIALIZED)

POLICY: Samuel Merritt University must maintain institutional accreditation with the Senior Commission for the Western Association of Schools and Colleges (WASC), and with select specialized accrediting agencies recognized by the U.S. Office of Education. Continued recognition of accreditation by WASC is the responsibility of the Academic Vice President in collaboration with the Accreditation Liaison Officer (ALO) of the University.

Continued recognition of program-based accreditation by specialty accreditation agencies is the responsibility of the respective Dean, Chair or Program Director who are also required to maintain effective relationships with the agency, meeting specified accreditation requirements, submitting annual dues, self-study materials and other reports, as specified by the agency. Copies of all self-studies and progress reports must be sent to the Chief Academic Office/Provost of Samuel Merritt University for review and approval at least ten days in advance of the projected mailing to the agency. The Dean or Chair is also required to notify the Academic Vice President of any situation in which program accreditation may be in jeopardy.

ORGANIZATIONAL PROTOCOL OF ACADEMIC PROGRAMS

Definitions

The following terms are defined for use by SMU in its academic organizational structures and are consistent with other higher education institutions.

- A. **Division:** a grouping for administrative purposes of two or more organizational units in the University. The grouping is not necessarily discipline specific.
- B. **Center:** an academic organizational entity within which research, teaching, or public service activities, or a combination of these functions are conducted in specified field. Centers generally do not represent a specific profession and do not have degree majors or tracks.
- C. **Academic Units:** The titling of an academic unit should be based on the degree of compliance with the criteria listed below.
 - **Program:** a single unit that offers a curriculum belonging in or associated with a department or school.
 - **Department:** the basic administrative unit of a University, consisting of all faculty members or teaching personnel in a given subject matter, field or academic discipline or in a grouping of related disciplines or fields.
 - **School:** a major administrative unit within the University, offering curricula, which lead to undergraduate and graduate or professional and post-professional degrees. A school may be divided into departments or programs.

Criteria for Determination of Status

The following criteria are the basis for structural designation. The over-riding aspect determining status is the complexity of operations within the unit. Examples of complexity may include multiple tracks within a single degree; mixture of didactic, lab,

and clinical course components; accreditation criteria/standards/requirements; and variety of specialized faculty requirements (e.g. therapists, anatomists, pharmacologists, pathologists). It is the responsibility of the unit making the proposal to provide detailed rationale for the requested designation including:

- A. discipline recognized by external community as a profession;
- B. awards one degree;
- C. awards two or more degrees;
- D. two or more programs offered;
- E. awards a doctoral degree;
- F. number of enrolled students equals or exceeds 100;
- G. number of full-time equivalent faculty equals or exceeds 10 FTE;
- H. undergoes specialized accreditation.

A group would need to meet six or more of the above criteria to be designated a school and four or five to be a department. A group of fewer than four criteria would be designated a program.

Procedures for Designation

- A. Proposals for reconfiguration should include a resource impact analysis and may originate with any member of the University community. The proposals are submitted to the Academic Council.

Proposals should include:

- (1) rationale
 - (2) fiscal impact statement
 - (3) timeline for implementation
 - (4) evidence of compliance with criteria
 - (5) organizational impact on relationships among affiliated departments and programs including faculty, students and staff
- B. The Council shall consider the proposal and its potential impact on the University community. The Council will confer/consult with academic units affected, appropriate collegiate advisory groups, Deans, and Chairs of affected areas, Faculty Organization and the Academic Vice President, as appropriate.
- C. The final recommendation from the committee shall be submitted to the Academic Vice President for final approval. If reconfiguration is approved, the Academic Vice President shall also approve a timeline and any budgetary requests.

ACADEMIC DIVISION—OPERATIONAL POLICIES

Academic Calendar

POLICY: The official five-year University academic calendar will be issued each February by the Office of the Registrar in consultation with the Office of Academic Affairs and academic departments.

Assignment of Oakland Campus Instructional Space

POLICY: Deans and Chairs are responsible for submitting their class schedules into System for Academic Scheduling (SAS). Upon Office of the Registrar approval of the academic schedule, Deans and Chairs are responsible for submitting room preferences for the academic courses, as directed.

PROCEDURE:

- 15 weeks prior to the start of each academic term, the Dean, Chairs or an appointed delegate from each academic program will submit their course schedules into SAS
- The Office of the Registrar reviews and approves SAS course schedules
- The course schedules are imported into Event Management System (EMS)
- For Oakland campus, the Dean, Chairs or an appointed delegate will use the EMS Campus Planning Interface (CPI) to Set Room Preferences
- Academic room scheduling staff (HEC Scheduler) will process the room schedules
- After the Academic room scheduling process is completed, the room schedule will be published to PowerCAMPUS and EMS

**** Please note:**

1. Course sections requiring instructional space on the Oakland campus will automatically be assigned to rooms based on requirements, preferences, course type, and estimated enrollment.
 2. Non-clinical course sections not requiring space needs to be defined as such in SAS.
 3. For non-recurring classroom requests (i.e. special first-week meetings/events, finals, etc.) the Dean, Chairs or an appointed delegate will submit these requests in SAS.
 4. Science Laboratories may be requested via Campus Schedule (OAK Science Laboratories). HSSC rooms must be scheduled directly with HSSC staff. HSSC staff enter the schedules into EMS.
- Final room assignments will be posted to the online facilities schedule (<http://schedule.samuelmerritt.edu>) and SMURF (<https://smurf.samuelmerritt.edu/Search/SectionSearch.aspx>) three weeks prior to the start of the academic term.

- Requests for schedule changes after this process is completed must come from the Dean or Chair directly to the HEC Scheduler. After approval by the HEC Scheduler, the Dean or Chair will make the change in the SAS.

Student Criminal Background Check Policy

POLICY: Incoming students must complete a background check before they are eligible to enroll at the University. Continuing students who return from any type of Leave of Absence or who are re-admitted to the University must complete a new background check prior to enrolling. Continuing students may need to complete additional background checks in order to meet the requirements of a clinical agency to which the student is assigned for a clinical experience. Incoming students and continuing students pay for the cost of the background check.

SMU transmits the summary results of the background check to the clinical agencies in advance of a student beginning a clinical experience. Those summary results indicate only whether or not there were findings on the background check, not the specifics of the findings. The full results are released to the clinical agency only with the student's consent and only when requested by the clinical agency. A clinical agency may refuse to accept a student on a clinical experience based on the background check results.

Incoming students with a background check result that may compromise the ability to find clinical placements receive notification to that effect. These incoming students are also notified that the ability to obtain a license may be affected by the findings from the background check and that the University cannot guarantee that the student will be able to obtain a license after graduation. It is the students' responsibility to take all necessary action as it is related to their ability to obtain a license upon completion of their degree requirements. The University retains the right to defer the offer of admission to a different term or to rescind an offer of admission based on the results of a background check. Continuing students who are unable to obtain a clinical placement due to the results of a background check may need to take a leave of absence or withdraw from Samuel Merritt University. Continuing and incoming students have the opportunity to correct or clarify the items identified on the background check with the appropriate agency before the University makes a final decision about continuing matriculation or admission.

Applicability:

1. All incoming students who are admitted to Samuel Merritt University with exceptions noted below.
2. Continuing students who return from any type of Leave of Absence or who are re-admitted to the University.
3. Continuing students when required by a clinical agency to which the student is assigned for a clinical experience.

Exceptions:

1. Incoming Doctor of Nursing Practice students unless they have a clinical experience at a clinical agency where they are not currently employed.
2. Special status students may be exempt from this policy requirement and will be notified if they must complete a background check.

Detailed information regarding Background Check Procedures can be found here:
<https://www.samuelmerritt.edu/discover/student-experience/student-services>.

Student Drug Screen Policy

POLICY: The University Code of Conduct states that Samuel Merritt University is a drug free institution. Currently the University Catalog is silent about whether students need to complete a drug screen. Rotation site drug screening requirements vary.

Because some nursing students begin clinical experiences in their first semester and because all clinical agencies in which nursing students have clinical experiences require a drug screening prior to accepting the student on a clinical placement, all newly admitted and current pre-licensure nursing students were required to complete a drug screening beginning in the fall 2012. Because not all clinical agencies require a drug screen for students in other programs or because students in those programs do not have their first clinical placement until later in their matriculation, those students are required to complete a drug screening as required at the time it is known that the clinical agency in which the student is placed has a drug screening requirement.

Detailed information regarding Drug Screen Procedures can be found here:
<https://www.samuelmerritt.edu/discover/student-experience/student-services>.

Verification of Eligibility to Attend Class

POLICY: Faculty are required to verify that each student attending class is listed on the official class list provided by the registrar. Students whose names do not appear on the class list must present a drop/add form or other documentation of registration to the instructor for his/her approval. At the end of the drop/add period, a final class list is issued by the Registrar. Any student whose name does not appear on the final class list is not authorized to attend class.

Eligibility to attend class or clinical labs is also dependent upon the student's compliance with University policies regarding requirements for health screening and immunizations, as well as regulations regarding current CPR and blood borne pathogen instruction. A student's failure to comply with University policies for ensuring a safe environment will require the faculty to restrict the student from attendance at class or clinical labs.

Student Classroom Attendance Verification

POLICY: Certification of student engagement in an academic program (class attendance) will be conducted at least two times during every course. This is required in order to make certain that the University remains in compliance with A-133 audit regulations, assure student academic records related to attendance are accurate and that the University remains in compliance with state and federal financial aid regulations.

PROCEDURE: Certification will be conducted the first day of class using the class listing on SMURF. Certification will also be conducted the first day of the seventh week of a course, using the class listing on SMURF. If a course is less than seven weeks in length, certification will be conducted the last day of class. If at any time during the course, the Program Director, Chair or Dean becomes aware that a student has ceased to attend, they shall immediately notify the office of the Registrar.

Changes in Admission Requirements

POLICY: Changes to admission requirements and/or admission prerequisites for all academic programs require review and recommendation by the Admission and Academic Policy Committee. Changes, approved by the Academic Vice President, will be included in the next regularly scheduled revision of appropriate publications.

Change in Academic Policy Notification

POLICY: All changes in academic policy or curricula that are scheduled to take effect prior to the next printing of the respective University publication must be emailed to the University community at least two weeks prior to the date they take effect. In select cases, as determined by the Academic Vice President, students will be notified of policy change via errata sheets issued from the Office of Academic Affairs.

Retention of Student Probation and Dismissal Records

POLICY: The Dean, Department Chair or Program Director shall maintain a summary record of any student who is on probation, suspension, or is recommended for dismissal, for a period of five years. The summary record should indicate the student's name, date of admission, action taken, reason for academic action, and dated description of the resolution or final action taken. The Academic Vice President will maintain a file of all documentation which involves student dismissal or other grievance filed directly with the Office of Academic Affairs. Official records of all decisions cited above will be maintained in the Office of the Registrar.

Grades—Submission and Posting

POLICY: Faculty are required to submit final course grades by the date established by the University registrar each term. Social security numbers may not be used for identification of grades or assignments. When posting assignments and grades, faculty should make every effort to ensure the student's right to privacy. Refer to the *Catalog and Student Handbook* for grading policies for undergraduate and graduate programs.

Faculty Search Process

POLICY: Effective April 1, 2012, all applicants seeking a faculty position at Samuel Merritt University must apply through the University's on-line application system. All applicants seeking a regular appointment must undergo a formal search process, including faculty with administrative appointments. There is no search requirement for annual or term faculty unless otherwise subject to school/departmental policies.

The search committee shall be chaired by a faculty member of the school or department in which the faculty appointment is to be made. All search committees shall include at least two members from the specialty sought. All search committee rosters must be approved by the respective dean or chair. Before convening a search committee, the chair must consult with the Executive Director of Human Resources to review state and federal laws as well as University policies and procedures impacting the searches. The composition of search committees should be multidisciplinary in nature when possible and include a Diversity Advocate who is responsible for monitoring diversity criteria.

Role of the Diversity Advocate

Chairs of Search Committees or their appointed designee will serve as the committee's Diversity Advocate, charged with ensuring that the committee builds a diverse pool of candidates and fully considers all qualified applicants from underrepresented populations. Other duties include:

1. Work with HR, the search committee, and other faculty to identify professional organizations in the discipline that serve diverse populations, and ensure that these organizations are provided the position announcement. Announcements should be accompanied by a cover letter highlighting the University's commitment to recruiting and retaining a diverse workforce.
2. Work with HR, the search committee, and faculty conducting the search to identify department heads/chairs at institutions whose graduates represent

diverse populations and ensure that these individuals receive a copy of the position announcement.

3. The Diversity Advocate will help guide the committee to make certain the search process is free of bias, prejudice, or stereotyping, i.e. all applicants are treated consistently, candidates are evaluated on professional qualifications and not personal characteristics, and campus visits provide similar opportunities for each candidate.
4. Ensure that candidates selected for campus visits are informed that the University is committed to providing reasonable accommodations for visiting candidates with disabilities.
5. Ensure that candidates selected for campus visits receive a copy of the University's Diversity Plan, inclusive of specific departmental action steps.
6. Diversity Advocates are encouraged to consult with HR and the Office of Diversity & Inclusion at any point during the search process.

Search Committee Responsibilities

A. Position Announcements

Position announcements should include at minimum, the title and responsibilities for the position, qualifications required, application closing date, position start date, instructions for submitting applications, name of contact person and language that highlights the university's commitment to diversity. In all cases, marketing efforts must appear in publications whose audience is representative of diverse applicants, in addition to specialty professional journals or other job posting resources.

It is important to consider the following when drafting position announcements:

- Develop a broad definition of the position and the desired scholarship, experience, and disciplinary background. Narrowly defined searches may tend to exclude minorities and limit ability to consider candidates with a different profile who, otherwise, would qualify.
- Be clear about what is really "required" and what is "preferred" when describing qualifications and developing criteria. If appropriate, use "preferred" instead of "required," and "should" instead of "must," etc.
- Consider including "experience working with/teaching diverse groups/diverse students" as one of your preferred criteria.

B. Recruitment

Members of a search committee are encouraged to engage in recruitment strategies that will enhance the likelihood of a diverse applicant pool:

- Contact a wide range of external, professional colleagues to seek potential candidates, especially those from underrepresented populations.
- Personally identify professional contacts that have diverse backgrounds or experiences.
- Disseminate position announcements at professional meetings, societies, or

within organizations that may assist in recruitment.

- Call potential candidates directly to encourage them to apply.
- Ensure that position announcements have been disseminated as widely as possible among participants or readership serving diverse populations.

C. Evaluation of Applications

All members of the search committee will use a standard rating sheet to ensure consistency in evaluation that would normally include: academic credentials, teaching experience, expertise in discipline, professional / scholarly record, experience in working with diverse populations, research interests, national exposure in the discipline, and curricular need. When developing criteria it is important to consider the following:

- Be clear to differentiate between what is “required” v. what is preferable.
- Be careful not to inadvertently rely on unwritten or unrecognized criteria, informed by unconscious biases. The committee should avoid qualifications or other criteria not having to do with actual job duties that tend to disqualify diverse candidates disproportionately.

D. Screening Process

The screening process, if appropriate, may include initial phone conversations or live video interview to assess whether or not to invite the applicant to campus for formal interview. This process should involve at least two members of the full committee. Full committee participation in this activity is not required. After conducting initial interviews, the search committee will invite the top candidates to the campus to meet with the search committee and other individuals or groups as appropriate. Candidates for full-time positions should give a formal presentation, open to the University community, on a relevant topic. It is the responsibility of the Human Resources department to notify those applicants who are no longer under consideration.

Applicant Interviews and References

POLICY: Search committee interviewers will avoid the following areas of inquiry.

- Age or date of birth;
- Birthplace or the name of the country where citizenship is held;
- Marital status or children;
- Request for applicant photographs;
- Height/weight queries;
- National, racial or religious affiliation of a school;
- Religion, creed, denomination, affiliation, parish, pastor, or holidays observed
- Arrest/conviction record;
- Military service;
- Organizational affiliations;
- Disability.

After campus interviews, the search committee will forward the name(s), and vitae of the recommended candidate(s) to the Dean/Chair, who will then, in consultation with the hiring manager (if applicable), forward their recommendation(s) to the AVP. It is required that all candidates forwarded to the AVP for approval should be accompanied by three written or phone references.

Any written communication regarding the search, application review, or interview process must be archived in the Human Resources Department for both successful and unsuccessful candidates.

References and Authority to Hire

POLICY: Sole authority to hire faculty is vested in the President. This authority is customarily exercised through the Academic Vice President. The Academic Vice President must review and approve all recommendations to hire faculty in the regular classification. This typically includes an interview with the AVP for the recommended candidate. The Dean or Chair is authorized to make the formal offer of employment, including rank and salary, with AVP approval. Final approval of academic rank, thus salary, cannot be determined until Rank and Promotion review is completed (also see Academic Rank for Newly Employed Faculty). Deans and Chairs can make the offer of employment, however, formal HR employment procedures must be observed. The AVP will make all employment offers to direct reports in consultation with the President. In all cases, reference checking and verification of previous employment is required for all candidates prior to making a job offer. Three references are required utilizing a Faculty Reference Checking Form available from the Department of Human Resources.

Health Screening Requirements

POLICY: Faculty are required to complete a pre-employment physical prior to employment. Individuals who do not complete the PPD test will not be cleared for hire until completed.

External Employment

POLICY: Faculty members of the University shall not allow outside employment to interfere with their faculty responsibilities. Faculty members of the University are expected to devote their professional efforts to teaching, scholarly activities, and service. Clinical employment at other agencies/institutions that enable faculty members to maintain their clinical expertise is encouraged.

Faculty Employment

POLICY: For general information about Employment, please refer to the *SMU Staff and Faculty Handbook*. The pre-employment criteria for faculty in the Academic Division are listed below. The hiring procedure below applies to all faculty classifications, inclusive of regular, annual and term.

PROCEDURE:

STEP 1: Hiring Manager (Dean, Department Chair, or Managing Director) drafts job description and position announcement.

STEP 2: The Hiring Manager submits the completed Personnel Requisition Form (PRF), job description, and position announcement to the Academic Vice President (AVP) for approval.

STEP 3: The AVP approves PRF, job description, and position announcement and sends to Human Resources (HR) for review and posting.

STEP 4: HR posts position to appropriate venues. In consultation with the Hiring Manager, HR will invite faculty to participate on the search committee.

STEP 5: HR will screen applicants for minimum qualifications; applications for leadership position will then be forwarded via email to the appropriate Dean for review and possible telephone screening search committee chair.

STEP 6: HR convenes the search committee and Chief Diversity Officer to review and rank applicants via Survey Monkey. All search committee processes are **CONFIDENTIAL**.

STEP 7: If there are questions pertaining to ranking of the applicants, HR will consult with the search committee chair for clarification.

STEP 8: Once HR reviews the ranked applicants, the search committee will schedule phone interviews. The search committee will also rank the phone interviews.

STEP 9: The top candidates are invited for campus interviews. See above section under interviews for details concerning campus interviews.

STEP 10: The search committee forwards their recommendations to the Dean/Program Chair who, after interviewing the top candidates, forwards recommendation to AVP for approval. Recommendation includes proposed rank, salary, and start date. Once approved, the Dean/Chair is authorized to make employment offers to administrative and non-administrative faculty. The AVP will make all offers to Deans and Department Chairs.

STEP 11: The Dean/Program Chair or designee completes the online New Employee Services Request Form for Information Technology and Facilities.

STEP 12: Regular/annual Faculty: AVP forwards approval to Institutional Research (IR) IR notifies hiring department that candidate is loaded into the FIA system. Hiring department completes FIA.

STEP 13: Term Faculty: Hiring manager or designee enters faculty candidate information into the FIA system. FIA system notifies hiring department that candidate is loaded into FIA system. Hiring department completes FIA.

STEP 14: The Office of Academic Affairs (OAA) submits the FIA to HR to begin the on-boarding process (offer letter, background check, and medical assessment including a drug screening), through Sutter Logistics. In the event that the start date occurs prior to final clearance from Sutter Logistics, the hire will be paid through a temporary agency until clearance to hire is received. In that event, faculty will be allowed to begin employment during the on-boarding process. The Hiring Manager will receive email notification from Sutter Logistics when the hire is “cleared to start.” HR will terminate employment if on-boarding information does not return clear.

STEP 15: HR will contact the candidate after receipt of clearance to complete all remaining new hire paperwork.

Faculty Orientation

An online, self-paced faculty orientation program is available at <https://www.samuelmerritt.edu/academic-affairs/orientation>. Also included is a suggested schedule for completion (30, 60, 90 days). The modules are not mandatory, rather highly suggested. Faculty should consult with their manager regarding departmental expectations.

Faculty Evaluation System

Samuel Merritt University faculty are evaluated on an annual basis. Please see the detailed description of the faculty evaluation policy/procedure in Section B of this document for additional information.

Dean / Chair Annual Evaluations

POLICY: All Deans and Chairs, who are direct reports to the Academic Vice President, will undergo an annual evaluation via the Performance Success and Development Process (PSDP). This evaluative material will contribute to the decision by the AVP to re-appoint the Dean or Chair or replace the incumbent. It will also serve to chart progress in teaching, service, and scholarship.

Fundraising—Institutional and / or Student-Sponsored

SMU maintains both institutional and student fundraising policies, found at the respective links below. Due to the highly regulated and complex nature of federal and/or state requirements regarding fundraising activities within non-profit institutions, faculty are required to consult the Executive Director of Development before any fundraising event is undertaken whether it is faculty or student sponsored. Although these policies and attendant procedures exist in general form, there are many types of fundraising activities that cannot be detailed in policy that would cover every occurrence, thus the requirement to obtain consultation from SMU's fundraising professionals.

<https://sh-smu.policystat.com/policy/2664403/latest/>

<https://sh-smu.policystat.com/policy/3064900/latest>

Attendance at University-Sponsored Events

POLICY: Faculty are expected to attend Commencement, Town Halls, Faculty Organization, Departmental meetings and professional development activities (including those related to diversity and inclusivity). Failure to comply with this policy should be noted on the employee's annual evaluation.

Contract Signing Authority

POLICY: The President is the only University official authorized to sign contracts. These include, but are not restricted to independent contracts, clinical agency contracts, and contracts to secure event venues.

Faculty/Student Exchange Policy

POLICY: In order to properly serve international exchange students and faculty as guests of SMU and be in compliance with the Memorandum of Understanding between Seirei Christopher University and Samuel Merritt University, the following policy will be in effect.

1. The receiving department/s at SMU will forward the EXCHANGE LETTER OF AGREEMENT* to the AVP for review and approval. The NOTICE OF VISIT should be attached.
2. Visitation requests must come from and approved by a dean, chair or director or another administrative authority assigned to serve in that capacity. This authority will serve as the SMU liaison for visit planning and execution (in tandem with assigned OAA staff).
3. The assigned administrative authority will be responsible for ensuring that:

- 1) the requested observational visit (NOTICE OF VISIT) meets the requirement of notification no later than four months prior to the visit, and:
- 2) the EXCHANGE LETTER OF AGREEMENT is sent to the AVP.
4. The department/s receiving visitors will be responsible for securing all travel arrangements including overseas travel, room, board, and local travel if not otherwise handled by the visiting institution.
5. The role of OAA staff will include finalization of the visit agenda, reserving required classrooms and venues for SMU events sponsored by the Office of the President.
6. On-site catering requirements (if applicable) during the visit are the responsibility of the sponsoring department/s.
7. All costs of entertainment for official events* incurred from the visit, including gifts, will be approved by and charged to the Office of the President.
8. Any expenses for off-site activities will be assumed by the sponsoring department/s.

* SCU and SMU MOU—Schedule A

** An “official” event is one sponsored by the Office of the President.

Program Review

Program Review is one component of SMU’s Institutional Effectiveness Framework and is also a requirement of the University’s regional accreditation agency, WASC Senior Colleges and University Commission (WSCUC). The WSCUC program review process consists of cyclical and comprehensive programmatic self-inquiry, analysis, reflection, and planning; it also entails external review of a program’s self-study and an on-site visit by those reviewers. Since all academic programs at SMU undergo rigorous specialty accreditation processes by profession-specific accrediting agencies in regular cycles, our program review process is integrated with the specialty accreditation processes of each program.

According to WSCUC, three expected features of a program review process are:

- I. Outcomes-based assessment of student learning and development
- II. Continuous quality improvement processes that are evidenced based to support decision making
- III. Use of program review results to inform planning and budgeting

Both the program review and specialty accreditation processes are a shared responsibility among all SMU stakeholders: faculty, staff, students, academic and administrative leaders in all divisions, the Board of Regents, and community partners. While the primary responsibility to complete both the specialty accreditation and PR processes lies with the dean, chair, or program director of an academic program, the compilation of a self-study, orchestration and completion of an on-site visit from an accreditation team, and the completion of the Program Review/Accreditation Self-study Articulation Report (PRASAR, p. 3) represents a collaborative effort.

Program Review Resources

All documents required to complete the program review process are located on the SMU website at <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>. Completed review documents are archived on the Institutional Effectiveness Center Canvas site: <https://samuelmerritt.instructure.com/courses/2638679>

These documents include:

- SMU Program Review Guidelines
- PRASAR Template (Program Review Accreditation Self-study Articulation Report)
- SMU Program Review Schedule
- WASC Senior College and University Commission Program Review Resource Guide – 2013 Handbook of Accreditation Update [updated October 2015]

Focused Program Review

POLICY: In the event a school, department or program suffers a precipitous enrollment drop, fails to meet accepted academic standards or financial performance expectations, a focused program review may be called by the President, Academic Vice President or the University Planning and Advisory Council (UPAC). A formal review is conducted by an ad hoc task force, and a written report is provided to the University President. A review may be called absent a declaration of an enrollment emergency.

Criteria for declaration of Focused Program Review (critical triggers):

- Financial performance of a program below projection for one or more years;
- Negative trends or poor outcomes in key educational quality performance indicators;
- Negative trends in employer satisfaction with program graduates;
- Negative trends in key performance indicators from alumni or currently enrolled students.

Criteria for declaration of Enrollment Emergency:

- A substantial decline of enrollment that potentially jeopardizes a program's, quality, stability, or fiscal well-being and would likely affect substantially, the University as a whole;
- Evidence that current funding levels for faculty may have to be modified.

PROCEDURE: (See Focused Program Review document posted at:

<https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>.) The ad hoc Task Force for Program Review consists of the following subcommittees. The Academic subcommittee will address issues relating to the enrollment, quality, outcomes and performance. The Budget subcommittee will address issues relating to finance. The two-part report will serve as the final report to the President.

Academic Subcommittee - Report Criteria A

- Academic Vice President, Chair
- Chair, University Curriculum Committee
- Two faculty to be named at the discretion of the Academic Vice President in consultation with leadership of the Faculty Organization (both internal and external to the affected program).
- President of Faculty Organization or designate

Budget Subcommittee - Report Criteria B

- Vice President for Finance and Administration, Chair
- Enrollment and Student Services representative
- Program Director or Chair
- Budget Manager

The following guidelines will be used by the Ad hoc Task Force for Program Review to prepare a report of the findings and recommendations.

Report Criteria Part A

- A clear statement of the problems, issues, and trends that led to unsatisfactory performance results. This may require a formal market analysis that demonstrates continued need and applicant demand for such a program.
- An analysis of why the program has been unsuccessful in meeting performance targets.
- A list of recommended actions to be taken to address or reverse unsatisfactory performance including options available for curricular reduction or reorganization to make the program more competitive.
- A retrenchment plan that allows the program to meet budget requirements for a period of no less than 3 years. These recommendations must be accompanied by a financial impact analysis with consultation from the Office of the Vice President for Finance and Administration.

Report Criteria Part B

- A budgetary analysis of program profit and loss projected for the current year and two subsequent years based on current trends.
- An analysis of the program's financial situation on the University as a whole including the impact on the University's ability to achieve strategic initiatives.
- A statement that details what is reasonable to expect in terms of increases in student enrollment given national trends and competitive position of the program.

For programs declared to have an enrollment emergency and when the recommendation of the President to the Regents, on advice of the University Planning and Advisory Council, is NOT for immediate teach-out and closure, the program's status changes from EMERGENCY to WATCH status. Programs having experienced a program performance review, without declaration of an enrollment emergency, will also be placed on WATCH status. Programs will be notified they are on watch status, which will be continuous until the criteria listed below are met (normally between two and three years) as determined by the President's Council. After that interval, the program will

return to regular status. At any time that substantive portions of the criteria are not met after a reasonable time to institute correction, the President and Board of Regents may declare program teach-out and closure.

Essential criteria to release emergency/watch status:

- Enrollment targets are met as described within two to three years;
- Revenue to cover program expenses and required overhead is sufficient so that the University budget is not unduly compromised. Annual budget reviews are required in year two and three;
- The program can meet or exceed all specialty accreditation requirements. The program has an action plan and timeline to resolve non-compliance with guidelines for specialized accreditation;
- Graduate performance on licensure and/or certification examinations is acceptable;
- Number and quality of faculty are appropriate to conduct the curriculum;
- A comprehensive curriculum evaluation has been conducted and the program can demonstrate quality and cost effectiveness;
- Other requirements for remediation as required by the Academic Vice President are met.

Faculty appointments during interim of enrollment emergency

During any period of enrollment emergency, the University is committed to continue two- and three-year appointments to term. However, at the subsequent appointment period, the three-year rolling term appointment may cease to roll and a two-year appointment may be issued. Likewise, a two-year appointment, at its term, may be subject to renewal for a term of one year. Faculty with one-year appointments may or may not be issued another appointment and are susceptible to decreases in total workload and subsequent pay decrements, depending on program need and student enrollment. It is the intent of the University to preserve as many full-time and senior faculty as possible.

Resumption of the three-year rolling and two-year appointments will occur when it is clear that the program can maintain regular status and enrollment. In the event of program closure, attempts will be made to retain faculty, particularly three-year rolling and two-year renewable faculty, in other capacities within the University, if such are available and meet University needs.

Teach-Out Plan

POLICY: If the University opts to suspend new enrollment in any program for three consecutive years, the program shall be considered formally closed and may not readmit students without formal review and approval by the Academic Vice President and recommendation of the University Planning and Advisory Committee. Students remaining in the program at the time enrollment suspension is declared shall be formally notified of the program's closure by the appropriate Dean, Chair or Director and shall be given directions and a timeline for completion. This letter will be issued after

consultation with the VP of Enrollment and Student Services to ensure consistency with University enrollment policies.

Student Academic Advising

POLICY: All faculty are expected to advise students as part of their instructional role.

These responsibilities include:

- Providing competent and accurate counsel regarding progression/graduation and other pertinent matriculation policies;
- Advising students in academic jeopardy and identifying resources to enhance success;
- Referring students to appropriate academic support services;
- Counseling students regarding career choices and professional development issues;
- Assisting and participating in planning annual career fairs and other recruitment activities;
- Attending departmental/University sponsored orientation sessions.

Documenting Student Performance

POLICY: In addition to regular evaluations, faculty are required to formally document student performance in special situations. This documentation is most often appropriate when a student is in academic jeopardy, or their behavior has, or may have, an impact on performance in the course. Written documents must be signed by both the student and instructor to acknowledge receipt of the document. If the student refuses to sign, the instructor is to note such and sign. The student is encouraged to provide written comments. The student is given a copy of the document, and the original is filed in the Office of the Registrar.

Appropriate documentation may include the following:

1. A list of specific course learning outcomes/policies/performance criteria considered unsatisfactory;
 - identify course learning outcome(s)/behaviors not met;
 - describe how learning outcome(s)/behaviors were not met;
 - detail safety violations, if applicable;
2. Identify specific student behaviors required to demonstrate a return to satisfactory performance and methods to assist, e.g. additional skills lab, readings, or other applicable remediation.
3. Detail follow-up plans including implications of unimproved behavior that might affect performance in the course.

Academic Program Enrollment Capacity

POLICY: Decisions regarding appropriate enrollment capacity and actual projected enrollments will be made jointly by the Academic Vice President and the Dean, Chair or Program Director. Six data points will be used in establishing academic program enrollment capacity:

- 1) Availability of faculty

- 2) Availability of clinical sites
- 3) Availability of laboratories and classrooms
- 4) Accreditation guidelines
- 5) Financial margin
- 6) Sufficiency of applicant pool

PROCEDURE: The Academic Vice President will review enrollment capacity by program, annually. This review will occur following the completion of each enrollment cycle as part of the budgeting process. The Academic Vice President and the Dean/Chair/Program Director will review data, in consultation with the Vice President for Enrollment and Student Services.

Student Travel Policy (International Travel)

Travel experiences are best undertaken by well-informed travelers. The University strongly encourages all students and faculty who are planning travel for educational or other purposes to review thoroughly the political, health, crime, and other safety-related conditions prevailing in any country or domestic locale to which travel is contemplated.

Faculty participation is not required for student travel unless university credit is being awarded. Since travel can present formidable logistical challenges, especially for the first time traveler to a remote destination, the University requires that students undertake travel as part of a recognized and experienced medical mission agency with well-defined safety policies and procedures as well as relationships with local medical, social, and housing authorities. Agencies of this type include Global Medical Brigades, and the Center for Health Leadership and Practice. If students choose to travel on their own, they cannot use the University's name on materials, websites, fundraising posters, etc.

All University students are responsible for their own safety when traveling. SMU will not fund, award credit for, or otherwise sponsor or support travel to any country where the U.S. State Department (http://travel.state.gov/travel/cis_pa_tw/cis_pa_tw_1168.html) has issued a warning that recommends U.S. citizens depart the country; advises U.S. citizens against all travel to the country; or recommends that U.S. citizens defer non-essential travel to the country, or (very high) level threat. This restriction will apply through the date of departure.

When applicable, all students must sign a Travel Abroad Release (located at <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>) acknowledging their understanding of the risks of such travel, affirming that they have reviewed and understand relevant safety-related materials, and assume the risks related to their travel. It is the responsibility of the student to submit the signed waiver to the program director/chair or dean who will, in turn submit the waiver to the Office of Academic Affairs.

What to do in an Emergency

If you encounter an emergency while traveling where serious injury or illness has occurred, immediately seek medical treatment at the closest medical facility. If medical service is not available, contact the nearest U.S. Consular service or Embassy (<http://www.usembassy.gov/>).

Student Fundraising Associated with Your Trip

The University will not participate in any student travel fund-raising activity that is not sponsored by an approved group who provides students access to a modicum of safety related services such as health care and access to evacuation services. Student fundraising, either through the University or approved sponsoring agency is managed by the Office of Development at the University. Please refer to the *Catalog and Student Handbook* for the Student Fundraising Policy.

Faculty Injuries / Occupational Exposures

POLICY: Faculty will adhere to protocols for reporting injuries or exposures. The processes to be followed are detailed in the “Occupational Injuries and Student Clinical Injuries” section of the SMU Office of People and Culture webpage (<https://www.samuelmerritt.edu/faculty-and-staff/office-people-and-culture>). All required forms referred to in this section can also be located on this page.

Records Retention

It is the policy of Samuel Merritt University that all business records (documents, data, and materials) are maintained in an organized and secure manner and for periods of time consistent with legal or regulatory requirements and prudent business practice. In addition, the University will refrain from retaining such records any longer than the required time period necessary to comply with legal retention requirements, legal preservation holds, and prudent business purposes.

POLICY: For the complete Academic Records Retention, Management and Destruction policy, and related forms and templates, visit the following link in PolicyStat: <https://sh-smu.policystat.com/policy/3168239/latest/>.

ACADEMIC DIVISION—CURRICULUM

Philosophy of Teaching and Learning

The philosophy of teaching and learning at Samuel Merritt University consists of a system of beliefs and values about the partnership between faculty members and students in the teaching and learning process. Our philosophy is directed toward the preparation of health care practitioners whose practice is planned and coordinated around the unique qualities of each person served. Our philosophy requires that our graduates use sound reasoning that incorporates the current best evidence, their clinical expertise, and the preferences of the people served.

In the partnership between student and faculty, we believe that the responsibility for effective learning ultimately rests with the student. Our partnership honors and respects the varied life experiences students bring to the learning environment. Learning is a social process and takes place within the context of the learner's lifestyle, culture, and readiness to learn. Process, outcomes, and competencies are integral to the educational enterprise.

Faculty members, as the experts in the discipline and in the academy, have the responsibility to establish an environment conducive to learning, exhibit expertise within their discipline, and facilitate learning through use of current, best practices of effective teaching and learning.

Programs, curricula, and courses are designed to value active, experiential learning and collegial, scholarly, and effective interaction among students and faculty. Faculty members have a fiduciary responsibility for the students who trust us to create an effective learning environment. We believe that clinical and practical applications, grounded in the basic sciences, social sciences, and humanities, provide a critical foundation for learning in the health professions. Ultimately, the responsibility our graduates have for the health of the people they serve requires that they integrate, apply, and critically evaluate their learning throughout all phases of their health professional education.

Curriculum

Why submit to the University Curriculum Committee?

The need to review, identify and approve curricular changes is based on the premise that each course within a program is part of a unified whole. The University Curriculum Committee (UCC) reviews courses to ensure that they fit within the mission of the University and the curriculum of their designated program. The UCC also facilitates the publication of catalog changes, petition approvals from the registrar, and other academic systems such as the course learning management system and the curriculum mapping initiative. Even minor modifications to a course may need to go to the UCC. The Academic Vice President approves curriculum changes upon the recommendation of the University Curriculum Committee, which is part of the Faculty Organization.

What needs to be submitted to the University Curriculum Committee?

Any significant change in a course, or, any change in its Course Learning Outcomes (CLO's), or, any proposed change in a course or curriculum that will require a change in the Catalog and/or Student Handbook must be submitted to the University Curriculum Committee. Such changes include:

- A proposed change in course learning outcomes (CLO's) for an existing course.
- A change in the course description.
- A proposed substantive change in the method of student assessment in a given course.
- A proposed increase or decrease in assigned credit units.
- A course is being deleted.
- A new course is being proposed.

NOTE: Courses not taught in the last five years will be deleted from the Catalog and Student Handbook. If the course is offered again, it must be submitted to the University Curriculum Committee for review and approval.

- The proposal requires modification to the Catalog and/or Student Handbook (e.g., a change in the course description or title).
- Re-sequencing of existing courses within a program's master curricular plan.

Who should submit proposals to the University Curriculum Committee?

The curricular-change implementation process may be initiated by individual faculty member(s) bringing concerns/suggestions to their respective departmental curriculum committee or chair or through the implementation of the curriculum evaluation plan specific to major curricular components.

The department curriculum committee is responsible for implementing a process which involves participation by the total faculty of the department, obtaining department approval, and submitting a written recommendation to the University Curriculum Committee of the Faculty Organization. Prior to submission to the University Curriculum Committee, it is expected that all curricular change proposals will have passed through a departmental curriculum committee and been reviewed to ensure that the course content meets the program's standards and accreditation requirements. All submissions must be approved and signed by a sponsoring administrative head (Program Director, Chair, or Dean).

When to submit a Proposal to the University Curriculum Committee

All completed submissions, including departmental approval, must be received by the Chairperson of the University Curriculum Committee at least three months in advance of the date of the proposed implementation of the curricular change.

How to submit a Proposal to the University Curriculum Committee

Submissions to the Curriculum Committee can be made on-line by completing the Curriculum Change Form found at <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>).

A new course or course revision proposal submitted to the University Curriculum Committee will be reviewed for:

1. Correct completion of paperwork:
 - Compliance with University guidelines: does the syllabus include the most up to date verbiage and format?
 - Has the paperwork been approved by an administrative head?
2. Congruency:
 - Do all of the course elements link together?
 - Is the course description an accurate reflection of the course content?
 - Is there a valid rationale for the proposed change and is that rationale reflected in the course content?
3. Level of rigor:
 - Does the unit allocation comport with the workload?
4. Alignment:
 - Do the course CLO's map with the PLO's?
 - Do assignments and assessments align to CLO's?

Course Deletion from *Catalog and Student Handbook*

Courses not taught in the last five years will be deleted from the *Catalog and Student Handbook*. If the course is offered again, it will need to be submitted to the University Curriculum Committee for full review and approval.

Definition of a Credit Hour

POLICY: A credit hour is defined as an amount of work that reasonably approximates one hour of classroom or direct faculty instruction and a minimum of two hours out-of-class student work per unit, each week for approximately fifteen weeks or the equivalent of one semester. Courses fully online require the same work effort for award of credit. All expected course efforts, regardless of instructional format, must be verified by achievement of course learning outcomes, quality of work assignments, and effective online engagement (if applicable) that promotes collaborative learning.

Regarding clinical/laboratory coursework, a credit hour is defined at a minimum ratio of 1/3 (direct instruction to study/preparation/clinical experiences) as cited above. Clinical or laboratory ratios vary by program beyond the minimum identified in this policy, based on specialized accreditation requirements by discipline. Clinical experience hours and laboratory hours completed as part of any course must be logged by students and meet graduation and national board examination requirements.

Use of Learning Management System (LMS)

POLICY: Faculty are required to use the University's learning management system (LMS) for each course in which they have instructional responsibilities. Each course in the LMS should be organized in a manner that promotes an environment conducive to

learning through use of current best practices. At minimum, the course in the LMS will include the following:

- Syllabus¹
- Assignments²
- Rubrics,³ linked to assignments and including course learning outcomes (CLOs)
- Grades

This policy addresses minimal requirements for faculty use of the LMS and is intended to be a starting place for implementing instructional design best practices for effective teaching and learning. The definitions in the footnotes are specific to the language applicable to the Canvas LMS.

Faculty are expected to utilize all Faculty Resources (including but not limited to [Academic & Instructional Innovation LMS resources](#), Canvas 24/7 Help Line, and Canvas Guides) available to optimize their use of the LMS and in an ongoing effort to meet the SMU [faculty technology core competencies](#). Faculty may also contact A&I for support in complying with the policy.

Documentation of adherence to this policy must be included in annual faculty evaluations; i.e., self, peer or other.

PROCEDURE: The faculty of record for each course will upload the syllabus, assignments, rubrics, and grades into the LMS course shell each semester. All course faculty are required to use the same syllabus. The CLOs are automatically pre-loaded into the course shell from the curricular mapping tool (CMI); the course faculty of record is responsible for ensuring CLO accuracy in the course each semester. CLOs will be changed in CMI only with the appropriate documentation from the Curriculum Committee.

Course Syllabus Format

POLICY: A course syllabus is required for all courses approved by the Curriculum Committee. Format for course syllabi may vary slightly from department to department due to accreditation requirements, but must include:

Course Information:

- a. Course number, title, description
- b. Units, prerequisites, corequisites

¹ A course syllabus uploaded into the Syllabus area of the LMS as a separate document will suffice for this requirement.

² Specific to this policy, *Assignments* refers to language used in the Canvas LMS that refers to any form of assessment of student learning (including but not limited to exams, papers, discussion board.) Anything that the faculty uses to assess the achievement of a CLO can be listed as an *Assignment* and is linked to that CLO via the rubric described in footnote 3.

³ Specific to this policy, *Rubric* refers to the Canvas LMS feature that enables linking assignments to CLOs. Rubrics for grading assignments or for purposes other than for linking assignments to CLOs are not required by this LMS policy.

- c. Schedule (if not yet available, a list of topics will suffice)
- d. Teaching and learning methods
- e. Methods of student assessment (Assignments/Exams)
- f. Required learning materials
- g. Approved course learning outcomes (CLOs)

Instructor Information:

- a. Instructor's name, office location, office hours, office phone, email address

Grading Information:

- a. Grading policy
- b. Grading scale
- c. Assignment weights

Course Policy:

- a. Late/Missed work policy
- b. Attendance & Participation policy

University Policy:

The following statements are required to appear in all course syllabi:

a. Withdrawal from Course

After the end of the drop/add period, a student may withdraw from a course without academic penalty until the **midpoint of the course, or when no more than 50 percent of the course has been completed, whichever occurs last**. A student may withdraw from a single course only once. The course remains on the student transcript with a grade of "W". Petitions to withdraw from a course beyond this period would be approved only for serious and compelling reasons such as serious accident or illness. The approval of the instructor and the department chair are required on the petition form, which the student files in the Registrar's Office. If the petition is granted, the course remains on the student record with a "W" grade. If the petition is denied or the student fails to complete course requirements without formally withdrawing, the grade will be determined by the instructor based on the grading policy and requirements as noted in the course syllabus (See Withdrawal from the University and Refund Policies).

b. Academic Integrity

Samuel Merritt University affirms the belief that integrity, truth, respect, and honesty are the foundations for our interactions as an academic institution. All students are expected to abide by the policies of academic honesty and integrity as outlined in the catalogue/student handbook. Please note that the Code of Ethics is published in the Samuel Merritt University Catalog: <https://www.samuelmerritt.edu/student-catalog-and-handbook>. Since dishonesty in any form harms the individual, other people, the community, and the University, policies on academic integrity will be strictly enforced. We

expect you to be familiar with the guidelines for behavior, to follow them, and to know the consequences of violating these standards of ethical behavior.

As noted in the Student Handbook/University Catalog, faculty reserve the right to deal with individual instances of academic dishonesty by imposing sanctions such as failure on a paper or project or even failure of the course.

The following resource will help you to identify and avoid committing one of the most common sources of deliberate and inadvertent academic dishonesty, plagiarism: <https://wts.indiana.edu/writing-guides/plagiarism.html>.

c. Disability Resource Center

Samuel Merritt University recognizes disability as an aspect of diversity that is integral to society and to the campus community. It is the policy and practice of Samuel Merritt University to create inclusive learning environments. The Disability Resource Center (DRC) works with students and faculty to create accommodations when necessary to provide equal access to University services and facilities. If you would like to discuss disability-related needs, please contact the DRC for a confidential appointment at drc@samuelmerritt.edu. Accommodations cannot be applied retroactively, so please reach out early.

d. Title IX Statement

Title IX makes it clear that violence and harassment based on sex and gender is a Civil Rights offense subject to the same kinds of accountability and the same kinds of support applied to offenses against other protected categories such as race, national origin, etc. If you or someone you know has been harassed or assaulted, you can find the appropriate resources here: <https://www.samuelmerritt.edu/discover/student-experience/safety-and-security/sexual-assault-and-violence-prevention-resources>.

e. Recording of Learning Activities

Audio recordings of class lectures are permitted in this course, with advance notice to the instructor. Recordings should not be posted online or otherwise disseminated outside the class. Recording small group or one-on-one conversations should not take place without the agreement of all parties being recorded. Recordings should be destroyed after the course is completed.

f. Course Evaluation

Students have the opportunity to provide feedback to the instructor during the course. All students are expected to fill out an anonymous course evaluation at the end of each course term.

Institutional Learning Outcomes

POLICY: It is the responsibility of faculty to determine that their respective curricula includes opportunity for students to acquire the knowledge and skills necessary to

demonstrate competency of the program and institutional learning outcome(s). Program learning outcomes are found in the Catalog and Student Handbook. The Institutional Learning Outcomes are available on the Institutional Effectiveness section of the SMU website <https://www.samuelmerritt.edu/academic-affairs/institutional-effectiveness>. It is strongly suggested that programs provide student orientation to the learning outcomes at the beginning of their respective programs.

Final Exams

POLICY: The final week of the academic semester is designated “Finals Week.” Departments may choose to conduct final examinations or require submission of final projects/papers prior to this week. Due dates for papers and projects and dates/times for final examinations outside of the designated finals week must be approved by the Department Chair/Program Director and defined in course syllabi. The academic department is responsible for conducting final examinations in a reasonable and pedagogically sound manner, and for ensuring that instructional hours delivered in all courses are consistent with assigned credit hours. The department chair is responsible for the maintenance of this policy.

New Program Development

POLICY: Development of new programs (degree or certificate), or modification or enhancement of existing programs must follow an approval process to ensure proposals are congruent with the University mission and institutional capacity. The New Program Approval Flowchart and New Program Proposal Template can be found on the Faculty Resources and Support page on the SMU website (https://www.samuelmerritt.edu/faculty/forms_and_procedures). This process is managed within the division by the ad hoc Program Development Committee with the AVP as chair. Recommendations of the ad hoc committee will be forwarded to the University Planning and Advisory Council (UPAC) and Board of Regents for final approval.

Independent Study

POLICY: An independent study (IS) is a type of elective course that provides students opportunity to meet their educational need which exceeds course content available in the regular curriculum. An IS course cannot be used as 1) remediation for previously failed coursework or 2) as a requirement to assess clinical skills after returning from a leave of absence. IS courses shall in all cases be equal in rigor and time requirements for learning activities as any other course offered by the University. A syllabus will be required for review and approval by the University Curriculum Committee. All IS courses must have a qualified Faculty of Record. Signature approval of the IS course by the Dean/Chair and the Academic Vice President is required.

An independent study course can be taken by any upper division undergraduate student or graduate student in good academic standing. All independent study courses must be completed in a single semester. An independent study course may range from one to three semester units, as justified by the course syllabus. All IS courses will bear normal

tuition unless, in exceptional circumstances, waived by the Academic Vice President. Grading will follow published policy.

Students can submit an IS petition from the University website at <https://www.samuelmerritt.edu/discover/student-experience/student-services/registrars-office>. When appropriate signatures are obtained electronically, the form will be routed to the Office of the Registrar.

Clinical Readiness

POLICY: For those programs requiring structured remediation subsequent to a failed **clinical** course/rotation, students may be required to enroll in a remediation experience from one-three units. Enrollment in structured remediation can also be used to assess clinical skills after returning from a leave of absence if required by the program in which they are enrolled. Registration in the remediation course is not applicable to failed theory or laboratory courses and assumes that remediation will need to occur within a contracted clinical agency. Structured remediation is not available to students on LOA.

Coursework is devised and supervised by a faculty of record. The formal remediation plan must be approved by the Dean, Chair or Program Director. The plan does not need to be reviewed by the University Curriculum Committee or the Academic Vice President.

Remediation coursework will not bear tuition and no credit will be given. Faculty will not be paid for supervision. Grading will be designated an S/U grade and appear on the transcript. Students can submit a remediation petition from the University website at <https://www.samuelmerritt.edu/discover/student-experience/student-services/registrars-office>. When the Dean/Chair/Director signature is obtained electronically, the form will be routed to the Office of the Registrar.

Faculty of Record

POLICY: All courses which are team-taught or otherwise utilize instructional services of other than a single faculty member, shall assign a faculty of record who takes responsibility for overall execution of the course, evaluation of students, reporting of grades and all related management, scheduling and advising issues.

Professional Courtesy

POLICY: Occasionally, faculty may be asked to teach for other faculty in the same or different departments. Under normal circumstances, full-time faculty substitute for other full-time faculty with the understanding that the favor will be returned in-kind when necessary. No extra compensation is involved unless the number of required teaching hours is excessive as determined by the Dean or Chair. In that case, the Dean or Chair must make arrangements to secure another faculty member on a casual basis at the designated pay rate of the University or contract with a new faculty at the contract pay rate. In all situations where faculty are asked by other faculty to teach, for whatever reason, the respective Dean(s) or Chair(s) must give approval to the arrangement.

Retention of Course Records

POLICY: Faculty are expected to retain all examinations/graded course work not returned to students for at least one full term following the completion of a course.

ACADEMIC DIVISION—CLINICAL AFFILIATION AGREEMENTS AND POLICIES

Clinical Affiliation Agreements and Agency Relationships

A contractual agreement, known as a clinical affiliation agreement, must be on file for each clinical agency to which students are assigned for their clinical experiences. The Dean/Chair of the department and the Contracts Specialist, Finance and Administration, are responsible for assuring the maintenance of current clinical contracts. All clinical contracts must be approved and signed by the Academic Vice President. All questions / issues related to provisions of clinical contracts, including HIPAA and other agency requests, such as student background checks, should be referred to the Contracts Specialist. The single point of contact for the Contracts Specialist are the Clinical Coordinators and/or administrative leads. Neither regular faculty nor students should be interfacing with the Contracts Specialist

Clinical Contracts Process and Procedures

<u>CLINICAL COORDINATOR (CC) DUTIES</u>	<u>CONTRACT SPECIALIST (CS) DUTIES</u>
<p>It is the responsibility of the CC to make the initial contact with the site. The CC must speak with the site's <u>contract</u> person and to provide him/her with the necessary paperwork/program information.</p> <p>Once the CC has made contact with the site he/she will submit a CCRF to the CS. CCRF's should be submitted in a timely fashion, preferably 3 months prior to the scheduled rotation. The CCRF is an internal form and <u>should not</u> be forwarded to the site and/or students to complete. The CS will not accept a contract request in the form of an email or phone call. NOTE: If the information listed on the CCRF is not accurate the CCRF will be returned to the CC. The CC will need to gather the correct/complete information and resubmit CCRF.</p> <p>The CC should continue to contact the site after the CCRF has been submitted. The CC should assist the CS with follow up and checking on the status of the agreement.</p> <p>The CS will make three (3) attempts to contact the site. If the site does not reply after the third attempt, the CC will be notified and the CS will not make any further attempts. The CC will need to start the process again.</p>	<p>It is the responsibility of the CS to create and/or review all clinical agreements, maintain the clinical database and to request certificates of insurance. The CS must make sure clinical agreements are in compliance with SMU and Sutter Health policies.</p> <p>Once the CS has received the CCRF, the CS will review the information for accuracy and contact the site via a phone call and/or email. Once contact has been made, the CS will either send the SMU template agreement or review the site agreement. NOTE: The CS will make three (3) attempts to contact the site. If the site does not reply after 3 attempts have been made, the CS will not make any further attempts and the CC will need to start the process again.</p> <p>Signature(s): the CS will route the agreement for VP's signature. Once the agreement has been signed by SMU and the Site, the CS will add the agreement to the clinical database and request a certificate of insurance.</p>
<u>CLINICAL DATABASE</u>	<u>CLINICAL DATABASE</u>
<p>The CC should review the clinical database before contacting the CS to determine if a current agreement is in place. If the CC has a question regarding accuracy of the information listed in the database, the CC should call/email the CS with his/her question.</p>	<p>The CS is authorized to make changes (additions/deletions) to the database. If there are employees needing access to the database, please send an email authorizing access for each individual.</p>

<p>CC will receive weekly notifications of changes made to the database <i>(such as...new agreements or updated info.)</i></p> <p>CC will receive monthly notifications of agreements that have expired or are scheduled to expire. If an agreement is listed as scheduled to expire, the CC should contact site and begin the renewal process.</p> <p>REPORTS – CC may run reports from the database. Simply click on the REPORTS tab and select the report you need.</p>	
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CLINICAL DATABASE (DB)

CHANGES to DATABASE: the following changes have been made to the DB:

Stage	Approved
Expire Policy	No Expiration
Type of Agreement	(--Select One--)
Data reconciled	<input type="checkbox"/>
Note	
<input type="button" value="Edit"/> <input type="button" value="Delete"/>	
<input type="button" value="Create A New Agency"/>	

EXPIRATION POLICY: indicates when notifications will be emailed to Clinical Coordinator and Contract Specialist. Agreements with no expiration date (such as: Dept. of Veteran Affairs) will have NO EXPIRATION listed. For agreement with an expiration date, CC and CS will receive a notification 3 months prior to the expiration date.

TYPE OF AGREEMENT: indicates whether or not the agreement is written on SMU's template or the site's template.

DATA RECONCILED: indicate that the start and expiration date(s) have been verified by the CS. If a site listed in the database does not have the DATA RECONCILED ✓, CC should email the CS to verify accuracy.

Relationships with Clinical Agencies

The University is dependent upon maintenance of positive working relationships with clinical agencies to support its clinical instructional programs. Faculty members and coordinators are expected to:

1. Assist in planning, implementing, and evaluating clinical instruction as appropriate within their particular department;
2. Work closely with clinical agency personnel in the assignment of clinical experiences necessary for student growth;
3. Maintain effective communications with students, faculty, physicians, and clinical agency personnel;
4. Enhance dialogue and mutual cooperation with staff of affiliating agencies;
5. Coordinate and supervise the educational experiences of students, as appropriate within their department and work with agency personnel to orient students to agency policies and procedures;
6. Maintain a safe environment for students. (If an accident or illness occurs, the instructor or coordinator follows University and agency policy on reporting and follow-up);
7. Instruct students on the requirement of confidentiality of information regarding clients in the clinical setting; and
8. Provide (in a timely manner) the clinical agency with:
 - a) a list of assigned students;
 - b) schedule of student experiences (dates, time, term);
 - c) clinical learning outcomes (prior to initiating the experience);
 - d) name of University administrator/coordinator to be contacted for contract or coordination issues; and
 - e) proof of student and faculty compliance with agency health requirements.

Clinical Activities During Work Stoppage

POLICY: The University's first priority is to further its educational mission, which may be prone to interruption on occasion by a union work stoppage. When this occurs, faculty should make every attempt to maintain clinical scheduling of students, given our educational priority. The University is never a party to or engaged in the dispute.

Students assigned to clinical sites experiencing a work stoppage are expected to attend their clinical experience as scheduled unless notified by the Dean, Chair or Academic Vice President that the clinical agency has officially requested students not to report, or the faculty of record determines, at their discretion, that the learning environment is not safe for either the student or the patient.

If the agency makes such a request, the faculty member is expected to reassign the student to other meaningful learning activities, until such time as the University is notified that the students are permitted clinical access. Clinical coursework is not considered cancelled under these conditions. Faculty should keep their Chair or Dean informed of decisions and situational changes.

Student and Faculty Auto Liability Insurance

Please see PolicyStat (<https://sh-smu.policystat.com/>) for the complete policy.

Participation in Health Fairs

Samuel Merritt University (SMU) encourages students, faculty and staff to participate in community-based activities designed to promote public health and service. The Participation in Community Health and Wellness Activities/Events policy describes scenarios for participation in such events by SMU community members, faculty, staff and students.

POLICY: For the complete Participation in Community Health and Wellness Activities/Events policy, and related forms and templates, visit the following link in PolicyStat: <https://sh-smu.policystat.com/policy/3286153/latest/>.

ACADEMIC DIVISION—SCHOLARSHIP, SUPPORT SERVICES AND RESOURCES

SMU Philosophy of Scholarship

The term “scholarship” embodies a spectrum of activities and academic pursuits that faculty engage in as part of their role as academicians. The intent of this document is to describe the components that represent the current philosophy of scholarship at SMU. This document will evolve over time to be reflective of emerging technology, changing health care environment, advances in clinical practice and education, and a growing University. The goal of scholarship is to systematically advance teaching, research, and/or practice of the faculty member’s discipline through rigorous inquiry that demonstrates both creativity and significance to the profession. Based upon Boyer’s (1997) recommendations and subsequent expansions of that model (Glassick, 2000), SMU recognizes that scholarly work can include the scholarship of discovery, integration, application/service, and teaching/learning. SMU values all forms of scholarship and acknowledges that the evaluation of quality and rigor of the scholarly work will be specific to the type or form of scholarship. The various forms of scholarship are further described below.

The Scholarship of Discovery

The scholarship of discovery focuses on scientific inquiry that generates new and unique knowledge. It produces the disciplinary and professional knowledge that is at the very heart of academic pursuits. The scholarship of discovery takes the form of primary empirical research, both qualitative and quantitative, historical research, theory development and testing, methodological studies, and philosophical inquiry and analysis. These inquiries can be in the form of basic science, applied clinical research or translational studies.

Examples may include (but are not limited to): scholarly efforts that focus on discovery of new knowledge, new philosophical paradigms and theory development, which may include:

- methodological studies
- clinical practice (applied) studies
- historical research
- case studies
- systematic reviews and meta-analyses

The Scholarship of Integration

The scholarship of integration focuses on the discovery of new relationships among disciplines. Scholarship of integration uses concepts and original works from one’s own and other disciplines in creating new patterns, placing knowledge in a larger context, or illuminating the data in a more meaningful way (Boyer, 1990). Critical analysis and interpretation are two common methodologies, but interprofessional work may take place through other mediums.

Examples may include (but are not limited to):

- integrative review of the literature aimed at advancements in interprofessional patient care
- critical analysis of systems to support interprofessional work
- evaluation of the communication of multiple disciplines in a specific practice setting
- development of multidisciplinary clinical practice guidelines

The Scholarship of Teaching and Learning

The scholarship of teaching and learning includes the development of teaching programs, innovative teaching and evaluation/assessment methods, learning outcome evaluation, and aspects of the delivery of health care where evidence of direct impact in solving relevant problems in the profession or community is presented.

Examples may include (but are not limited to):

- evaluation of the use of technology on student learning outcomes
- critical evaluation of pedagogy
- developing, implementing and evaluating new teaching theory and practice
- investigation into the impact of simulation and standardized patient experiences on student learning
- investigations using Classroom Research, Classroom Assessment or Action Research techniques

The Scholarship of Application/Service

The scholarship of application/service includes the investigation and evaluation of the impact and value of service activities that are tied to one's profession. This focus of scholarship can include identification of the unmet needs of specific community groups or populations and developing and implementing a plan for providing service to that community. This can take the form of advocacy, leadership and efforts to change or develop policy as well as providing services directly to those in need. In order for an aspect of this work to be considered scholarly, it must go beyond the level of just providing the services to various communities, groups or organizations. Scholarship of application/service requires critical evaluation and assessment based upon the impact, value or outcomes of the work.

Examples may include (but are not limited to):

- investigate how clinical based educational sessions provided to the community impact health care utilization
- impact analysis of community service efforts to improve health care access and utilization in underserved populations
- evaluate the impact of efforts to change professional practice policy or guidelines on patient care outcomes
- editor/editorial board of a journal investigating the impact of an open access format on the peer review process
- acting as a reviewer for a journal or publisher and providing a critical evaluation of a submitted manuscript, book or chapter in the form of a written peer review, submitted to the author(s) and the editorial board or publisher

It is acknowledged that there is often a close relationship between scholarship and the other roles of a faculty member such as teaching and service. Shulman (1999) helps to further clarify the definition of scholarship as need to meet several criteria. For purposes of SMU's Philosophy of Scholarship, we adopt the following outlined criteria for all of the above types of scholarship; 1) the work must be disseminated within the appropriate scholarly community and 2) the work must be reviewed and critiqued by peers according to acceptable standards (which can include various methods).

Dissemination should be through an acceptable means for the type of scholarly work being performed and the target audience for distribution of the work. This may include publications such as journal articles, chapters or whole books, monographs; presentations at conferences, to community groups, at policy meetings; through electronic outlets such as the internet or within an institution; and other means of dissemination deemed appropriate for the field of study, content and message of the scholarly work. Scholarly works should be made public and accessible for exchange and use by other members of one's scholarly community. The specifics of the scholarly work determine the appropriate audience for this dissemination. Efforts towards this end of dissemination would also fall under the category of scholarship, including but not limited to seeking funding for scholarly projects through grant and scholarship applications and submissions to conferences, journals and other avenues for dissemination. Peer assessment of the work should address originality, rigor, contribution to the profession or discipline, and be performed by professionals in the specialty*. This may take the form of scientific evaluation committee for conference presentations; editorial board for books or chapters; peer review/refereed journal article publications; real time peer feedback on electronic database or website.

* Peer reviewers in the area of "specialty" would depend upon the type and content of scholarly efforts. For instance, when scholarship is focused on teaching and learning, the "specialty" of those providing peer evaluations would be in education and in the specific content area that is the focus of the scholarly work. Additionally, when scholarship is focused on integration or application/service, the area of "specialty" would be those disciplines included in the scholarly work.

References

Boyer, E. L. *Scholarship Reconsidered: Priorities of the Professoriate*. Princeton, New Jersey: Princeton University Press, The Carnegie Foundation for the Advancement of Teaching, 1997.

Glassick, CE. Boyer's expanded definitions of scholarship, the standards for assessing scholarship, and the elusiveness of the scholarship of teaching. *Acad Med*. 2000;75(9):877-880.

Shulman, L. The scholarship of teaching and learning. *AAHE Bulletin*. 1999;52(4):7.

Academic Honesty / Professional Integrity

POLICY: All faculty are expected to adhere to commonly accepted principles of academic honesty and professional integrity in order to promote a productive and safe environment for learning. Key components of academic integrity are communication and respect among the members of the SMU community. Faculty, staff, and students are expected to abide by the codes of conduct and ethics of this University, as well as the code of ethics of their respective professions, which includes reporting misconduct of others. Lack of academic integrity includes, but is not limited to, plagiarizing, cheating, deception, breach of confidentiality, failure to report a clinical error, falsifying research results, and failure to confront and/or report misconduct of others. Faculty and staff standards of conduct are delineated in the *Catalog and Student Handbook*.

Faculty members reserve the right to evaluate individual cases of academic dishonesty by a student and to take appropriate action, which may include failure on a paper or exam or failure in the course. Faculty may also recommend censure, probation, suspension, or dismissal by the Academic Vice President. A written report of any action will be placed in the student's file in the Office of the Registrar. If the student's status in the program is affected, a permanent notation will be made on his/her transcript. Regardless of any action taken by the course faculty member, lack of academic integrity constitutes grounds for suspension or dismissal from SMU by the Academic Vice President.

External Grant Approval Procedure

POLICY: All grants submitted by faculty or staff to external agencies for funding require approval of the department and division head and select University and ABSMC officials to ensure consistency with mission, compliance with development practices, quality of submission and assessment of financial ramifications on University operations. The Grant Approval Routing Form is found on the Faculty Resources and Support page on the SMU website (<https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>) under the "Resources for External Grants" menu. Grants cannot be submitted until these forms have been signed and the appropriate vice president formally notifies the grant author.

Faculty Scholarship and Research Resources

The Division of Academic Affairs maintains a variety of resources to assist faculty in developing their skills in scholarship. These resources include a variety of seed grants, travel support, and consultation services. The University currently maintains two contracts with Hanover Research, one for research support and another to assist faculty in identifying and writing grants to external agencies. Information regarding access to Hanover services can be obtained from the Office of Academic Affairs. (See the "Overview of Faculty Scholarship and Research Resources" section of <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support> for a guide to all current resources and programs available to faculty to support scholarship and research.)

Paul C. Samson Clinical Nursing Professorial Chair

The Paul C. Samson Clinical Nursing Professorial Chair was established to acknowledge excellence in teaching, and secondarily, exemplary service to the University and affiliating agencies in professional and scholarly activities. This honor, which is available every third year, includes a plaque and a cash award. The decision to award this Chair is to be based on the collective professional judgment of the selection committee appointed by the president. Due to the intent and the substantial amount of the award, the committee may elect not to award the Chair, if, in its opinion, none of the applicants has presented sufficient evidence of accomplishment.

Procedure for selection of Sampson Chair:

A committee of no less than three faculty members of the School of Nursing shall be selected by the Dean of the School to act as the applicant review committee. Committee members should hold the rank of Associate Professor or Professor.

The committee shall receive from the Dean of the School of Nursing all required material from applicants by February 1, of the year in which the award becomes available (three year cycle). The committee will review and make recommendations of the recipient to the Dean by April 10. The Dean will forward his/her recommendations to the President or designate with written justification by May 1. The President or designate will maintain final determination of the award, and announce the award by May 15, if conferred.

The recipient must submit evaluative materials (updated dossier) to the Dean annually for review in order for grant funding to be continued in year 2 and 3. This update must address clearly, valued contributions to the School of Nursing. In the event the faculty member should leave during the term of grant, all funding shall be terminated, without bias. The Dean may deny subsequent funding in year 2 and/or 3, if in he/she deems in his/her sole discretion that the quality of contribution to the School of Nursing (according to award criteria) does not meet appropriate standards. The award process will be reopened in such event. Materials related to the qualifications and application for award of this Chair are available in the office of the Dean of the School of Nursing.

Faculty Research “Seed” Grant

The University actively encourages faculty research and scholarship as part of the regular faculty role. The purpose of the Faculty "Seed" Grants program is to provide funding to help SMU faculty develop new scholarship projects, including curricular innovations. For detailed information on the Faculty Research Seed Grant Program and application materials please go to: <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>.

Faculty Scholarship Grant Program

The Faculty Scholarship Grant Program (FSGP) is an internal grant program intended to support faculty scholarship that is aligned with the University's mission and vision and that advances the Division of Academic Affairs' strategic priorities. The FSGP serves as

a source of major financial support for faculty who are on a trajectory that could result in external funding for their scholarship as well as for faculty whose field of scholarship may not result in external funding, but whose scholarly work is nevertheless valuable to the University and the communities it serves. For more detailed information about the program and application materials please visit:

<https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>.

Travel & Education Funds

Each department budget includes faculty development funds. Priority for funding is based on departmental need and institutional strategic priority. The Office of Academic Affairs also provides limited funding to support faculty to attend invited scholarly presentations, in addition to department support. On occasion, the Office of Academic Affairs may ask faculty to attend a workshop or conference on behalf of the University. In this case, the OAA will fund the faculty travel expenses. Acceptance of travel and education funds implies a commitment to share knowledge of the event with colleagues.

Criteria for Divisional Travel Support

1. Funds are available for regular faculty of 0.75 FTE or greater for dissemination of scholarship via podium presentation at national professional conferences within the U.S. No international travel is supported by these funds.
2. Travel supplements are limited up to \$3,500.
3. Applications will be accepted on a rolling basis and approved applications will be awarded on a first-come-first served basis, though half of the annual travel support budget will be reserved for applications submitted after June 1.
4. Applications must be submitted to the Office of Academic Affairs. (Application form is available at:
https://www.samuelmerritt.edu/faculty_scholarship_resources.)
5. Applicant must include an abstract of the presentation and a copy of the invitation to present or a letter of acceptance of paper for presentation with their application.
6. The Academic Vice President's Leadership Team will review and award funding requests.
7. Funds will be distributed as a reimbursement from the Office of Academic Affairs via Ascend on submitted receipts.

Application form is available at: <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>.

NOTE: Travel funds are finite and not all requests may be funded.

Editorial and Statistical Support

Consultants are available to assist faculty with development of their research grants, statistical analysis, publications or presentations. Interested faculty should submit a written request for these services to the Office of Academic Affairs for review and potential funding.

Grant Support

The University contracts with Hanover Grants based in Washington, D.C. to provide both research and grant support services. Research services range from conducting full research projects for the University, to faculty support including manuscript editing, methodological evaluation, data analysis and statistical consultation. Grant services include a monthly grant report to University faculty and direct support in constructing, editing and evaluating grant submissions. Faculty may find more information about these services through their Dean or Chair. When faculty want to receive these services, they should contact the Office of Academic Affairs, to be placed in the service queue.

Faculty Education Support

The following table summarizes the various opportunities for support for faculty education.

Program / Resource Name	Purpose / Description	Links to Application Materials/Additional Information
Tuition Reimbursement Plan	It is the policy of Samuel Merritt University to provide tuition reimbursement of eligible employees to enhance job-related skills and knowledge or enhance reasonable potential for advancement. This program is voluntary and restricted to course work that is attended during non-work time (unless otherwise approved by an eligible employee's supervisor), not necessary for the employee to perform his/her job duties, and not otherwise required or directed by Samuel Merritt University.	For details regarding this policy, please consult PolicyStat ID: 4425689.
Tuition Remission in SMU Courses	In keeping with its goal to attract and retain educators and professionals to excel, SMU provides opportunities for faculty and staff to enroll in up	For additional information on the SMU Tuition Reimbursement Plan, please see https://www.samuelmerritt.edu/faculty-and-staff/hr/benefits

	to one course per semester at SMU at no charge (up to three semester units).	
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Sabbatical Leave

SMU, recognizing the necessity for faculty members to acquire new experience to enrich their teaching or to secure uninterrupted time for research and writing, supports the principle of the sabbatical leave. The purpose of the sabbatical leave is to promote professional growth, development, and renewal. Activities of the leave should include creative and/or scholarly work which promises to enhance the teaching effectiveness of the applicant and produce academically or socially useful results. The applicant is encouraged to seek a variety of possible solutions in the process of attaining desired goals. Research, writing, travel abroad, advanced clinical practice, and post-terminal degree study should all be considered. The leave may not be used to complete a doctoral degree, for the purpose of regularly compensated work at other teaching institutions, or to support activities which will interfere with the stated purpose of the leave.

Eligibility

Sabbatical leave may be granted to a faculty member after a total of six years of fulltime service, or its equivalent, prior to the first or since the last sabbatical taken. Eligibility will be determined by the Academic Vice President (AVP). Sabbatical leave can be for one (1) academic year in length, which carries 50 percent of the regular salary, or for four (4) to six (6) months at full pay. The specific length of the sabbatical leave request will be determined by the faculty member and their Dean/Department Chair.

During the sabbatical leave, the expectation is that no University-related duties, such as teaching, administrative activities, and committee work, will be performed. Insurance coverage, retirement contributions, promotions, salary increases, and all other benefits will continue throughout the leave. In the case of a sabbatical leave granted to a faculty member who will receive a salary, grant, or stipend from another source for his/her work while on leave, submission of appropriate documentation to the University is required. A faculty member granted sabbatical leave will be asked to commit in writing to remain on the SMU's faculty for one full year after completion of the leave. If the faculty member is employed on an annual term basis at the time the sabbatical leave is granted, this provision is not to be construed as an obligation on the part of the University to employ the faculty member should a position not be available in the year following the sabbatical leave.

Evaluation of Proposals

The principal criterion in judging a request for leave is the extent to which it will enhance the professional competence of the faculty member. The following will also be taken into consideration:

1. The degree to which the leave will enhance the mission of the University;
2. The contribution to the faculty member's discipline;

3. The faculty member's past performance in the areas of teaching, research, and community service as they relate to the proposed project;
4. The length of service to SMU.

The number of sabbatical leaves granted will be based on consideration of the merit of each proposal as well as budgetary and other exigencies, such as replacement costs and arrangements, as determined by the Academic Vice President in consultation with the Department Chair. The granting of leaves is neither automatic after any stated period of service, nor should it be granted as deferred compensation. When a leave is not granted, the faculty member may request the reasons in writing for such a decision from the Academic Vice President.

Time Line and Responsibilities

By the first Monday in October, the faculty member shall notify the AVP and the Chair of the Rank and Promotion Committee, in writing, of their desire to apply for sabbatical. At the same time they will submit their sabbatical proposal to their Dean/Department Chair. The AVP verification of eligibility will be completed and the faculty member and Dean/Department Chair notified no later than the second Monday in October. The proposal should then be submitted by the Dean/Department Chair to the Faculty Rank and Promotion Committee Chair by the first Monday in November, in the year preceding the academic year of the proposed leave, along with a written evaluation of the proposal from them, indicating whether it is of merit from a departmental perspective. The Committee will forward its recommendation, along with written comments, to the AVP, who will provide administrative oversight and communicate recommendations to the president by the first Monday in December.

The awards are made to faculty upon the formal recommendation of the AVP and the approval of the president, no later than the second Monday of January of the academic year preceding the scheduled leave. Upon return from the sabbatical leave, faculty shall submit a summative report to the AVP and the faculty member's direct supervisor. This summative report will compare the final (completed) sabbatical activities/product to those of the original proposal. Those who have completed less than a substantial portion of their proposed sabbatical activities/product may be subject to consequences, that may include, but are not limited to the following: an unfavorable performance evaluation, nonrenewal of appointment, a reduction of a two or three year appointment, or being ineligible for future sabbaticals.

First Monday in October:	The faculty member shall notify the AVP and the chair of the Rank and Promotion Committee, in writing of their desire to apply for sabbatical. At the same time they will submit their sabbatical proposal to their Dean/Department Chair. Faculty member requests that the AVP verify their eligibility to apply for a sabbatical.
Second Monday in October:	The AVP notifies each petitioning faculty member, their Dean/Department Chair, and the Chair of the Rank and Promotion Committee in writing, of his/her eligibility status.
First Monday in November:	The Dean/Department Chair submits the sabbatical proposal along with a written evaluation of the proposal to the Chair of the Rank and Promotion Committee.
First Monday in December:	The Chair of the Rank and Promotion Committee will forward the committee's recommendation, and ranking if multiple applicants, along with written comments, to the AVP, who will provide administrative oversight and communicate recommendations to the President.
Second Monday in January:	AVP office will notify the applicant of their status.
One month after return:	Faculty member submits a summative report to the AVP and their Dean/Department Chair.

Format

It is up to the applicant to submit the necessary documents that will outline the purpose of the leave. The proposal should include the following sections:

1. Curriculum vitae; Letters of support;
2. Opening statement: Include a brief overview of how the sabbatical leave will be spent, the applicant's past history at the institution, and the reasons for requesting the leave;
3. Detailed description of sabbatical leave activities: explain the activities or project of the sabbatical in sufficient detail to be understood by members of the Faculty Rank and Promotion Committee. Include a timetable of expected progress. Append any documentation that confirms collaborative or contractual arrangements;
4. Past experience related to the leave; describe how the proposed leave is related to, or is an extension of the applicant's previous accomplishments and training. If the leave represents a new direction into a different sphere of activity, explain how it relates to past experiences at SMU, and how it will foster the faculty member's ability to serve the University;
5. Presentation of accomplishments; describe how the major product or accomplishments of the sabbatical leave will be communicated (e.g., publication, seminar, lecture, etc.);
6. Professional growth; explain how the sabbatical experience will promote professional development of the individual. If the leave includes further clinical

- training, describe how it will augment or refine the applicant's clinical competence;
7. Benefits to the University; describe in specific terms the expected benefits of the sabbatical leave activities to SMU, students, and faculty;
 8. Benefits to the discipline; explain the expected contributions of the work to the professional discipline of the applicant.

Intellectual Property

POLICY: The University will maintain compliance with its adopted Intellectual Property Policy, approved by the Board of Regents in February 2007. The purpose of the Intellectual Property policy is to define Copyright Ownership of Intellectual Property for teaching and other scholarship materials to support the needs of both the University and Developers of the materials.

Academic Works

Faculty

- a. All rights to Academic Works, including Copyright Ownership, shall belong exclusively to the Developer except under the following circumstances:
 1. When the Academic Work is developed pursuant to a written Commissioned Work agreement with the University in which the University has provided extraordinary University Resources through its employees, agents or subcontractors in the creation of the Academic Work. Under such circumstances, the Academic Work shall be considered a Joint Work and the Copyright, if any, jointly owned by the faculty Developer and the University (the commissioned work agreement may specify when extraordinary resources are being made available and the terms under which the joint work and the copyright may be used and/or commercially exploited). Notwithstanding the foregoing, the Developer retains the right, without payment of a royalty fee to the University to use the Academic Work developed pursuant to this section in scholarly contributions to books, articles, Courses at the University, seminars, lectures and similar scholarly activities. The Developer shall also retain the right to make and use derivations of these commissioned Academic Works.
 2. When there has been a contractual transfer of ownership, including Copyright Ownership, from the Developer to the University under a written agreement signed by the Developer and the University.
- b. The University has the right, without compensation to the Developer and without requesting permission from the Developer, to use within the University in perpetuity all Academic Works and Course Syllabi created by the Developer for educational and administrative purposes. The Developer retains the right to be identified as the creator of such Academic Works if desired. The Developer will be kept informed of the use of the work if requested, and retain control over the use of the Developer's name on the work if the content is changed.

- c. Notwithstanding the foregoing, so long as the Developer remains an employee of the University, he/she shall not transfer Academic Works developed by him/her while a member of the University Faculty, for use at another institution of higher education without the prior written consent of the Academic Vice President. This provision does not preclude the limited use of materials by the Developer at another institution.

Staff/Students

All ownership rights, including Copyright Ownership, to Academic Works created as Works for Hire or Commissioned Works by Staff or Students of the University during their employment at the University belong exclusively to the University. Independently Created Works belong exclusively to the Student or Staff member.

Works for Hire and Commissioned Works (Except Academic Works)

Faculty

All rights, including Copyright and Patent Ownership, to Works for Hire or Commissioned Works (with the exception of Academic Works) developed by Developer during his/her tenure at the University, shall be considered a Joint Work and the Copyright and Patent, if any, shall be jointly owned by the Developer and the University. Commercialization of tangible research products created at the University shall be treated similarly to inventions.

Developers of Works for Hire or Commissioned Works have the right, without payment of a royalty fee to the University and without requesting permission from the University, to use these Works in scholarly contributions to books, articles, Courses at the University, seminars, lectures, and similar scholarly activities. Developers also have the right to make and use derivations of these works.

Should the University or Developer seek to Commercialize for profit Works for Hire or Commissioned Works developed by the Developer during the time of his/her tenure at the University, the University and the Developer shall enter into a written agreement, addressing all matters relevant to the proposed sale or distribution of the Intellectual Property, including the sharing of royalties or other revenues between them.

Staff/Students

All rights, including Copyright or Patent Ownership, to Works for Hire or Commissioned Works, developed by Staff/Students during employment at the University belong exclusively to the University.

Independently Created Works

Faculty

Independently Created Works belong exclusively to the Developer.

Staff/Students

Independently Created Works belong exclusively to the Staff/Student.

Definitions

Certain terms are used in this document with specific meanings, as defined in this section.

- a. **“Academic Works”** are teaching materials created at the University for use within a Course, whether traditional University Courses or web-based or web-enhanced Courses. Academic Works can be Works for Hire or Commissioned Works. Academic works include lecture notes, bibliographies, reading lists, assignments, examinations, Power Point presentations, educational software (courseware), articles, monographs, recorded or broadcast instructional activity, books, works of fiction and nonfiction, poems and dramatic works, pictorial, graphic and sculptural works, educational software and other Course-related materials created by Faculty (as defined below). Course Syllabi, as defined in the Samuel Merritt University Faculty and Staff Handbook, are not considered “Academic Works”.
- b. **“Commercialize”** refers to activities such as marketing, distribution, dissemination, licensing, and institutional management for the purpose of selling a product outside of the usual conduct of the University’s instructional programs.
- c. **“Development”** refers to creation of copyrightable work and other material identified above in “Academic Works.”
- d. **“Developer”** refers to an individual or groups of individuals (faculty, staff or students) engaged in the Development of Intellectual Property, including Academic Works. For example, when Developer is used under sections of the policy that refer to Faculty, Developer is referring to a Faculty Developer.
- e. **“University”** means Samuel Merritt University.
- f. **“University Resources”** refers to support provided for the Development of Intellectual Property, which has involved the use of University facilities, funds, training and development, and other material resources.
- g. **“Commissioned Work”** is work expressly commissioned by the University under a specific written agreement regarding the assignment and compensation for such work. Commissioned Work may be done as a special overload task for full-time faculty or staff of the University or by part-time faculty and staff whose compensation does not normally include responsibility for the development of Courses or instructional materials.
- h. **“Copyright”** shall be understood to mean that bundle of rights that protect original Works of Authorship fixed in any Tangible Medium of expression, now known or later developed, from which they can be perceived, reproduced or otherwise communicated, either directly or with the aid of a machine or device. “Tangible Media” include, but are not limited to books, periodicals, manuscripts, phonorecords, films, tapes and disks.

- i. **“Copyright Ownership”** refers to the rights of the person or entity who creates a work or contributes significantly to its creation. Copyright Ownership and use can only be transferred under written agreements.
- j. **“Course”** is a unit of instruction which may involve the award of academic credit or represent a unified series of instruction materials or modules provided to support student learning, achievement, and retention. “Course” includes both traditional University courses as well as Web-based and Web-enhanced courses.
- k. **“Extraordinary College Resources”** are those involving substantial use of University support personnel, required external vendor support at University expense and / or requirements for capital research equipment not otherwise held as part of University research inventory.
- l. **“Faculty”** means members of the Samuel Merritt University faculty, including regular, annual, term and those designated with special faculty appointments.
- m. **“Independently Created Works”** are works created at the Developer’s own initiative, on the Developer’s own time, and without the use of significant University Resources. Limited use of office space, office computers, telephones, FAX machines, photocopiers and libraries is not considered a significant use of University Resources.
- n. **“Intellectual Property”** includes patentable invention, any copyrightable subject matter or trade secret. It also includes Works of Authorship, inventions, creations, and discoveries that normally might be developed on a proprietary basis. Academic Works, Works for Hire, Commissioned Works, and Independently Created Works, as defined above or below, are Intellectual Property.
- o. **“Joint Works”**: Two or more persons may share Copyright Ownership of a work, notably when it is a Joint Work, e.g. a book or article developed in a fully collaborative arrangement by two faculty members. The faculty members equally share Copyright Ownership of such works and the rights described in the “Policy” below.
- p. **“Tangible Research Product”** refers to tangible results of research created at the University.
- q. **“Web-based”** and **“Web-enhanced”**: “Web-based” refers to Courses or academic and student support materials designed to be offered primarily, but not necessarily exclusively, in an on-line environment. “Web-enhanced” refers to Courses or academic and student support materials designed for supplementing regular on-campus Course offerings.

- r. **“Work for Hire”** is work created for the University within the scope of the Developer’s employment rather than through a specific agreement or commission. Work for Hire includes work assigned to employees such as manuals or computer programs. Work made for hire does not require an express written agreement specifying the work as such. However, the parties can agree otherwise in a signed written agreement to that effect. With the exception of Academic Works, all Works for Hire belong exclusively to the University unless a different arrangement has been agreed to in writing by the University.
- s. **“Works of Authorship”** are any works for which copyright protection is available. Works of Authorship can be “Academic Works”, “Works for Hire”, “Commissioned Works” or “Independently Created Works”. Works of Authorship include, but are not limited to the following: computer programs, literary works; musical works, including accompanying words; dramatic works, including any accompanying music; pantomimes and choreographic works; pictorial, graphic and sculptural works (photographs, prints, diagrams, models and technical drawings); motion pictures and other audiovisual works; sound recordings; and architectural works.

Copyright

POLICY: It is the intent of Samuel Merritt University to comply with the U.S. Copyright Law (Title 17, U.S. Code, Sect. 101, et seq.). The University directs faculty, staff, and students to refrain from copying copyrighted works unless the action is authorized by: (a) specific exemptions in the copyright law, (b) the principle of Fair Use, or (c) licenses or written permission from the copyright owner. The Director of the John A. Graziano Memorial Library shall provide guidelines to ensure compliance with the law.

Misconduct in Research

POLICY: Misconduct in research is defined as fabrication, falsification or plagiarism in proposing, conducting, or reviewing research or reporting research results.

- (a) fabrication: making up data and/or results
- (b) falsification: omitting, manipulating or changing data and/or results
- (c) plagiarism: appropriation of another person’s ideas, results or words without giving appropriate credit

All allegations of misconduct in research reported from within the University or from external parties to the University should be directed to the Dean or Chair of the department. The Dean or Chair will determine whether a violation of the misconduct policy may have occurred and that a formal investigation is warranted. Notification of such will be forwarded to the Provost. The Dean or Chair’s primary accountability is to academic integrity and to SMU.

If the complaint involves a Dean or Chair, the complainant or respondent may take the allegation directly to the Provost. The Dean or Chair (or Provost) may consult with others to determine whether or not an investigation is warranted including University legal counsel, when authorized by the Provost. Legal counsel represents the University.

The Dean or Chair will provide a written recommendation to the Provost to proceed or to not proceed within 14 days of the original allegation.

PROCEDURE: If the decision is made to proceed with an investigation, the Provost in consultation with the Dean or Chair will appoint an Investigation Committee of at least three regular University faculty, not representing the school or department from which the complaint originated. All parties will be notified of the charges and allowed to respond. The Investigation Committee should issue a final report and recommendation to the Provost within 45 days.

Possible outcomes of the investigation include no findings of research misconduct OR research misconduct has occurred. Possible sanctions include: termination of the research project and possibly other related research in progress; letter of reprimand; formal monitoring of future work; probation or suspension; salary or rank reduction; termination of employment. Reports will be provided to all parties.

The Provost will make the final decision upon recommendation of the Investigation Committee and notify the faculty member in writing. Appeal of the Provost's decision can be made to the President, within ten working days of the Provost's decision according to procedures outlined by the President. The President's decision is final. The Provost is responsible for notifying the appropriate funding federal agency at each stage of the process (where applicable) according to the respective funding agency guidelines for reporting misconduct in research and when sanctions are taken.

References:

1. Department of Health and Human Services (2005) *Public Health Service Policies on Research Misconduct; Final Rule*. Federal Register 42 CFR Parts 50 and 93 Part III, May 17, 2005.
2. Goodstein, D.(2010) *On Fact and Fraud. Cautionary Tales From the Front Lines of Science*. Princeton University Press, pgs 135-145, Caltech Policy on Research Misconduct.
3. Hudson, H. F. (2004) *The Great Betrayal. Fraud in Science*. Harcourt, Inc.

SECTION B—FACULTY AFFAIRS

STATEMENT OF ACADEMIC FREEDOM

It is fundamental to the health of an academic institution and ultimately to the health of a society at large that individual persons and groups of persons exercise their responsibility and freedom to search for the truth and to speak the truth as it is discovered. In a collegial community, the corporate person of the University institution, and the persons of the faculty, administration, and the student body bear mutual responsibility to exercise professional competence and to extend to one another the trust and respect which foster an environment which supports the exercise of academic freedom.

Samuel Merritt University is committed to upholding and preserving the principles of academic freedom. The University supports and encourages an environment in which academic freedom for faculty will flourish and considers academic freedom essential to the mission of the University.

By academic freedom, the University means:

- (a) The freedom of scholars to pursue the truth in a manner consistent with professional standards of inquiry as it applies to faculty³.
- (b) Faculty have the right to teach or do research as they wish subject to accepted professional norms of competence and responsibility. The University employing them has the right to determine acceptable teaching standards¹.
- (c) Faculty are entitled to freedom in the classroom in discussing their subject, but they must be careful not to introduce into their teaching controversial matter which has no relation to their subject area¹.
- (d) When faculty speak or write they must be free from institutional censorship or discipline. When speaking in a public forum faculty must at all times be accurate, must exercise appropriate restraint, and must show respect for the opinions of others. Faculty must make every effort to indicate that they are not speaking for the University in such forums³.

Academic freedom is specifically intended to foster the free exchange of ideas within a community of scholars. Academic freedom of the faculty is not absolute. Academic freedom does not protect faculty from the consequences of communications and behavior, such as slander or libel, bullying co-workers, lying on a curriculum vitae, harassment, conducting one's classes in an irresponsible manner, or any other conduct prohibited by the University Code of Conduct Handbook or law². The University recognizes that it is the faculty, working within a system of shared governance, which possesses the unique ability to apply professional standards of judgments about the quality of the various kinds of scholarship undertaken by colleagues³.

References:

- (1) *1940 Statement and Principles on Academic Freedom and Tenure with 1970 Interpretive Comments*. American Association of University Professors and Association of American Colleges and Universities. January 1990.
- (2) Olson, G. A. (2009) *The Limits of Academic Freedom*. The Chronicle of Higher Education. December 9 issue.
- (3) Downs, D. A. (2009) *Academic Freedom. What It Is, What It Isn't, and How to Tell the Difference*. The John William Pope Center for Higher Education Policy, Raleigh, NC.

CODE OF ETHICS

We, the faculty, staff, and students of Samuel Merritt University, share the conviction that the interactions among ourselves and between us and our community are founded in mutual trust, respect, and consideration. We are dedicated to a code of ethics which sets forth moral principles for positive human interaction.

- We agree to be trustworthy.
- We agree to be just in our evaluations and decisions.
- We agree to respect human dignity and cultural and personal differences among people, and to be sensitive to these in our respective roles.
- We support individuals' rights to autonomy and to pursue their own life decisions as long as they do not infringe upon the rights of others.
- We agree to be accountable for our decisions and actions, and for our roles and interactions among others.
- We are committed to life-long learning, continual self-assessment, and the conscientious and diligent pursuit of excellence in our respective fields.
- We believe in working together as a team toward the common good and for academic purposes.
- We observe the confidentiality of information and records in our charge.
- We agree to abide by the written standards and codes of ethics and conduct of our respective professions.

There are related policies and procedures which expand the Code of Ethics. Some of these include the codes of ethics and standards of practice for the respective professions, the Academic Integrity Policy and the student Code of Conduct, faculty and staff personnel policies, and individual departmental policies and handbooks.

PRINCIPLES OF COMMUNITY (UPDATED 8/1/12)

Samuel Merritt University is committed to creating a diverse, equitable, and inclusive learning community, workplace, and campus environment. We demonstrate this commitment by ensuring that SMU is a community where:

- We affirm the value of human diversity, respecting our differences, while acknowledging our common humanity.
- We affirm the inherent dignity and value of every person and strive to maintain a climate based on mutual respect, fairness, and inclusion, calling for civility and decency in our personal interactions, regardless of position or status in the academy.
- We respect the right of freedom of expression within our community and value the different perspectives of others; recognizing and appreciating these differences builds trust and contributes to the excellence of the University.
- We challenge all forms of behavior that are prejudicial, discriminatory, and detrimental or contrary to the values expressed in this document; and we take responsibility for increasing our own understanding of these issues through education and our interactions with one another.

AS A COMMUNITY, WE ARE COMMITTED, INDIVIDUALLY AND COLLECTIVELY, TO EMBODYING AND SAFEGUARDING THESE PRINCIPLES.

FACULTY EMPLOYMENT CLASSIFICATIONS

POLICY: The faculty comprises all persons having appointment for the instruction of students. The faculty of SMU shall consist of two distinct groups: 1) salaried faculty; and 2) non-salaried faculty. Salaried faculty include four employment classifications, Regular, Annual, Term and Special Appointment faculty. Non-salaried faculty include clinical faculty (ranked) and affiliate faculty (unranked). Specific appointment types and other rights and responsibilities shall accrue to each specific group. In particular, term faculty, special appointment faculty and non-salaried faculty have limited rights and responsibilities. See table summary to follow.

Regular Faculty:

1. Ordinarily carry full-time teaching duties or have teaching and other duties (e.g. research, academic administration, counseling) equivalent to a full-time teaching load.
2. Regular faculty may have less than a 1.0 FTE as approved by the Dean or Chair and Academic Vice President.
3. Fulfill the duties and responsibilities of a faculty member, including teaching, scholarship and service, student advising, office hours, and participation in University ceremonies;

4. Hold academic rank;
5. Have rights to promotion, eligible for one-year renewable, two-year renewable and three-year rolling appointments;
6. Eligible for fringe benefits;
7. Have full voting rights as a member of the Faculty Organization.

Annual Faculty:

1. Have an appointment which is 1.0 FTE or pro-rated to a percentage of the FTE assignment;
2. Annual faculty are faculty whose primary responsibilities are teaching and who have limited responsibilities for service to the University, School or Department. Service responsibilities include student advising, office hours and participation in University ceremonies.
3. Faculty in this classification are appointed to the rank of Instructor;
4. Have full or part-time rights to fringe benefits.

Term Faculty:

1. Have an appointment for specified semester units of instruction assigned for the term as determined by the Dean or Chair of the department to which the faculty member is assigned;
2. Are expected to perform other related duties on a part-time basis, including regular office hours for advising students regarding their course work (a minimum of one hour per week) and attendance at course and department meetings and retreats;
3. Hold academic rank as adjunct faculty;
4. Have rights to promotion;

Faculty Employment Classification

Class	%FTE	Pay Scale	Appointment Type / Length	Role	Title	Succession	Voting Rights
Regular	Up to 1.0 per workload policy	Faculty scale by rank	Regular appointment for 9 or 12 months, one-year, two-year renewable or three-year rolling. Appt. by search.	Full role responsibility; including scholarship, teaching and service.	By rank	Eligibility for succession to two-year or three-year rolling appointments.	Full
Annual	Equal to or less than 1.0 FTE per workload policy	Faculty scale for instructor	Annual appointment for 12 months, one-year renewable. No search required.	Primary teaching, limited service (i.e. course, content, dept. meetings).	Instructor rank only	Limited to term of appointment.	None
Term	Equal to or less than 1.0 FTE per workload policy	Per hourly salary scale	Appointment for term of instruction. No search required.	Primary teaching, limited service	By rank; Adjunct designation by rank	Limited to term of appointment.	None
Clinical	NA	NA	NA	limited	By rank		None
Affiliate	NA	NA	NA	limited	Non-ranked		None

FACULTY APPOINTMENTS AND EVALUATION

POLICY: All Regular, Annual and Term faculty are employed via the Faculty Instructional Assignment (FIA). This employment agreement between the faculty member and the University is generally one year (9 or 12 month) for a specified academic year/s or can be issued for a single term only.

Issuance and Receipt of Faculty Instructional Assignments

All regular and annual faculty FIAs are issued at least 60 days prior to the start of the teaching term. The FIA must be reviewed and accepted electronically by the faculty member within 10 days, or the offer will expire. Details of the individual appointment of a faculty member and special conditions thereof shall be specified by the University at the time the appointment is made and noted either within the FIA itself or by letter of appointment (limited to academic administrators) from the Academic Vice President.

Types of Appointments in the Regular Classification

One-Year Renewable

New faculty are classified as regular one-year appointments unless determined otherwise by the Academic Vice President in consultation with the respective Dean or Chair. Faculty may be eligible for a two-year renewable appointment after five years (or FTE equivalent) of satisfactory evaluations.

Two-Year Renewable

Following the fifth year of full-time service or equivalent, provided s/he has achieved the rank of assistant professor, a full-time regular faculty member is eligible for a two-year renewable, non-rolling appointment. If the faculty member had prior service on a full-time basis for five or more years in one or more institutions of higher education, the AVP may issue a two-year renewable appointment after two years of successful evaluations in the regular one-year classification.

Satisfactory annual evaluations are necessary to maintain eligibility for renewal of a two-year appointment. An unsatisfactory annual evaluation results in the faculty member returning to a regular one-year appointment. Two consecutive positive evaluations will render the faculty member once again eligible for the two-year appointment. Two consecutive negative evaluations will result in termination at the end of the appointment period. When the first negative annual evaluation has been made for the first year of a two-year appointment, the Department Chair or Dean shall negotiate a written plan of action for improvement with the faculty member. The plan of action shall be given to the faculty member and a copy placed in his/her file.

NOTE: The FTE may be reduced at the beginning of any annual employment period if substantive programmatic changes result in a reduction or redistribution of available workload hours.

Three-Year Rolling

Following the seventh year of service, provided s/he has achieved the rank of associate professor, a full-time regular faculty member may be considered for a three-year rolling

appointment. If the faculty member had prior service on a full-time basis for seven or more years in one or more institutions of higher education, the AVP may issue a three-year rolling appointment after two years of successful evaluations in the regular one-year classification. The first rolling appointment shall be for three years. Subsequently, satisfactory annual evaluations shall roll the appointment an additional year, maintaining a three-year appointment.

An unsatisfactory annual evaluation reduces the term of the appointment to two years. No new appointment will be initiated in the event of two consecutive negative annual evaluations. When a negative annual evaluation resulting in a two-year appointment has been made for reasons of performance or effectiveness, the Department Chair or Dean shall negotiate a written plan of action for improvement with the faculty member. A statement of the terms shall be given to the faculty member, and a copy is placed in the file of the faculty member.

It is the prerogative of the Academic Vice President to maintain departmental distribution of appointment terms to accommodate curricular flexibility and financial stability in program operations. Such determinations will be considered in consultation with the respective Dean or Chair.

NOTE: The FTE may be reduced at the beginning of any annual employment period if substantive programmatic changes result in a reduction or redistribution of available workload hours.

Faculty Evaluation

All regular and annual faculty members, including faculty with administrative appointments, are evaluated annually prior to reappointment. Faculty in the regular classification are evaluated within the domains of teaching, service, and scholarship according to the Faculty Evaluation System instructions. Term and annual faculty are evaluated based solely on teaching.

Evaluations are used for summative and formative purposes, and for advising the renewal or change in length of appointment term. All evaluations are held as permanent records in the Department of Human Resources. Evaluations are also available to the appropriate managing supervisor. The Dean, Chair or Director, at their discretion, may require a written evaluation more frequently, in cases where faculty performance is not acceptable or the faculty requires further mentoring.

Employment agreements for the subsequent year or term will not be issued without a completed faculty evaluation. Annual salary increases can vary, at the discretion of the Dean or Chair, in consultation with the Academic Vice President.

Term faculty teaching greater than 12 units (1,152 hours) per year should be evaluated annually. Those teaching less than 12 units (1,152 hours) per year should be evaluated every three years, or at the discretion of the Chair. Term faculty are on probationary review of teaching performance for at least one year, or at the discretion of the Chair. Term faculty evaluation is not included in the formal University-wide system but is done at the School, Program, or Department level. The data sources for evaluating term faculty are student evaluation of courses and instruction, and the supervisor's oversight of teaching.

For complete faculty evaluation instructions please see:

<https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>.

FACULTY TERMINATION AND RESIGNATION

At times, SMU or individual faculty members may find it necessary to sever their relationship. To protect the interests of both parties, categories of separation are defined, and the policies and procedures related to each are set forth.

Types of Separation

1. resignation
2. retirement
3. non-reappointment
 - a. non-renewal
 - b. dismissal for cause
 - c. layoff
4. financial exigency

Resignation

Resignation is a separation action by which a faculty member voluntarily seeks to be released from their appointment with the University. It is expected that, except in unusual circumstances, resignation will be effective at the end of the last academic term for which the faculty member has an assignment. In all circumstances, notice of resignation must be provided by the faculty member to the Dean or Chair in writing prior to the start of the final semester of the assignment. Obligations left unfilled by the faculty member, in the event he/she chooses not to fulfill those obligations, will not be paid. All covered benefits will be canceled, effective the last day of the month in which the resignation occurs. It is the responsibility of the Dean or Chair to provide the Department of Human Resources a completed status change form.

Retirement

Notice of retirement (required only of regular faculty) from further obligations to the University should be made in writing to the Dean or Department Chair by March 1st of the year in which retirement occurs, prior to the assignments for the upcoming academic year. All covered benefits will be canceled effective the last day of the month in which the resignation occurs.

Non-Reappointment

The President has sole authority in decisions of non-reappointment made in consultation with or by delegation to the Academic Vice President. There are three types of non-reappointment:

1. non-renewal
2. dismissal for cause
3. lay-off

Non-renewal: This separation action is invoked at the end of the obligated period by the University for reasons of its choosing and does not require written justification to the faculty member. A determination of non-renewal applies to all term, annual and regular faculty classifications. Notice of non-renewal by the University will be made by April 1st of each year prior to the start of the academic year.

Dismissal for cause: This separation action is invoked by the University for just cause and may occur at any time. Dismissal for cause may be preceded by temporary paid suspension by the Academic Vice President until facts of a situation are known and evaluated. Actions apply to all faculty regardless of employment classification.

Dismissal for cause typically involves failure of the faculty member to successfully perform stipulated duties, who display unprofessional behaviors, violate codes of ethics or experience criminal sanctions. Justifications also include incongruence between the teaching interest of the faculty member and the educational goals of the program or University. It is also inclusive of reviews of the faculty member's performance as determined by faculty evaluation procedures (note rights of two-year renewable and three-year rolling faculty in this regard). Justifications for dismissal for cause may be provided to the faculty member on request.

Layoff: Layoff is a severance action by which the University terminates the services of any regular ranked faculty member regardless of appointment type before the expiration of his/her current appointment, without prejudice as to his/her performance. This action is invoked when major institutional change or exigency is declared that substantially jeopardizes the financial health of the institution. This action may result from a declared enrollment emergency or cancellation or change in a program. Lay-off applies to all term, annual and regular faculty, although the University's priority will be to maintain regular faculty. The University will make reasoned attempts to honor payouts through the existing appointment period, and reserves the right to convert a two-year renewable appointment to one year and the three year rolling to a two-year appointment. Original appointments will be reinstituted when the program and institutional performance measures are satisfactory (see enrollment emergency; Section A—Academic Affairs).

Financial Exigency

Financial exigency is a rare and serious institutional crisis. It is defined as the critical, pressing, or urgent need of the University to reorder its monetary expenditures in such a way to remedy and relieve the state of urgency within the University created by its inability to meet its annual monetary expenditures with sufficient revenue to prevent a sustained loss of funds.

If the Board of Regents determines that there is a bona fide financial exigency or need to eliminate a program(s), the following steps shall be taken before any adjustments in faculty are made:

1. The President and Academic Vice President shall present the data relevant to the financial exigency or elimination of program(s) at a meeting of the Faculty Organization. During this meeting the faculty will have the opportunity to ask questions and receive information and to offer alternative solutions.
2. The President, Academic Vice President and Department Chairs shall prepare a general plan to adjust the staff indicating the number of needed changes in the different areas of the University. This plan shall be shared with the faculty. Final approval of this plan must be made by the University's Board of Regents.

FACULTY WORKLOAD

Faculty workload in the REGULAR line includes teaching, preparation for teaching, service, and scholarship. Workload is calculated on the basis of 1872 hours/year. A twelve-month appointment requires 1320 instructional hours (full-time), and the balance of hours incorporates service and scholarship. This also provides 208 hours (26 days) per year for vacation. A nine-month appointment requires 1080 instructional hours (full-time) or 0.82 of a twelve-month appointment.

Faculty instructional hours for ANNUAL faculty include 1722 hours for teaching and 150 hours for service (e.g. departmental meetings). No hours for scholarship are required for faculty in the ANNUAL classification.

Instructional Hour/FTE Table

	Regular 9 Month	Regular 12 Month	Annual 12 Month
Teaching hours	360	440	N/A
Preparation hours	720	880	N/A
Total instruction hours	1080	1320	1722
Scholarship/service	453	552	Determined by Department
Total hours toward 2080 = 1 FTE	1533	1872	1722

Deans and Chairs have the prerogative to distribute their total allocated instructional hours among faculty. For example, a Chair may allocate greater teaching hour requirements to one faculty allowing another to increase service or scholarship hours. This flexibility allows Chairs and Deans to establish priorities within the department and promote local control of faculty work.

FTE Determination

The number of allowable FTE's for individual programs is determined by the total instructional hours required to teach the entire curriculum, divided by 1080 hours.

Course Taxonomy

Courses have three characteristics that determine faculty workload: 1) enrollment, 2) course taxonomy and 3) teaching/preparation ratios. Course taxonomy refers to the type of courses; lecture, basic science or clinical labs, etc.

The following grid identifies course taxonomies and three basic ratios of teaching-to-preparation hours for faculty teaching (1:2.0, 1:0.5, 1:0). Most types of courses allow two hours of preparation for each hour of teaching/student contact. Enrollment for each course is defined by section size. A new section is triggered when enrollment exceeds the agreed upon faculty/student ratio. (Number in left hand column of table below). Additional sections beyond agreed upon ration must be approved by the AVP.

Course Taxonomy Grid

Course type determines faculty:student ratio.

Course Type	Instructional Hours	Preparatory Hours	Total Hours (Instructional + Preparatory)	Faculty/ Student Ratio	Used For
A	1	2	3	Sixty	Lecture courses.
A2	1	2	3	Eighteen	Online lecture courses.
B	1	2	3	Twenty	Basic Science Lab courses. Used across programs.
C	1	2	3	Twelve	Seminar and Lab courses.
C2	1	1	2	Twelve	Seminar and Lab courses. Derivative of C yielding fewer hours than regular C course. Used in Nursing.
D	1	0.5	1.5	Eight	Clinical courses.
D2	1	0.5	1.5	Ten	Clinical courses. Derivative of D. Used in Nursing courses. Caps at ten instead of eight.
E	N/A		Number of Rotations x Enrolled x Number of hours in each rotation	No cap. See formula.	Rotation courses.
E2	1	2	3	Nine	CRNA simulation.
G	N/A		As decided by CSPM and AVP OAA	No cap. Straight hours.	DPM rotations.

*Dean/Chair discretion:

E = Contact hours calculated as 3 hours/student/rotation.

Hourly Pay Rates and Assignment Types

	Clinical (B, C, D, E, F, G)	Didactic (A, A2)	AVP Special Assignment	Honorarium	Guest Lecturer
Basic Sciences	\$36.00	\$36.00			
CRNA Step I	\$100.00	\$100.00			
CRNA Step II	\$105.00	\$105.00			
CRNA Step III	\$115.00	\$115.00			
NSG Step I	\$33.08	\$39.62			
NSG Step II	\$36.75	\$43.64			
NSG Step III	\$44.10	\$57.42			
PA/PT/OT Step I	\$33.03	\$33.03			
PA/PT/OT Step II	\$36.04	\$36.04			
PA/PT/OT Step III	\$40.63	\$40.63			
PM Step I	\$47.64	\$47.64			
PM Step II	\$61.42	\$61.42			
PM Step III	\$73.73	\$73.73			
Standardized Patient Instruction Scenario	\$25.00	\$25.00			
T2P	\$50.00	\$50.00			

Note: For Clinical and Didactic, the rates are multiplied by the hours assigned in FIAs which include b

Note: AVP Special Assignment has been included here but we can exclude if not required

Faculty Pay Rate Step Qualifications

School of Nursing

Theory

Step I	Less than two years of FT experience or equivalent.
Step II	For faculty with greater than two and less than five years of FT teaching experience or equivalent with course evaluations above or approaching school mean (letter of equivalency from previous employer).
Step III	For faculty with greater than five years of FT teaching experience or equivalent with course evaluations above or approaching school mean (letter of equivalency from previous employer).

Clinical

Step I	BSN/ADN; Less than 6 clinical or lab sections/groups teaching experience at least 2 years clinical experience.
Step II	MSN (or relevant MS/MA)/BSN/ADN; At least 6 clinical or lab sections/groups teaching experience with course evaluations above or approaching school mean (letter of equivalency from previous employer) at least 5 years clinical experience.
Step III	MSN (or relevant MS/MA); At least 12 clinical or lab sections/groups teaching experience with course evaluations at or above school mean (letter of equivalency from previous employer) at least 5 years clinical experience.

OT/PT/PA

Step I	Entry-level salary. Master's degree. Minimal teaching experience.
Step II	Two or more years of full-time teaching (or equivalent). Master's degree. Entry level for doctorally prepared faculty with limited teaching experience.
Step III	Master's degree with eight or more years of part-time teaching or four years full-time teaching. Doctoral preparation generally required.

CSPM

Step I	Doctoral degree. Assistant or Associate Professor rank or equivalent. Record of scholarship. Two or more years of teaching experience. Must meet the following: 1) teaches in CSPM curriculum; 2) holds specialty certification or license.
Step II	Doctoral degree. Professor rank or equivalent. Substantial record of scholarship. Three to five years of teaching experience.
Step III	Doctoral degree. Professor rank. Substantial record of scholarship. Five or more years full-time teaching experience.

Administrative Release

Administrative time is allotted for the following positions in most cases. Release must be approved by the AVP:

Deans	1.0	(No teaching responsibility)
Associate & Assistant Deans	.9	(.1 FTE teaching responsibility)
Chairs of Programs	.75	(25% teaching responsibility)
Program Directors	.75	(25% teaching responsibility)
Other administrative load		(in consultation with AVP)

Changing Faculty Employment Classifications or Length of Term

When changes from one faculty classification to another are contemplated (i.e., from regular to annual to term), OR length of term, the following will apply.

1. The AVP must approve any faculty classification change from annual or term (adjunct) to the REGULAR classification using the New Hire Recommendation Form.
2. Department Deans and Chairs are authorized to change a REGULAR appointment to either annual or term, without AVP consultation. A copy of the appointment letter must be sent to the OAA and HR so that changes can be made in the FIA system, payroll, catalog, website and other relevant locations.
3. Conversion of any nine or 10-month to 12-month appointment must have AVP authorization. Deans and Chairs are authorized to approve 12 to nine-month appointments.
4. The AVP must approve any change in length of term of FIA for REGULAR faculty (i.e., from 1 year to 2 year renewable to 3 year rolling)
5. Any process requiring AVP approval requires a written email request to the AVP, including justification, for consideration. This requirement ensures that faculty records involving employment changes are documented both in the Office of Academic Affairs and Human Resources.

It is the general practice of the University to maintain a ratio of 60 percent REGULAR or ANNUAL FACULTY to 40 percent adjunct faculty. This is a guideline and must remain flexible to accommodate program specific needs. If there are significant variations from these ratios, AVP authorization is required

FACULTY APPOINTMENT AND RANK CRITERIA

Salaried Faculty

Assistant Instructor

The rank of assistant instructor is the appointment granted to faculty by the Academic Vice President. Qualifications for appointment to this rank include:

1. relevant current clinical practice in the teaching specialty area within the past two years;
2. current license to practice as a registered nurse in California including meeting published BRN requirements for teaching in an accredited program.

NOTE: This position is limited to nursing clinical/lab faculty.

Instructor

The rank of instructor is the appointment granted to faculty by the Academic Vice President. Qualifications for appointment to this rank include:

1. possession of a relevant master's degree from an accredited institution;
2. relevant current clinical practice or scholarly activities in teaching specialty within the past two years.

Assistant Professor

The assistant professor rank is primarily achieved through promotion from instructor by decision of the Academic Vice President. Prospective faculty who possess the qualifications for assistant professor and/or hold an earned relevant doctorate and/or demonstrated research abilities may be hired at this rank. Qualifications for appointment to this rank include:

1. possession of a relevant master's degree from an accredited institution;
2. relevant current clinical practice or scholarly activities in teaching specialty within the past two years;
3. teaching experience at the baccalaureate or higher degree level or possession of an earned doctorate.

Associate Professor

The associate professor rank is primarily achieved through promotion from assistant professor. Prospective faculty who possess the qualifications for associate professor may be hired at this rank. Decisions on the rank of associate professor will be made by the Academic Vice President upon recommendation from the Rank and Promotion Committee. Qualifications for appointment to this rank include:

1. possession of a relevant earned doctorate from an accredited institution;
2. relevant experience in teaching specialty within the past two years;
3. minimum of five years of outstanding teaching experience in baccalaureate or higher degree education;

4. demonstrated significant scholarly achievement;
5. active involvement in community service which enhances the faculty role.

Professor

The professor rank, usually reserved for those faculty who are acknowledged leaders in their profession and in the University, is primarily achieved through promotion from associate professor. Although there is no specific time sequence required for promotion to this rank, except for a minimum of four years at the rank of associate professor, the faculty member can only request consideration for promotion to professor every two years. Prospective faculty possessing the qualifications of professor may be hired at this rank. The decision is made by the Academic Vice President upon recommendation from the Faculty Rank and Promotion Committee and by approval of the President. Qualifications for appointment at this rank include:

1. possession of a relevant earned doctorate from an accredited institution;
2. relevant experience related to area of teaching specialty within the past two years;
3. minimum of ten years of outstanding teaching experience in baccalaureate or higher degree education;
4. evidence of significant scholarly achievement and research;
5. demonstrated leadership in professional and/or community service which enhances the faculty role.

Academic Rank for Newly Employed Faculty

All newly employed faculty at SMU who have held the academic rank of Assistant or Associate Professor at another accredited institution of higher education may be appointed to that same rank by the Academic Vice President (AVP) upon review of materials listed below. Decisions by the AVP will use University appointment criteria and are not subject to review by the Rank and Promotion Committee (R and P). For those faculty seeking rank of full professor, The AVP may assign "interim rank" of Professor pending review by the Rank and Promotion Committee. All cases in which promotion is desired (Assistant to Associate or Associate to Professor) must undergo full review by the Rank and Promotion Committee.

Documents required for review by the AVP include:

1. Current curriculum vitae.
2. Confirmation of rank from prior institution (letter from Dean, promotion letter).
3. Teaching evaluations from prior institution.

The R and P committee will require the following for newly employed faculty seeking the rank of Professor:

1. Current curriculum vitae.
2. Confirmation of rank from prior institution (letter from Dean, promotion letter).
3. Two letters of recommendation. Only one of these letters of recommendation may come from the previous place of employment.
4. Representative samples of two out of the following three categories

- a. Teaching
 - b. Scholarship
 - c. Service
5. Additional information as requested.

All required evaluative material for appointment of rank assignment at Associate or Full Professor must be submitted prior to determination of salary.

Retreat Rights

The President, Academic Vice President and Assistant Academic Vice President have faculty rank by virtue of their position, if academically and professionally qualified. At retreat, they shall assume the rank they currently hold and at a salary in keeping with that rank at the time of retreat to the faculty.

Retreat rights may be available to other faculty who hold an administrative appointment (dean, associate dean, assistant dean, program director) if noted in their initial administrative offer letter. As a general guideline, individuals who formerly served on the SMU faculty and subsequently serve for a period as a dean, associate dean, assistant dean, chair or program director, are given retreat rights to a regular faculty position, if there are positions available in the school or department for which they are qualified.

For those faculty who were hired initially into an administrative position, retreat rights are not normally granted and are considered only if there are positions available for which they qualify within the school or department as determined by the workload policy.

NOTE: The position of director as defined in this policy does not apply to managing or assistant managing directors of learning centers.

Non-Salaried Faculty

On occasion there are members of the professional community who may want to seek voluntary recognition of faculty status for their work with students. There are two categories of non-salaried faculty who provide educational experiences/services for students: ranked clinical faculty and affiliate (unranked) faculty. Services for both designations are usually provided off-campus, pursuant to an affiliation agreement. Ranked clinical faculty are individuals who are eligible to hold academic rank according to their qualifications and may assume broad educational roles with students on a regular, part-time basis, not limited exclusively to clinical instruction. Affiliate faculty do not hold rank and have more informal and occasional contact with students.

Both non-salaried titles are honorary and neither designate their holders as employees of the University. Non-salaried faculty do not have an ongoing teaching appointment, although they may receive an honorarium. Both classifications 1) have criteria for appointment; 2) have expectations for contributions to the University and 3) are

accorded certain privileges as faculty. These items are detailed in the “Non-salaried Faculty Appointment Criteria and Benefits” table at the end of this section.

In order to receive designation as ranked clinical faculty, applicants must meet the criteria for appointment. Activities and contributions of ranked clinical faculty are reviewed every three years by the appropriate Dean, Chair or Program Director. Renewal is granted by the Academic Vice President upon recommendation of the responsible supervisor. Faculty rosters of approved ranked clinical faculty will be maintained by the office of the Academic Vice President.

Clinical Instructor

The clinical instructor holds a baccalaureate, master's or higher degree in the professional field or related field and demonstrates a high degree of professional competence. Potential clinical instructors not holding an undergraduate degree may qualify for this rank if they hold certification/licensure in an advanced practice role and/or have demonstrated teaching/clinical experience.

Assistant Clinical Professor

The assistant clinical professor holds a master's or higher degree in the professional field or related field of endeavor or professional certification in a specialty area. Candidates must demonstrate a high degree of professional competence and expertise in teaching. The candidate must also present evidence of scholarly achievement OR professional community service.

Associate Clinical Professor

The associate clinical professor holds a master's degree or professional certification in a functional area and a doctoral degree (or equivalent) in the field or related field from an accredited institution. Candidates are expert practitioners, accomplished teachers, and demonstrate scholarly achievement and professional community service.

Clinical Professor

The clinical professor meets the same academic and professional criteria for appointment as the associate clinical professor. In addition, these individuals have unusual records of accomplishment in areas other than teaching and practice. Within their own specialty, the rank of clinical professor indicates a level of professional stature reserved for those who have made significant contributions to their field (refer to equivalency statement for regular faculty ranks).

Procedures for Appointment of Clinical Faculty

1. A faculty member (sponsor) informs the prospective applicant of the opportunity for clinical appointments, provides the candidate with these guidelines, and initiates the Clinical Faculty Appointment Front Sheet (see www.samuelmerritt.edu/faculty).

2. The applicant submits a curriculum vitae with a letter of application (request for appointment) and two letters of recommendation, one from the sponsor and one from an appropriate supervisor, to the appropriate Dean or Chair.
3. The department Dean or Chair reviews documentation and makes a recommendation to the department faculty. If faculty approves the appointment, the Dean or Chair completes the Ranked Clinical Faculty Appointment Front Sheet and attaches it to the completed packet described above and submits it to the Academic Vice President. NOTE: In cases where the faculty member is seeking the rank of full Professor, the Academic Vice President will refer the packet to the University Rank and Promotion Committee for approval.
4. In the event of a positive recommendation, the Academic Vice President will confirm in writing to the candidate (cc: Dean or Chair) the appointment and add the name to the appropriate ranked clinical faculty roster and mailing list.
5. The Office of the Academic Vice President will provide a list of ranked clinical faculty to those responsible for publication of the University catalog every two years and to departments at their request.
6. Sponsoring faculty and the appropriate Dean/Chair will initiate re-review procedures every three years and forward updated documentation to the Academic Vice President for reappointment review.

Procedures for Appointment of Affiliate Faculty

1. These appointees must complete a single sheet resume form provided by the University (available at <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>) which, upon submission by a regular faculty member or clinical coordinator to the relevant Dean or Chair constitutes formal recommendation.

Affiliate Faculty	Qualification to provide service 10 or more hours of didactic contribution annually OR Precepting a student for a clinical experience annually	10 or more hours of didactic contribution annually or precepting a student for a clinical rotation at least annually	<ul style="list-style-type: none"> • Free or discounted CE programming • Library access** • Departmental invitations to special events
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2. If the review is positive, the Dean or Chair notifies the candidate by letter and adds the name to the appropriate faculty roster and mailing list. In all cases, the Dean/Chair maintains responsibility to assure that the faculty member has appropriate qualifications and that a departmental roster is maintained indicating their systematic review on a three-year cycle.

**Library services for affiliate faculty include only online access to the catalog and databases. Department Chairs and Deans will provide the library with a roster of qualified faculty every three years to ensure access to library services.

Non-salaried Faculty Appointment Criteria and Benefits

Faculty Type	Criteria for Appointment	Expectations of Contribution	Benefits
Ranked Clinical Faculty	Appropriate criteria for rank (Refer to Faculty/Staff Handbook)	At least 60 hours of teaching and/or clinical precepting annually	<ul style="list-style-type: none"> • Free or discounted CE programming • Library services* • Departmental invitations to special events • Name and rank listed in University Catalog • May apply for Faculty Research and Curriculum Innovation Grants in collaboration a FT SMU faculty. • May use University classrooms and facilities for research or professional purposes with approval of Department Chair.
Affiliate Faculty	Qualification to provide service 10 or more hours of didactic contribution annually OR Precepting a student for a clinical experience annually	10 or more hours of didactic contribution annually or precepting a student for a clinical rotation at least annually	<ul style="list-style-type: none"> • Free or discounted CE programming • Library access** • Departmental invitations to special events

*Library services for ranked, non-salaried clinical faculty include interlibrary loan and document delivery at current library cost. Faculty also have library borrowing privileges and access to the online catalog and databases. The Academic Vice President will provide the library with a roster of qualified faculty every two years to facilitate their access to services.

**Library services for affiliate faculty include only online access to the catalog and databases. Department Chairs and Deans will provide the library with a roster of qualified faculty every three years to ensure access to library services.

Procedures for Special Appointment Faculty

Professor Emeritus

Professor emeritus is an honorary title conferred on a retiring faculty member who has served the University with special distinction.

1. Criteria for Eligibility
 - a. minimum of 15 years of full-time service to the University;
 - b. attainment of rank of professor;
 - c. supporting letters from both internal and external colleagues attesting to lifetime academic achievements.
2. Recommendations: Criteria Upon Which They Should Be Based
 - a. teaching effectiveness;
 - b. evidence of nationally recognized achievement in two of the following areas: scholarship, clinical work and/or service to the profession;
 - c. demonstrated state or national leadership in identified areas of expertise.
 - d. documented, substantive and sustained contributions to the mission and goals of the University, not exclusively focused on their specialty profession.
3. Privileges: A Professor Emeritus
 - a. will receive written faculty ballots;
 - b. will be eligible for appointment to University committees;
 - c. may participate in formal academic ceremonies;
 - d. may have his/her name listed in the University Catalog with the designation of professor emeritus;
 - e. is entitled to use University library and laboratory resources.
4. Procedures for Appointment to Professor Emeritus
 - a. The candidate will be proposed in writing for emeritus status by their Department Chair or any senior faculty member to the Academic Vice President;
 - b. Letters of support from the candidate's department will accompany the request.
 - c. The Academic Vice President will forward them with his/her recommendation to the Faculty Rank and Promotion Committee;
 - d. Recommendation by the Faculty Rank and Promotion Committee will be forwarded to the President for his/her approval;
 - e. The Professor Emeritus Award is presented to the recipient in an appropriate ceremony.

Professor Alumnus

Professor alumnus is an honorary title conferred on a faculty member who has served the University with special distinction and voluntarily leaves employment with the University.

1. Criteria for Eligibility

- a. minimum of ten years of full-time service to the University;
- b. attainment of rank of assistant professor.
- 2. Recommendations: Criteria Upon Which They Should Be Based
 - a. teaching effectiveness;
 - b. scholarly activities, clinical expertise, and contribution of service to the University, the community, and to the profession;
 - c. effective student advising;
 - d. cooperation with colleagues in advancing the academic aims of the University;
 - e. dedication to the goals of the University.
- 3. Privileges: A Professor Alumnus
 - a. may participate in formal academic ceremonies;
 - b. may have his/her name listed in the University Catalog with the designation of professor alumnus;
 - c. is entitled to use University facilities as other regular faculty members.
- 4. Procedure for Appointment to Professor Alumnus
 - a. The candidate will be proposed in writing for alumnus status by the Department Chair or a senior faculty member to the Academic Vice President;
 - b. The Academic Vice President will solicit letters of support from colleagues and the candidate's department;
 - c. The collected letters will be forwarded with his/her recommendation to the Faculty Rank and Promotion Committee;
 - d. Recommendation by the Faculty Rank and Promotion Committee will be forwarded to the President for his/her approval;
 - e. The Professor Alumnus Award is presented to the recipient in an appropriate ceremony.

Visiting Professor

The University recognizes that from time to time it may employ a full-time or part-time visiting faculty member from another institution. Such personnel will be employed on a temporary basis. This title is assigned to individuals who hold or have held professorial rank (assistant professor, associate professor, or professor) at another institution of higher education or have accomplishments that are considered equivalent (e.g., outstanding performance in the professional discipline), and who are appointed to teach or to teach and pursue other duties at the University for a limited period of time on a temporary basis. Such time is to be agreed upon in writing between the visiting professor and the Academic Vice President in consultation with the President. The University recognizes their academic standing and accords them the usual privilege of ranked faculty including voting rights on the Faculty Organization and serving on committees.

Any supplemental benefits or special contractual status must be agreed upon prior to appointment by the Academic Vice President and President in the letter of appointment issued.

PROMOTION IN RANK

The University seeks to sustain and improve its academic stature. Maintaining and improving the quality of the faculty is a primary means of achieving these ends. Promotion in academic rank is a means by which the University encourages, recognizes, and rewards regular faculty members for excellence in the performance of their duties. Promotion is an advancement to the next higher academic rank based on evidence of excellence in the areas of actual teaching performance, scholarly and creative achievement, potential ability for contribution to the institution and academic preparation as outlined in the appointment criteria section of this Handbook. The Academic Vice President, in consultation with members of the faculty, may recommend waiver of specific criteria in extraordinary situations. Promotions are subject to the approval of the President of SMU and become effective at the beginning of the next academic year. Promotion to the rank of assistant professor may be determined by the Academic Vice President in lieu of the formal ranking process.

Time Requirements for Advancement in Academic Rank

Academic Rank	Normative Time in Rank Before Eligibility for Promotion
Instructor	Two years
Assistant Professor	Four years
Associate Professor	Four years**
Professor	N/A**

An instructor is eligible for promotion to the rank of assistant professor after two years of full-time service.

An assistant professor is eligible for promotion to the rank of associate professor after four years of full-time rank as an assistant professor.

An associate professor is eligible for promotion to professor after a minimum of four years of full-time rank as an associate professor.

Faculty members requesting promotion will normally be considered in the year they are completing eligibility requirements.

** In exceptional cases, the University's interest may best be served by reducing the minimum length of time in rank for promotion to associate professor or professor. It is appropriate for the Academic Vice President, in consultation with the Faculty Rank and Promotion Committee and the President, to determine such exceptions. The evaluation process for promotion should otherwise conform to the guidelines set forth in this handbook.

Promotion Criteria

For Promotion to Assistant Professor

Achievement of the criteria for appointment at this rank plus:
demonstrated evidence of scholarly achievements;
minimum of four years current baccalaureate or higher degree teaching experience,
including two years at SMU.**

** Two years at SMU may be waived by the Academic Vice President in certain situations to acknowledge prior experience and academic preparation at the assistant professor level.

For Promotion to Associate Professor

Achievement of the criteria for appointment at this rank plus:
demonstrated contributions and service to the program and/or University;
minimum of two years teaching experience at SMU**

** Two years at SMU may be waived by the Academic Vice President in certain situations to acknowledge prior experience and academic preparation at the associate professor level.

For Promotion to Professor

Achievement of the criteria for appointment at this rank plus:
continued contributions and service to the program and/or University;
minimum of four years teaching experience at SMU.**

** Four years at SMU may be waived by the Academic Vice President in certain situations to acknowledge prior experience and academic preparation at the professor level.

For Promotion to Adjunct Assistant Professor

Achievement of the criteria for appointment at this rank plus:
demonstrated evidence of scholarly achievements;
minimum of four years current baccalaureate or higher degree teaching experience,
including two years at SMU.**

** Two years at SMU may be waived by the Academic Vice President in certain situations to acknowledge prior experience and academic preparation at the adjunct assistant professor level.

For Promotion to Adjunct Associate Professor

Achievement of the criteria for appointment at this rank plus:
minimum of two years teaching experience at SMU**
demonstrated contributions and service to the program and/or University.

** Two years at SMU may be waived by the Academic Vice President in certain situations to acknowledge prior experience and academic preparation at the adjunct associate professor level.

For Promotion to Adjunct Professor

Achievement of the criteria for appointment at this rank plus:
continued contributions and service to the program and/or University;
minimum of four years teaching experience at SMU.

** Four years at SMU may be waived by the Academic Vice President in certain situations to acknowledge prior experience and academic preparation at the adjunct professor level.

Guidelines for Promotion

The evaluative process for promotion at SMU is the responsibility of the following organizational entities: the Department Chair, the Faculty Rank and Promotion Committee, the Academic Vice President and the President.

Once a faculty member indicates a desire to be considered for promotion, the aforementioned evaluators have access to documentation accumulated prior to their participation. The candidate, by written request, may have access only to the official report and recommendations from each level of review at the conclusion of the entire process. All other materials are held in confidence. The Academic Vice President may seek additional expertise regarding the candidate's evaluative report from inside or outside the University. The process for promotion consideration is as follows:

Years of Prior Teaching Credited Toward Rank

The number of years of prior service credited toward rank at SMU is determined by the Academic Vice President in accordance with the section on "appointments" in this document and is communicated in writing to the faculty member at the time of initial appointment.

Responsibilities of the Faculty Member Petitioning for Promotion

1. By the first Monday in October, faculty notifies Department Chair, the Academic Vice President, and the chair of the Rank and Promotion Committee, in writing, of his/her desire to seek promotion or interim review.
2. By the first Monday in October, faculty arrange to meet with the Academic Vice President to determine eligibility for promotion. Faculty requesting interim review do not need to meet with the Academic Vice President.
3. By the first Monday in November, the Academic Vice President verifies eligibility and notifies each petitioning faculty member, in writing, of his/her eligibility status.
4. By the first Monday in December, each candidate submits to the Department Chair a detailed promotion report prepared according to the "Guidelines and

Format for Preparing a Promotion Report” on page 84. The candidate does not participate in the closed discussion or vote on any level of his/her own candidacy.

Responsibility of Department Chair

1. By the third Monday in January, the Department Chair, in consultation with the associate professors and professors in the department, reviews the candidate's promotion report and submits a report and recommendations with documentation to the Faculty Rank and Promotion Committee. The report of the Department Chair consists of:
 - a. detailed written assessment of each candidate's scholarly and creative potential for future contributions;
 - b. academic and professional experience;
 - c. academic preparation; and
 - d. performance at SMU.

Responsibility of Faculty Rank and Promotion Committee

1. By the third Monday in January, the Academic Vice President, in consultation with the chair of the Committee, schedules the first meeting of the Faculty Rank and Promotion Committee. The Faculty Rank and Promotion Committee members review the report and recommendation of the Department Chair and the promotion file. Recommendations regarding promotion are based solely upon professional considerations and all deliberations are strictly confidential. Minutes of each meeting are recorded and maintained. Votes are taken by written ballot and the results are recorded for each candidate. A majority “yes” vote of the Faculty Rank and Promotion Committee is considered a positive vote.
2. By the third Monday in March, the Faculty Rank and Promotion Committee releases a report of its recommendations and documentation along with that of the Department Chair to the Academic Vice President. Recommendations from the Committee consist of:
 - a. detailed written assessment of each candidate's scholarly and creative potential for future contributions;
 - b. academic and professional experience;
 - c. academic preparation;
 - d. performance at SMU.

The recommendation report will be thoroughly discussed based on the detailed information provided. Minority opinions shall be included.

Recommendation of the Academic Vice President

1. By the first Monday in April (or shortly thereafter), the Academic Vice President, if s/he concurs with the recommendation of the Faculty Rank and Promotion Committee, forwards the candidate's promotion report, past performance evaluations, the recommendation of the Department Chair, the Faculty Rank and Promotion Committee, and his/her recommendation to the President.

2. On or before the last Friday in April, the Academic Vice President, if s/he does not concur with the recommendation of the Faculty Rank and Promotion Committee, shall still forward the above information to the President with his/her dissenting recommendation. However, before reaching a conclusion, s/he may redirect the file to the Faculty Rank and Promotion Committee for further clarification, amplification, and/or validation of its recommendation.
3. The report of the Academic Vice President consists of:
 - a. detailed assessment of the candidate's past performance and potential for future contributions;
 - b. academic and professional experience;
 - c. academic preparation;
 - d. performance at SMU; and
 - e. her/his accompanying recommendation.

The President's Decision

1. On or before the 4th Friday in April, the President reviews the file on every candidate and releases his/her decision to the candidate.
2. By the second Friday in May, in the case of a disputed decision by either the candidate or the Academic Vice President, the President will notify the candidate of his/her decision.
3. The President makes the final decision to award or deny rank and informs the Academic Vice President, the Faculty Rank and Promotion Committee, the Department Chair and the candidate of his/her decision.

Procedures in the Case of Negative Recommendation

When a negative recommendation is made, either by the Faculty Rank and Promotion Committee or by the Academic Vice President, the Academic Vice President shall inform the candidate in writing. S/he will discuss the basis for this recommendation with the candidate, if the candidate so requests it. The candidate shall have ten days from the date of written notification to submit a written response to the Academic Vice President about the recommendation.

Upon receipt of the Academic Vice President and the Committee's recommendation and the candidate's response (if made within the time-frame specified), the President makes the final decision as noted in the previous section, "The President's Decision." If the President finds the recommendations of the Faculty Rank and Promotion Committee and/or the Academic Vice President to grant promotion unacceptable, the President will meet with the Faculty Rank and Promotion Committee or, if the disagreement is with the Academic Vice President alone, with the Academic Vice President to discuss the case. If, after such meeting and discussion, the President still finds the recommendation(s) unacceptable in the case where the President intends to deny promotion, the President shall inform the faculty member of his/her decision to deny promotion and will give the reasons orally to the faculty member. If the faculty member so requests, the President will give the faculty member a written statement of the reason(s) for denial of promotion.

The President will inform all candidates in writing of his/her decision to grant or deny promotion. In a case where the President's decision is to deny promotion, the President shall inform the candidate in writing of his/her decision, the recommendation of the Faculty Rank and Promotion Committee, and the recommendation of the Academic Vice President.

Following notification to the candidate of the President's decision, the candidate may appeal the President's decision to deny promotion according to appeal procedures outlined below and in the University grievance procedures outlined later in this section.

Appeal Procedures

If the faculty member desires to appeal a negative decision, s/he shall, within 60 school days after the date of the President's decision, submit a grievance in writing to the President stating the grounds upon which the candidate bases his/her appeal. There are two grounds upon which the faculty member may appeal a negative decision:

1. Violation of academic freedom;
2. Arbitrary or capricious behavior by an officer or committee of the University which would violate the human rights policy of the University or failure to follow the process outlined in this Faculty and Staff Handbook. The burden of proof is on the faculty member to prove one or more of the above conditions was present. Academic judgment is not subject to grievance.

Timetable for Promotion Process

Month	Action
October	By the first Monday in October, each full-time faculty member who believes s/he qualifies for a promotion in rank so informs his/her Department Chair, the Faculty Rank and Promotion Committee, and the Academic Vice President.
November	By the first Monday in November, the Academic Vice President determines eligibility and advises the candidate.
December	By the first Monday in December, each candidate submits a detailed promotion report prepared according to the guidelines in this Handbook to the Department Chair.
January	No later than the third Monday in January, the Academic Vice President schedules the first meeting of the Faculty Rank and Promotion Committee. The Department Chair makes his/her recommendation to the Faculty Rank and Promotion Committee to coincide with this meeting.
March	No later than the third Monday in March, the Faculty Rank and Promotion Committee makes its decisions and forwards its recommendation to the Academic Vice President.
April	By approximately the first Monday in April, the Academic Vice President makes his/her recommendations to the President. If the candidate has received a negative review from either the Faculty Rank and Promotion Committee or the Academic Vice President, the Academic Vice President shall inform the candidate in writing. The candidate shall have ten school days from the date of written notification from the Academic Vice President to submit to the Academic Vice President his/her written response. In this case, the Academic Vice President will submit his/her recommendation to the President the fourth Friday in April. By the fourth Friday in April, the President makes his/her decision. Each candidate is informed of all recommendations and is provided, upon written request, with copies of the official report from each level of review at that time.
May	In the event of a disputed decision, the President will notify the candidate, the Academic Vice President, and the Faculty Rank and Promotion Committee of his/her decision by the second Friday in May.

Guidelines and Format for Preparing a Promotion Report

The promotion report should present sufficient documentation to demonstrate the faculty member's qualifications for the rank which is sought. The report should build a case which supports the claim of excellence in teaching and which addresses, among other areas, service and scholarly activities. These terms are operationally defined below:

Excellence or outstanding performance is demonstrated by significantly exceeding, in quality, expectations for continuing employment and by making a significant, positive impact on the institution. Excellence should be validated by means convincing to peers and understandable to a neutral observer.

Service is the application or dissemination of knowledge or use of skills (in one's role as a professional educator or in one's role as a specialist in a particular discipline) for the solution of problems and/or the advancement of the institution, the profession, and/or the community.

Scholarly and creative activities are professional achievements including instruction that add to the sum of knowledge or to the effective dissemination of knowledge. They are activities which involve original, professional work which leads to a tangible result.

Following are definitions and examples of activities which demonstrate faculty performance in the areas of current practice, scholarly activities, University/program service and community service. No attempt has been made to identify the amount of activity the faculty need to perform. Each Faculty Rank and Promotion Committee, when convened, makes its own evaluation of adequacy. These guidelines provide some consensus on the areas a faculty member should consider in a professional development plan when applying for advancement in rank.

The purpose of faculty practice is to enhance teaching and student learning and to enable students to see the faculty member as a role model in a practicing profession. Practice activities are those activities that allow the faculty to achieve this purpose. Practice may encompass a broad range of activities, as long as they allow the faculty to practice doing what they teach others to do. (See examples below.) Current practice refers to activities the faculty member has accomplished during the interim between evaluations.

Scholarly Activity

Scholarly activities are work of the faculty directed toward advancing the science and practice of the profession.

1. Publications—primary or joint authorship (see <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support> for peer review criteria)
 - a. books;
 - b. articles in refereed professional journals.
2. Grants
 - a. submitted;
 - b. funded.
3. Papers presented at international, national or state professional meetings
4. Research
5. Citations in published materials
6. Poster session presentations

7. Development of evaluation designs
8. Higher education: MS and Doctorate
9. Papers at regional or chapter professional meetings
10. Publications
 - a. monographs or chapters in books;
 - b. editorship;
 - c. teaching materials, modules, A-V, CAI;
 - d. non-refereed professional journals;
 - e. book or abstract reviews.

Contribution and Service to the University and/or Program

Activities performed by faculty which maintain, facilitate and/or augment the mission and goals of the University and/or program.

- leadership in University activities;
- membership on University committees;
- membership in professional organizations;
- student advising;
- student recruitment;
- faculty recruitment.

Professional and Public Community Service Which Enhances the Faculty Role

Activities of faculty directed toward the advancement of the profession, including involvement in state or national organizations, consultation, and liaison with consumers. (See examples below.)

Example One

- service as a non-salaried faculty member at college/universities (includes precepting graduate students);
- continuing education presentations (planning, coordinating or presenting);
- board member/officer/chair of professional groups;
- leadership in professional organizations;
- memberships: professional specialty groups, councils, honorary societies;
- specialty group service, non-reimbursed;
- political liaison with professional groups;
- community service, non-reimbursed.

Example Two

- advisory committee member to professional programs;
- specialty group service, reimbursed;
- community service, reimbursed;
- memberships: non-professional, health related community groups and/or advisory committees;

- health-related presentations to non-professional groups.

Examples of Professional Practice Activities

Practice activities outside of the job description, which enable faculty members to maintain their expertise as clinicians, consultants, or specialists as appropriate for their instructional role included, but are not limited to, the following:

- clinical rounds;
- leader of therapeutic groups;
- clinical consultation;
- volunteer nursing with clients in clinical settings;
- ACLS, CPR certifications;
- professional certifications;
- joint appointments;
- clinical practice, reimbursed;
- inservices / orientations;
- participation in clinical courses;
- attendance at conferences.

Examples of Professional/Public Service

Active involvement in professional and public community service which enhances the faculty role includes, but is not limited to:

- teaching CPR
- BP screening
- donate blood
- health classes
- Red Cross activities
- panels, health forum
- camp nurse
- hospice volunteer
- senior citizen council
- board member (i.e., Heart Assn.)
- free clinic
- Meals on Wheels
- consultant to community groups
- health column (newspapers, magazines)
- Life Line Program
- health fair activities
- presentations to the public, high schools, etc. (re: profession, health problems, etc.)

Format for the Promotion Report

The Promotion Report is submitted electronically via an ePortfolio. The Rank and Promotion ePortfolio instructions and six related document templates are posted here: <https://www.samuelmerritt.edu/rank-and-promotion-eportfolio-instructions>. The format for preparing the report is designed to ensure uniformity among all reports. The guidelines are broad enough so that each faculty member will be able to explain all aspects of relevant achievement.

In preparing the ePortfolio, the faculty member should build a carefully constructed case demonstrating both excellence and a commitment to the goals of SMU. The recommendations of the Department Chair, Faculty Rank and Promotion Committee, and the Academic Vice President are made on the accurate, detailed, and specific information contained in the ePortfolio. These recommendations will assess the quality of the faculty member's past performance, achievements and potential for high quality future contributions in those areas required for promotion.

FACULTY ORGANIZATION

Mission

The mission of the Faculty Organization is to foster excellence in the University's academic programs, to support the mission of the University, to actively participate in the governance of the institution, to support academic freedom, to uphold faculty rights and responsibilities, and to promulgate sound academic policies and practices. The operational guidelines for the Faculty Organization can be found at <https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support>.