

# **College Handbook**

## **The College of Arts and Sciences**

**Revised  
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# The College Handbook: An Outline

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# The College of Arts and Sciences Handbook

## Introduction

### The mission of the College of Arts and Sciences is to:

- Cultivate curiosity and critical thinking, facilitate student growth and success, and support life-long learning through all branches of the liberal arts and sciences.
- Improve lives and broaden horizons of understanding and empathy through research, creative activity, and outreach.
- Serve the people of Nebraska and the wider common good through the bold pursuit of knowledge and the free expression of ideas and diverse perspectives.
- Promote a diverse, inclusive, and equitable institutional culture that nourishes mutual respect and inspires conscientious community engagement.

### About the College of Arts and Sciences at UNL

The University of Nebraska started instruction in 1871 as the College of Ancient and Modern Literature, Mathematics and Natural Sciences, later to become the College of Arts and Sciences.

We acknowledge that the University of Nebraska is a public, land-grant institution with campuses and programs across the State that reside on the past, present, and future homelands of the Pawnee, Ponca, Oto-Missouria, Omaha, Dakota, Lakota, Arapaho, Cheyenne, and Kaw Peoples, as well as the relocated Ho Chunk (Winnebago), Iowa, and Sac and Fox Peoples. In light of this history, we are committed to equitable access and the attainment of higher education for the Indigenous peoples whose lands make up our campus and community as an integral part of the College's mission to serve the many diverse peoples who call Nebraska home.

The College of Arts and Sciences occupies an important position at the University of Nebraska-Lincoln and in the University of Nebraska system of higher education. It is one of largest and most diverse colleges in the University and State. The College encompasses a wide range of academic disciplines and programs in the humanities, mathematical and natural sciences, and social sciences. The College also houses numerous interdisciplinary research centers and core facilities.

The College of Arts and Sciences has a distinctive role and responsibility at UNL given the diversity, breadth, and reach of the faculty's scholarly expertise. Since virtually every student at UNL takes courses in the College of Arts and Sciences, it is vital that the College provides a rigorous liberal arts education that equips students with the knowledge, skills, and diverse perspectives necessary to be informed, responsible, and ethical citizens of the world. We advance knowledge, deepen our understanding of nature and humanity, and promote widespread access to the liberal arts and sciences and life-long learning through research and creative activities, innovative academic programs, and experiential learning. We are committed to a culture of mutual respect and value equity, inclusion, and dignity for all.

Essential to the mission of the College of Arts and Sciences is the integration of research, teaching, and service by the faculty and staff. Through the quality and impact of their research and creative activities, their commitment to teaching and student success, and their engagement in our community, CAS faculty and staff offer students a wide range of knowledge and perspectives and

equip them with the methods and tools to acquire, generate, and communicate new knowledge.

## **The Bylaws of the College**

In accordance with the Bylaws of the Board of Regents of the University of Nebraska, the College of Arts and Sciences adopted its own Bylaws. Nothing in these Bylaws shall be construed to be in conflict with any applicable law or with UNL Bylaws or with the Bylaws of the Board of Regents. Where anything in these Bylaws or any Bylaws or Rules of any Institute, School, Department, or other subunit of UNL possessing power to enact Bylaws or Rules conflicts with UNL Bylaws, the provisions of the UNL Bylaws shall govern anything in any Bylaws or Rules of the College, Institute, School, Department, or other subunit to the contrary notwithstanding. They are as follows:

### **College of Arts and Sciences Bylaws of the Faculty**

Adopted December 3, 1971 and including changes adopted through May 3, 2022.

The name of the organization shall be the Faculty of the College of Arts and Sciences, University of Nebraska-Lincoln, hereinafter referred to as the Faculty.

#### **I. Powers**

Within the limits established by the Bylaws and Rules of the Board of Regents of the University of Nebraska, the Faculty shall:

- A. establish rules for the conduct of its business and approve or disapprove proposals for changes in the bylaws;
- B. establish committees for the conduct of Faculty business and assign functions and responsibilities to them;
- C. set entrance requirements to the College and requirements for degrees; approve or disapprove the establishment of programs for majors and minors and of courses to be offered for credit in the College; determine scholastic standards to be met by students in the College; establish procedures for probation, dismissal, reinstatement, and other measures related to the maintenance of academic standards; and establish other rules concerning curricula, instructional programs, and grading regulations;
- D. consider other business brought before it by the Dean, the Executive Committee, the Faculty, or other authorized persons according to procedures outlined in these bylaws;
- E. consider other items of broad interest to the welfare of the Faculty.

#### **II. Members**

Section 1. The Faculty shall consist of all full-time or part-time members holding the rank of Assistant Professor, Associate Professor, Professor, Assistant Professor of Practice, Associate Professor of Practice, Professor of Practice, Research Professor or Research Associate Professor, Research Assistant Professor or Lecturer. In what follows, all references to Assistant Professor, Associate Professor and Professor include both the tenure track ranks and the corresponding Practice and Research ranks.

Section 2. Faculty members in other colleges shall not be members unless specifically authorized by action of the Faculty of Arts and Sciences.

Section 3. In order to vote in a college election or nominate a candidate for election to a college committee, a member of the Faculty must hold an appointment of 50 percent or more FTE in the College of Arts and Sciences.

Section 4. In accordance with the Bylaws of the Board of Regents (Chapter IV), the faculty of the College of Arts and Sciences are entitled to academic due process in all cases where a personnel issue may yield an adverse decision (e.g., a sanction or other remedial action). The appropriate unit or college officer (e.g. Chair/Director or Dean/Associate Dean) must inform the faculty member of the complaints or charges against them, and the faculty member must be provided the opportunity to respond in writing to those complaints within five (5) business days.

### **III. Officers**

Section 1. The Dean of the College of Arts and Sciences or the Dean's representative shall preside at meetings of the Faculty, except that, in the absence of the Dean or the Dean's representative, the Faculty shall elect a president pro tem.

Section 2. The Secretary shall be elected during the first meeting of the academic year and shall serve for a two-year term.

Section 3. The Dean shall appoint a parliamentarian at the first meeting of each academic year.

### **IV. Meetings**

Section 1. There shall be a minimum of two meetings each year, including one in the first semester and one in April or May.

Section 2. A meeting may be called in any one of the following ways:

- A. by the Dean
- B. by the Executive Committee
- C. by written request of at least 25 members.

Section 3. Notifications of the meetings and copies of the agenda shall normally be sent to the Faculty one week in advance.

Section 4. Items shall be placed on the agenda in any of the following ways:

- A. by the Dean
- B. by the Executive Committee
- C. by 10 or more members of the Faculty who shall submit the item in writing to the Executive Committee
- D. by action from the floor, provided that no substantive matter is voted on during the same meeting.

Section 5. A quorum shall consist of 40 members of the Faculty. If a quorum is not present by the assigned meeting time the meeting will be adjourned. A second meeting, with the same agenda, will be convened 10 minutes later with a quorum requirement of 10 members of the Faculty.

Section 6. A motion to refer to a ballot of the Faculty shall be in order after the call for the question but before the vote is taken on any substantive matter before the Faculty, and it shall be adopted providing 25 percent of the members present favor such a motion. A substantive matter shall be taken as being confined to main motions. A summary of the arguments on the motion, pro and con, which were presented at the Faculty meeting and which are germane to the issue shall be prepared by the Secretary and sent, along with the ballot, to each member of the Faculty.

Section 7. All elections, including ballots, shall be decided by majority vote of all members voting. If a majority is not reached on the first ballot, a second balloting of the two candidates receiving the highest number of votes shall be held.

Section 8. The agenda of each meeting of the Faculty will be sent to the Arts and Sciences Student Advisory Board and that body may designate representatives from its membership to participate in the meeting, without voting privileges.

## **V. Standing Committees**

Bylaws of Standing Committees: The Executive Committee, The Promotion and Tenure Committee, The Student Advisory Board

### Section 1. Executive Committee

- A. The Executive Committee shall consist of the Dean of the College of Arts and Sciences, the Associate Deans and eight faculty members, five elected and three appointed. The elected and appointed faculty members shall be chosen from the full-time tenured or tenure-track faculty, or from the full-time professors of practice at any rank. One member shall be chosen from Social Sciences; two members shall be chosen from the Sciences; one member shall be chosen from the Humanities; one member shall be chosen from the Social Sciences or Humanities, alternating between the two areas in alternate elections. The elected members will be chosen by a ballot and the other members will be appointed by the Dean. Election shall be for staggered terms of two years. No elected member of the Executive Committee may succeed himself or herself if that member has served two years; the same department or school may not be represented on the Executive Committee by two elected members concurrently. To ensure representation of interdisciplinary interests in the college, if each elected faculty member is appointed in a single department or program only, then at least one of the faculty members appointed by the Dean will have appointments in multiple departments or programs.
- B. The College is apportioned into three areas for purposes of representation on committees:  
Area I – Social Sciences: Anthropology, Communication Studies, Geography, Political Science, Psychology, Sociology  
Area II – Humanities: Classics & Religious Studies, English, History, Modern Languages & Literatures, Philosophy  
Area III – Sciences: Biological Sciences, Chemistry, Computer Science & Engineering, Earth & Atmospheric Sciences, Mathematics, Physics & Astronomy
- C. Nominations to fill vacancies shall be made as follows: During the second semester, the College shall provide each member of the Faculty with a list of the members in each group eligible for nomination. For nomination, a member of the Faculty must hold an appointment of 50 percent or more on the budget of the College of Arts and Sciences.

The Faculty shall then nominate by secret ballot, from among the eligible members in each group, two times the number of representatives to be elected. For each position to be filled from the membership of a group, each member of the Faculty may name two persons bearing in mind that not more than one member of a voting unit shall serve on any particular elected committee. The eligible members who receive the highest number of nominating votes shall be advised thereof by the Dean prior to the preparation of the ballots for the election of the committee members. In the absence of their dissent in writing submitted to the Dean, they shall be nominated as candidates for the respective positions on the committees. If a person elects not to be a nominee, that place on the election ballot shall be filled by the person receiving the highest number of nominating votes of those not otherwise nominated and who is willing to be a candidate. In case of ties, the nominee will be determined by lot.

- D. The purpose of the Executive Committee is to facilitate shared faculty governance, to support effective communication throughout the College, and to advise the Dean on significant issues of policy and governance within the College.  
Scope: The Dean will consult with the executive committee on significant changes in the make-up and organization of the College and in relation to significant matters of policy or administration affecting faculty, staff, and students. The executive committee may also be assigned specific tasks that are not within the scope of any standing College committee. The executive committee will seek and recommend nominations for election to the College Promotion and Tenure Committee.
- E. The Dean shall be the chairperson of the Executive Committee. The agenda of the committee will be set jointly by the Dean and the members of the committee. The Executive Committee will meet on a regular basis (i.e., at least monthly) during the academic year to advise the Dean. Individual committee members' contributions to committee deliberations will be confidential but brief minutes of committee meetings will be available in the College.
- F. The terms of new committee members will commence with the beginning of the Fall Semester, except that the Dean may call upon them during the preceding summer as circumstances warrant.
- G. Selected members of the Executive Committee may be called upon to serve on ad hoc review committees for faculty awards, incentive grants, and related activities. Additional ad hoc committee members, including student representation where appropriate, will be selected as needed to insure proper committee representation.

## Section 2. Promotion and Tenure Committee

- A. The Promotion and Tenure Committee shall consist of the Dean of the College of Arts and Sciences, one Arts and Sciences Assistant or Associate Dean (appointed by the Dean), and six members elected by the faculty in a ballot. Elected members shall be chosen from the full-time tenured professorial faculty. Two members shall be chosen from each of the Social Sciences, the Sciences, and the Humanities. At the time of election, at least four shall be full professors. The Executive Committee will be encouraged to include some Associate Professor candidates on election ballots. Persons serving on the Promotion and Tenure Committee shall not be chairpersons, directors, or vice-chairpersons/ directors. Election shall be for staggered terms of three years. No elected member of the Promotion and Tenure Committee may succeed himself or herself

if that member has served two years or more; the same department or school may not be represented on the Promotion and Tenure Committee two terms in succession or by two elected members concurrently.

- B. The College is apportioned into three areas for purposes of representation on committees:
- Area I – Social Sciences:** Anthropology, Communication Studies, Geography, Political Science, Psychology, Sociology
  - Area II – Humanities:** Classics & Religious Studies, English, History, Modern Languages & Literatures, Philosophy
  - Area III – Sciences:** Biological Sciences, Chemistry, Computer Science & Engineering, Earth & Atmospheric Sciences, Mathematics, Physics & Astronomy
- C. Nominations to fill vacancies shall be made as follows:
1. At least two nominations for each vacancy shall be submitted by the Executive Committee and must be in the hands of the Secretary of the Faculty at least four weeks before the last regular meeting of the Faculty in the second semester of each academic year.
  2. Nominations may also be made by members of the Faculty. They must be in writing and supported by the signatures of at least five members of the Faculty. Such written nominations must be received by the Secretary at least two weeks prior to the last regular meeting of the Faculty in the second semester of each academic year.
  3. Temporary vacancies, such as those created by leaves of absence, shall be filled for the duration of the vacancy by appointment of the Dean with the concurrence of the Promotion and Tenure Committee. Other vacancies occurring, except those by expiration of term, shall be filled by the Faculty at its next regular election. Pending the election, the position shall be filled by appointment by the Dean with concurrence of the Promotion and Tenure Committee.
- D. The Promotion and Tenure Committee shall meet to discuss and act upon issues involving the promotion and tenure of faculty and to consider recommendations for tenure and promotion in rank.
- E. The senior (in years of service) elected member of the Committee shall act as chairperson. Either the Dean or the senior elected member may convene the Committee.
- F. The terms of new committee members will commence with the beginning of the Fall Semester, except that the Dean may call upon them during the preceding summer as circumstances warrant.

### Section 3. The Student Advisory Board

- A. The Student Advisory Board consists of student members elected by students enrolled in the College of Arts and Sciences.
- B. Election of members is conducted by ASUN in accordance with the regular procedures of that organization and in accordance with the provisions of the ASUN-approved constitution of the Student Advisory Board.
- C. The Student Advisory Board acts in an advisory capacity to the Dean. The Dean or the Dean's representative shall meet at intervals with the Student Advisory Board.

## VI. Other Standing Committees

Section 1. All other Standing Committees will be established, modified, or terminated, as needed, by the Faculty by majority vote of those present and voting. The Faculty shall prescribe

the responsibilities and method of selection of such committees. Each Standing Committee shall report to the Faculty at least once a year. The terms of new committee members will commence with the beginning of the Fall Semester, except that the Dean may call upon them during the preceding summer as circumstances warrant.

Section 2. The Dean shall be responsible for maintaining a current description, including the method of selection and responsibilities, of such committees, as approved by the Faculty.

## **VII. Parliamentary Authority**

Except when otherwise provided in these bylaws, all procedures shall be in accord with Robert's Rules of Order, latest revised edition.

## **VIII. Amendment of the Bylaws**

Section 1. A motion to change the bylaws of the Faculty requires a vote of two-thirds of the members voting.

Section 2. A vote on a motion to change the bylaws shall be taken, not at the meeting at which it was introduced, and not later than at the next following meeting.

## **IX. Description of Standing Committees**

Section 1. The Committee on Student Academic Distinction, Awards and Appeals

- A. This Committee shall consist of a coordinator, five faculty members, the Associate Dean assigned to the committee, one graduate student instructor or graduate teaching assistant in the College appointed by the Dean, and two undergraduate students selected by the Student Advisory Board.
- B. The members shall be appointed by the Dean upon the advice of the Executive Committee, and shall be chosen from the areas of the College as described in Article V.1 A and B with no department represented by two members concurrently.
- C. The faculty members shall serve for three-year terms on a staggered basis. The student members shall serve one-year terms.
- D. Faculty vacancies on the committee will be filled by appointment by the Dean upon the recommendation of the Executive Committee.
- E. Faculty members of the Committee shall decide, within the general criteria set by the Faculty, which degrees shall be awarded with Distinction, High Distinction, or Highest Distinction, and present its recommendations to the Dean. Faculty members of the Committee shall select students to be nominated by the College for scholarships, fellowships, and awards.
- F. The Committee shall function as the final appeal committee from the departmental grading appeals committees. It shall perform functions of conciliation as well as judgment of the cases coming before it, and shall adopt a set of rules, procedures, and standards for the judgment of cases.

Section 2. The Curriculum and Advising Committee

- A. This Committee shall consist of nine voting members as follows:
  1. Five elected faculty members, serving staggered three-year terms, and representing the areas as described in Article V, Section 1A and B. These members shall report back to and confer with the areas they represent.

2. Two undergraduate students in this College, serving one-year terms and chosen by the Student Advisory Board. No department may have more than one student member on the Committee simultaneously, unless approved by the Committee.
  3. A voting Executive Secretary appointed by the Dean with advice from the Executive Committee. Normally, an Assistant or Associate Dean will be Executive Secretary of the Curriculum and Advising Committee. The Executive Secretary shall distribute the agenda and minutes to chairpersons of all departments.
  4. The Arts & Sciences Senior Director of Advising and Student Success
- B. In addition, the Committee shall have as a non-voting member one faculty or professional adviser from the College, serving a one-year term and chosen by the Dean in consultation with the Director of the Arts & Sciences Academic and Career Advising Center.
- C. The five faculty members shall be elected by the members of their own area. At least two nominations for each vacancy shall be submitted to the Faculty by the Curriculum and Advising Committee, at least four weeks before the last regular meeting of the Faculty in the second semester of each academic year. Nominations may also be made by members of the Faculty. They must be in writing and supported by the signatures of at least five members of the Faculty. Such written nominations must be received by the Executive Secretary of the Curriculum and Advising Committee two weeks prior to the last regular meeting of the Faculty in the second semester of each academic year. Faculty members elected to the Committee shall have been full-time faculty members in this College at the rank of assistant professor, or higher, for at least two years prior to selection. Chairpersons and directors are not eligible, although vice-chairpersons/directors may be selected. Committee members may not succeed themselves, nor may a single department be represented on the Committee two terms in succession. Temporary vacancies, such as those created by leaves of absence, shall be filled for the duration of the vacancy by appointment of the Dean with the concurrence of the Executive Committee. Other vacancies shall be filled by election of the Faculty of the area. Pending the election, the position shall be filled by appointment of the Dean with the concurrence of the Executive Committee. If a person selected to fill an unexpired term serves less than one-half the normal three-year term, that person or the department is still eligible for election to a full three-year term.
- D. The responsibilities of the Curriculum and Advising Committee (or its designee) shall be as follows:
1. To approve additions, deletions, and revisions of courses and to determine their applicability toward degree requirements.
  2. To approve non-substantive changes regarding major and minor requirements and to make recommendations to the Faculty regarding substantive changes in major and minor requirements.
  3. To make recommendations to the Faculty regarding substantive changes in degree requirements within the College and to interpret these requirements in cases of uncertainty.
  4. To make recommendations to the Dean and the Faculty to improve the quality of advising in the College.
  5. To encourage the improvement of curricular programs within the College.
  6. To serve, with the Executive Committee, as the overall academic planning group for the College.

7. To concern itself with the quality of instruction within the College and to promote its excellence.
  8. To establish a subcommittee on Special Student Requests to consider independent petitions of a non-routine nature referred to it by the Dean's Office for student academic programs such as the waiving of College-wide academic requirements. The subcommittee may have members who are not on the Curriculum and Advising Committee.
  9. To try to ensure that courses are accurately described in the Bulletin of the College.
  10. To present at the appropriate time to the Faculty for its vote nominees for membership on the Academic Senate Committee on Committees.
- E. In considering curricular and advising matters, the Committee's concerns shall include student need, duplication of courses and services, intellectual content of the curriculum, and relationships with other College and University programs.

### Section 3. The Assessment Committee

- A. This Committee shall consist of five voting members as follows:
1. Four appointed faculty members, serving staggered three-year terms, with three members chosen from areas of the College as described in Article V.1 A and B, and one member from an interdisciplinary program. No department or interdepartmental program shall be represented by two members concurrently. Chairpersons and directors are not eligible.
  2. One representative from the Dean's staff, ordinarily an Associate Dean. The representative from the Dean's staff will act as voting Executive Secretary, appointed by the Dean with advice from the Executive Committee.
- B. Faculty vacancies on the committee will be filled by appointment by the Dean upon the recommendation of the Executive Committee.

### Section 4. The Committee on Academic Freedom and Freedom of Speech

The responsibility of this standing committee will be to advise members of the College of Arts and Sciences, including students, Graduate Teaching and Research Assistants, Lecturers, Professors of Practice, and Tenured or Tenure-leading Professors, concerning general and specific issues regarding Academic Freedom in teaching and research. Of primary importance will be considering questions that arise in defining the relation of faculty governance to both the national norms and UNL policies on Freedom of Speech and Academic Freedom. The committee may consult with the AAUP as warranted.

The committee will provide support to members of the College of Arts & Sciences in the following ways:

- 1) The committee will undertake an educational role for the college. Members of this committee will develop an expertise in issues in Academic Freedom and Freedom of Speech issues and will suggest training needs and opportunities to the Dean and provide information to Chairs and Directors on request. The committee will be expected to provide workshops and presentations on the relation of Academic Freedom and Freedom of Speech issues to instructional and research specialists as requested by unit heads.
- 2) The committee will be available in an advisory or support role to members of the college concerning issues of Academic Freedom and Freedom of Speech. While students and

CAS personnel will normally work with their Department Chair or Program Director to start, members on this committee will be available for consultations and will, upon request, provide advisory support for such individuals.

When issues of academic freedom or freedom of speech arise in relation to an individual from CAS, members of the committee should also be prepared to attend meetings with administrators outside of the college.

- 3) Members on this committee will meet regularly both to address issues of Academic Freedom and Freedom of Speech that arise during the course of the year and to advise the Dean should these issues demand College recognition or action.
- 4) This document authorizes this committee to serve as a fact-finding body in cases of potential violation of Academic Freedom or Freedom of Speech.

Membership on this committee will require readiness both to maintain confidentiality in ongoing cases and to seek appropriate expertise regarding (a) disciplinary standards, (b) legal questions, and (c) concerns and questions regarding engagement with administration beyond College-level authority.

In accord with the established rules for faculty governance of UNL, the chair of the committee will be free to represent the decisions of the committee, with the committee's assent.

Membership of the Committee:

- Associate Dean of Faculty (ex officio)
- 2 Representatives of the Humanities (elected)
- 2 Representatives of the Social Sciences (elected)
- 2 Representatives of the Natural Sciences (elected)

Terms of membership are for 3 years. The committee will appoint its own chair at the beginning of the AY. In an event of a mid-term vacancy, the committee chair may appoint an appropriate member to complete the term.

Membership of the Committee is open to all tenured professors or professors of practice at associate or full rank and will be selected through College-wide elections. Members serve at staggered terms.

#### Section 5. The Inclusion, Diversity, Equity and Access (IDEA) Committee

The IDEA committee shall consist of 7-11 members, each serving staggered terms of 3-years. While the majority of membership will be faculty (tenure-line and professor of practice), the committee shall also include 1-3 administrative staff, 1-2 undergraduate students, and 1 graduate student. An associate dean shall be appointed as liaison to the committee, but will not regularly attend meetings. Membership shall include at least one person from each of the three areas as defined in the executive committee membership: Social Sciences, Humanities, and Sciences. The committee should intentionally include diversity, broadly defined, among its own membership.

New members are nominated by existing members, the Dean's office, the college community at large, or a self-expressed interest. New members shall be appointed by the Dean upon consultation with the Executive Committee. The committee shall have two co-chairs, appointed by the Dean, ideally each serving in the co-chair position for two years but with staggered appointments. Faculty are eligible to serve as co-chairs, and, at most, one co-chair could be a staff.

# College Operating Procedures

## **I. Administrative Organization**

The administrative officers of the College comprise the Dean, Associate and Assistant Deans, department chairs and directors. The Executive Committee, the Promotion and Tenure Committee, the Curriculum Committee, the Grading Appeals Committee, the Committee on Academic Distinction and Awards for Students, the Assessment Committee, Academic Freedom and Freedom of Speech Committee, Inclusion, Diversity, Equity and Access (IDEA) Committee, and the Student Advisory Board are the standing committees of the College. In addition to standing committees, ad hoc committees may be established to meet specific needs.

The Regents Bylaws 2.9 (BL-20) states that subject to the powers vested in the Board and the provisions of certain state laws, the immediate governance of a college shall be by its own faculty. The powers of the faculty include adoption of attendance rules, matters including the requirements for degrees, recommending of candidates for degrees, establishment of program for majors and minors, developing research programs, nominations for honorary degrees, creation of permanent committees, discipline of students for conduct solely affecting the college, and recommending to the Board of Regents admission requirements, courses of study, and other relevant matters for meeting statutory requirements, and other items of interest to the welfare of the College.

## **II. The Dean and Dean's Staff**

The Dean of a college shall be the officer primarily charged with the administration of the college. The Dean shall be the presiding officer of its faculty and the chief advisor of the Senior Vice Chancellor for Academic Affairs in regard to the college's welfare, and shall be in general charge, under the Senior Vice Chancellor for Academic Affairs, of the administrative work of the college. The Dean shall submit recommendations to the office of the Senior Vice Chancellor for Academic Affairs concerning the appointment, reappointment, non-reappointment, promotion, granting of continuous appointment, demotion, transfer, dismissal, or removal of members of the college staff. All requisitions chargeable to funds apportioned to the college are subject to approval by the Dean or his or her designee (2.9.1,21). The Dean is reviewed by the College and higher administrative officers after five years of service.

The Associate and Assistant Deans, who are recommended for appointment by the Dean with the approval of the Executive Committee and the Senior Vice Chancellor for Academic Affairs, normally are assigned responsibilities for matters relating to the college's administration, budget, committees, university liaison, interdisciplinary or area studies programs, and student academic programs, scholarships and advising. The Dean's Office will each year make available specific descriptions of responsibilities assigned to each Assistant or Associate Dean.

The Associate and Assistant Deans and the Dean's staff are primarily concerned with assisting the faculty and students of the College to achieve their goals in learning, teaching, research, and service. Please feel free to ask the members of the Dean's staff for any assistance you need.

## **III. Departmental and School Organization**

"Collegiate...schools may be established by The Board upon recommendations of the Senior Vice-Chancellor for Academic Affairs and the President" (BL 2.9.3). The Board of Regents also has the responsibility "to create departments of a college or school when size or education efficiency demands it...Department chairmen [sic] (and directors) shall be appointed by the Board upon recommendation of the dean, after appropriate consultation with the departmental faculty and with concurrence by the Chancellor" (BL2.10).

The College strongly supports the participation of faculty in department and school governance. This participation will usually include the appointment or election of faculty to membership on committees and attendance at staff meetings.

A. Bylaws.

Departments and schools shall adopt their own bylaws and procedures which will serve to describe, as specifically as possible, policies of the department or school concerning duties, rights, and responsibilities of its officers, faculty, and committees; criteria and procedures for promotion and tenure; conduct of departmental meetings; and other appropriate matters. Such bylaws shall be submitted to the Dean who ensures that the Bylaws are in agreement with the Bylaws of the Board of Regents of the University of Nebraska-Lincoln, and of the College.

B. Staff Meetings.

A department or school shall have regular faculty meetings scheduled at the convenience of its members. Representation with voting rights from graduate and undergraduate students is permitted at the discretion of the department or school. Matters to be considered at meetings primarily consist of policies concerning the academic program and the general welfare of the department or school, its members, and the College. A record of the agenda for each meeting should be kept and minutes of meetings shall be distributed to the faculty.

C. The Chair or Director.

The chair or director is the presiding officer primarily charged with administering the department or school and serving as chief adviser to the Dean on matters concerning the department or school. The chair may make recommendations to the Dean and faculty of the College concerning the welfare of the department and its relationship to other departments, after consultation with the appropriate faculty in the department. The chair of a department or director of a school or an institute generally has a reduced teaching load depending on the size and the nature of his or her administrative unit. Administrative duties of the chair or director are not rigidly prescribed, but responsibilities include budgetary and personnel matters, teaching schedule, recruitment of new staff, and the business affairs of the department, school, or institute. The chair or director should also be aware of the teaching and research activities of his or her staff members and of their service as advisers and committee members, both within and outside the department or school.

Consistent with the Bylaws of the University of Nebraska-Lincoln, chairs and directors are appointed for a specified term, normally 3-5 years. Near the end of this period, the Dean conducts a review of the chair's or director's record to ascertain the opinion of the faculty and other knowledgeable persons external to the departments regarding reappointment for

another term. See July 14, 1994 memorandum from Al Kilgore, then Associate Vice Chancellor for Academic Affairs, on "Chairperson Performance Evaluation: Possible Areas of Review for the Five-Year Cumulative Assessment." The review allows each faculty member to express an opinion in confidence, either by conference or by letter, provided the chair has waived his or her right to examine materials used in his or her evaluation. The Dean may also consult non-academic staff and students in the department or school. After a discussion with the College Executive Committee, the Dean has a conference with the chair or director. The chair, in order to be reappointed, ought to have majority support of those in tenure or tenure-track positions in the appropriate department. If, after such a review, the Dean and the Executive Committee decide renewal is in order, the reappointment is confirmed. If not, the Dean will initiate the procedure for selecting a new chair or director.

#### D. Other Departmental or School Officers.

The chair may recommend to the Dean the appointment as needed of a vice-chair, chief adviser, coordinator of undergraduate or graduate instruction, and other similar positions to assist in the administration of the department. The creation of such positions must be justified to the Dean. Nominees must be approved by the Executive Committee of the department. Persons assigned these duties may, with the approval of the Dean, receive some reduction in other assignments in order to compensate for their increased responsibilities.

#### E. Departmental Advisory or Executive Committees.

In order to provide the chair with a consulting body representative of the department faculty, an advisory or executive committee must be established by the department. Its members are to be elected by a majority of the faculty of the department. Departments with seven or fewer members may function as a committee of the whole. The duties and responsibilities of this committee must be specified in departmental bylaws and it must meet at stated intervals for the purpose of conducting the business of the department. The chair of the department is the chair of the committee. Minutes shall be taken and distributed to the faculty of the department.

#### F. Department Faculty Mentoring Committees

In order to provide advice and support for faculty who are pre-tenure or not fully promoted, departments and programs shall appoint formal mentoring committees. The composition, duties and responsibilities for these committees are to be specified in a department faculty mentoring plan. There may be individual committees for each mentee, or departments might have committees that are responsible for groups of faculty. Departments are expected to supply the College with a copy of their plan. The College will periodically review these plans and make recommendations based on best practices. Departments may consider incorporating some of the following elements in their plans; 1) a minimum of two formally assigned mentors, 2) description of the responsibilities of the mentors, 3) clear guidelines for how the mentoring committee should operate, 4) consideration of including a mentor who is external to the department or program, 5) how mentoring committee responsibilities will be reflected in department service evaluation, and 6) seeking input from the pre-tenure faculty member.

Faculty who are on joint-appointments, or have partial appointments in research centers, should have a faculty mentoring committee that includes representation from each unit. The department and program faculty mentoring plans should address how joint-appointed and center-affiliated mentoring committees will operate.

#### G. Other Committees.

The chair or director in consultation with the Executive Committee appoints or conducts elections to other standing or ad hoc committees for the conduct of departmental affairs. Some typical departmental standing committees, in addition to the advisory or executive committee, are curriculum, grading appeals, graduate, scholarship, and library committees.

#### H. Graduate Committee.

Each administrative unit (department, school, interdepartmental area) authorized to offer course work leading to the master's or doctor's degree shall have a Graduate Committee consisting of no fewer than three Graduate Faculty Members, one of whom is designated as chair of the Graduate Committee. In administrative units offering a doctoral degree, the majority of its Graduate Committee and its chair must be Graduate Faculty Fellows.

Membership on the Graduate Committee is recommended by the administrative unit through its department chair, chair of the interdepartmental area, director, or academic dean, as appropriate, for appointment by the Dean for Graduate Studies, UNL. Graduate Committees are responsible for the general supervision of graduate work in their administrative units. The chair of the Graduate Committee has administrative duties which may include the responsibility of approving candidates, of coordinating graduate advising, and of recruiting graduate teaching assistants.

#### I. Interdisciplinary/Area Studies Programs.

In addition to major and minor courses of study in departments and schools, the College has a number of interdisciplinary and/or area studies majors and minors, which are described in the undergraduate bulletin.

Groups of faculty interested in the development of new majors and minors involving interdisciplinary cooperation must first contact the Dean. If departments and schools agree to representation in these programs, the Dean will appoint an ad hoc planning committee to complete a proposal. Upon approval of the Dean and the College Executive Committee, the proposed program will be submitted to the College Curriculum Committee for approval and then to the College Faculty for approval at an open meeting. A director or chair and a planning committee will subsequently be appointed and together will function as an interdisciplinary program/area study committee to review the program requirements periodically, to advise students in the program, to assist in scheduling to avoid conflicts, and to prepare Bulletin material.

The work of the area study and interdisciplinary program committees will be reviewed periodically by the Dean and the Executive Committee in the same way that departments are reviewed. The work of the chair of each committee will be reviewed periodically by the Dean and the Executive Committee in the same way that the work of chairs and directors of departments and schools are reviewed.

### **IV. The Faculty**

Faculty members have a three-fold professional relationship to the College and University. The first and most obvious is classroom and non-classroom teaching. The competence of faculty members in presenting the material of their disciplines in an effective way and their willingness to be available to their students for additional direction and counsel are of prime importance.

Designated Major Advisers generally have two responsibilities. One is the counsel given during registration periods when an adviser helps a student decide on the courses which will best satisfy the student's own interests and the requirements in his or her major and other fields. The second is a more general activity in which the faculty member discusses with the student his or her academic interests, talents, and personal goals. Both are important aspects of the educational function of advising.

Second, faculty members have an obligation to maintain command of developments in their fields and to develop their own capacities for research or whatever creative activities of mind and talent they can pursue most fruitfully.

Faculty development is encouraged in a number of ways. Faculty members may apply to the University Research Council for summer fellowships, research grants-in-aid, and grants for visiting scholars. Details of the Research Council's policies and guidelines may be obtained from the Dean for Graduate Studies. The Teaching Council provides small grants to encourage the improvement of instruction.

Faculty development fellowships are available on a competitive basis to those with six years of service. They provide a semester off at full pay or two semesters at 50% salary for study or research.

The College has funds available for professional travel. Since all trips for professional reasons must be given prior authorization and vouchers must be submitted for expenses paid by the University, faculty members are advised to consult their Chairperson or Director about these details. The Faculty Travel Policy for the College of Arts and Sciences is outlined in the Chair's and Director's Handbook.

The College also encourages its departments, schools, individual faculty members, or groups of faculty to develop proposals for submission to outside agencies for research funding. Information concerning available grants is distributed to all faculty by the Office of Sponsored Programs.

The third major faculty responsibility is service to the department, College, and University, usually through participation on committees

# Faculty Evaluation

## Introduction

Annual evaluations of the performance of all faculty members are required by the Bylaws of the Board of Regents (BL-4.6, 62). The evaluation must be based on written material in a file assembled by the faculty member. The annual review shall be considered in determining merit salary adjustments, promotions, and for awarding continuous appointment. The results of the review will be communicated to the individual faculty member in writing (BL-4.6, 63). See also Section IV.A of the Faculty Handbook for its Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure (accepted May 12, 1989; revised September 1990). See also the memo to Academic Deans from Joan R. Leitzel, then Senior Vice Chancellor for Academic Affairs of November 17, 1994, detailing the transmittal of tenure and promotion documentation and recommendations.

Each department must maintain a file for each faculty member recording publications or other creative activities, peer evaluation of these, evidence of teaching effectiveness including evaluations by students, and any other material that may assist in providing pertinent information. Faculty members are to be given the opportunity to review this file and to submit whatever material they deem necessary for its completeness. Faculty members shall have access to all material submitted for their evaluation and the opportunity to respond in writing (BL 4.6, 63) with the response retained as part of his or her permanent file.

The following are specific College and University policies and procedures on evaluation, promotion and tenure which supplement and are in accord with the University of Nebraska-Lincoln "Guidelines for the Evaluation of Faculty" adopted on May 12, 1989.

### **I. College Policy on Student Evaluation of Teaching Performance**

(adopted November 12, 1976; September 1993; December 8, 2005):

#### **A. Courses to be Evaluated.**

That there shall be student evaluation of every class every semester (with the exception of courses that do not contribute to the faculty member's teaching load credit, such as, for example, dissertation hours, individual research, or individual reading courses). Although graduate students should have the opportunity to evaluate each of their formal courses, each department should be allowed to devise an appropriate mechanism taking into account the differences between undergraduate and graduate courses.

#### **B. Evaluation Form.**

That each faculty member shall be free to devise whatever evaluation form he or she deems appropriate, provided that the form includes questions calling for response to the following dimensions in a standard formulation voted on by the faculty of the unit.

1. The instructor's handling of the class. For example: Were the course requirements made clear? Did the instructor appear regularly and on time? Was there an opportunity (keeping in mind class size) for questions? Were the examinations directly related to classroom coverage and reading assignments? Were tests and papers returned in a reasonable time?
2. The instructor's skill in communication. For example: If the class was primarily lecture, were the lectures clear and well-organized? If the class was primarily

discussion, were the discussions focused and well guided? Was the instructor enthusiastic about the subject? Was the instructor helpful in clarifying problems or difficult points? Were answers to questions to the point and understandable? Were blackboard or audio-visual presentations (where relevant) clear and helpful?

3. The student's perception of the extent of the learning experience.
4. The degree to which the student feels interest and/or thinking has been stimulated.
5. Whether the faculty member has treated students with fairness and respect.
6. Whether students treated the instructor fairly and respectfully.

C. Distribution of the Evaluation Forms.

That either paper evaluation forms or electronic on-line evaluations can be used. If paper forms are used, the individual faculty member or a designee shall distribute the evaluation forms during a class period, and shall not be present in the room while students complete their evaluation. The faculty member's designee or a student identified by the faculty member shall collect the evaluation forms and return them to the departmental office in a sealed envelope provided by the faculty member. In either case, the faculty member shall not review the evaluations until after final course grades have been submitted and should so assure the students. Students shall always be given the option to sign or not sign the evaluation forms. Those interpreting the evaluations should give due consideration to any differences between signed and unsigned evaluations.

D. Right of Faculty to Append Material or Add Explanations.

The individual faculty member shall have the right to append any explanations or additional information desired to the evaluations to be included with the raw data for any review.

E. Departmental Guidelines for Additional Teaching Information.

That each department draw up a set of guidelines setting forth additional information to be considered in assessing the faculty member's overall performance in his or her instructional role. Although student evaluations of teaching are important and provide some essential information, student evaluations do not provide a complete evaluation of teaching effectiveness. Faculty members should provide an analysis of materials documenting teaching performance, which might include:

1. Self-evaluation by the individual faculty member.
2. Information about the quality of student work in later courses in sequentially organized disciplines.
3. Growth and development of students in regard to course objectives as measured by pre- and post-testing.
4. Curriculum development and innovation.
5. Course portfolio documenting evidence of student performance in a particular course.
6. Grading standards.
7. Review of teaching materials in terms of the currency, academic soundness, relationship with course objectives, and level.
8. Peer assessment of course design, instructional materials and examinations.
9. Peer evaluation through classroom visitation. But if a program of classroom visitation is adopted, the following safeguards must be followed:

- a. Choice of visitors shall be by the departmental chair or school director in consultation with the faculty member from among the appropriate faculty responsible for reviewing the faculty member's performance.
  - b. The individual faculty member shall be free to invite as observers any additional members of the appropriate faculty responsible for his or her review.
  - c. The department shall draw up a written checklist of the dimensions to be appraised by the observers.
  - d. The faculty member shall have the right to see the report(s) of the observer(s) before submission to the chairperson and/or appropriate faculty committee and to respond in writing, such response to be attached to the report(s).
- 10. Analysis of impact on teaching of the discipline.
  - 11. Teaching awards and recognition.
  - 12. Number of graduate student research projects and/or theses and dissertations supervised.
  - 13. Advising and mentoring activities.
- F. Departmental Committee and Chair Review of Individual Faculty Teaching Data.  
Review of all data relating to instructional performance for the purpose of recommendations for promotion, tenure, and reappointment shall be by the appropriate faculty committee as defined in the Handbook of the College of Arts and Sciences. Review of such data for the purposes of annual review and/or recommendations for merit salary increases shall be made by the chair or director in consultation with elected representatives of the departmental faculty.
- G. Chair's Summary.  
When reports and/or recommendations based, wholly or in part, upon the assessment of instructional performance are forwarded beyond the department, the chair or director and/or appropriate faculty committee shall provide in writing: 1. A summary of the student evaluations incorporating evidence that due consideration has been given to the variables other than quality of instruction that may have influenced such evaluations. 2. Information about the criteria other than student evaluations used and how the faculty member was evaluated on the basis of those criteria. The faculty member shall have the right — as guaranteed by Section 4.6 of the Bylaws — to see such a report and/or evaluation and to respond in writing before such report or recommendation is forwarded beyond the department. The response shall be included with the report and/or recommendation and made part of the permanent record.
- H. Ownership of the Teaching Evaluations.  
Once the evaluations have been used for the annual evaluation of the faculty member and/or tenure and promotion procedures, those evaluations become the property of the individual faculty member.

## II. Promotion in Rank

A recommendation for promotion originates in the faculty member's department or school. The recommendation is customarily considered and approved by a majority of all department or school faculty members with tenure in or above the rank to which promotion is being made. The chair or director submits the faculty recommendation along with his or her independent recommendation to the Dean with supporting documents, such as published research and

teaching evaluations, as per the requirements of the Documentation Request from the Senior Vice Chancellor for Academic Affairs.

In certain cases the Promotion and Tenure Committee can initiate promotions, but only after a review of the case with the chair or director of the department or school concerned.

### **III. College Promotion and Tenure Policies**

(1971; revised 1974 and 1978, AND 2004)

Promotion in rank and the granting of tenure are the university's most important ways of recognizing academic achievement. Judgments about tenure and promotion should be based upon documented excellence in academic work and upon the promise of continued excellence.

Recommendation for promotion and/or tenure is based on the department or school's evaluation of the faculty member's teaching, research and service to the department, College and University. Recommendations for tenure are voted on by all faculty members in a department or school whose tenure has been approved by the Board of Regents, and only by them. The College requires participation in all areas of evaluation by candidates, although criteria for promotion and/or tenure should be somewhat flexible among departments and schools, since the importance of these areas of evaluation necessarily varies among disciplines and among individuals.

Evidence in teaching must include student evaluations of teaching effectiveness (both the raw data and summary sheets). It shall include other evidence that documents teaching effectiveness (see above, I.E.).

Evidence in research or related activity must include copies of books, monographs, journal articles, or digital scholarship with an indication of which are refereed and which not. The contributions in research activity must be submitted for external review and the results of that review must also be submitted. The evidence should also include a summary of papers presented at professional meetings, colloquia delivered and grant activity.

Evidence in service must include a list of service activities for the department or school, college and university. Contributions to the profession should include some explanation of the nature and importance of the service, and university outreach in the AAU and land-grant tradition needs a full description.

Decisions about whether to grant tenure and/or promotion will be determined by the overall excellence of the academic record, taking into account the responsibilities of the candidate. It is expected that the candidate will meet the following conditions:

For appointment or promotion to assistant professor, the candidate should possess the terminal degree (or its appropriate equivalent), in his or her field and show promise of making a contribution to the department and University.

For appointment or promotion to associate professor there should be clear evidence of significant contributions to the department, College and University in teaching, research, and service beyond the level of accomplishment for promotion to assistant professor.

For appointment or promotion to full professor, there should be clear evidence of continued contribution in the areas of teaching, research, and service significantly beyond the level of accomplishment expected for promotion to associate professor. In general, promotion to full professor will occur after the candidate has attained a high level of accomplishment in scholarly activity.

For the granting of tenure the candidate should have made contributions as described above, which have been sustained over a period of time, and which clearly demonstrate promise of continuation.

Documents recommending tenure and/or promotion in rank must include ratings of OUTSTANDING, SUPERIOR, GOOD, ADEQUATE, or INADEQUATE in each of the areas of teaching, research and service. For promotion to associate professor and the granting of tenure the candidate should have an overall rating of at least superior performance, taking into account the candidate's assignment, together with clear promise of continuing performance at this level. Promotions to full professor should be accompanied by an overall rating of superior over a sustained period of time and taking into account the candidate's assignment, recognizing that changes in emphasis in assignment may occur over a career. While in almost all cases accomplishment and participation is expected in all areas, in exceptional cases, outstanding performance over a sustained period of time may lead to promotion to full professor for candidates whose careers have become more narrowly focused to the benefit of the department, college, and university. An evaluation of outstanding performance in any area must be definitive.

Changes to this section of the by-laws become effective upon adoption, except to the extent that a faculty member or an academic unit can show that any changes in provisions significantly depart from the reasonable expectations of the faculty member or the academic unit which were formed prior to the effective date of the changes, as is consistent with University Guidelines for Promotion, Tenure and Annual Evaluation.

#### **IV. College Promotion and Tenure Recommendations: The Process**

One of the most important rewards in academic life is promotion to a higher rank. Certainly It is true that the most important commitment the University can make to an individual faculty member is the awarding of a continuous appointment (tenure). Each year the University of Nebraska-Lincoln initiates the process by which faculty members are selected for promotion and the awarding of continuous appointments. The process itself is long and complex. Criteria, policies, and practices with regard to promotion and continuous appointment differ among the departments and schools in the College. The purpose of this summary is to outline the basic steps and procedures which are common to all.

##### **A. Procedures.**

The above statement on policies for promotion and tenure was adopted by the College Faculty in April 1978. The policies were originally adopted by the Executive Committee and the Arts and Sciences Council in 1971, and were revised in 1974 and 1978.

To assure that this important process be carried out in a fair and equitable manner, each department or school should have a systematic, well-defined procedure, known and understood by all faculty members, through which all faculty who are untenured and/or who have not reached the full professor rank are evaluated and considered as candidates for promotion and/or tenure. The results of these considerations should be made known to the individual concerned at the time of his or her consideration as part of the annual evaluation. Much of the documentary evidence on which evaluations are based will already have been collected in departmental personnel files and material from this source as well as all other information to be used in the promotion or tenure decision should be assembled for study by the appropriate faculty groups. It is the responsibility of the individual being considered to examine these materials and to see to it that they are complete. The faculty member considered should seek the advice of the chairperson or director (or chairperson of a promotion and tenure committee) to make sure that no important information has been overlooked.

The Bylaws of the Board of Regents guarantee the individual "access to all materials submitted for his or her evaluation and the opportunity to respond in writing." A possible exception is outside evaluations which the faculty member has agreed will be kept confidential. It is important that each faculty member understands that it is his or her responsibility to present evidence of his or her accomplishments in the areas of research, teaching, and service. Chairpersons and directors may ask faculty members to certify that the material being presented is complete. The Senior Vice Chancellor for Academic Affairs provides a Documentation Request and Transmittal Form for preparing the recommendation from the department or school; of course, additional information can be submitted and usually is.

Materials presented in support of a recommendation for promotion or tenure will be reviewed by the College Promotion and Tenure Committee, the Senior Vice Chancellor for Academic Affairs, and the President. Since these people will not necessarily be acquainted with the responsibilities on areas of professional activity of the individual whose promotion or tenure is being proposed, it becomes incumbent upon the department or school to present documentary material supporting the case in a clear and readily understood format and to be explicit about the factors that provide support for the recommendation.

The Promotion and Tenure Committee requests that the materials being submitted indicate the vote of the appropriate faculty body and, if there is a significant number of negative or abstaining votes, give some indication of the reasons for the negative as well as the positive votes. Members of the appropriate faculty body who differ from the majority vote may submit in writing to the Dean and the Promotion and Tenure Committee the reasons for their dissent, provided a copy is given to the individual being considered, for his response. At this point, the chairperson or director has an opportunity to express his or her opinion, usually in a letter of transmittal. The Bylaws of the Board of Regents require that the faculty member being evaluated have access to all information contained in the file transmitted to the Promotion and Tenure Committee and the Dean, except in those cases where the faculty member concerned has waived his or her right to examine confidential material.

When the recommendation from the department is received in the Dean's Office, each Promotion and Tenure Committee member examines all the materials individually. The committee then meets as a whole with the Dean to discuss the pros and cons of the recommendation. There are six members, not including the Dean, on the Promotion and Tenure Committee and each member has one vote. The Dean makes an independent recommendation, as shown on the Documentation Request Form. In the case of an affirmative vote by the Promotion and Tenure Committee and when the Dean concurs, the recommendation is forwarded to the Vice Chancellor for Academic Affairs.

However, if the Promotion and Tenure Committee has questions or feels that there is inadequate evidence for an affirmative vote, the individual, chair or director is given an opportunity to respond before a final vote is taken. The Promotion and Tenure Committee feels that it should concur with the school and departmental recommendations unless there are strong reasons to the contrary. In these cases, it is felt that reasons for disagreement must be given in writing to the school or department and to the individual concerned.

If the Promotion and Tenure Committee does not concur with the recommendation made by the department or school, there is an opportunity for the individual, department or school to appeal the decision. The appeal is normally made by the chair or director. The faculty member involved should be consulted by the chair or director to seek his or her input into the appeal, and may join personally in the appeal. If, after the appeal, the Promotion and Tenure Committee still does not agree with the departmental or school recommendation, the recommendation is forwarded to the Senior Vice Chancellor for Academic Affairs with all supporting information including the dissenting opinion of the College Promotion and Tenure Committee.

The Dean reserves the prerogative of transmitting a personal recommendation to the Senior Vice Chancellor should a promotion or continuous appointment decision by the majority be unwarranted in the Dean's judgment. If this were to occur, the Dean would provide reasons in writing to the Promotion and Tenure Committee and to the department or school, with a copy of the letter to the individual concerned. Whenever the Promotion and Tenure Committee or Dean disagree with the recommendation of the department or school, the reasoning underlying the decision is transmitted to the Senior Vice Chancellor for Academic Affairs. When a promotion or tenure recommendation from the home department or school of a member of the Promotion and Tenure Committee is being considered, the Promotion and Tenure Committee member will be asked to leave the room in order that his or her presence will not be construed as inhibiting free discussion.

#### B. Supporting Materials.

The initial preparation of the supporting material by the faculty member being considered is an extremely important part of this entire process. The faculty member should be certain that all relevant material is included in the folder when departmental or school colleagues begin their review. A major cause of controversy and conflict stems from incomplete folders. Preparation of the folder is not something that can be done without some forethought and planning. Consequently, the following is an indication of the sort of material that the Promotion and Tenure Committee and your colleagues expect to find in a folder. While the specifics of the material in folders will vary from department to department, it is expected that the following information will be furnished to the Promotion and Tenure Committee.

The Promotion and Tenure Committee expects to find evidence of good teaching. A list of courses taught and their enrollments is basic. According to the above policy statement adopted by the faculty, this must include the student evaluations of teaching. The policy also requires that these evaluations must be summarized and interpreted either by the chairperson or director of some other "third party" within the department or school. Information which would be helpful to the Promotion and Tenure Committee and should be supplied by the department or school could include class size, whether or not the course was a required course, whether or not the course was a demanding course, and a comparison of student evaluation in similar courses in the department, etc. The Promotion and Tenure Committee recognizes that student evaluation of teaching is but one piece of information to be considered. Faculty members and their departments or schools should obtain and present additional information about the quality of teaching. A teaching portfolio will include peer review, an evaluation possibly subjective, but preferably including objective data from the chairperson or director of the general performance with respect to the entire instructional process, etc. Grants for improvement of teaching should be indicated. The faculty member should make available to the chairperson or director copies of the synopsis of new or revised courses, a discussion of improvements in courses and in teaching, etc. In order that student evaluation of teaching does not become the single source of information, it is necessary that the faculty be conscious of the need for other forms of evaluation of teaching.

In the area of research and creative activity material to be submitted, includes copies of articles published, manuscripts of papers accepted for publication, papers presented, sessions chaired, colloquia delivered, books or monographs published, etc., or published work. It is helpful to the Promotion and Tenure Committee if the chairperson or director comments on the quality of scholarly works indicating the general nature of a journal, the comparative prestige of certain invited works, etc. Research and scholarly activity which is performed in the process of designing a new course or improving an existing course should be indicated in the material submitted. However, this work, unless it is published in a refereed journal or otherwise given a broad base peer review, usually is looked upon as activity in the "teaching" category. Include as evidence of scholarly activity such things as serving as a referee for journals or proposed research, editorships, etc. Include a listing of support for research and scholarly activity such as leaves, grants, fellowships, etc. Work in progress can be included to indicate continuing effort.

Additional required evidence about the quality of scholarly activity is outside peer evaluation. In order for the process to be meaningful, care should be taken to obtain candid opinions from unbiased professional colleagues. A scheme that seems to work well is for the department or school and the individual to prepare a mutually acceptable list of names of colleagues who are asked to evaluate copies of work and vita. Letters to external reviewers requesting evaluation of a candidate should be sent by the chairperson of the Tenure and Promotion Committee, the departmental chairperson, or the Dean, and not by the candidate. Generally, external reviewers in other universities should have professorial rank at or above that being considered for the candidate. The tenure and promotion file should include a description of the qualifications of each reviewer, the relationship of the reviewer to the candidate, and a copy of the letter soliciting the review. The letter soliciting the review should use neutral language, asking for an evaluation (not a letter of support), and should indicate to the reviewer whether or not the candidate has waived the right to read the letters.

All departments and schools must include in its Bylaws a description of the unit's policies on outside evaluations that must be in harmony with College and University policies.

Service activities and their importance vary considerably from unit to unit. At a minimum, the folder should include a listing of committees and positions on committees within the department or school, College, and University. A statement about the faculty member's performance on these committees and the accomplishment of the committee might be appropriate. There should be an indication of other professional service activities within the city, state, or nation that are directly related to being a faculty member. Personal civic activities (such as coaching a softball team) are usually not included. Under the category of service, it is appropriate to list administrative responsibilities such as laboratory manager, supervisor for new building, and other responsibilities that are performed in relation to professional association.

This evaluation process, like most at the University, involves subjective decisions about quality and performance, as well it should. The evaluation of a faculty member by his or her peers remains an integral and very important part of the academic world. Clearly, the individual faculty member being evaluated plays a major role in the collection and preparation of supporting information. Consequently, it is extremely important that it be well understood by each faculty member.

#### **V. Access to Materials Used for Evaluation of Faculty**

In a memo to UNL staff, dated May 11, 1978, Chancellor Roy A. Young stated:

The attached document has been prepared by Vice Chancellor Ned Hedges and revised following extensive discussions with many faculty and administrative groups and individuals. It deals with a subject of considerable significance which affects all staff members of The University of Nebraska-Lincoln and I urge you to read it carefully. Please regard this memorandum as notification that the recommendations numbered I-VII in the document are hereby promulgated as policies and procedures to be observed at The University of Nebraska-Lincoln effective May 1, 1978.

The following is the text of the document referred to by Chancellor Young:

No issue has been more persistently perplexing in the University in recent years than the question of right of access to material used in personnel evaluations.

The question of an individual's access to materials used in an evaluation has been at issue in nearly every case submitted to a grievance process at UNL in the past four years. Most of the difficulties which have been encountered arise from a perceived conflict between the provisions of the bylaws of the University, and the "normal" methods used in the traditional peer evaluation process. If any evaluation process is to continue to be meaningful, and if any grievance procedures are to continue to be functional, it is imperative that interpretation and clarification of the provisions of the bylaws be established immediately, and that the results be communicated to the entire University community.

Although the relevant provisions of the bylaws pertain to all standing personnel files at UNL as well, this discussion and its conclusions and directions are designed primarily for application to the accumulation and use of files developed for specific

evaluation purposes — primarily for the purposes of developing recommendations relating to tenure, promotion, reappointment, no reappointment, termination, and merit salary increases.

The Bylaws of the Board of Regents contain the following (Section 4.6):  
Evaluation of Faculty Performance; Procedure ... A faculty member shall have access to all material submitted for his evaluation and the opportunity to respond in writing ... The results of the review will be communicated to the individual faculty member.

In many instances, an informal, but operational, interpretation of this section has been used within the institution which distinguishes between "an evaluation" on the one hand and "material submitted for evaluation" on the other hand. This interpretation is based on the argument that factual information accumulated for an evaluation is "material" and should be made available to the staff member being evaluated, but that expressions of opinion or judgment rendered by colleagues, supervisors, or external peers are "evaluations" rather than material submitted for evaluation. The bylaws do not require that evaluations themselves be made available to the individual being evaluated, but that the results of the review will be communicated to the staff member, presumably by the person in charge of conducting the evaluation.

If the sections of bylaws relevant to this issue were limited to the Bylaws of the Board of Regents, such an interpretation might be reasonably defended. The Bylaws of the University of Nebraska-Lincoln contain even more restrictive language, specifically in Section 2.5.8.

Each person included within the term 'University Personnel' as defined in Section 2.5.1 above, shall have a right to inspect and make copies of any information pertaining to him/her, and shall have the right to respond in writing to such information and to have such response attached to the information.

Some units within UNL have established policies and procedures and conducted evaluations, using an interpretation similar to the one stated above pertaining to the Regents Bylaws. These activities have been conducted in good faith. Because the file accumulated for evaluative purposes is almost always submitted for review by a higher authority — an administrator or series of administrators, designated committees, or even the Board of Regents — it is my judgment that all of these "evaluations," or expressions of judgment or opinion, should in fact be included in the definition of the term "any information" in the UNL Bylaws, Section 2.5.8. These materials must be made available for the inspection, and possible written response, of the staff member being evaluated.

It has also been a part of the policies and procedures of some units at UNL to solicit evaluative comments from students, colleagues, supervisors, committees, and external peers with a stated or implied pledge of confidentiality, a pledge also made in good faith. These activities have either required or assumed a waiver by the individual being evaluated of his or her right of access to the comments solicited or the identity of the contributor. The right of access to materials submitted is relatively clear; the right of

access to the identity of persons submitting materials seems to be less so. It is not reasonable, however, to assume that a staff member can prepare the best possible response to material in the file unless he or she has full information about the material, including the identity of the author. The right to know one's accuser is basic to the American judicial system. It is my judgment that both the intent and the expression of the bylaws is to assure rights of access by the staff member to this information.

It is the advice of counsel that an individual staff member may waive rights guaranteed by the bylaws; but the waiver may not be assumed, implied, or required, either by specific individual request or by the establishment of unit policies or procedures which assume or imply the waiver of such rights.

The following are recommended as statements of policy and procedures for UNL:

- A. The rights of access and written response guaranteed by Section 2.5.8 of the UNL Bylaws shall apply to all materials and information accumulated in a file for the purpose of making an annual performance evaluation or arriving at a recommendation pertaining to promotion, tenure, reappointment, non-reappointment, termination, or merit salary increase. These rights of access shall extend to all commentary, solicited or unsolicited, deriving from all sources, including the identity of the contributors of the commentary.
- B. Anonymous contributions should not be solicited. Unsolicited anonymous contributions should not be included in any file for review.
- C. The general prohibition against anonymous evaluative materials shall not apply in two instances:
- D. Student evaluations of faculty teaching performance, when they are collected through a regular, normal process either required or facilitated by a unit of UNL;
- E. Evaluation of administrative performance, when the materials are collected through a regular, normal process, particularly in meeting the requirements of the UNL Bylaws, Section 2.3.2.1. In these processes, even though the individual evaluations may be "anonymous," the group as a whole is known to the person being evaluated. All such materials must be made available to the person being evaluated, and the opportunity given to attach written responses to the materials, unless appropriate waivers have been executed. (See II below).
- F. If separate evaluative commentary is solicited or received from individuals as opposed to a regular, normal process, the interpretations of this document do apply.
- G. Access to materials, and a reasonable time for written response, must be provided the person being evaluated prior to the time the file is made available to persons or groups legitimately charged with participation in the evaluation or recommendation process.
- H. This interpretation is not intended to limit oral discussion in an appropriate meeting of a group charged with responsibility for conducting the review and making a recommendation, provided that the discussion is based upon materials in the accumulated file and that new derogatory material of such a substantive nature as to affect the decision is not introduced. It is the responsibility of the individual conducting the meeting to make necessary judgments concerning the substantive nature of new material, to convey the new information to the person being evaluated, and if necessary to delay the vote or decision until the person has had an opportunity to respond. A verbatim or summary account of oral discussion in such an appropriate meeting may be kept and made available to the person being evaluated, but such a procedure is not required.

- I. This interpretation is not intended to limit in any way the right for any appropriate group to vote its recommendation by secret ballot.

## II

- A. An individual staff member may waive any or all rights of access to any information or materials, or the identity of any or all informants, or any portions of the information or materials, accumulated for a review file. Any such waiver should be in writing, and attached to the file. The waiver should be specific, clearly indicating what portion of the materials is included in the waiver. (For example, a staff member may waive the right to inspect written comments solicited from outside peer reviewers, or may insist upon the right to inspect the reviews but waive the right to identity of the reviewers, or may waive the right to know the identity of student evaluators, etc.)
- B. Any waivers should be executed prior to the solicitation or accumulation of materials.
- C. All waivers must be submitted voluntarily by the person being evaluated. No waivers may be required, either by request of the person or persons conducting the review, or by the establishment of unit policies or procedures which require or assume such waivers. Staff members must not be coerced into executing waivers.

## III

Individuals invited or required to submit materials for the accumulated file must be notified prior to their submission of materials of the rights of access and inspection, and/or of any specific waivers which have been executed. This requirement for notification shall apply to all persons submitting materials -- students, colleagues, supervisors, and committees within the University as well as peer reviewers solicited from outside the University.

## IV

All existing policies and procedures in all units within UNL must be reviewed at the earliest possible date and brought into conformity with the provisions of the bylaws, including the interpretations provided in this document. The "supremacy" clauses in the bylaws assume that there are no conflicts between the Bylaws of the Board of Regents and applicable law or statute, that there are no conflicts between the Bylaws of the University of Nebraska-Lincoln and the Bylaws of the Board of Regents, and there are no conflicts between the Bylaws of the University of Nebraska-Lincoln and any bylaws or rules promulgated by any subsidiary unit of UNL. If there are such conflicts, the "supremacy" of provisions is in the following order: (1) applicable law, (2) Bylaws of the Board of Regents, (3) UNL Bylaws, (4) bylaws and rules of appropriate subsidiary units.

## V

Special note should be taken of the provisions of Section 2.5.4 of the UNL Bylaws. These provisions should not limit the availability of information to persons or groups legitimately charged with the responsibility to review files and participate in recommendations for personnel actions. The person being evaluated should be notified, however, about persons or groups to whom the information will be made available.

## VI

These interpretations and these bylaw sections shall not apply when current University staff members become candidates for positions within the university other than those they

currently hold. The rights of access to materials accumulated in behalf of candidacy shall be the same for all candidates for the same position, and may not be made either more or less restrictive for current University employees than for external candidates for the same position.

## VII

Perhaps the most difficult question in this entire affair is the matter of an "effective date." Clearly, many files developed for specific purposes within UNL in the past have been accumulated and actions taken in violation of this new interpretation of the provisions of the bylaws. But if the interpretations are applied on a retroactive basis, the University will be constrained to violate pledges of confidentiality made in good faith. The integrity of the community in that respect should not be impaired. The pledges of confidentiality were made in good faith given an interpretation of the bylaws different from the one that has been rendered in this document. The pledges should be honored; the recommendations derived from past practices should not be rescinded; no effort should be made to "purge" files on a retroactive basis. In cases which are or might be in dispute, decisions of appropriate subsequent action will have to be made on an individual basis, including the possibility of reconsidering cases through application of some of the procedures in this document.

There has been, and will be, concern that strict application of these interpretations may jeopardize the integrity of the peer review system generally used on this campus. But I have come to the inescapable conclusion that the bylaws, as best we can interpret and understand them, must be observed. We do not have the opportunity to choose which provisions of the bylaws we will observe and which we will ignore or knowingly violate. If practices cannot be carried on properly with these restraints, in the judgment of the community, then the community will have to take steps to provide amendments to the bylaws or provide more proper interpretations through regular University procedures.

### VI. Academic Tenure

Faculty members should be aware of the other official documents pertaining to academic tenure found in the Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure, accepted May 12, 1989 and revised September, 1990, Sections IV. A. 14-22; this document is included in the Faculty Handbook. These Guidelines supplement the Bylaws of the Board of Regents of the University of Nebraska (1984), Sections 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, and 4.10, and the Bylaws of the University of Nebraska-Lincoln (1976), Sections 2.1, 2.3, and 2.5, also found in the Faculty Handbook.

### VII. Academic Freedom

The 1940 Statement of Principles of the American Association of University Professors includes the following paragraphs on Academic Freedom:

- a) The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his [or her] other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b) The teacher is entitled to freedom in the classroom in discussing his [or her] subject, but he [or she] should be careful not to introduce into his [or her] teaching controversial matter which has no relation to his [or her] subject. Limitations of academic freedom

because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

- c) The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he [or she] speaks or writes as a citizen, he [or she] should be free from institutional censorship or discipline, but his [or her] special position in the community imposes special obligations. As a man [or woman] of learning and an educational officer, he [or she] should remember that the public may judge his [or her] profession and his [or her] institution by his [or her] utterances. Hence he [or she] should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he [or she] is not an institutional spokesman [or spokeswoman].

Beyond what has already been said there exists a special relationship between faculty, students, and the administrations. In general, it is regarded as a breach of professional ethics for a faculty member to make personal criticisms of colleagues to students and the general public except for the purpose of correcting an injustice or wrong. No institution or individual is above improvement, but suggestions for such improvement should be brought to the attention of those bearing the responsibility for making them.

As the immediate agent of the University in the classroom, the professor has the authority to maintain order and to report the proper persons any infraction which may interfere with the normal conduct of a class including such things as excessive absences.

Some departments in the College have special rules for attendance in certain classes. In the absence of University rules beyond the general one, establishment of such rules is the prerogative of the departments or schools, but enforcement is the responsibility of the individual professor. Students should be given information regarding special rules at the beginning and during each semester so that no misunderstanding may result.

In the matter of grades, the judgment of the instructor in charge is final, except that a student may appeal, in writing, to a grading appeals committee of the department or school a grade the student thinks may have been given unfairly. In addition, in extreme cases individual grades may be further appealed to the College Grading Appeals Committee.

### **VIII. College Policies on Leaves of Absences**

In addition to the policies stated by the Board, certain other regulations for the College of Arts and Sciences bear upon this matter of leaves of absences.

Leaves of absence are generally evaluated according to the following considerations: (a) length of service on the staff; (b) length of time since last leave; (c) results in research and publication which may result; and (d) benefits to the development of the staff member.

A letter of notification should be in the hands of the Chairperson and the Dean at least nine months before the effective date of the leave. As plans for a leave develop (including application for fellowships from non-University sources), the Chairperson of the Department and the Dean should be supplied with information covering the following points: (1) courses which would

otherwise have been taught during the absence; (2) arrangements to be made so that these courses can be offered; (3) the number of graduate students under the direction of the staff member, making particular note of those whose degrees might be granted during the absence, (4) research grants under his or her supervision, stating what provisions will be made for their continuance, and (5) advising duties at the undergraduate level.

A leave for a person with tenure is granted with the understanding that only unusual circumstances will intervene to prevent his or her return to the campus. If a tenured staff member on leave becomes interested in a position in another institution, the University of Nebraska requests that its administrative officers be contacted not only by the staff member but also by the institution involved.

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