

# UNIVERSITY OF THE PACIFIC



## FACULTY HANDBOOK

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## **Dedication**

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Many faculty, administrators, staff, and students, deserve acknowledgement for compiling and developing this Handbook over recent years. We recognize, however, as foremost among those contributors for both content and vision, Professor Roland di Franco. With this dedication we acknowledge Roland's contributions. His exemplary investment of time, energy, contemplation, deliberation, and leadership has yielded the University this Handbook.

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## Chapter 1. Introduction to the University of the Pacific

### 1.1 University of the Pacific Mission Statement, Values and Aspirations, “Pacific Rising 2008-2015”

#### 1.1.1 MISSION STATEMENT VALUES AND ASPIRATIONS, “PACIFIC RISING 2008 – 2015”

Adopted by the Board of Regents on April 27, 2007

The University of the Pacific has a long tradition of innovation and educational excellence. Pacific is unique in higher education given our wide range of high quality programs and varied disciplines across nine colleges and schools in a smaller, more personal environment. The distinctive learning opportunities that this provides will form a base on which we grow our reputation. To aid this, the University continually engages in dynamic planning and periodically generates a document to reaffirm the mission, refresh the vision, and map out strategic directions. This document reflects the shared work of the University community and articulates our mission, core values, aspirations, and commitments. We, the Pacific community, believe that this vision will create a harmony of purpose for all University members and guide our collective efforts.

*The University of the Pacific’s mission is to provide a superior, student-centered learning experience integrating liberal arts and professional education and preparing individuals for lasting achievement and responsible leadership in their careers and communities.*

Pacific’s mission is realized through the following **CORE VALUES**. They are behind everything we do and cannot be compromised. They are stated to be inclusive of the entire University community from undergraduate to graduate and professional students, from staff to faculty, from alumni to friends.

**Passion for teaching and learning** - We share enthusiasm for discovery; our active pursuit of scholarship, creative expression, and new perspectives enlivens learning. Meaningful and measurable learning remains preeminent to teaching. **Learner focus** -Our environment is inspired by the needs of the learner as we create rigorous experiences that respond to individuals’ strengths and interests. We ensure that students are at the center of our work; everything we do focuses on developing their full potential. **Relationship based learning** - We foster meaningful relationships through close interaction among learners and teachers to create powerful learning. **Whole person education** - We are concerned with all aspects of growth and development, seek the integration of curricular, cocurricular, and post-curricular activities, and take pride in our accomplishments. **Responsible leadership** - We develop leaders who effect positive change. Through diverse learning experiences, we cultivate the knowledge and skills to become ethical leaders in career and community and to understand the economic, social, and environmental impacts of our efforts. **Community engagement** -We have a deep consciousness of the world around us, and as a part of a multitude of communities, join together with them to serve and to learn. These partnerships create a synergy which raises the achievements of both the communities and the University.

As **FOUNDATIONS** to our work, the following underlie Pacific's success. We cannot exist without them, but they are not why we exist.

*Financial stability* allows Pacific to invest in excellence and *integrity* allows us to act with honor and virtue. Our *safe and beautiful campuses* provide attractive environments for learning. We are a community based on *mutual respect* that treats each individual with dignity and appreciates the contributions of each member. We foster relationships among faculty, staff, and students as *shared governance* strengthens institutional decisions. We use the processes of *program review and accreditation* to strengthen programs and to learn more about how best to teach, learn, and provide services. Through *accountability and assessment* we seek to understand the effects of our actions, seek improvements, and share the results with our constituents and communities. The *application of technologies* allows us to improve our processes, maintain integrity in university records, communicate more fully, and enhance the learning environment.

*Pacific, where innovation is tradition....* While never wavering from our traditions and core values, we know that **ASPIRATIONS** help us articulate our vision for the future. These aspirations will guide students, staff, faculty, and alumni as we strive for excellence.

We aspire to broaden our culture of **innovation**, exploration, and creativity. Complex problems often require multidisciplinary approaches to solutions and **collaborative learning** will bring together our teacher/scholars and students from different disciplines to find meaningful answers. We will support our **teacher/scholar community** so our vibrant scholars, researchers, and artists continue to bring distinction to themselves and the University. We will more fully **integrate liberal and professional learning** and will balance skills, knowledge, integrity, ethics, vocation, and avocation in the curricula and learning experiences. We will be increasingly **service centered**. The creation of a User-friendly environment with transparent and efficient services, systems, and technologies will give learners increased time to focus on the pursuit of knowledge as well as academic and social development. We aspire to be more fully engaged with the changing world and will broaden and strengthen connections to Pacific. We will advance **sustainability** through learning, practice, and collaboration with local communities by considering our environmental, social, and economic impact. Because practice invigorates learning, students will apply their knowledge through an enhanced and more diverse set of **experiential learning** opportunities. We will reinforce **learning as a lifelong process** and will augment professional learning opportunities and nurture partnerships with alumni. We will pursue **diversity** to transform and enliven our community, curricula, programs, and policies. We aspire to prepare leaders who understand, affirm, and utilize their **global orientation** to fulfill our obligation to intercultural understanding in our interdependent world.

### 1.1.2 Commitments and Strategic Directions

We live our mission and values. We are dedicated to realizing our aspirations. A vision of innovation, of collaboration, and of making the most of the distinctive richness of our many disciplines brought alive in smaller, more personal learning communities emerges from our

aspirations and commitments. The following six **COMMITMENTS** guide our planning, decisions, and resource allocation and will earn us a national and global reputation. Each Commitment includes a narrative that elaborates the context in which Pacific exists as well as twenty **STRATEGIC DIRECTIONS** that further give clarity to Pacific's pursuits through 2015. Pacific Rising is accompanied by a Strategic Action Plan that identifies tactics, actions, and accountability across the 20 Strategic Directions.

**PACIFIC IS COMMITTED TO INNOVATION AND CREATIVITY ACROSS THE UNIVERSITY.**

*Pacific has a rich tradition of innovation. Today, in a world compressed by communications, mobility, interdependence, and an unprecedented pace of change, Pacific must be even more creative, adaptable, and innovative. Major universities must be responsive to the global environment especially in academic programs. Systematic investment in innovation is required to maintain our competitiveness over time because innovation requires dynamic adaptability to change. Graduates will become more effective professionals and leaders through an innovative university culture.*

1. **Expand innovation in academic programs** through an ongoing innovation process, support to pedagogy and research, and new education and service delivery models.
2. **Enhance university administrative programs and services through innovation and creativity** by targeting fundraising, increasing incentives, and improving services and programs.

**PACIFIC IS COMMITTED TO DISTINCTIVE PROGRAMS RECOGNIZED FOR THEIR QUALITY, UNCOMMONNESS, AND SUSTAINABILITY.**

*In recent years, Pacific has emphasized the value of distinctive programs as a means of differentiating from competitor institutions. Pacific has many distinctive features that demonstrate excellence with uncommonness, but most institutions now lay claim to the label. New combinations are needed. Pacific's best opportunities for distinctiveness may lie in the combination of innovation and collaboration in the context of traditional strengths. Talented students are drawn to programs that set Pacific apart.*

3. **Strengthen current and develop new academic programs of distinction** through investment in existing programs, national stature for the first-professional schools, and new academic hallmarks.
4. **Advance faculty teaching, scholarship and research** by expanding faculty development and increasing resources for scholarship and research.
5. **Pursue university-wide marks of distinction**, specifically in leadership development, experiential learning, international programs, and student achievement.

PACIFIC IS COMMITTED TO COLLABORATIVE, MULTIDISCIPLINARY PROGRAMS THAT INTEGRATE LIBERAL ARTS AND PROFESSIONAL EDUCATION.

*Traditional disciplines are increasingly extended across most fields of study and professional programs, which requires Pacific to foster joint programs that exploit our advantage of nine schools—far more than most universities of modest size. Global trends in commerce, service, and the creation of knowledge demonstrate that innovation typically occurs at the intersections of disciplines and fields. Students respond: significant growth is occurring in new blended programs like bioengineering. Each of the initial academic innovation initiatives involves several schools or programs.*

6. **Advance integrated, multidisciplinary experiences for undergraduates** through a first-year experience, new accelerated programs, and three-campus, three-city opportunities.
7. **Strengthen the liberal arts and sciences core** through General Education, improved student writing, and better integrated liberal arts and sciences with professional education.
8. **Leverage collaboration for innovative learning experiences** by expanding three-campus programs, establishing highly customized graduate/professional programs, and supporting collaborative scholarship, research, and creative activity.

PACIFIC IS COMMITTED TO PREPARING THE WHOLE STUDENT, ESPECIALLY FOR RESPONSIBLE PROFESSIONAL AND CIVIC LEADERSHIP IN A GLOBAL CONTEXT.

*Professions increasingly require what few comprehensive universities can provide: Pacific's emphasis on whole person development that is learner centered, nurtured by campus community life, practice based, and provides for ethical leadership development combining liberal and professional studies. Professions, impacted by global change, require graduates with broad learning amid diverse environments that build cross-cultural competence.*

9. **Make experiential learning a hallmark** by achieving 100% student participation, increasing international experiential learning, advancing undergraduate research, strengthening the residential learning community, and increasing study abroad.
10. **Create distinctive citizen-leader development programs** through service learning and volunteerism, a framework for leadership development based on emotional-social intelligence (ESI), life-long learning, and lasting relationships with the University.
11. **Cultivate diversity, intercultural competence, and global responsibility** by ensuring student competencies, making diversity an integral part of curricula and student life, creating a more diverse student body, maintaining the "Diversity Hiring Plan for Faculty", increasing faculty and staff ethnic diversity, and increasing training.
12. **Strengthen wellness, recreation, and athletic programs** by increased participation in intramural, recreation, and active club programs and intercollegiate prominence.



PACIFIC IS COMMITTED TO STRATEGICALLY EXPANDING AND IMPROVING PARTNERSHIPS AMONG ITS ALUMNI AND IN LOCAL, REGIONAL, NATIONAL, AND GLOBAL COMMUNITIES.

*Alumni are Pacific's strongest asset for student recruitment, for opening new learning opportunities for students, and for strong placement of graduates. Great universities are also great neighbors; community partnerships create opportunities for students as alumni do. In addition, Pacific's rising prominence requires that we provide leadership to address regional needs. In a global context, Pacific will link local-regional partnerships with national-international partners in teaching, research, and service. The University must market itself broadly with specific focus on institutional strengths and distinctiveness.*

13. **Increase support to the region and connect our strongest initiatives with national and global partnerships** through specific regional programs and new partnerships in the Pacific Rim and the Americas.
14. **Collaborate with alumni, parents, and friends to connect them to students and programs** by fostering alumni leadership, establishing new alumni and parent programs, and engaging alumni in student recruitment, internships, and placement.
15. **Invest in marketing initiatives that build partnerships and elevate institutional visibility** by building marketing capacities, expanding relationships with media outlets, and achieving greater national visibility.

PACIFIC IS COMMITTED TO RESOURCE GROWTH AND MANAGEMENT TO SUPPORT ONGOING IMPROVEMENTS IN THE QUALITY OF EDUCATION AND SERVICE.

*Pacific's higher education environment will intensify in the years ahead as the trajectory of numbers of college-bound high school graduates plateaus, as competitor universities threaten our market share, and as for-profit entities provide more attractive options. Keys to our continued success include balanced enrollment with modest growth based on competitive tuition levels through attractive programs (some non-degree), strengthened marketing, increased attention to service, increased alumni engagement, improved fundraising success, and continued investment growth.*

16. **Manage enrollment to improve student quality, selection, and resources** by implementing a broader selection processes, improving freshman selectivity, maintaining access, ensuring enrollment stability in the first-professional schools, and modestly increasing undergraduate and graduate enrollment.
17. **Recruit, hire, develop, and retain excellent faculty and staff** through competitive compensation; rewards for innovation, leadership, and service; and expanding training, professional development, and wellness services.

18. **Improve and center services on students, faculty, staff, and external clients** by aligning administrative systems to support innovation, cross-divisional coordination, and customer-centric service; enhancing technical systems and business processes; and better integrating University and unit planning.
19. **Build financial capacity through fundraising, investment and budget management, and appropriate tuition-setting** with specific focus on restructuring the Annual Fund, conducting an aggressive fundraising campaign, increasing alumni giving, improving accountability to donors, achieving a bond rating of 1A, and setting appropriate tuition.
20. **Optimize master planning to develop facilities that enhance student learning, support institutional priorities, and enhance campus beauty** through completing existing projects, reducing deferred maintenance, planning for new facilities, building new Stockton Campus residential halls, and expanding interactive learning and communication technologies.

### 1.1.3 Integrated and Dynamic Planning

This plan must be dynamic to be sustained through 2015. While the Commitments should be relatively stable through the planning period with minimal change, the Strategic Direction statements should be periodically reviewed by the Institutional Priorities Committee with recommendations for revisions forwarded to the President. An accompanying Strategic Action Plan outlines goals, tactics, and actions for each of the twenty strategic directions that will show a high degree of change as achievements occur and as the institution responds to a changing environment. As a mark of highly integrated planning, these tactics and actions find their source in the plans of the units and divisions of the University. The units align their strategic and tactical plans as they accomplish the strategies outlined in this plan. Through annual planning, assessment, and program review, the units note accomplishments and propose new University Goals. Collaborative strategies are proposed by the University planning bodies and are assigned across units and divisions. The Strategic Action Plans include metrics and milestones and identify accountable individuals and groups.

- 1.2 **History of the University** Approved by Academic Council on November 16, 2000; Provost November 20, 2000; Revised and approved by Academic Council December 8, 2011, Approved by Administration August, 22, 2012.

Sharing their desire for trained leadership along with "mental and moral improvement" in their new state, the California Supreme Court granted a group of Methodist clergy and laymen the first charter for the establishment of an institution of higher education on July 10, 1851. Prominent among the original Board of Trustees were three pioneering missionaries, the Reverends Isaac Owen, William Taylor and Edward Bannister. Together with other leaders of the Methodist Church they announced the opening of California Wesleyan College in May, 1852 at Santa Clara, with the first degrees granted in 1858.

In 1852 the name was changed to University of the Pacific and it operated under this name until 1911 when it became College of the Pacific. As professional schools were added, the name was

changed from College of the Pacific to University of the Pacific in 1961. The name, College of the Pacific, was retained for the University's central college of arts and sciences.

From its beginning, Pacific admitted women to collegiate level study, a radical innovation at the time. Men and women were taught in separate buildings, however, until the first coeducational classes in the West were offered as standard at the University in 1871. That fall Pacific moved from Santa Clara to a new campus in College Park, San Jose.

The commitment to professional education can be seen in the University's establishment of California's first medical school in 1858. (In 1882, it became Cooper Medical College and in 1908, it was adopted as the School of Medicine by Stanford University.) The first University affiliated Conservatory of Music in the West started offering classes in 1878. The School of Education was established in 1924 and in 1992 was renamed the Gladys L. Benerd School of Education in honor of the alumna's endowed gift.

Extensive development and significant academic achievements took place under the leadership of Dr. Tully Cleon Knoles, President from 1919 to 1946. The College moved from San Jose to Stockton in the fall of 1924, becoming the first four year institution of higher learning in the Central Valley. Later, adapting to the economic pressure of the Great Depression and then World War II, Pacific entered into an agreement with the local junior college district. Sharing its campus and faculty the College restricted its offerings to upper division and to graduate study. It rented facilities to the junior college, which provided freshman and sophomore education in the local community. In 1951 Pacific reinstated lower division work when Stockton College (now San Joaquin Delta College) established its own campus.

Dr. Robert Burns succeeded his mentor Tully Knoles in 1946 and presided over the period of greatest changes in the institution's history for the next 25 years. Pacific grew from a small (701 students) provincial liberal arts college to a nationally recognized University (5,534 students) with professional schools and three campuses. The School of Pharmacy was established in 1955 followed by the Graduate School in 1956 and the School of Engineering in 1958.

In 1962, the College of Physicians and Surgeons, a School of Dentistry, founded in San Francisco in 1896, merged with the University. Four years later McGeorge School of Law founded in Sacramento in 1924, merged with the University.

During the 1960's Dr. Burns introduced the "cluster college" concept. The first cluster college, Raymond College, opened in 1962, offering programs of integrated studies. Covell College began offering bi-lingual bi-cultural studies in the Spanish language in 1963. In 1967 the third cluster college, Callison College, opened and offered non-Western studies and a year of study in an Asian culture. In the late 1970's and early 1980's these cluster colleges suffered low enrollment and a decision was made to close them. By 1983 all three cluster colleges were closed. In 1987, the University's emphasis on global education was reinstated and continues today in the School of International Studies.

In 1968 the issue of the eligibility of church related colleges for federal funds was raised nationally. With the approval of the Methodist Board of Education, official connection to the

Methodist Church was severed in 1969. The Board of Regents amended the Bylaws so that the Methodist Church no longer controlled Board membership. The

Board resolution also affirmed the University's pride in 118 years of affiliation with the Methodist Church.

The University's commitment to diversity led to the introduction of the Community Involvement Program in 1969. The program offers local minority and economically needy students' scholarships and a support program during four years of study. Pacific's responsiveness to changes in society, together with its traditional dedication to academic freedom, openness and close personal interaction between faculty and students also enabled it to move through the turbulent late 1960's in relative peace and calm.

After Dr. Burns' death in 1971, Dr. Stanley McCaffrey became President. He was the first non-Methodist to be appointed to that post, although Pacific continues its relationship with the United Methodist Church and is officially designated as one of the University members of its Academic Senate.

During Dr. McCaffrey's administration the acquisition of the adjoining junior college campus with its nine classroom buildings on forty-two acres led to a great expansion of the Stockton campus. Curricular developments also occurred. University College for adult-learners opened in 1972. In 1976 the Department of Business Administration was reorganized to become the School of Business and Public Administration. In 1995 it was renamed Eberhardt School of Business in honor of the Eberhardt family's endowed gifts. The School of International Studies began offering classes in the spring of 1987.

Pacific's commitment to professional education has always been undergirded by the strong liberal arts and science education offered by the College of the Pacific. The College provides leadership for the University's general education program, the Mentor Program, and is dedicated to the preparation of citizen-leaders who take responsibility for their communities as well as their careers.

In his introduction to the campus as President in 1987, Dr. Bill Atchley announced his goal of increasing endowments. The subsequent capital campaign raised the endowment from 14 million dollars to over 60 million when Dr. Atchley retired eight years later.

In 1995 Dr. Donald DeRosa became the 23rd President of the University. He initiated a process which led to revised Mission and Vision Statements focusing the attention of the Board of Regents, administrators, faculty, students and alumni on common goals for the future. Through close student-faculty relationships and challenging academic standards, Pacific will provide its students with a learning environment which integrates liberal arts and professional education and develops responsible leadership.

President DeRosa initiated a rigorous appraisal of all University programs in 1996. Recommendations for strengthening and modifying programs were developed. Numerous changes in academic and non-academic programs have been put in place. In 1999, the Center for

Professional and Continuing Education was established and University College was placed within it. The Department of Communicative Disorders was transferred to the School of Pharmacy, which was renamed the School of Pharmacy and Health Sciences. In 2000, the school was endowed and renamed the Thomas J. Long School of Pharmacy and Health Sciences.

Pacific celebrated its sesquicentennial in 2001. The University community is engaged in major discussions at all levels on how it can reach the "next level of excellence". President DeRosa has established a National Commission of alumni, friends, and faculty to assist the University in developing plans for achieving this goal.

As it has since its beginning Pacific will seek to provide citizen leaders for the new diverse and multi-cultural society of the 21st Century. In continuity with its tradition and history the University of the Pacific will continue to be a pioneering institution notable for its innovative and creative response to the changes in educational needs in California.

University of the Pacific began its latest chapter when Dr. Pamela A. Eibeck assumed the Presidency in July 2009, after the retirement of President DeRosa. President Eibeck identified several priorities for the University's future: enhancing the academic enterprise; developing as a three-city and global University; enriching diversity and inclusivity; and serving community through partnerships at the local, national and global levels. Under her leadership, in 2010 the University launched the "Beyond Our Gates...Into the Community" initiative in order to forge community partnerships that improve social and economic wellbeing in our region.

Dr. Maria Pallavicini joined the University as provost in February 2011. Provost Pallavicini is leading a University-wide strategic planning effort to help Pacific prepare for current and coming changes in higher education, work and the economy.

In November 2011, the University finalized the purchase of a new building in San Francisco at 155 Fifth Street. The new campus provides the space and facilities the Arthur A. Dugoni School of Dentistry needs to remain one of the nation's top dental schools. It also affords Pacific an opportunity to expand its programming and visibility in San Francisco.

### **Books on the History of the University of the Pacific**

Hunt, Rockwell D., **History of the College of the Pacific**, Stockton, California, 1951

Brewer, Kara Pratt, "**Pioneer or Perish**" **A History of the University of the Pacific During the Administration of Dr. Robert E. Burns, 1946-1971**, The University of the Pacific, Stockton, California, 1977

Jacoby, Harold S., **Pacific: Yesterday and the Day before That**, Comstock Bonanza Press, Grass Valley, California, 1989

### **1.3 History of Schools and Colleges**

**Approved by Academic Council on-April 26, 2001**

#### **History of the College of the Pacific (1851)**

When Pacific became California's first chartered institution of higher education in 1851, it called itself a "university"—the University of the Pacific—a name it kept until 1911. In that year to recognize its commitment to the liberal arts at the undergraduate level, the institution adopted the name "College of the Pacific." The College of the Pacific moved from San Jose to Stockton in 1924, nurtured its academic excellence and extended its focus to include graduate and professional education. In recognition of this expanded mission, the institution's name returned to "The University of the Pacific" in 1961, replacing the name of the "College of the Pacific." In 1962, the "College" returned to recognize the central role of the natural sciences, humanities, fine arts, and social and behavioral sciences in the liberal arts education at Pacific.

The decade of the sixties was a period of rising academic quality and educational innovation for the University. Amidst the establishment of the cluster colleges, the College began its own renewal with the support of the Danforth Foundation. The calendar was modified from the standard two semesters to two semesters separated by a one month winter term in January. The course system was adopted. Students took four four-unit courses each semester instead of six or seven courses with fewer units. The College adopted a new general education program, the Information and Imagination Program (the I. and I. Program) which was structured as groups of thematically linked cross-disciplinary courses. To assist faculty in the task of developing so many new courses an "internal sabbatical" was introduced, one semester of release time from teaching every four years.

In the late seventies and early eighties, the I. and I. Program was replaced by a new general education program based on distribution requirements. The closing of the cluster colleges led to the reassignment of many cluster college faculty to departments in the College. This process was accompanied by much faculty debate about the integration of cluster faculty into College departments with traditional major programs.

In the late eighties, under the guidance of a new Dean, Robert Benedetti, design of the current general education, the Mentor Program, began. In 1990, the University Faculty adopted the Mentor Program as a University-wide general education program. Today the College faculty provide the leadership and direction for general education for the whole University.

#### **History of the Conservatory of Music (1878)**

As early as 1856, formal music courses were offered at the "Female Collegiate Institute," which was the women's division of the University at the time. In 1878, the newly designed School of Music opened with 32 students in four program categories: elementary classes for beginners, an amateur class for "those who devote chief attention to other branches of instruction in the University," a preparatory class, and an artists' class. Admission to the preparatory class was for students as young as 12, and expenses for "music with instrument" was \$25 per semester, while

tuition for voice instruction was \$15 for a 20-week semester. The catalog of 1882-3 is the first to specify admission requirements and lists four faculty members, including Mr. Frank Loui King, who was referred to as “Director” until 1887 when the title “Dean” was applied. The first bachelor’s degrees were awarded in the mid 1880s. The Conservatory moved with the University from San Jose in 1924. From 1900 to 1928, the Conservatory offered programs in music, art, and drama. As art and drama became larger, they were removed from the Conservatory and made independent departments in the College of the Pacific. The Conservatory of Music has built an international reputation for its high quality programs in voice and instrumental music as well as music education and music therapy.

In 1999, the Brubeck Institute for Jazz Studies was established within the Conservatory, to house the collected works and papers of jazz legend, David Brubeck, '42, and to celebrate Brubeck's life with music.

### **History of the School of Dentistry (1896)**

The College of Physicians and Surgeons was founded in 1896 and included programs in dentistry, medicine, and pharmacy. Starting in 1918, the College focused its educational programs solely on dentistry. In 1962, the College of Physicians and Surgeons merged with the University of the Pacific. The current School of Dentistry facility, which was completed in 1967, went through an extensive remodeling in 1985 with the updating of specialty clinics, adding a new entrance on Sacramento Street, and creating a patient information area. Since 1989, other capital improvements have included the remodeling of conference rooms, seminar rooms, the orthodontic clinic, department offices, and the addition of new chairs and lights in our main clinic, a new pediatric clinic, and a \$5 million pre-clinical simulation laboratory. The building has been 90 percent remodeled since 1990 at a cost of \$17 million, completely donated by alumni, foundations, and private gifts.

In 1978, Dr. Arthur Dugoni was appointed as Dean of the School. Under his leadership the School has had a long history of teaching excellence in the clinical sciences and in its commitment to student learning. The year 2000 accreditation site visit resulted in no recommendations and 18 commendations, setting a new standard in dental education accreditation. The comprehensive patient care program is based on the concept of private dental practice where the student assumes responsibility for assigned patients' treatment, consultation, and referral for specialty care under direction of multidisciplinary faculty. An extramural clinic located in Union City provides advanced students with opportunities to work in an environment that resembles private practice. The division of International Dental Studies provides a program for foreign dental graduates to earn the U.S. dental degree. The IDS program, initiated in 1987, has allowed its graduates to continue their education in the dental specialties or return to practice their profession in their homelands. An Advanced Education in General Dentistry (AEGD) program, begun in 1990, annual provides a year-long education program for eight residents.

### **History of the Gladys L. Benerd School of Education (1924)**

From its beginning, the University of the Pacific emphasized the preparation of “preachers and teachers” and students having teaching as a goal made up a large number of the undergraduate student body for the University’s first 50 years. In 1915, the University began issuing elementary

and high school teaching credentials, and a Department of Education was organized in 1920. The School of Education was formally organized in 1923, recognized by the California State Department of Education on January 10, 1924, and officially established shortly after the College of the Pacific moved to Stockton in 1924. In the middle 1950s, the School began the Doctor of Education degree program and was among the first institutions in California to prepare school psychologists and special education specialists. The School offered one of the first Teacher Corps programs in the United States. In the 1970s and 1980s, the School had innovative programs to prepare bilingual educators. In the 1980s and early 1990s, the School's Title VII Doctoral Fellowship program brought exemplary teachers and administrators to Pacific in the field of English as a Second Language and Bilingual Education. The School has maintained its national accreditation with the National Council for the Accreditation of Teachers (NCATE) as well as State of California accreditation. The School offers bachelors, master of education, master of arts and doctor of education degrees as well as California credential programs in Multiple Subject, Single Subject, CLAD and BCLAD, Special Education, Administrative Services and Pupil Personnel Services in School Counseling and School Psychology. The School was formally renamed the Gladys L. Benerd School of Education in 1992 following an endowment gift of \$5 million dollars from Ms. Benerd, a graduate of the School of Education and long time teacher in local schools.

### **History of the McGeorge School of Law (1924)**

The McGeorge School of Law was founded in 1924 as a one-room night school in downtown Sacramento. Under the leadership of Dean Gordon Schaber, McGeorge moved to the Oak Park neighborhood in 1957. In 1966, McGeorge merged with the University of the Pacific. It earned American Bar Association accreditation two years later, which led to an explosive growth in enrollment. McGeorge offered its first Day Division classes in 1968, and its unique 22-acre campus devoted exclusively to legal education was built over the next two decades. In recent years, the school has developed a number of specialized programs to serve students who wish to prepare for particular areas of legal work, including state governmental affairs, international law, intellectual property, and criminal law. Associate Justice Anthony M. Kennedy taught Constitutional Law at McGeorge for more than 20 years before his appointment of the United States Supreme Court, and in recent years he has taught a course in Fundamental Rights in Europe and the United States to students attending McGeorge's summer institute in Salzburg, Austria.

### **History of the Thomas J. Long School of Pharmacy and Health Sciences (1955)**

Discussions in 1951 to create a school of pharmacy at Pacific created an interest among community pharmacists, business leaders, and University officials to seek official founding of the school in 1955. Dr. Ivan W. Roland was hired in August of 1955 to serve as Dean, and Emmons E. Roscoe accepted the first faculty position that same year. By the fall of 1956, the first classroom and laboratory for the new school began operating in Weber Hall, rooms 102 and 104. The first graduation for 16 seniors was held in June 1959. By 1960, the School had reached an enrollment of 250 students and was rapidly outgrowing the facilities. Grants and gifts from the Pfeiffer Research Foundation, the U.S. Department of Health, Education and Welfare, and numerous individuals led to the construction of a new building, completed in 1969. The



Department of Physical Therapy was established in the spring of 1985, and a full complement of 30 students was enrolled in the program by the fall of 1986. Full accreditation was granted by the American Physical Therapy Association in 1988. With the addition of the Department of Speech and Language Pathology, the School of Pharmacy was renamed to the School of Pharmacy and Health Sciences in 1999. In 2001 the School was formally renamed the Thomas J. Long School of Pharmacy and Health Sciences following an endowment gift of \$13 million dollars from Mr. Thomas Long, a long time supporter and benefactor of the School.

### **History of the Graduate School (1956)**

Although the first degree earned above the baccalaureate was earned in 1912, graduate degrees from organized graduate programs were not developed until the mid-1920s when the University moved to Stockton. The number of Master of Arts degrees increased in the years after that, particularly in education, history, and English. The Conservatory of Music, with growth in programs and reputation, began to offer advanced work, and in 1929, the first Master of Music degree was granted. With the influx of veterans soon after 1945, graduate programs proliferated. A program for the doctorate in education was organized in 1951, and that degree was first granted in 1954. Pacific granted its first Master of Science degree in 1955. Although the organization of graduate programs into a centrally administered unit under the "Dean of Graduate Programs" was accomplished by 1946, the Graduate School was officially founded in 1956 to coordinate and administer advanced work in the various departments and schools. The Graduate School was redefined in 1997 and the office of Sponsored Programs was added in 1999 to form the office of Research and Graduate Studies. The Dean of the Graduate School became the Dean of Research and Graduate Studies at that time.

### **History of University Libraries and the Library Faculty (1957)**

Two rooms on the ground floor of West Hall (1871) housed the San Jose campus's first library. Faculty and part-time employees staffed this facility until Miss Harriet Boss became the first full-time professional librarian at Pacific (1911). Four years later, fire destroyed the building and the library collection of some ten thousand books. When the College moved to Stockton (1924), the Library was first housed in the southeast portion of Weber Hall, and by 1928, it occupied the entire second floor. Ten years later, the library moved most of its 30,000 volumes into the Power House (now Baun Hall), which became available when the College converted from steam to gas heating. Collections nearly doubled during the 1940s and a separate Music Library Quonset (1947) and a Reserve Back Room (1953) in Owens Hall lessened the increasing pressure on the central facility. Finally, Irving Martin, publisher of the Stockton Record, provided funding for a new campus library on the present site. The Martin Library was finished in 1955 and has since been twice expanded through construction of the Wood Memorial Library (1966) and the William Knox Holt Library (1985). On September 1, 1957, the Associate Vice President for Academic Affairs assigned faculty status to the librarians. During those years, branch libraries were created at the School of Pharmacy (1969) and the School of Education (1974) to accommodate a collection that, by 1984, had grown to more than 750,000 titles. In recent years, the mission of the Holt Library and the Health Sciences/Chemistry Branch (now the only centrally-managed branch) has been to provide a teaching and learning center that integrates

access to information sources with the resources of computer technology and multi-media and provides space for collaborative work among students and faculty.

### **History of the School of Engineering (1958)**

Instruction in engineering began in 1924 as one of the new areas of concentration within the College of the Pacific when it moved to Stockton from San Jose. The engineering program separated from the College of the Pacific in 1958 and placed under the direction of its own dean to become the School of Engineering. Initially, bachelor degrees were offered in civil, electrical, and mechanical engineering, and the civil and electrical engineering programs were accredited by the Engineering Council of Professional Development. Since the fall of 1971, all engineering programs have been accredited by the Accreditation Board for Engineering and Technology (ABET). Also in 1971, the School of Engineering also adopted a mandatory, off-campus cooperative education component for all U.S. students. A computer engineering program was introduced in 1978 and programs in engineering physics and mechanical engineering were added in 1981 and 1982, respectively. All three of these programs have ABET accreditation.

### **History of the Eberhardt School of Business (1977)**

Business courses have been offered at Pacific for most of its history. In 1971, Sid Turoff was brought in as Department Chair to reformulate and ready the business program in the College of the Pacific for separate school status. In 1977, the School of Business and Public Administration was formed and moved into Weber Hall in 1982. In 1984, shortly after the new School became eligible, it was fully accredited by the American Assembly of Collegiate Schools of Business. A community-service aspect of the School was the establishment of a Center for Management Development in 1989, which was officially renamed in 1991 to honor Edward W. Westgate, a former member of the Board of Regents. The MBA graduate program was added in 1993. In 1995 the School established a Center for Entrepreneurship with more than \$2.6 million in grants from the Fletcher Jones Foundation, General Mills Foundation, Coca-Cola Foundation, the Greenlaw Grupe family and a major anonymous donor. In 1995, the School was named the Eberhardt School of Business in recognition of the support given to both the School and the University by the Eberhardt family and the Bank of Stockton. In 1999, the School was reaccredited by the AACSB earning high commendation for its student-centered mission and culture and for the exceptionally high evaluations given ESB's faculty by its students.

### **History of the School of International Studies (1987)**

Inspired by the educational vision of long-time Pacific regent George Wilson, the School of International Studies (SIS) was founded in 1987. As one of only six undergraduate schools of international studies in the United States, SIS quickly gained a national reputation for its rigorous academic program that required a semester of overseas study for every student. The SIS was redefined and energized with new leadership in 1998 and a modified curriculum was developed, which emphasizes pre-professional training in quantitative research skills as well as traditional training in economics, political science, cross-cultural awareness, and foreign languages.

## **History of the Center for Professional and Continuing Education (1999)**

The Center for Professional and Continuing Education was established in July of 1999 to extend the learning opportunities of the campus community and region beyond the traditional, residential environment. The Center incorporates several existing programs, including the University College (re-entry degree program, originally founded 1979), Lifelong Learning (extension program), and Summer Sessions. The Center provides an administrative structure to foster cooperation and collaboration among Pacific's three campuses and the region in serving the workforce needs of a populace facing a knowledge-based economy in the 21st century. Within the Center for Professional and Continuing Education, there are three programs: Academic Credit programs, Conferences and Community Relations, and the Institute for Professional Development.

## **Chapter 2. University Governance**

### **2.1 University Policy Statement on Governance**

Adopted by the Regents on September 12, 1996

The Board of Regents of the University of the Pacific hereby approves and adopts this policy in order to foster mutual understanding and establish the form and structure regarding the governance of the University of the Pacific. This policy is a recognition of the University's community of interests including the shared objective of maintaining a quality institution of higher learning through the joint effort of all constituencies of the University. We are aware of our interdependence, the usefulness of communication among ourselves, and the force and power of joint action that will increase our capacity to solve the challenges of providing students at the University with the opportunity to fulfill their highest educational potential.

We dedicate ourselves to continue the University tradition and promote a vision for the future by offering a broad range of quality programs in a learning environment that is both personal and diverse. We hold true to the University's distinction for its integration and balance of liberal arts and professional education, teaching and scholarship, curricular and co-curricular activities, formal and lifelong learning, and diverse campuses and communities. We also commit that participation by all constituencies will be conducted as examples of the highest levels of leadership, civility, integrity, decorum and respect.

Three fundamental principles provide the benchmarks for our joint efforts:

1. recognition of the initiating capacity and decision-making participation of all constituencies of the University;
2. understanding that the weight of each constituent voice is determined by the responsibility of each constituent for the particular matter at hand; and
3. each constituent voice will be given access to timely, relevant, adequate information and the opportunity to be heard.

All constituent governance documents of the University shall conform to the University bylaws and this policy statement.

#### **1. REGENTS**

One of the most important functions of the Board of Regents of the University of the Pacific is to establish the system of institutional governance, policy formation, and decision making, and to monitor the effective functioning of this system. The governance structure of the University is derived from the authority vested in the Board of Regents under the Articles of Incorporation and the Bylaws of the University. The board is empowered to delegate to other individuals and

groups (such as the president, the officers, and the faculty) those functions and powers deemed by the Regents to be appropriate and necessary for the good of the institution and for the effective carrying out of its mission.

The Board of Regents is entrusted with the ultimate responsibility for the quality and integrity of the University. It selects the President, approves the purposes of the University, and ensures provision of adequate resources to support the University. The Board establishes University policy, and where it deems appropriate, delegates to the President, administration and faculty authority to administer and implement these policies. The Board protects the University from external pressures antithetical to academic freedom and to University autonomy or integrity. This protection of academic freedom by the Board of Regents is fundamental to the profession of teaching and scholarship. The faculty is provided full freedom of inquiry in teaching, scholarship and research appropriate to the contractual obligations to the University. The Board differentiates among roles, duties and authority of various persons or constituents of the University and provides stability and continuity to the University through an organized system of University planning, resource management, budgeting and evaluation.

The general principles approved by the Regents that guide the design, operation, and evaluation of the University governance system are the following:

1. The governance system is based upon and fosters a shared understanding of the mission and ideals of the University as applied in the operation of educational and support programs.
2. The structure of the governance system establishes clear channels for decision making, policy review, and planning and clear lines of authority, responsibility and accountability.
3. The decision making system utilizes rigorous periodic evaluation of program effectiveness, particularly in issues affecting resource allocation decisions.
4. The structure and processes of governance are designed to foster the cooperation of each of the major campus constituencies and to take advantage of the contributions for which each group has special competence.

Administration is viewed as a service for the achievement of ends beyond itself, and it must always be judged in terms of its utility for enhancing the productivity of the University.

## **2. PRESIDENT**

The authority and duties of the president are explicitly delegated by the Board of Regents and include all obligations for all University educational and managerial affairs. The president is the chief executive officer of the University and the executive agent of the Board of Regents. He/she exercises a general superintendence over all the affairs of the University in accordance with the policies of the Board of Regents and provides leadership and advice to the Board of Regents in carrying out its responsibilities.

Effective presidential leadership is essential to the proper operation of the governance system. The effectiveness of the board and of the system of institutional governance depend on the ability of the president to cultivate a climate of respect, trust, and openness in which dialectical processes of participatory decision making can flourish.

Proper growth and qualitative improvement of the University require the president to bring strong and effective leadership to each of the following functions:

- Educational program and policy development
- Comprehensive institutional planning
- Faculty and staff development and welfare
- Financial strengthening and budgetary planning
- Fund-raising and constituency relations
- Physical facility development and improvement
- Governance processes, decision making, and policy formation
- Personnel and employment policy development
- Enrollment management and forecasting

It is understood that a President must appoint a senior staff of Vice Presidents and a Provost to whom the authority and obligations of many of these functions are assigned. This senior staff serves at the discretion of the President and is selected with broad consultation from constituent groups. The arrangement of duties under each member of his/her staff will change as University priorities and personnel change.

The president leads in the design and maintenance of a structure of councils and committees, formed on a representative basis from the major University constituencies, for the purpose of fostering communication, information sharing and dialogue in the review of proposed policies, plans, and budgets. Such groups should be advisory to the president and through him/her to the Board of Regents or, in the case of less general issues, to an appropriate University officer. It is understood that there is a distinction between those committees which have a University-wide role as described above, and those that report to a specific constituency, and this distinction will be taken into consideration in the design and structure of the committees. It is appropriate in the case of the latter that the constituent group devise its own procedure for selecting representatives.

An important emphasis in the president's functions concerns the exercise of leadership in University planning. The president guides the reexamination and realization of the University's mission and provides strong leadership in developing, articulating, and implementing the University's planning efforts. The president has primary responsibility for the acquisition and management of resources necessary for the realization of high academic standards and high achievement levels throughout the University. The president mobilizes a planning and budgeting structure and process which embody these principles of governance.

### **3. PROVOST**

The provost is the chief academic officer of the University and represents academic interests to the president and the Board of Regents. He/she provides leadership to the University faculty and

to the deans in advancing the quality of all undergraduate, professional and graduate programs. He/she is responsible for the following functions:

1. Ensure, maintain and improve the quality and performance of the faculty through the appointment, evaluation and advancement of individual faculty members.
2. Oversee the maintenance evaluation and improvement of all academic programs.
3. Oversee academic support services, such as libraries and educational technology, and other academic facilities.
4. Oversee enrollment services to recruit and retain a diverse student body of high quality.
5. Promote and support faculty development, scholarship and research.
6. Coordinate academic planning and the preparation of annual budgets in relation to planning.
7. Chair the Council of Deans and provide general supervision, advice, and support to the deans.
8. Coordinate all academic policy-making and implementation.
9. Maintain student academic records and active institutional research.
10. Provide oversight for academic and instructional support budgets.
11. Facilitate and ensure the effectiveness of faculty governance.
12. Act on behalf of the President at times so instructed by the President.

#### **4. DEANS OF SCHOOLS AND COLLEGES**

Each college or school of the University and the libraries has a dean, appointed by the President upon the recommendation of the Provost, who serves as the principal academic officer for the college or school and is responsible for the educational program within the college or school. The deans report to the provost who is responsible for the coordination of their work within the policies of the Board of Regents. In consultation with the Provost and the faculty of the college or school the deans lead in the planning, design, development, implementation, and evaluation of the educational programs and policies of the college or school and promote the quality of teaching and learning. They also provide for the selection and evaluation of qualified faculty and make recommendations to the Provost and the President concerning initial and continuing appointment of the faculty. They have direct budget responsibility for operating funds in their area, share in the responsibility for achieving enrollment goals, and in consultation with the Provost and the Vice President of Institutional Advancement, the deans shall participate in external fundraising and alumni activities for the college or school.

#### **5. COUNCIL OF DEANS**

The Council of Deans is an important agency for communication and collaboration among the deans under the leadership of the Provost. The Council includes all academic deans and other selected administrators. The Council shall meet regularly to accomplish the academic mission of the University. It shall perform the following functions:

1. Advise the provost on University standards and policies affecting the academic environment of the University and promote adherence to shared standards of excellence in scholarship, teaching, and learning throughout the University.

2. Coordinate joint policy consideration and other activities shared by the colleges and schools and facilitate communication among them.
3. Refer academic matters affecting the entire University to the University Faculty and recommend courses of action respecting such matters.
4. Provide a forum for discussion of programs, policies, and progress of the colleges, schools and academic support services.
5. Review priorities and goals in the formation of proposals for operating budgets in academic affairs, including marketing objectives for earned and contributed revenue, and advise the Provost concerning such priorities and goals.

## **6. DEPARTMENTAL CHAIRS**

Departmental Chairs are responsible for administrative and supervisory functions within a department as delegated by the Unit Dean. These may include, but are not limited to:

- Ensure the academic excellence of a department by providing oversight regarding the delivery of the curriculum, evaluation of department personnel, advising of students, accuracy of catalog descriptions, assessment of courses, and program review as required by the University and external accreditation organizations
- Manage departmental budgets and resources in accordance with University policies and practices.
- Provide the support necessary to ensure that departmental faculty focus on student centered practices by complying with University policies regarding syllabi requirements, reporting of grades, scheduling of classes or office hours, and selection of instructional materials.
- Serve as the advocate and liaison of the department to other programs, the administration, and other outside constituents.
- Maintain an environment where all department members feel respected and valued by actively encouraging a climate open to civil discourse and free of harassment.

## **7. VICE PRESIDENT FOR FINANCE**

The Vice President for Finance is the Chief Financial Officer of the University. He/she maintains adequate records and accounts of all University funds; directs the management of all funds; and provides the Board of Regents, the president, and other University officers with timely and accurate financial reports and analyses of the financial condition of the University to assist them in their policy formation and decision making functions. He/she assists the president and provost in preparing the operating budget, makes recommendations to the president concerning goals and priorities in budget preparation and monitors budget performance and enforcement once the budget has been approved.

## **8. VICE PRESIDENT FOR STUDENT LIFE**



The Vice President for Student Life establishes a campus climate and experience in which students are encouraged to grow intellectually, socially, emotionally, and spiritually. He/she coordinates and supervises the administration of student life services, programs, and policies; administers student life regulations; and assists in the protection of students' rights to academic freedom and due process. The person in this position must work cooperatively with leadership of the three campuses to ensure institutional student life policies are applied appropriately.

## **9. VICE PRESIDENT FOR INSTITUTIONAL ADVANCEMENT**

The Vice President for Institutional Advancement plans and coordinates all authorized fund-raising activities of the University, including fund-raising for the annual fund, for capital development, for endowment, for planned giving, for campus development, and for special programs. He/she formulates long range plans and strategies for institutional advancement and alumni communication and development, and makes recommendations to the president and other officers of the University concerning the approval and support of such plans and goals. The Vice President is also responsible for public relations and institutional visibility.

## **10. THE FACULTY**

The authority and obligations of the faculty are delegated to them by the Board through the President. Members of the University faculty are appointed by the President, acting on authority of the Board of Regents. The contractual appointment of the faculty carries with it certain implied assurances by the board that it will maintain an educational and decision making environment that is conducive to the effective discharge of the faculty's professional, scholarly, and educational responsibilities.

The faculty are responsible for the following functions:

1. Design and conduct educational programs and courses of instruction in accordance with the policies of the University
2. With the administration actively participate in the comprehensive planning for the development and quality improvement of the educational programs and courses of study, assist in the evaluation of the effectiveness of such programs and courses, and to make recommendations to the Deans and Provost concerning the educational mission, programs, and policies of the University
3. Recommend educational policies and degree requirements which effectively carry out the mission of the University, within the policies of the University
4. Set student admissions standards, evaluate student admissions procedures, assess student academic progress, and recommend student candidates for earned degrees. Assist the President in evaluating candidates for honorary degrees
5. Participate in the selection, evaluation, and advancement of faculty and academic administrators
6. Actively participate in review of educational programs, educational policies, and academic support programs and make recommendations to the Deans and Provost concerning the improvement or continuation of such programs

7. Contribute to the advancement of knowledge through open inquiry, creative activity and research

The faculty is authorized to create its governance organization insuring the representation of all faculty for carrying out its functions, in consultation with and subject to the approval of the provost and president. This organization is the Academic Council. The faculty may consider any matter touching the effectiveness and quality of the educational program or the professional welfare of the faculty and may make recommendations to the president, provost, or academic deans concerning any policies, programs, or procedures which affect the educational program or faculty welfare.

Each school and college in the University may have a faculty of its own which shall consist of all members of the University faculty in the particular school or college. Each such faculty shall function under the Dean, Council of Deans, Provost and President and be subject to the policies of the University faculty. Each school or college faculty should, in consultation and subject to the approval of the Provost, adopt by-laws and rules concerning its own organization, governance, and procedures.

## **11. STAFF**

University staff support the faculty and administration in the effective delivery of educational and auxiliary services to students and are an integral part of the day-to-day operations of the University. Theirs is an important consultative voice in the governance of the University consistent with the primacy of the faculty and administration.

## **12. STUDENTS**

The students are the ultimate beneficiaries of a coherent policy on governance and the principal focus of educational and auxiliary programs. They have an important role in the evaluation of services and a responsibility to speak in their own benefit. Because their time at the University is limited, continuity of the student role in governance is achieved through representation of the Association of Students.

## **13. ALUMNI**

Alumni play a critical role in providing the means by which the effectiveness of educational programs can be assessed. Guided by programs in Institutional Advancement, through the Alumni Association, and by direct participation with individual schools, alumni have the opportunity to support the University and assess the education they received at the University. Their role provides continuity to the University and ensures the preservation of tradition. With this role of preserving the strengths comes the responsibility to address the weaknesses through participation in the strategic planning process and direct financial support.

Evaluation is a critical element of governance. Therefore, pursuant to this policy, the Board of Regents shall cause to be conducted a periodic evaluation of itself, the President, the Senior Staff, the governance bodies of the faculty, staff, students, and alumni to assure that each of these

major components of the University community are working effectively and efficiently in implementing this policy and in compliance with their respective bylaws, and the discharge of their authority and duties. The results of the evaluation shall be included as a part of an annual report of the University of the Pacific.

## **2.2 Basic Governance Principles**

Approved by Academic Council on October 14, 1999; Faculty, November 30, 1999; President, March 6, 2000

The Regents Policy Statement on Governance establishes the fundamental principles of governance of the University. These basic principles acknowledge the initiating capacity and decision-making participation of all constituencies. They recognize that the greater or lesser degree of responsibility of a constituency for a given decision determines the weight that its voice will have in the decision-making process. In addition, the Regents have mandated that there shall be timely access to all relevant information by all involved constituencies so that they will be informed and have the opportunity to be heard. The President is responsible for ensuring that these principles are followed.

The Board authorizes the President to appoint a staff of Vice Presidents and through them other members of the administration of the University. The administrative structure of the University is developed at the direction of the President.

As indicated above, the process of governance is consultative, involving all relevant constituencies. Within this broad context, each constituent group is also granted certain rights and responsibilities. These constituencies include the faculty, students, alumni and staff. In consultation with the administration, a structure is developed through which each constituency participates in the decision making process in an appropriate way. In the case of the faculty, the Academic Council functions as a representative body; for the students, undergraduate, graduate, and professional students have representative bodies on each campus. Where bodies are representative, the members of each constituency select their own representatives. Alumni organizations on each campus express alumni concerns and each campus adopts procedures through which staff concerns may be expressed.

Each constituency has the right to initiate consideration of significant issues of concern to their constituents and to respond to issues raised by others. Relevant information should be communicated in order that constituents' voices may be formulated and expressed in the deliberations of the University.

In academic matters, responsibility for design and conduct of educational programs and courses of instruction is delegated to the faculty. In order to carry out this responsibility, the Academic Council has established Faculty Committees. Committee membership, charges, method of election, and reporting functions are set by the Council. The Council acts on the recommendations of its committees. The actions of the Council are communicated to the President and to the Provost. Ordinarily, the President and Provost will accept the

recommendations of the Council. If there is disagreement, the reasons for the disagreement should be clearly stated and a mutually acceptable policy developed.

Many of the functions of the University are joint responsibilities of the faculty and the administration. The faculty or the administration may initiate the formation of University Committees with joint faculty and administrative membership to address these functions. Membership, charge, reporting function, and schedule are negotiated jointly by the Council and the administration. Method of selection of faculty members is determined by the Academic Council. Administrative members are selected by the appropriate administrator. Members of the committees consult with their constituencies in the process of developing recommendations. Recommendations of these committees are reported to the administration and the Academic Council for comment, approval or further consultation as appropriate.

In some cases, the administration forms committees which require participation of members of the faculty with specific expertise. In such cases, the administration should present the Academic Council with a statement of the charges to the committee and request recommendations from the Council of qualified faculty to serve on the committee. Selection of the faculty participants is by the administration from the Council recommendations.

Faculty, Joint or Administrative Committees may be standing committees to address normal and continuing areas of concern or ad hoc committees to address specific issues. Ad hoc committees should be formed following the same procedures as standing committees.

Student interests on each campus are represented through local student associations. Student associations represent the diverse interests of undergraduate, graduate and professional students. These associations carry out their functions in consultation with the appropriate administrators on each campus.

Staff participation and the expression of staff concerns vary from campus to campus. Various forums are created for the expression of staff issues and interests. In other cases, consultation with staff is more informal. Consultation is carried out with the appropriate administrators on each campus.

Alumni participation is an integral factor on each campus. Alumni are involved in support for and assessment of programs and preservation of the traditions of schools and colleges. Alumni interact with and are consulted by the administrators of each campus.

Financial management of the University is primarily the responsibility of the University administration. The President mobilizes a planning and budgeting structure and process which embodies the general principles of consultative governance. In accordance with these principles, all constituents have appropriate input into the formulation and adoption of budget priorities and in the formulation and revision of annual budgets. The Vice President for Finance assists the President and Provost in preparing the budget. The Provost, working through the deans of the colleges and schools, has primary responsibility for the academic budget. The Vice Presidents for Student Life, Institutional Advancement, and Finance have primary responsibility for the budgets of their areas. The Board of Regents gives final approval to the annual budget.

### **2.3 Procedure for Approval and Amendment of Policies in the University Faculty Handbook**

Approved by Academic Council on April 13, 2000; Faculty Pending; President on September 27, 2000

The Board of Regents has set forth the areas of responsibility and authority for each University constituency in the University of the Pacific Policy Statement (on) Governance (Section 2.1). The Statement on Basic Governance Principles (Section 2.2), states the agreement between the Administration and the Faculty on the principles for the implementation of the Regents Policy Statement on Governance.

In accordance with these statements, the University administrators and constituencies responsible for the approval and amendment of a policy will differ. The University Faculty Handbook is the primary statement of policies which relate to the academic mission of the University and which require Faculty approval, either singly or jointly with some other University constituency. The Handbook includes the general policies regarding Faculty governance, policies concerning promotion, tenure, and other aspects of employment of faculty and academic administrators, and the academic policies of the University.

Accordingly, each policy in the Handbook shall be accompanied by a statement of the constituencies who must approve the policy and the dates of approval and amendment of the policy by these constituencies. Future amendments of a policy will require approval by the same constituencies. Consistent with the University policies statement on governance as approved by the Regents, the Academic Council, in consultation with the Provost, determines the statement of constituencies that accompanies each policy or section of the Handbook. Dates of original approval and subsequent amendments should be noted in the revised Handbook policy. The Provost's Office shall be responsible for maintaining an archival record of Handbook policy statements, their approvals, and subsequent amendments.

The Provost is responsible for maintaining and publishing an updated version of the University Faculty Handbook on the University website and periodically publishing and distributing printed copies to the Faculty.

## **Chapter 3. University Policies**

### **3.1 Academic Freedom**

Approved by Academic Council on February 10, 2000, Faculty on May 10, 2002, Provost on February 10, 2000, President on April 15, 2002

#### **3.1.1 Principles of Academic Freedom**

The University is committed to the free search for truth and its free expression. Academic Freedom in teaching, research, and publication is essential to these purposes, as is the freedom of students in learning. The most authoritative articulation of the central tenets of academic freedom is the 1940 Statement of Principles on Academic Freedom and Tenure, which was adopted by the American Association of University Professors and the Association of American Colleges (now the Association of American Colleges and Universities).

The University adheres to the principle of academic freedom in the 1940 Statement, as subsequently amended. The following elements drawn from the 1940 Statement merit restatement here because they describe the conditions that are essential to the University's successful accomplishment of its educational mission:

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties.

Teachers are entitled to freedom in the classroom in discussing their subject, and students are entitled to freedom in learning.

Members of the Faculty are citizens, members of a learned profession, and officers of the University. When they speak or write as citizens they will be free from institutional censorship or discipline, but their special position imposes special obligations. They should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the University.

#### **3.1.2 Policy on Academic Freedom**

The University commits itself to create and maintain an environment in which academic freedom will flourish. It is the policy of the University that decisions concerning appointment, reappointment, promotion, and appointment with tenure of faculty members, the selection of faculty members for teaching and other academic duties and responsibilities, and University support and sponsorship of scholarly research and artistic endeavors by faculty members shall not be based upon any of the following:

1. the faculty member's political, social, or other views, or the faculty member's associations, except to the extent that the views or associations are directly related to the discharge of academic responsibilities;
2. the conduct of the faculty member, unless such conduct (a) is directly related to the discharge of academic responsibilities or (b) has been determined, in a proceeding pursuant to University procedures related to faculty discipline, to constitute professional misconduct, or (c) is conduct of moral turpitude that violates a criminal statute;
3. discrimination or classification prohibited by federal, state, or local statutes, ordinances, and regulations that protect faculty members.

### **3.2 Policy on Nondiscrimination**

Approved by Academic Council on March 9, 2000, Administration pending

The University does not discriminate on the basis of race, gender, sexual orientation, national origin, ancestry, color, religion, religious creed, age, marital status, cancer-related or genetic-related medical condition, disability, citizenship status, military service status, and any other status protected by law.

In accordance with the above University policy and in compliance with all applicable laws, all educational services will be provided and all employment decisions ( including recruitment, training, compensation, benefits, employee relations, promotions, terminations) will be made without regard to the individual's status protected by law. To the extent provided by law, the University will reasonably accommodate qualified individuals with disabilities which meet the legal standards for documentation, whenever the individual is otherwise qualified to safely perform all essential functions of the position.

#### **3.2.1 Procedures Concerning the Policy on Nondiscrimination**

Nondiscrimination requires compliance with federal or state employment laws and regulations, including but not limited to the following: the National Labor Relations Act of 1935, the Equal Pay Act of 1963, Title VII of the Civil Rights Act of 1964, as amended, Age Discrimination in Employment Act of 1967, Section 504 of the Rehabilitation Act of 1973, Title VI and Title IX of the Educational Amendments of 1972, Executive Orders 11246 and 11375, California Labor Code, California Fair Employment and Housing Act, and Americans with Disabilities Act. The University of the Pacific has designated the Director of Human Resources to coordinate the University's efforts to comply with laws, orders, and regulations governing discrimination and to provide the procedures for documentation and accommodation for disabilities.

On the Stockton Campus, any person having a complaint should contact the Director of Human Resources whose address is Office of Human Resources, University of the Pacific, 3601 Pacific Avenue, Stockton, CA 95211 and whose telephone number is (209) 946-2124.

On the San Francisco Campus, contact the Director, Human Resources whose address is Office of Human Resources, School of Dentistry, University of the Pacific, 155 Fifth Street, San Francisco, CA 94103 and whose telephone number is (415) 929-6468.

On the Sacramento Campus, contact the Director of the Office of Administration whose address is Office of Administration, McGeorge School of Law, University of the Pacific, 3200 Fifth Avenue, Sacramento, CA 95817 and whose telephone number is (916) 739-7182.

There are grievance procedures to resolve alleged acts of discrimination against an applicant for admission, an applicant for employment, or the alleged discriminatory treatment of a student or an employee.

### **3.3 Policy on Consensual Personal Relationships Affecting University Teaching, Mentoring and Supervisory Functions**

Approved by Academic Council on October 11, 2007 and Administration on October 11, 2007.

#### **Intent:**

University of the Pacific is committed to maintaining a learning and work environment that is free from unlawful harassment and other potentially adverse affects that can arise from consensual personal relationships among those who are participating in teaching, mentoring and supervisory functions at the University. Separate, but similar policies apply to faculty members; graduate students and teaching assistants; and staff/administrators, respectively. The policy below applies to faculty members.

Consensual personal relationships in the course of teaching, mentoring and supervisory functions at the University may interfere with the ability of the teacher, mentor or supervisor to act fairly and without favoritism or may contribute to the perception among other persons of unfair actions or favoritism.

#### **Policy:**

**Faculty/Student Relationships and Faculty/Staff Relationships:** Effective on September 1, 2007, a faculty member who is employed by Pacific may not participate in a consensual personal relationship with a student or staff member of the University for whom the faculty member provides or may (by virtue of University assigned position or functions) reasonably be expected in the future to provide teaching, mentoring or supervision.

**Faculty/Faculty Relationships:** Effective on September 1, 2007, a faculty member who is employed by the University may not commence a consensual personal relationship with another faculty member for whom s/he then provides supervision as Chair.

Faculty members who are already in a consensual personal relationship with another faculty member within the same department/academic unit as of the time supervision as Chair (or faculty member authorized to act in a supervisory role) would commence, will be in compliance with this policy and with related portions of the University's Conflict of Interest and Commitment



Policy, if they in writing promptly inform the cognizant dean of the relationship and conform to the standards of behavior stated in correspondence received from the dean.

In addition, in all cases (whether or not the two faculty members are within the same department) a faculty member must recuse her/himself from any committees that evaluate the other faculty member with whom s/he is or who has been in a consensual personal relationship and identify the reason for recusal.

**Child or Relative in a Class:** When a child or other personal relative of the faculty member (or of another University individual who is performing course-related teaching) is enrolled in a University course that the faculty member (or such other University individual) is assigned to teach, the faculty member will be in compliance with this policy when he/she does not engage in favoritism to the student and acts appropriately to avoid the appearance of favoritism.

**Definitions**    Consensual Personal Relationships: Dating, marital, domestic partner, sexual and similar personal relationships that may be consensually undertaken by both individuals.

Such relationships do not include the usual and customary socializing at the University of teacher-student; mentor-mentee; supervisor-employee; faculty member-graduate student; co-workers; and supervisor-student employee.

Employee: Anyone employed by Pacific as faculty, staff or student worker, full-time or part-time, regular, temporary or adjunct.

Teaching and Mentoring: Teaching and mentoring includes course teaching, advising, participating in grading or other academic evaluation.

Supervision: Assignment, direction, evaluation, participation in appointment, promotion and tenure evaluation committees, and enforcement of rules and policies, for those engaged in University-related work such as undergraduate and graduate students, teaching assistants, faculty members and staff members.

**Effective date**    September 1, 2007

### **Consequences of violations**

Perceived violations of this policy should be referred to the dean or Provost. The Dean shall notify the Provost of the situation and attempt to resolve the situation, if the Provost concurs that the Dean do so. The Dean shall report to the Provost any informal resolution achieved. Only the Provost has the authority to initiate procedures for faculty discipline and those procedures are set forth in the Faculty Handbook.

### **Contact**

Questions regarding this policy should be referred to the cognizant dean. Human Resources will provide support to the dean.

### **3.4 Policy on Assisting Employees with Life Threatening Illnesses**

Approved by Administration on April 23, 2002

The University of the Pacific recognizes that employees with life threatening illnesses including but not limited to cancer, heart disease, and AIDS may wish to continue to engage in as many of their normal pursuits as their condition allows, including work. As long as these employees are able to meet acceptable performance standards, and medical evidence indicates that their conditions are not a threat to themselves or others, supervisors should be sensitive to their conditions and ensure that they are treated consistently with other employees. At the same time, the University has an obligation to provide a safe environment for all students and employees. Every precaution should be taken to ensure that an employee's condition does not present a health and/or safety threat to others in the work environment.

Consistent with this concern for employees with life threatening illnesses, the University offers the following range of resources available through the Office of Human Resources:

1. Management and employee education and information on terminal illness and specific life threatening illnesses.
2. Referral to agencies and organizations which offer supportive services for life threatening illnesses.
3. Benefit consultation to assist employees in effectively managing health, leave and other benefits.

### **3.5 Policy on Declaring University Financial Exigency**

Approved by Academic Council, Administration on April 23, 2002

The President may propose to the Board of Regents that it declare that a University financial exigency exists. Before forwarding such proposal to the Board of Regents, the President will review its rationale and conclusions with a Select Committee consisting of the Provost, the dean of each school and college, one (1) tenured faculty member of each of the schools and three (3) tenured faculty members of the College of the Pacific, each of whom shall be selected by the Academic Council. The President shall share all pertinent financial data including the relevant record of the Institutional Priorities Committee with this committee. The Select Committee will issue a report and recommendation, which shall be submitted to the Board of Regents prior to the Board's final determination.

If the Board of Regents declares a University financial exigency, the University will consider a range of appropriate operational and budgetary measures, which may include reduction of expenses related to goods, services, staff and faculty. In doing so, the University will first focus on those programs and services which are not central to its primary academic mission, vision and priorities.

If reductions in academic areas are not avoidable, the University may decline to renew faculty appointments including those which are renewable, to terminate probationary, special and

regular faculty appointments prior to their scheduled expiration date, and/or to terminate appointments with tenure. Terminations of appointments due to University financial exigency are governed by section 7.15

### **3.6 Policy on Closure of University Program(s)**

Approved by Academic Council, Administration on April 23, 2002; revised by Academic Council on September 14, 2017 and by the Administration on June 18, 2018

In addition to a proposal for closure of a University academic program which results from a regular academic program review, the President or Provost may decide to establish a Special Review Committee, when a request for program/department/etc. closure is proposed outside the defined bounds of Faculty Section 10.2.

The Special Review Committee report will provide a recommendation to the Provost and the President. The President will review the proposal and decide to propose to the Board of Regents that a University school, academic unit or specific program be closed or substantially curtailed.

The membership of the Special Review Committee will include the Provost and appropriate dean(s).

The Academic Council will select the faculty membership of the Committee.

Normally, the Council will select the faculty members of the Academic Affairs Committee or Graduate Studies Committee depending on the program under review.

The Special Review Committee will issue a report and recommendation, which will be submitted to the Board of Regents prior to the Board's final determination.

If the Board of Regents approved the proposal, the University may decline to renew faculty appointments including those which are renewable, to terminate probationary, special and regular faculty appointments prior to their scheduled expiration date, and/or to terminate appointments with tenure.

Terminations of appointments due to closure of program are governed by Section 7.16.

#### **3.6.1 Policy on Administrative Relocation of Academic Units**

Approved February 14, 2013 by Academic Council, March 4, 2013 by the Provost

Restructuring of academic units includes, but is not limited to: moving one School into another School or The College, moving The College into another School, removal of a dean position, or combining academic departments (this policy does not cover departmental decisions that are wholly internal to The College or a School). Because these administrative changes have great potential to affect faculty working conditions, thoughtful discussion and consultation with faculty leadership must take place before such a proposal is made by the administration.

After consulting with faculty leadership (Including but not limited to the Chair and the Executive Board of Academic Council), the Provost may propose an administrative relocation of academic units, to be considered by a Special Review Committee. The membership of the Special Review Committee will include deans selected by the Provost as well as faculty members selected by the Academic Council. Faculty will constitute at least half of the committee. The Council will select faculty members from the affected units, the Academic Affairs Committee on Undergraduate Studies, and/or the Academic Affairs Committee on Graduate Studies, depending on the units under review. The Special Review Committee shall be chaired by the Dean of the affected Academic Unit. The Special Review Committee will issue a report and recommendation, which will be submitted jointly to the Provost and to the Academic Council. If the Provost chooses to follow the recommendations of the report, then no further action is needed. If the Provost chooses not to follow the recommendations of the report, he or she will state in writing the reasons for not doing so, and this statement will be appended to the report of the Special Review Committee. The report and its appendices will then go to the President, who will make the final decision.

The Administrative relocation shall not affect contractual relationships that the University has with individual faculty.

### **3.7 Information Technology Policies**

Version 7.1, Approved by Academic Council March 23, 2007; Revised April 16, 2007

#### **3.7.1. Information Security Policy**

**POLICY: Academic and business information resources are critical assets of the University and must be appropriately protected.**

Any person who uses or provides information resources has a responsibility to appropriately maintain and safeguard these assets. This policy is designed to protect both information stored on or accessed through University Computing and Communication Resources and those resources themselves. These resources include information resources and intellectual property owned by others whose rights must also be protected.

Information security is the protection of data against accidental or malicious destruction, modification or unauthorized disclosure. Information will be protected based on its value, confidentiality, and/or sensitivity to the University and the risk of loss or compromise. Information security management enables information to be shared while ensuring protection of that information and its associated computing and communications assets. The University is responsible for ensuring appropriate controls are in place to preserve these security objectives.

Information is useless if it cannot be accessed and/or used to advance the academic and business interests of the University. Therefore Information security also involves guarding against unauthorized withholding (e.g., denial of service).

The University has a multitude of points of access to its data – dozens of departments and three campuses. Because numerous administrative units and academic departments are responsible for the processing and storage of information, each is also the steward of significant information assets owned by the University. The University relies upon each campus, department and individual system administrator to preserve and protect those assets in an appropriate, consistent and reliable manner. Security controls provide the necessary physical, logical and procedural safeguards to accomplish those goals.

## **Issues Addressed**

This policy addresses the need to make Users and providers of information aware that they have a responsibility to appropriately safeguard the University's information assets as they would other resources. The unauthorized disclosure, destruction or prolonged unavailability of the University's information or information technology could harm the University, its students, its employees and other members of the University community.

### **3.7.2 Accountability Policy**

**POLICY: Individual accountability must be maintained on all University computing and communications systems.**

A University Computer System is defined for the purposes of this and other Information Technology Policies as any University-provided computer, workstation or server – either stand alone or networked – that processes, stores, receives or transmits University information, or information entrusted to the University by a third party. In general, access to University Computer Systems and networks is provided through the use of individually assigned unique computer identifiers, known as UserIDs. Each individual is responsible and accountable for all activity performed under his/her UserID(s). The ISPC has the authority to grant exceptions and define the accountability mechanism for those computer systems whose access and use cannot reasonably be controlled through use of an individual UserID.

Access to protected resources is granted to UserIDs. This access is based on an individual UserID, or to a groupID containing individual UserIDs. Group-IDs are commonly used in role-based security models. It is, therefore, critically important that unique UserIDs be assigned to specific individuals, and that these UserIDs not be shared ensuring that the controls in place perform as they are intended. This will ensure the accountability of all individuals accessing the University's protected resources.

UserID based accountability should be required for any network-based service, but may be impractical for non-networked, public access, or kiosk-type installations. In private areas (research laboratories, faculty offices, etc.), sign-on procedures to use non-networked services may interfere with normal operations. In non-networked situations such as these, regular audit of local information and/or appropriate physical access restrictions may be substituted for UserID access. It is highly recommended that the Information Security Analyst be consulted.

## Issues Addressed

Accountability, is an element of security. By requiring each individual to sign on using a unique UserID, activity can be attributed to a particular individual. This auditability provides management with information regarding who performed what activity on what information resources. It can also be used to help resolve system or network problems by providing more complete usage information.

### 3.7.3 Information Management Policy

**POLICY: All University information must have an associated Information Administrator (IA) who is responsible for its proper management and security, including its appropriate classification.**

Information, like other assets, must be properly managed during its lifecycle, from its creation, during authorized use, to proper disposal. As with other assets, not all information has the same use or value, and therefore requires different levels of protection. Just as it is unwise to underprotect a very sensitive document, it is expensive and wasteful to overprotect non-sensitive information. This policy is intended to require appropriate controls for the management of University information resources.

All information will have an Information Administrator (IA) established who will be responsible (perhaps through delegation) for assigning the initial information classification, and who will make all of the decisions (perhaps through delegation) regarding controls, access privileges of Users, retention requirements and daily decisions regarding information management pertaining to that particular information. The Information Security Analyst (ISA) can provide a periodic high-level impact analysis on the information to determine its relative value, risk of compromise, possible legal issues, etc. Based on common sense or the results of an assessment, information should be classified into one of the information classifications discussed below.

The classification will inform the Information Administrator and the Information Security Analyst, and help determine the appropriate level of protection of the information and its associated application software commensurate with the value of the information in that classification. It is important that controls be designed and implemented for both the information and software. It is not sufficient to classify and control information alone. The software, and possibly the hardware, on which the information and/or software reside, must also have proportionate controls for the classification of information that the software manipulates. The Information Administrator is responsible for determining the classification of the information. Working with the Information Security Analyst and the application development team, appropriate controls for the information, software, and possibly the hardware must be developed.

### Information Classifications

Information may be classified according to its value, sensitivity, or risk of loss or compromise. The Information Administrator, who may be advised by the Information Security Analyst,

determines the classification levels. The classification level helps determine the degree of security standards to be applied and followed by the Information Administrators, Security Administrators, Information Brokers, and Information Users.

The three levels generally used to classify University information are:

1. Public Information
2. Restricted Access Information
3. Confidential Information

#### 1. Public Information

Public Information is any information prepared, owned, used or retained by the University for the purpose of public release and which is not specifically exempt from the disclosure requirements of law.

Generally, only documents specifically created for the public, (e.g., press releases, brochures), are considered public information. Release of “public” documents should not impair the University’s ability to fulfill its mission, nor should such release damage the reputation. All other information should be classified as Restricted Access or Confidential. Any unclassified information should be assumed to be at least Restricted Access, and be accordingly protected until the proper information classification can be determined and verified.

Examples of Public Information could include but are not limited to:

- Published University marketing brochures
- Published curriculum information
- Public notices of University public events such as concerts and sporting events
- Employment opportunity bulletins
- University approved Internet web site information

#### 2. Restricted Access Information

The controlling factors for Restricted Access Information are those of confidentiality and integrity. This type of information requires protection from disclosure or alteration by unauthorized persons. Restricted Access Information is restricted to individuals who have been authorized for that information. In most cases access will be limited to specifically authorized University faculty, staff and students. This classification allows access by non-University Users (such as prospective students or vendors) when authorized by the appropriate Information Administrator.

The sensitive nature of some types of Restricted Access information may be difficult to recognize because it is often integrated into daily work and/or course assignments or may be handled by a number of Users. Other types of Restricted Access information may appear to be more obviously sensitive because they have a rather restricted audience. Either way, it is

important to maintain the confidentiality and integrity of this information, regardless of whether it is maintained in a paper or electronic form.

Examples of Restricted Access Information could include but are not limited to:

- University course materials, including on-line media where materials should be restricted rather than public \*\*.
- Extended education and online course materials \*\*.
- Prospective student status information accessible to that student.
- Administrative information exchanged with vendors using electronic protocols.
- Research studies being performed in association with other universities \*\*.
- Student and registration information accessible online to that student.
- University organizational charts and job descriptions.
- Approved and widely communicated University business plans.
- Curricula changes or graduation requirements prior to approval.
- University Policy or Procedure Manuals.
- Reports, files or working papers concerning daily academic and administrative activities \*\*.
- Financial statements prior to public announcement or release.
- Travel plans of University faculty or staff.
- Information pertaining to strategic business decisions such as college expansion, new academic programs being considered, etc.

\*\* This policy is to be interpreted to be consistent with the University's Intellectual Property Policy.

### 3. Confidential Information

Confidential Information is the strictest data classification used by the University and requires maximum control. Depending on the nature or contents of the Confidential Information, disclosure or alteration of this type of information could cause great harm to an employee, student or the University. Confidential Information requires safeguarding, either due to the requirements of law or because of the mandates of prudent and reasonable practices. Access to Confidential Information is limited to specifically authorized individuals of the University and denied to all others, unless and until directed by an officer of the University and upon advice of legal counsel of the University.

Examples of Confidential Information include but are not limited to:

- Employee Medical Records
- Student information such as grades, medical information, etc.
- Student and employee Social Security Numbers
- Payroll data
- Administratively maintained employee data such as residence address information, employment history, performance reviews, etc.



- Alumni and donor information.
- Patient records.

#### Issues Addressed

There is a need to establish management responsibility and accountability for University Information resources. Unauthorized release or alteration of Restricted Access or Confidential information could have many consequences, ranging from the mundane loss of productivity to extremely serious legal consequences. The compromise of any classified information has the potential to impair the University's ability to competently and efficiently implement its mission. Release or alteration of medical records could discredit the University's reputation.

### 3.7.4 Segregation of Systems Policy

**POLICY: - University systems, applications, and databases designated for student or public use must be physically and/or logically isolated from systems used for normal administrative activities as appropriate to ensure system and data integrity.**

It is the intent of this policy to enhance the University's information technology security environment by requiring, where possible, the segregation of systems used solely for administrative purposes from those used solely for academic, student or general public access. To the extent possible, systems designated for academic or public use should be hosted on different computer systems than those designated for administrative use only. The computing and communications environment should be architected to prevent accidental or intentional harm to the University's administrative production computing environment or the compromise of restricted or confidential University information. Firewalls or other similar devices should be used to further isolate administrative systems.

This policy is not intended to restrict appropriate access to information by legitimate Users, especially web-based access. It is likewise not the intent of this policy to preclude systems that use (and even allow updating of) administrative data in public applications. The intent is to require consideration be given to possible security gains through system architecture. This policy will have the greatest impact on campus administrative systems and will have little to no effect on systems involving teaching and learning.

#### Issues Addressed

Academic and administrative systems face competing expectations that bear on security. On the one hand, there is an expectation of readily available information. On the other hand, confidentiality of personal information requires the highest level of protection of systems from unauthorized or inappropriate access. Standard security practice is to isolate administrative systems that primarily contain restricted and confidential information from those that primarily contain public information or are otherwise used in an academic setting.

### 3.7.5 Access Control Policy

**POLICY: The integrity, confidentiality and availability of the University's information resources will be protected by logical and physical access control mechanisms commensurate with the value, sensitivity, risk of loss or compromise and ease of recovery of these resources.**

Information Administrators are responsible for determining who should have access to protected information resources within their jurisdiction, and what type of access privileges will be granted. These access privileges should be granted in accordance with the User's role or assigned responsibilities. Information Administrators must direct their Security Administrator(s) to grant the appropriate access privileges. Likewise, it is incumbent upon the User's manager and/or the Information Administrator to direct the Security Administrator to remove access to information resources when a User's need no longer exists or their privilege ends. Access privileges generally involve the ability to view data, create new data, change existing data, delete data and/or run programs against data.

Physical access to data centers, wiring closets, and servers containing Restricted Access or Confidential Information must be physically secured from unauthorized access. Servers containing Public Information should be appropriately secured.

#### **Issues Addressed**

Access control is the primary means by which security objectives of the University are achieved. Access control mechanisms are designed and implemented to reduce unauthorized access to acceptable risk levels. The compromise of any sensitive information resource has the potential to impede the University's ability to competently and efficiently achieve its mission.

### 3.7.6 Network Attached System Security Policy

**POLICY: The University will take all prudent and reasonable measures to secure the systems that are attached directly to its internal network and indirectly to the external Internet.**

The internal data network and the external Internet are tremendously powerful tools in academia, facilitating the free exchange of ideas and instant access to a wealth of information. Likewise they are excellent business tools empowering University employees to gather information, improve internal and external communications, and increase efficiency in its business relationships. Similarly, communications systems such as World Wide Web servers and email servers can dramatically increase efficiency and communication among the University's students, employees, academic and business units. Unfortunately, at the same time that these networks provide access to the University community; they also have the potential to provide worldwide access to University systems from individuals with harmful intentions. Certain safeguards are necessary to enjoy the benefits and freedom of networks while minimizing the risks posed by those very connections.

The Information Security Analyst has the responsibility to assist and guide the University in meeting this policy. Given that the best plans and processes may be thwarted, the Chief Information Officer will establish and maintain a Security Incident Response process to help mitigate the many security risks associated with Internet technology.

### **Issues Addressed**

While networks hold tremendous potential as communications and research media, universities, as relatively open institutions, can encounter problems unless appropriate system security precautions are taken. The intent of this policy is to direct those within the University who are responsible for Computing and Communications Resources to establish appropriate system controls to enable the safe and secure use of the internal network and external Internet by the University community.

#### **3.7.7 Acceptable Use Policy**

Approved by Academic Council, February 8, 2007; Administration, March 19, 2007

**POLICY:** The University's Computing and Communications Resources shall be used securely, respectfully, cooperatively in support of the University's Mission.

**Definition:** Computing and Communications Resources include all electronic technology used to store, copy, transmit, or disseminate visual, auditory, and electronic information as well as the information contained therein. This includes, but is not limited to, computers, networks, phones, fax machines, copiers, PDAs, cell phones and the information contained in them.

##### **A. Support of the University's Mission**

The University provides Computing and Communications Resources to faculty, students, staff and others solely for the purposes of supporting teaching, learning, scholarship, service and administration within the context of the University's mission.

The University is a non-profit, tax-exempt organization and, as such, is subject to a number of pieces of legislation regarding sources of income, political activities, use of property, etc. The University prohibits use of University information and University Computing and Communications Resources for commercial purposes or financial gain not authorized under University Policy, partisan political activities not part of a class assignment, and for any activity prohibited by law.

Incidental personal use of Computing and Communications Resources, within the guidelines of this policy, is considered appropriate. Such permissible incidental personal use does not include hosting, ASP (Application Service Provider), ISP (Internet Service Provider), WSP (Wireless Service Provider) or other services for third parties. Incidental personal use does not include activities for financial gain unless such activities are authorized under University Policy. Incidental personal use does not include the use of institutional data which may be contained in or extracted from institutional computing and communications systems. Personal use is not incidental if it incurs a direct cost to the University.

Use of Pacific's Computing and Communications Resources by students, living on campus, in support of approved experiential learning and/or in support of their duties as compensated employees is explicitly authorized, so long as such usage does not violate any part of this policy.

## B. Secure Use

Users of University Computing and Communications Resources are responsible for taking appropriate steps to safeguard University and personal information, as well as University facilities and services.

- Passwords and other authentication and authorization codes, cards or tokens assigned to individuals must not be shared with others. Authorized Users must not provide access to unauthorized Users. Passwords should be chosen carefully to lessen the possibility of compromise. Users are responsible for all activity that takes place under their UserID(s).
- Activity that may compromise the system integrity or security of any on or off-campus system is prohibited. This includes any type of unauthorized access or hacking.
- Unauthorized monitoring of individual User activity, information and communications is prohibited. See the University's Computing and Communications Confidentiality Policy.
- Users must ensure the security of restricted, confidential, proprietary, licensed, copyrighted or sensitive information entrusted to their care or that may come into their possession. Security includes, as appropriate, protection from unauthorized disclosure, modification, copying, destruction or prolonged unavailability. Unless approved by the University Security Officer, Users must not store non-university personal identification numbers including, but not limited to, Social Security Numbers, Credit Card Numbers, or Drivers License Numbers on unsecured devices or media, for any period of time.

## C. Respectful Use

University Computing and Communications Resources should be used in a manner that respects the rights of others.

- Users must abide by all local, state and federal laws. This includes all applicable Copyright laws and license agreements, especially software license agreements.
- Users must abide by the University's Policy Against Sexual and Other Unlawful Harassment. That Policy prohibits verbal and visual conduct of a harassing nature. Threatening, obscene or other offensive messages or graphics that would be deemed inappropriate in other contexts are prohibited.
- Users must not attempt to represent themselves as someone else, mask their identity, or engage in computing or communication activities using another User's UserID or other electronic credentials. Use of University resources for illegal conduct is prohibited.

- Users accessing off-campus systems must additionally abide by the rules, regulations and acceptable use policies of those external systems. Given that User action may reflect on the University or the User themselves, ethical behavior, courtesy, civility and good etiquette is highly recommended.
- Users are prohibited from using the logos, word marks or other official symbols of The University of the Pacific without authorization from Pacific's Marketing and University Relations. This specifically includes any such usage in connection with electronic systems, services and communications, both internal and external. This does not include the usage on physical or electronic letterhead when used for official University business.

#### D. Cooperative Use

Users of University Computing and Communications Resources are expected to cooperate so that all Users may make maximum use of facilities and services in a shared environment.

- The University provides Computing and Communications Resources to facilitate business and academic activities of the University. Incidental personal use must not interfere with University business and academic activities. This includes personal activities that use bandwidth, occupy storage space, or slow down processing of systems, networks, or other resources needed for University business and academic activities.
- Users must not knowingly engage in activities that would impede the activities of others including the internal or external distribution of junk email (a.k.a. Spam), chain mail, viruses, worms, remote controllers or other malicious code, or other unofficial and/or unsolicited distributions, especially to persons you do not know.
- Users should refrain from using sounds or visuals that may be disruptive to others in shared facilities.
- Users may not connect any device to PacificNet or the phone system that compromises security or impacts performance for others. This includes, but is not limited to, the connection of wireless access points, switches, hubs, routers, or auto dialers, not authorized by the Office of Information Technology.
- All Users share the responsibility of seeing that University Computing and Communications Resources are used securely, respectfully, cooperatively, ethically, and for their intended purposes. If policy questions arise or if suspected policy violations are encountered, Users should take no unilateral action, but must promptly notify and/or cooperate with the appropriate University officials. Contact [ITsecurity@pacific.edu](mailto:ITsecurity@pacific.edu)

#### E. Sanctions

It is the responsibility of each User to understand his or her privileges and responsibilities regarding Acceptable Use and to act accordingly. Users failing to abide by the University's Acceptable Use Policy (AUP) may be subject to corrective action up to and including, dismissal,

expulsion, and/or legal action by the University. While technical corrective action, including limiting User activity or removing information, may be taken in emergency situations by authorized Information Technology staff, other corrective action, technical and/or non-technical, will be taken in accord with applicable University policies and procedures. In particular, students who violate this policy will be referred to Judicial Affairs for judicial review.

### 3.7.8 Electronic Mass Communications Policy

**POLICY: Members of the University community are encouraged to use email, the web and other forms of electronic mass communication, within established guidelines, to facilitate the efficient and effective presentation and delivery of information.**

Note that the line above is University Institutional Policy and that what follows is University Operational Policy. Both are approved by the Information Strategy and Policy Committee (ISPC).

#### 1. Definitions

University Community – all members, former members and potential members of the University. These groups include, but are not limited to, faculty, staff, students, emeriti faculty, alumni, employees, perspective students, and donors.

All – ‘All’ in what follows means all or a significant portion or segment of the indicated group. It is not confined simply to mean ‘each and every one.’

Mass Communications – The sending of communiqués, especially email, to All members of a group or multiple groups.

Open Mass Communication – Mass Communications within one’s administrative domain. This includes faculty sending communications to their classes, administrators sending to their employees, schools sending to their faculty, staff or students. Open Mass Communication does not require authorization beyond that imposed by the policy and procedure within individual units, if any.

Restricted Mass Communication – Mass Communication across community or administrative domains. For example, all students at Pacific (not all students at Law) or all faculty at Stockton (not all faculty in the College), all staff of Pacific (not just all staff at Dental).

Institutional Spam – Unauthorized and/or inappropriate Mass Communications.

#### 2. Background

The University community is encouraged, where appropriate, to move away from, or supplement, paper based communications and utilize electronic communications. There is a rising need to be more efficient and effective with internal communications and a rising need to deliver more and higher quality information to virtually everyone encountering the University.

The University also recognizes the sensitivity of our community to receiving unsolicited email, institutional spam. However, the University, from time to time, has academic, business and emergency needs that require Mass Communications.

Finally, the evolving security and legal landscape requires Pacific to communicate with care.

### 3. Authorization for Restricted Mass Communications

See definition above for Restricted Mass Communications. Note especially that Open Mass Communication as defined above does not require authorization beyond that imposed, if any, by the individual units.

#### Communications to All Campuses

Entire Community – Executive Assistant to the President or Vice President working on behalf of the University President

Communications to the Stockton Campus and selected mailings affecting all three campuses:

All Students - Any Cabinet member

All Staff/Employees – Director of Human Resources or the VP for Business & Finance

All Faculty – Provost

All Alumni – Director of Alumni Relations

All Prospective Students – Associate Provost, Office of Enrollment

Within the Guidelines below, the Office of Marketing and University relations operates under a general authorization to 1) perform mass electronic communications as it deems necessary and 2) to act as a proxy for any group desiring such communications.

### 4. Restricted Mass Communications Guidelines

a.) No routine restricted mass communications. Communications broadcast to these groups should not be routine. Information should be critical and time sensitive. Information that is not critical, not time sensitive, or not germane to the University's mission, should be sent to Marketing and University Relations for inclusion in E-news, entry on the web or other voluntary subscription. E-news is received by voluntary subscription. It is presumed that within an organizational unit, sending of inter-group messages not relative to the mission of the University will be regulated by the corresponding management.

b.) No email spamming the community. Communications broadcast to all these groups must specifically apply to all or the vast majority of recipients as a "need to know." For example, a United Way Campaign. Mass email communication to generate interest in niche issues or limited interest issues, like a trip to another country by a club, is specifically prohibited. Information that is not universally required should be sent to Marketing and University Relations for inclusion in E-news, entry on the web or other similar communication vehicles.

### 5. Messages from Pacific to the External Community

a.) Messages must conform to the CAN-SPAM Act.

It is generally a poor practice to send unsolicited email to anyone inside or outside the community, but especially if there is not an existing relationship with Pacific. However, whether the mail is solicited or un-solicited, pre-existing relationship or not, if it is sent to the external community, it must comply with the CAN-SPAM Act.

[Source Wikipedia] The CAN-SPAM Act of 2003 (15 U.S.C. 7701, et seq., Public Law No. 108-187, was S.877 of the 108<sup>th</sup> Congress), signed into law by President Bush on December 16, 2003, establishes the United States' first national standards for the sending of commercial email and requires the Federal Trade Commission (FTC) to enforce its provisions. The acronym CAN-SPAM derives from the bill's full name: Controlling the Assault of Non-Solicited Pornography and Marketing Act of 2003.

CAN-SPAM defines spam as “any electronic mail message the primary purpose of which is the commercial advertisement or promotion of a commercial product or service (including content on an Internet website operated for a commercial purpose).” It exempts “transactional or relationship messages.” [...]

The bill permits email marketers to send unsolicited commercial email as long as it contains all of the following:

1. An opt-out mechanism
2. A valid subject line and header (routing) information
3. The legitimate physical address of the mailer; and
4. A label if the content is adult
5. The content is exempt if it consists of
  - a. Religious messages
  - b. Content that broadly complies with the marketing mechanisms specified in the law [...]

b.) Messages from Pacific to the external Community should, if possible and appropriate, be sent by a third party. Even if such mass mailings conform to the CAN-SPAM Act, the University risks being black-listed if recipients see what Pacific sends as SPAM. If a third party is used for a mass communication, a sample copy should be sent to an on-campus address for quality control and data retention purposes.

c.) Distribution lists should be used. Mass email lists should not be built on the email system itself, but rather using an email exploder service. A distribution list service is currently available from the Office of Information (OIT) for bulk email using moderated/unmoderated and open/closed discussion lists. However, this section is not to be construed as suggesting the construction of distribution lists exempts one from this policy. It does not.

d.) Anti-phishing steps must be taken. Mass internal or external communications that lead the recipient to a web site that may ask for personally identifiable information must not provide a



live URL linked to the sight. Such communications should simply advise the recipient to visit the site. For example, “Your housing bill is ready. Please visit your account through insidePacific.”

## 6. Violation of this Policy

If you believe an email you received from a Pacific.edu address may violate this policy, please send it to the IT Security Officer, [ITsecurity@pacific.edu](mailto:ITsecurity@pacific.edu). Continued violation of this University Policy may result in suspension of email privileges, pending a full investigation.

### 3.7.9 Business Continuity Planning Policy

**POLICY: Each academic department or administrative unit that provides critical services based on information technology will document, develop, implement, and periodically test continuity plans.**

Continuity plans, also known as Business Continuity Plans, enable the critical academic and administrative functions of the University to continue in the event a local disaster renders a facility unusable or inaccessible for an extended period. This policy is intended to ensure that plans are in place that will, in turn, ensure that University Computing and Communications Resources are appropriately prepared to enable the University to continue to fulfill its mission and commitments. This policy applies to central systems and systems in the various units, including desktop computers that support key University functions.

Disaster recovery planning for Computing and Communications Resources is a part of overall business continuity planning. Business continuity may also involve alternative facilities, personnel or processes and may or may not involve information technology. In some cases, where information technology is not a critical part of ongoing activities, the loss of Computing and Communications Resources may involve only slight changes to the way academic or administrative functions are performed. In other cases, the University may have no practical alternative but total and rapid restoration of affected information technology resources.

Disaster recovery for Computing and Communications Resources involves, in part, making appropriate system and data backups, storing copies of critical information off site, and arranging for alternative and/or replacement resources, including systems and their associated operating facilities. It is expected that all University members, especially, Information Administrators and/or their designated Security Administrator, will ensure that systems under their stewardship are appropriately backed up and that back-up copies are appropriately stored in alternative locations. Recovery from backups must be tested from time to time, but at least annually. Critical information, as identified by the Information Administrators, should be backed up in such a manner as to be recoverable in a timely manner at an alternate operational facility. Business continuity plans ensure that mission critical activities, in this case, that use information technology, can continue. These plans should be tested at least annually.

It is recognized that rapid and simultaneous recovery of all systems and services may not be economically feasible, especially for all classes of disasters. Schools and major administrative departments will therefore provide for disaster recovery and business continuity within a given

scope and duration, on a system-by-system basis, by priority; all determined jointly by the Information Administrators and, if appropriate, the ISPC. It is recognized that business continuity and disaster recovery plans and procedures are contingent on identifying specific requirements, receiving appropriate University resource prioritization and adequate funding. Those units that need assistance in developing continuity plans can work with OISR and/or their School's technology organization.

### **Issues Addressed**

The unavailability of critical information and systems would harm the University's ability to fulfill its mission.

#### **3.7.10 Remote Access Policy**

**Policy: Remote access to University systems and information will be appropriately provisioned and/or controlled to ensure required security.**

The teaching, learning and administrative environment of the University extends beyond the bounds of the campus and beyond the confines of the University's Intranet domain. Faculty, staff, students, and other Users must have the means to communicate and utilize University information resources from off-campus locations. In most cases, individuals desiring remote access to the University will do so through the Internet using the services of an Internet Service Provider (ISP). The expense and risk of acquiring this external channel for remote access is normally borne by the User.

Remote access security when using an ISP may be limited to secure protocols embodied in web browsers and University servers or may be a function of User installed encryption software. The University's perimeter firewall or other security devices may control certain types of remote access from the greater Internet. Even so, some on-campus systems may require further firewalls or similar devices to enhance their security when accessed remotely.

While secure web protocols may be sufficient for most access to sensitive information, some remote access activities may require greater levels of security between the University's most secure systems and a User's remote system. In these cases, Information Administrators, working with the Information Security Analyst, may require additional authentication, authorization and encryption software and/or hardware before authorization is granted to remotely access the information they steward. For example, a secure, authenticated and encrypted virtual private network (VPN) might be set up between the User's remote system and the University's secure network and/or systems. Information Administrators, the Information Security Analyst and those responsible for systems and services must take steps, where possible, to prohibit unauthorized remote access to information resources that require remote access authorization.

The University has, and will, architect its Computing and Communications Resources in a way that provides appropriate on campus system and network security. However, the security of that environment may be endangered by unauthorized connections to the University's trusted network or to systems attached to that network. Connections inside the campus firewall, for

example, direct remote modem connection to campus servers or individual workstations are not permitted except by specific arrangement with the Information Security Analyst. These direct telephone connections create additional access points to the network and increase vulnerability to the entire University network. Concurrent connection of a workstation to the internal local area network and to a modem connection through the telephone system permits the "bridging" of networks and increases the possibility of security breaches. When there is a demonstrated need for direct connection to workstations or other systems on the University network, which cannot be met in any other way, the appropriate Security Administrator, will coordinate installation of the connection and/or appropriate software and ensure that the configuration and connection meets appropriate security requirements.

This policy is not intended to prohibit the use of on-campus wireless connections to the University Network. This policy is also not intended to prohibit the University from offering ISP services as appropriate to its mission. Should the University choose to offer such remote access services, the Information Security Analyst will work with others to ensure such services meet appropriate security requirements. Note that the procedure for exceptions to this policy is detailed under "Exceptions", earlier in this document (see Table of Contents).

### **Issues Addressed**

Inappropriately controlled remote access to University Computing and Communications Resources represents a serious threat to the University's electronic information and networked systems.

#### **3.7.11 External Trusted Network Security Policy**

**POLICY: The University will not implement any dedicated connection between the University's network and the network of an external entity prior to conducting a formal risk assessment.**

Extranets are dedicated networks connecting one trusted entity with another trusted entity. While extranets are extraordinarily powerful communications tools, they can represent very serious security exposures if the "trusted" partner's own security is lax. A trusted connection with another entity extends the University's network to include that entity and all of the security flaws that may be present in their network.

Formal risk assessments will provide the University administration with a better understanding of the level of additional risk involved in a trusted or semi-trusted connection to a partner organization. By identifying security weaknesses in a partner organization, the University can better identify protective measures it can take to preserve the security and integrity of the University's network, or determine that the connection simply is not worth the risk. Minimum acceptable security standards must be agreed upon in writing (through a contract or other instrument) prior to the connection being implemented. Note that it may be possible to make such a connection on the perimeter firewall and therefore accept no larger risk than connection to the general Internet.

A less-than-secure trusted partner poses an additional unique threat in that any unauthorized activity performed over the connection is difficult to investigate, as the University would not normally have the right to audit or monitor the partner's systems. The University could be placed in the compromising position of having to choose between depending on another organization to deduce the source of unauthorized activity, or shutting down a valuable business connection to that organization.

The Information Security Analyst can perform formal risk assessments unless he or she deems it necessary to bring in outside assistance. The project sponsors would cover the cost of external assistance unless otherwise arranged.

## **Issues Addressed**

The threats the University faces in maintaining a trusted connection to another organization with less than acceptable security standards are at least equivalent to the threats that the University would face were its own network that insecure (which it essentially becomes by extending trust to the other organization's facilities).

### **3.7.12 Computing and Communications Confidentiality Policy**

Version 2.3 Approved by Academic Council on May 10, 2007

#### **POLICY: The University will treat all of its individual User information, User activity, and User communications as Confidential Information as defined in its Information Management Policy.**

Note that the line above is University Institutional Policy and that what follows is University Operational Policy. Both are approved by the Information Strategy and Policy Committee (ISPC).

1) Users should not assume they are anonymous or have absolute confidentiality. Modem communications and computing systems may monitor, record or maintain certain User information (like directory information or files), User activity (like web sites visited) and User communications (like Email) as a normal part of their operation. Authorized Security Administrators I Systems Administrators in the normal course of operations, maintenance or problem diagnosis may have access to User information, User activity and User communications. As a result of this normal maintenance activity, information, activity or communications discovered to be in potential violation of University policy may be discovered. This information will be disclosed to the appropriate University official(s) and may ultimately result in investigation and/or corrective action (as defined under Enforcement).

2) Users should be aware that backups and copies of information may exist and may be retained for indeterminate periods of time, regardless of whether that information is 'deleted' by the User

3) The University will not routinely monitor User information, User activity or User communications. However, the University reserves the right to investigate suspected violations of University Policies by monitoring or reviewing individual User information, User activity or User communications on any of its owned or provided systems. Authorization for any such monitoring must be obtained in writing from both the Information Security Analyst (The

Security Officer) and the Chief Information Officer. Such authorization will be done in concert with the appropriate University officials and/or University counsel. In general, authorization will not be given for purposes relating simply to employee performance. For example, accusations of excessive web surfing are a management issue, not an issue sufficient to warrant monitoring. In addition, monitoring requests from non-University entities, including law enforcement, must additionally be cleared through University counsel. Requests, in writing, by an individual to have their own information, activity and communications monitored can be honored by the appropriate system administrator and/or the Information Security Analyst.

4) Emergency steps can be taken. If in the judgment of the appropriate University officers or management, it is necessary to protect the integrity of its Computing and Communications Resources against unauthorized or improper usage, and to protect authorized Users from the effects of unauthorized or improper usage under the University's Acceptable Use Policy, or otherwise to protect the fiscal or management integrity of the institution, the University (through its Security Administrators) reserves the right to limit permanently or restrict any User activity, to inspect, copy, remove or otherwise alter any User information (on University owned or provides systems), to inspect, copy, or remove User communications (on University owned or provided systems) and to do so without notice to the User. Emergency action on personally owned machines is limited to removal from the network unless the action is part of a legal process. As per the Sanctions (See Table of Contents) of these policies, in addition, technical action may be taken in emergency situations by authorized Information Technology staff, other corrective action, technical or non-technical, will be taken in accord with applicable University policies and procedures.

5) Normal Human Resource and student judicial policies will be used for non-emergency cases of suspected policy violation. Today, students, faculty and staff depend on information technology to perform their duties and meet expectations. If non-emergency IT policy infringement problems arise they must be resolved in a consistent manner and utilize established University investigative and disciplinary channels and procedures. The CIO and Information Security Analyst (Security Officer) will work with the appropriate general University officials and appropriate School or administrative unit officials in these matters. The Security Analyst may also address this process with incident response procedures.

6) IT staff will not take unilateral action outside an emergency. The intent of the previous two paragraphs is to ensure that, except in an emergency, information technology staff members do not take unilateral action restricting User activity and/or action outside of established University processes. An emergency situation occurs when the integrity or security of systems is at stake, when a User's usage is seriously impacting the usage of others, or when the University has been placed in a position of immediate harm to its image or immediate legal liability. Simply having the potential for these conditions may be grounds for prompt process, but does not constitute an emergency. If a question arises about whether a situation is or is not an emergency, the Information Security Analyst and/or the CIO should be consulted.

7) Users should be aware that the University has no control over the content of information servers on the external Internet and does not routinely monitor inbound traffic for content. Please

be informed that some information on or from the Internet may be personally offensive and/or unsuitable for certain audiences. User discretion is advised.

8) Users of "personal" computers, even if the University provides it, are responsible for insuring that their systems are properly backed up and that the information contained therein is appropriately safeguarded to maintain security, confidentiality and policy compliance. Viruses, Trojan horses, worms, password breakers, packet observers, remote controllers and other malicious software may exist in the University electronic environment. Be aware that these programs may be dangerous and/or capable of compromising confidential information. Take appropriate precautions including keeping anti-virus software up to date. In general, never run or access a program or received file unless the content is known in advance and the source is trusted.

9) As part of keeping individual User information Confidential, the University will not disclose any confidential information to non-University third parties, except 1) in compliance with federal, state, and local laws and judicial process or 2) as required to conduct the operational business of the University. In the latter case, the University may disclose information to third parties who are under contract to the University to provide a service. The University will ensure that contracts with third party vendors prohibit the release of University information to any entity not part of its contract and will maintain the confidentiality of University Information, including information on individuals.

10) The information in computers not owned or provided by Pacific (so called Private computers as opposed to Institutional computers) is considered Private and Confidential. The courts (a three Judge Panel of the U.S. Court of Appeals for the Ninth Circuit in San Francisco upheld an earlier decision of the U.S. District Court of the Northern District of California) have ruled that students have "a legitimate, objectively reasonable privacy expectation" concerning data on their computers even though it may be connected to a University network. By extension, Pacific employees, whose authorized jobs involve computer maintenance and security, must gain documented permission from the owner before accessing not just student computers, but any privately owned machine.

Note: Users are responsible for maintaining proper back-ups of their data, including, but not limited to, data files, applications, license keys and documentation. Although a rare occurrence, University service personnel are not responsible for any loss of data that may occur as a result of owner authorized activities. This is to be documented as part of the permission process (above).

11) The information in computers owned or provided by Pacific (so called Institutional computers as opposed to Private computers) is considered Confidential, but not Private. Pacific employees, whose authorized jobs involve computer maintenance and security, are not required to gain permission from its steward or User (or their designee) before accessing any institutional machine for normal maintenance and security purposes.

At Pacific, except in an emergency, any intrusions into institutional personal computers beyond normal authorized maintenance and security, requires the authorization of the Information Security Analyst (Security Officer), the Director of Human Resources, or a Cabinet member. All

such non-emergency access to a machine used by a faculty member requires authorization by a Cabinet member.

Note: Users are responsible for maintaining proper back-ups of their data, including, but not limited to, data files, applications, license keys and documentation. Although a rare occurrence, University service personnel are not responsible for any loss of data that may occur as a result institutionally authorized activities.

### **3.7.13 Telecommuting Policy**

Approved by Academic Council on February 8, 2007, Administration on March 19, 2007

**POLICY: University of the Pacific supports properly managed telecommuting where there are mutual benefits to the University and the employee and may require it in exceptional situations.**

Note that the line above is University Institutional Policy and that what follows is University Operational Policy. Both are approved by the Information Strategy and Policy Committee (ISPC).

Definition of Telecommuting: Telecommuting is a mutually agreed upon work arrangement, not an employee entitlement, benefit or, unless a condition of hiring, a requirement, in which all or some of the work is performed at a non-University worksite. Telecommuting in no way changes the terms and conditions of employment with the University.

Exceptional Situation Provision: In the event the University (via the Cabinet) declares an Exceptional Situation for all or part of a Pacific campus, for example in the event of a natural or man-made disaster or epidemic, the University may require telecommuting for all or a part of those affected for the duration of the situation, unless prohibited by law.

### **3.7.14 Network Scope of Service Policy**

Approved by Academic Council, 2007, Administration, August 13, 2007

**Policy: The University is not a public Internet Service Provider, operates a private secure network solely for the benefit of its user community, including authenticated guests, for activities aligned with the mission of the university and does not provide its network services to those outside this community.**

Note that the line above is University Institutional Policy and that what follows is University Operational Policy. Both are approved by the Information Strategy and Policy Committee (ISPC).

Definitions:

**User Community** are all those individuals that fall under Pacific's Business Rules that define the provision of service by status. The User Community may, and usually does, contain Authenticated Guests.

**Authentication** is a process used to identify a person to a computer or network system, commonly through validation of an ID and password. Authentication at Pacific involves having a PacificNet ID and password.

**Authorization(s)** are what an authenticated individual has the rights to do. Authorizations often depend on status, but may be fine-grained and relate to the specific person.

**Status** is the current standing relative to the University. For example, Student, Faculty, Staff member, Alumni, Authenticated Guest or Vendor. A person may have more than one status.

**Authenticated Guest** is an individual that is not an employee, student, alum or some other established category of Pacific community user. This category of user is intended for temporary access to Pacific's systems and services. Pacific does not supply its systems and services to Guest users on a long-term basis. Temporary workers, including those working for temp agencies are Authenticated Guests. Authenticated Guests must agree at login to be subject to the IT Policies of Pacific, including the Associated Use Policy (AUP). Background checks may be required depending on duties as required by Human Resources.

**Vendor** is an authenticated Pacific user that is included as part of the Community on a long term basis by virtue of the **Exception Clause** below. That is, they are an employee of a third party that has a formal arrangement with Pacific. To get the required PacificNet ID and Password, a vendor must agree in writing to be subject to the IT Policies of Pacific, including the Associated Use Policy (AUP) and agree to a background check to be conducted by HR at their or their company's expense. If a person is no longer associated with the third party, their Vendor status and credentials are revoked. Temporary workers, where salary is paid to a temp agency (and not directly to the person) are not considered vendors, but Authenticated Guests.

1) This policy statement combined with certain technical considerations is designed to insure that Pacific is not subject to CALEA

Communications Assistance to Law Enforcement Act. 1994 legislation that gives law enforcement agencies the right to place wiretaps on digital wireless networks. CALEA also requires wireless and wireline carriers to make their digital networks able to support law enforcement eavesdropping and wiretapping equipment and activities. Higher Education institutions are exempt if they are not judged to be Internet Service Providers (providing services to third-parties), but operate private networks (for their sole benefit).

There are complex technical and policy issues related to the determination of institutional CALEA exemption. OIT will continue to pursue legal clarification of the (private network) technical perspective as required. This policy is intended to maintain clean compliance relative to the provision of services to non-Pacific (third-party) entities such that questions are not raised going forward. However, on this specific issue of the provision of services to non-Pacific entities, some grey area is likely to remain. Because this policy is not intended to prohibit necessary and essential university operations, the following exception process is included:



**Exception Clause:** Provision of service to Vendors or non-Pacific entities can be provided so long as 1) The University obtains a favorable written legal opinion on the provision of the service relative to CALEA, taking into account previous and/or current exemptions and 2) the Cabinet formally approves such provision and 3) the provision of such services passes an initial and periodic technical and security review. The effort necessary to document the request, obtain the legal opinion, present it to Cabinet, secure the installation, including any costs in the process, is the responsibility of the requesting unit.

2) This policy is intended to insure that non-Pacific corporate entities, or their agents, do not (except as above and in 5) below) have access to PacificNet services. These corporations and individuals are often beyond the purview of Pacific's policies and procedures (ex. background checks). Without limitation, some examples of non-Pacific entities are: food service companies, cleaning companies, non-pacific owned book stores, building contractors, or any on-campus organization whose employees are not employees of Pacific.

3) This policy is not intended to block access and services to Authenticated Guests of the University directly engaged in Pacific's mission of teaching, learning, scholarship and administration. (ex. guest lecturers, registered library patrons). Pacific may or may not provide these individuals service on a case by case basis. (ex. One would not expect Pacific to give email service to library patrons.)

4) This policy is not intended to block authorized access to consultants and contractors that require access University IT systems solely for the purposes of deploying or managing those services. It would be expected that those individuals would get Basic IT services (like email) from commercial providers.

5) This policy is not intended to be immediately retroactive for existing situations:

**Grandfather Clause:** Any individuals or organizations that have contracts, agreements, MOUs or understandings with Pacific that would be in violation of this policy are exempt from this policy so long as certain conditions are met. Those conditions are: A) Their contract, agreement or MOU is not renewed, B) their physical location does not change or C) their status does not change (ex. they do not have a change in ownership).

The above notwithstanding, Pacific will conduct a security audit on those falling under this clause and changes may be recommended, or required as permitted by contract, agreement or MOU language.

6) This policy does not prohibit Pacific from offering information technology transport services for computing and communication so long as such transport is logically, if not physically, isolated from PacificNet. For example, OIT might be able to connect construction trailers with available fiber or copper and not be a part of PacificNet. Likewise, transport may take the form of a separate dedicated VLAN with no logical connection to PacificNet. Without access to PacificNet, there is no Internet access.

7) This policy does not prohibit Pacific from supporting these non-Pacific activities with money or personnel, so long as this does not conflict with any of the other terms of this or other Pacific IT Policies.

8) This policy does not prohibit Pacific from using temporary employees that work for employment agencies.

### **3.7.15 Technology Acquisition Coordination Policy**

**Policy: All significant purchases, leases, gifts, loans, renewals and contracts for new, used or upgraded Information Technology goods, services and implementations, shall occur in coordination with the Office of Information Technology in a timely manner across the schools and campuses.**

Note that the line above is University Institutional Policy and that what follows is University Operational Policy. Both were approved by the Information Strategy and Policy Committee (ISPC) on 12/17/07.

Information Technology (IT) has now permeated virtually every aspect of our academic lives and business processes. Increasing concerns over cost, reliability, security, staffing, business continuity and the management of customer relations is, and will continue to be, moving the various academic and administrative units of the University towards greater interdependence. Individual unit decisions now affect the greater University as never before. We can no longer afford, in terms of dollars, efficiency, or security, uncoordinated action relative to IT. The scope and process of the required policy are outlined below.

#### **Scope:**

(1) IT goods and services include, but are not limited to, computers, software, voice, data and video services, cable TV services, mobile phone services, wireless services, voicemail, telephone switch matters or other telephone based service installations or upgrades, IT based administrative services or products, and IT based academic or operational services.

(2) This coordination specifically includes the purchase, lease, renewal or upgrade of any hardware, software or service that might reasonably interface with Banner immediately or in the future as well as any hardware or software that automates or provides administrative functionality.

(3) This coordination specifically includes, but is not limited to, email systems, course management systems, directory services, authentication and authorization services, content management systems, portfolio systems, library systems, web services, and hosting services.

(4) University standards for desktop and server acquisitions fall under the Information Strategies and Policy Committee (ISPC) operational Policy of Technological Diversity and do not require coordination under this policy so long as those acquisition guidelines and established hardware standards are followed. Mass purchases on non-standard desktop equipment need to be coordinated.

(5) For the purposes of this policy, “significant” means goods, services or collections thereof, intended to be utilized by more than one person OR where the cost or value of such is at the Capital level as described in the Business Policies and Procedure’s Manual, or above, including applicable taxes and fees OR where such acquisitions require an agreement or contractual arrangement in excess of one year OR any combination of the above.

6) Regardless of the above, including the exact definition of “significant”, the spirit of this policy is expected to be upheld. Acquisitions that potentially affect other systems, business processes, groups or individuals need to be coordinated appropriately. If there is any doubt or to make sure, contact OIT.

**Process:**

(1) Planning and notification is required.

a) Proposals or plans for the activities described above must be brought forward to the appropriate Director in OIT, at the time the decision is first made to investigate or pursue, but no less than 30 days before an offer or contract expires, or is scheduled to renew, or the functionality is required. Note that some contracts renew automatically if 30 to 60 days advance written notice is not provided. The preferred methods of bringing plans and activities forward is:

- i. For schools, to come from the school IT committee, through the Chair, to the Director of Academic Technology Services or Director of Cyber Infrastructure.
- ii. For the administrative units, to come from the sponsoring unit, through the administrative computing committee structure and/or to the Director of Enterprise Applications.
- iii. For Athletics, Student Life, or in the case of doubt or the position vacancies and absences, to the CIO for appropriate disposition.

b) The appropriate OIT Director and/or the CIO will coordinate, if necessary, with the Information Strategies and Policy Committee, seeking its endorsement and recommendation as appropriate.

c) Proper planning is a requirement of these policies. Proposals shall not be brought forward at the last minute, under “emergency conditions,” expiring vendor offers or other unrealistic deadlines.

d) Prior to execution, all proposals, contracts and licenses that fall under the auspices of this policy are subject to a Security Review by the Information Security Officer, in consultation with Risk Management, as appropriate. As a practical matter, if a proposal is viewed as possibly having security issues, taking it to the Information Security Officer (ISO) first may expedite the process. The ISO will then distribute it to the appropriate OIT Director.

(2) Cooperation and timely action is required.

a) Coordination is working to the spirit of this policy in good faith, regardless of technicalities.

b) The OIT staff and/or the CIO will review all significant IT, contracts, agreements, offers or understandings, before they are acted upon by the requesting unit, school or campus.

- c) OIT will coordinate all the relevant stakeholders and, as soon as possible within the coordination period, as appropriate, create an institutional view and recommendation.
- d) It is mandated that all applicable parties will distribute all available information in a timely manner that enables appropriate discussion, investigation of alternatives and testing where applicable.
- e) Close coordination of Purchasing Departments on the three campuses is necessary, and expected, to assure the success of this policy.

(3) Consequences will occur for non-compliance.

- a) Failure to coordinate IT acquisitions, through commission or omission, in violation of this policy will be handled as prescribed in Pacific's Information Technology Policies under Sanctions.
- b) Failure by the proposal sponsors to act in the timely manner described above will be grounds for possible rejection of the proposal.
- c) Failure by OIT to act in the timely manner described above will be grounds for acceptance of the proposal following consultation with the CIO, Provost and appropriate Vice President.

### **3.7.15.1 Emergency Notification Policy**

**Policy: Participation in the University's electronic Emergency Notification System is mandatory for students and for all individuals with wireless communication devices paid for in whole or part by the University.**

Note that the line above is University Institutional Policy and that what follows is University Operational Policy. Both were approved by the Information Strategy and Policy Committee (ISPC on 12/17/07).

#### **Policy Overview**

In the wake of the Virginia Tech shootings, most colleges and universities reviewed their plans for emergency notification. OIT working with Public Safety and the Pacific Alert Team and with the help of Student Life, have implemented an electronic Emergency Notification System available for all current faculty, staff, students and other authorized members of the Pacific Community. All students must participate. Because participation heightens personal safety and the safety of others in the community by providing early communication and information about campus crises and emergencies, all faculty and staff are strongly recommended to participate. Some individuals holding positions of responsibility at Pacific, such as Student Life staff, may be required to participate as are individuals whose phones are sponsored in whole or part by the University. Employees are encouraged to enter both their mobile phone numbers and their home phone numbers so that they may be made aware of campus situations even when they are off campus.

It is not the intent of this policy to suggest that this is the only means of emergency notification to be used by the University. Participation does not constitute any form of guarantee of safety.

## **Operational Overview**

1) Pacific's Electronic Emergency Notification System has two parts. The first part is the actual Notification Message Service. This is provided by a well respected company that is used by many universities. In an emergency, all numbers and email addresses provided are sent the notification.

2) The second part of the system is provided by OIT and is used to gather and maintain the contact information. All users with Pacific Net IDs can provide/update their contact information through insidePacific. This method enables participants to update their information, which they will need to do periodically to keep the system current.

3) Compliance with this policy will be assessed at key verification points in University business processes (indicated below) as necessary to maximize participation.

4) The University will not supply communication devices solely to meet any aspect of this policy. However, if the University pays, in whole or in part, for a person's cell phone, they must participate in this system as defined below.

5) OIT, working with Public Safety, will add certain key buildings/individuals to the automated system using campus exchange numbers. These individuals will be responsible for notifying others as appropriate and directed.

## **Privacy**

Pacific respects the privacy of its community members. The information gathered for this Emergency Notification System is confidential, collected under its own dedicated Privacy Statement Addendum, and is not shared with other applications or systems. See also Pacific's Master Privacy Statement.

## **Participation Defined**

To participate, individuals must supply a primary contact number. Specifically, it is university policy that students who carry mobile phones and other community members who are provided with University paid mobile phones or are reimbursed in whole or in part for mobile phone charges, must register them with this system as the primary contact number. International numbers are not allowed, but toll based numbers are permitted. Due to inbound trunking limitations on each campus, the respective campus exchange numbers are not allowed (946, 739, 929, etc.). Those individuals without mobile phones will need to register, in good faith, the next best alternate phone number (home, spouse, parent, etc.) and rely on email and/or other notification means as available. Pacific email addresses are pre-populated and users can provide an alternate email address. Users of University supplied cell phones will automatically be enrolled as participants.

Note that while participation is optional for non-students with privately funded communication devices, it is highly encouraged. Some employees in key positions may be required to participate as a condition of employment. All participants must keep their information current and accurate.

## **Verification**

1) Verify their input. After supplying (or reviewing) their information, self-enrolling participants must programmatically agree to the following statement:

The information I have provided above is correct to the best of my knowledge. If I carry a wireless communications device, I have provided its number as the primary contact. I understand that failing to keep this information current and accurate puts me at additional risk of not being notified in an emergency. I agree that the University of the Pacific can release the information I have provided to the Notification Message Service in accordance with the University's Privacy Policy for the sole purpose of providing this service. I understand that this notification system is no guarantee of security.

2) The system will keep the date of last verification. No verification date can be more than 180 days old for staff or one term old for students. Older dates will be blanked, that is, the information set to un-verified. The next time a compliance assessment step is encountered, re-verification will be required before one can proceed.

3) The system will be tested periodically. If it succeeds in contacting a participant, by phone, it will reset their verified date to the date of the test. If the participant cannot be reached, OIT will blank the verified date and send them an email. In theory, if a participant gives accurate information, maintains it and is able to be contacted, they will not be needlessly impeded by compliance assessment steps. If not, the email will read:

Pacific's Emergency Notification System failed to contact you in its most recent test. This could occur for any number of reasons. However, to ensure that the system has your current information, you are asked to re-verify its accuracy. University policy requires this information to be current and accurate. Please do so immediately by logging on to PacificNet or insidePacific and following the instructions. Thanks for your help in keeping the campus safe.

-Public Safety

## **Compliance**

1) If a user mandated to participate in the Emergency Notification System under this policy is not participating or a participant is out of compliance, they may be prevented from proceeding from login to PacificNet and/or proceeding from login to insidePacific.

2) Supplying false or inappropriate contact information may be grounds for disciplinary action.

## **Termination**

Participation in the Emergency Notification System will automatically terminate for students no less than 90 days after graduation or loss of student status. After graduation or loss of student status, former students may manually opt out of the Pacific Connect through insidePacific if early termination is desired. Participation in the Emergency Notification System for Pacific employees (faculty and staff) will terminate on the day after their employment termination. Other participants, if any, may terminate participation in the Emergency Notification System at any time by blanking out their information in insidePacific.

## **Other Requirements**

- 1) Offices may require mobile phones be set to vibrate, but may not require them to be turned off.

### **3.7.16 Privacy Policy**

**Policy: The University will create, maintain and abide by a Master Privacy Statement applicable to all record keeping systems and will amend it with any required unit specific privacy statements.**

Note that the line above is University Institutional Policy and that what follows, including the Master Privacy Statement, is University Operational Policy. Both are approved by the Information Strategy and Policy Committee (ISPC). Adopted by the Cabinet 2/25/2008.

#### **Privacy Policy Definitions**

Confidential information – Confidential Information is defined by The University’s Information Management Policy and repeated here for convenience:

Confidential Information is the strictest data classification used by the University and requires maximum control. Depending on the nature or contents of the Confidential Information, disclosure or alteration of this type of information could cause great harm to an employee, student or the University. Confidential Information requires safeguarding, either due to the requirements of law or because of the mandates of prudent and reasonable practices.

The University’s Computing and Communications Confidentiality Policy states: The University will treat all of its individual User information, User activity, and User communications as Confidential Information as defined in its Information Management Policy.

Restricted Information – Information with access restricted to individuals who have been explicitly granted authorization to do so.

Private Information – Information owned or controlled by the individual, not the institution.

Personally Identifiable Information – Private information stored with personally identifiable names or numbers. All Personally Identifiable Information is Confidential Information.

Protected Health Information: - The Privacy Rule provisions of the Health Insurance Portability and Accountability Act (HIPAA) of 1996 protects all "individually identifiable health information" held or transmitted by a covered entity or its business associate, in any form or media, whether electronic, paper, or oral. The Privacy Rule calls this information "protected health information (PHI)."

Privacy – The expectation that Personally Identifiable Information will not be disclosed to anyone other than its owner. Privacy is traded for the ability to do business with strangers. Practically speaking, consumers convert their private information to restricted information in return for goods and/or services.

Privacy Statement – The detailed, documented, public face on the University’s stewardship of user information.

Master Privacy Statement – The operational privacy principles the University uses that pertain to all cases.

Master Privacy Statement Addendum – The special or exceptional operational privacy principles the University uses that pertain to a specific case.

Computers – this means desktop, laptop, servers and all other computing hardware, media and communication devices or systems that can store data

## **Privacy Policy Background**

According to Educause’s white paper Privacy, “Traditionally, Congress has chosen not to pass any broad spectrum privacy laws, but to limit the government’s power and target specific issues as they arise. As a result, we have a “quilt” of laws and regulations such as the Fair Credit Reporting Act, the Family Education Rights and Privacy Act, the Cable Communications Policy Act, [the Health Insurance Portability and Accountability Act,] and most recently the Children’s Online Privacy Protection Act [and the Gramm-Leach-Bliley (GLB) Act]. However, what has developed is a standard. The Code of Fair Information Practices was originally developed in 1973 by the Department of Health, Education, and Welfare to limit the government’s access to private information. It has evolved into the standard which both the government and private sectors use to measure privacy policy, and is comparable to international guidelines developed by the OECD (Organization for Economic Cooperation and Development).” The work below covers the requirements of that code. In California, The California Online Privacy Protection Act of 2003, is aligned with the code (alignment is bolded below).

In 2004 the U.S. Department of Health and Human Services (“HHS”) issued the Privacy Rule to implement the requirement of the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”). The Privacy Rule standards address the use and disclosure of individuals’ health information—called “protected health information” by organizations subject to the Privacy Rule — called “covered entities,” as well as standards for individuals’ privacy rights to understand and control how their health information is used.

It should also be noted that issues like identity theft and spam have become serious problems in daily life. As the University increasingly collects personal information as it moves toward its goals of customized and personalized service to its community, privacy concerns will be a significant roadblock unless they are directly and prominently addressed. The University must join the large number of commercial entities that provide comprehensive and visible privacy statements.

## **Privacy Policy Principles**

- 1) The Master Privacy Statement applies to all data on individuals held by the University.
- 2) Privacy Statement Addendums are and will be written:
  - a) when it is necessary to override and/or modify this Master Privacy Statement
  - b) when required by law or contract
  - c) when information falling under this Statement is supplied to third parties
  - d) when units provide health services subject to the HIPAA Privacy Rule



- 3) The Master Privacy Statement is about documenting stewardship of information in record-keeping systems and does not cover ownership or copyright issues.
- 4) It is the University's policy that there shall be no personal data record-keeping systems whose very existence is a secret.
- 5) Each record-keeping system, as needed by contract, or required by law, will have an associated Privacy Statement Addendum conveniently available to its information contributors. In particular, as applicable and/or required, each online web page will have a Privacy Statement link that covers the personally identifiable information being solicited on that page.

### **Privacy Statement Addendum Principles**

Where they exist, each Privacy Statement Addendum shall include:

- 1) A unique name for the Privacy Statement Addendum that clearly identifies the Addendum for the intended purpose and/or audience. For example, Admission's Website Privacy Statement Addendum.
- 2) The full name of the organizational unit sponsoring the Addendum and its current contact information.
- 3) The date this Privacy Statement Addendum took effect and the date it was last updated.
- 4) A statement that this is an Addendum to the University's Master Privacy Statement and a web reference link back to the Master Privacy Statement.
- 5) What personally identifiable information of the information provider or third party personally identifiable information is being obtained or collected under this Addendum, directly or through, non-University third parties.
- 6) How the information will be used and/or how it will not be used.
- 7) If different from the provisions of the Master Privacy Statement, with whom the information may be shared and/or with whom the information will not be shared.
- 8) What choices, if any, are available to the information provider regarding how information is or may be obtained, used and/or distributed.
- 9) How the information provider can access, verify, amend the collected information and/or correct any inaccuracies in the collected information.
- 10) The kind of security processes, procedures and policies that are in place to prevent the misuse, alteration or loss of the provided information
- 11) A statement that the University and/or the University organizational unit controlling the Privacy Statement Addendum reserves the right to change it at any time without prior notice or consent, but that if such changes are made, they will be prominently and widely communicated.
- 12) For Privacy Statement Addendums covering information gathered online, a change history for that Addendum will be maintained off the Privacy Statement link on each page that gathers such information.
- 13) In cases where a Business Associate Agreement as described in the HIPAA Privacy Rule is mandated, this should be documented in the Addendum.

Note: All Privacy Statements and Addendums should be reviewed by legal counsel. When providing paper copies to information providers, the information collector must provide the Master Privacy Statement and all the appropriate Privacy Statement Addendums relative to the information being collected.

## Limitations

Neither this master Privacy Statement nor any of its Privacy Statement Addendums are intended to address all, or fully and accurately prescribe, compliance steps required under the various applicable federal, state and local laws. It is expected that the University will comply with all such laws as determined to be applicable to the University by its legal counsel. Therefore, University compliance with this policy and/or statements should not be considered sufficient to comply with any particular law. The advice of expert counsel is recommended for all compliance issues.

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## Pacific's Master Privacy Statement

Date this Master Privacy Statement went into effect: MM/DD/YYYY

Date this Master Privacy Statement was last updated: MM/DD/YYYY

### Privacy Statement Definitions:

The University: The University of the Pacific and all its divisions, departments and officially sponsored organizations.

The General Public: Unrestricted readers of, University produced, Printed Materials and Web Site.

Personally identifiable information: Individually identifiable information including any of the following:

- (1) A full or partial name
- (2) A home address or other physical address
- (3) An e-mail address or other electronic address
- (4) A telephone number or other communications device number
- (5) A social security number or other identification number
- (6) A date of birth
- (7) Drivers license number
- (8) Credit card or Financial account number
- (9) Any other identifier that permits the physical or online contacting of a specific individual.
- (10) Any information concerning an individual in combination with an identifier described above. In particular,
  - a) for students, this includes all information not designated as Directory information under FERPA.
  - b) for all, Protected Health Information (PHI). The Privacy Rule provisions of the Health Insurance Portability and Accountability Act (HIPAA) of 1996 define PHI as all "individually identifiable health information" held or transmitted by a

covered entity or its business associate, in any form of media, whether electronic, paper, or oral.”

Does not include non-individual summary information used for statistical purposes.

Does not include works of authorship, copyrighted information or electronic communications such as voicemail or email.

Record keeping system: A system designed to collect, organize and store personally identifiable information. Record keeping systems may vary from a simple document, to a spreadsheet to a database and are primarily intended to facilitate administering activities related to the mission of the University.

Information Provider: The individual that provides the information.

Third Parties: Individuals or organizations, not a part of or affiliated with the University.

Provided information: Personally identifiable information given directly to the University by an individual. This information can be about themselves or another individual, like a parent or guardian.

Collected Information: Personally identifiable information that may include directly provided information and/or information obtained from a third party.

Directory Information: Personally identifiable information that: (1) For Students consists of elements defined as not confidential under FERPA. (2) For employees, information defined as not confidential by HR. (3) For everyone, information that the Information Provider explicitly designates as not confidential. Directory information may be freely provided to The University.

Privacy Flag: Students may request that Directory information not be shared with anyone, by asking the Registrar to set the privacy Flag.

## **Introduction**

In the course of fulfilling its mission of teaching, learning and scholarship, the University employs a variety of record keeping systems and collects and uses a variety of information associated with its past, present and future customers, including faculty, staff and students. In addition to observing all applicable privacy and confidentiality laws, the University respects and protects individual privacy through this Master Privacy Statement and, where applicable, a series of Privacy Statement Addendums. Privacy Statement Addendums are specific to the information being collected and/or the specific academic or administrative units that collects it.

## **Privacy Statement Precepts**

In all circumstances, the University will:

- a. Secure all personally identifiable information using appropriate and generally practiced security measures and technology.
- b. Except for Directory Information, consider all personally identifiable information as confidential under its Computing and Communications Confidentiality Policy, sharing it only on a need-to-know basis under the terms of this Master Privacy Statement and any applicable Privacy Statement Addendums.

- c. Directory Information will not be shared with the General Public without its owner's explicit permission.
- d. Practice good stewardship of Directory Information, using it appropriately under applicable laws, this Master Privacy Statement and any applicable Privacy Statement Addendums.
- e. If it is required to do so, comply with the law or with legal process and disclose personally identifiable information
- f. Retain the right to use personal information in its systems to identify the source of any inappropriate usage of its electronic resources as outlined in its Information Technology Policies: Acceptable Use Policy.
- g. Change this Master Privacy Statement from time to time without prior notice or consent, but if changes are made, that fact will be prominently and widely communicated. A Change history for the Master Privacy Statement will be maintained off the Privacy Statement link on Pacific's Home Page.
- h. Accept and act on all allegations of Privacy Statement violations addressed to [privacy@pacific.edu](mailto:privacy@pacific.edu).

Unless explicitly stated otherwise in a specific Privacy Statement Addendum, Pacific may:

- i. Share personally identifiable information, on a need to know only basis, with authorized third parties (non-Pacific entities) that provide service to the University and that have contractually agreed to point (a.) above.
- j. Share protected Health Information with authorized third parties as permitted under the HIPAA Privacy Rule solely for the purpose of treatment, payment, or and health care operations.
- k. Not provide personally identifiable information to third parties for any purpose unrelated to the mission of the University without the explicit permission of the information provider or as specified in the HIPAA Privacy Rule. This includes, but is not limited to the marketing of commercial goods or the provision of commercial services.
- l. Share personally identifiable information within Pacific in support of its mission of teaching, learning and scholarship and the administration thereof so long as the Privacy Statement Addendum (if any) under which the information was collected remains in force.
- m. Obtain personally identifiable information from third parties (collected information), solely as necessary to conduct the business of the University, and will treat that information as if it were directly obtained from the person in question.
- n. Request personally identifiable information for the purpose of obtaining access to and/or verifying authorization to use services or facilities of or sponsored by the University, especially by electronic means for electronic services.
- o. Add a consent line to information input sources, like forms or screens, stating that by their agreement their information will be managed under the University's Privacy Statement and/or a particular Privacy Statement Addendum(s). Failure to sign would halt the associated business process, perhaps resulting in the inability of the University to provide desired services or considerations.

## Appendix I California Online Privacy Protection Act of 2003

Below is the full text of the applicable parts of the California Online Privacy Protection Act of 2003. Because Pacific complies with all applicable law, this appendix is University Policy by reference. Note that this law is very prescriptive as to how privacy policies are to be posted on web sites. Those units to which this law applies, must write corresponding Privacy Statement Addendums.

### BUSINESS AND PROFESSIONS CODE SECTION 22575-22579

#### 22575.

- (a) An operator of a commercial Web site or online service that collects personally identifiable information through the Internet about individual consumers residing in California who use or visit its commercial Web site or online service shall conspicuously post its privacy policy on its Web site, or in the case of an operator of an online service, make that policy available in accordance with paragraph (5) of subdivision (b) of Section 22577.

An operator shall be in violation of this subdivision only if the operator fails to post its policy within 30 days after being notified of noncompliance.

- (b) The privacy policy required by subdivision (a) shall do all of the following:
  - (1) Identify the categories of personally identifiable information that the operator collects through the Web site or online service about individual consumers who use or visit its commercial Web site or online service and the categories of third-party persons or entities with whom the operator may share that personally identifiable information.
  - (2) If the operator maintains a process for an individual consumer who uses or visits its commercial Web site or online service to review and request changes to any of his or her personally identifiable information that is collected through the Web site or online service, provide a description of that process.
  - (3) Describe the process by which the operator notifies consumers who use or visit its commercial Web site or online service of material changes to the operator's privacy policy for that Web site or online service.
  - (4) Identify its effective date.

#### 22576.

An operator of a commercial Web site or online service that collects personally identifiable information through the Web site or online service from individual consumers who use or visit the commercial Web site or online service and who reside in California shall be in violation of this section if the operator fails to comply with the provisions of Section 22575 or with the provisions of its posted privacy policy in either of the following ways:

- (a) Knowingly and willfully.
- (b) Negligently and materially.

22577.

For the purposes of this chapter, the following definitions apply:

- (a) The term "personally identifiable information" means individually identifiable information about an individual consumer collected online by the operator from that individual and maintained by the operator in an accessible form, including any of the following:
  - (1) A first and last name.
  - (2) A home or other physical address, including street name and name of a city or town.
  - (3) An e-mail address.
  - (4) A telephone number.
  - (5) A social security number.
  - (6) Any other identifier that permits the physical or online contacting of a specific individual.
  - (7) Information concerning a user that the Web site or online service collects online from the user and maintains in personally identifiable form in combination with an identifier described in this subdivision.
- (b) The term "conspicuously post" with respect to a privacy policy shall include posting the privacy policy through any of the following:
  - (1) A Web page on which the actual privacy policy is posted if the Web page is the homepage or first significant page after entering the Web site.
  - (2) An icon that hyperlinks to a Web page on which the actual privacy policy is posted, if the icon is located on the homepage or the first significant page after entering the Web site, and if the icon contains the word "privacy." The icon shall also use a color that contrasts with the background color of the Web page or is otherwise distinguishable.
  - (3) text link that hyperlinks to a Web page on which the actual privacy policy is posted, if the text link is located on the homepage or first significant page after entering the Web site, and if the text link does one of the following:
    - (A) Includes the word "privacy."
    - (B) Is written in capital letters equal to or greater in size than the surrounding text.
    - (C) Is written in larger type than the surrounding text, or in contrasting type, font, or color to the surrounding text of the same size, or set off from the surrounding text of the same size by symbols or other marks that call attention to the language.
  - (4) Any other functional hyperlink that is so displayed that a reasonable person would notice it.
  - (5) In the case of an online service, any other reasonably accessible means of making the privacy policy available for consumers of the online service.
- (c) The term "operator" means any person or entity that owns a Web site located on the Internet or an online service that collects and maintains personally identifiable information from a consumer residing in California who uses or visits the Web site or online service if the Web site or online service is operated for commercial purposes. It does not include any third party that operates, hosts, or manages, but does not own, a

Web site or online service on the owner's behalf or by processing information on behalf of the owner.

- (d) The term "consumer" means any individual who seeks or acquires, by purchase or lease, any goods, services, money, or credit for personal, family, or household purposes.

22578.

It is the intent of the Legislature that this chapter is a matter of statewide concern. This chapter supersedes and preempts all rules, regulations, codes, ordinances, and other laws adopted by a city, county, city and county, municipality, or local agency regarding the posting of a privacy policy on an Internet Web site.

22579.

This chapter shall become operative on July 1, 2004.

### **3.8 Conflicts of Interest and Conflicts of Commitment**

Adopted by Academic Council on February 9, 2006; Approved by Administration on June 14, 2006

#### **A. General Principles:**

##### **1. Avoidance of Conflicts**

University officers, faculty, staff, other employees and consultants are obliged by this Policy to refrain from conduct which gives rise to conflicts of interest and conflicts of commitment. [Definitions below.]

##### **2. Conflicts of Interest**

- I. Disclosure of Conflict of Interest to Cognizant University Officer. University officers, faculty, staff, other employees and consultants shall, in all situations where a conflict of interest might reasonably arise, immediately disclose the matter in writing to the Provost in the case of faculty and academic administrators and academic staff, and to the Vice President for Business and Finance in the case of all others ("cognizant University officers"), and shall refrain from participating in the matter unless and until written approval from the cognizant University officer is received.
- II. Relations with Non-University Entities. University officers, faculty, staff, and other employees shall at all times deal on behalf of the University with non-University entities, inclusive of actual and prospective granting agencies, donors, government agencies, contractors, suppliers, consultants, and other entities or persons doing, or seeking to do business or engage in a relationship with the University (hereinafter call "non-University entities"), in a manner that excludes any consideration of personal advantage for themselves. This provision is not intended to limit faculty members from considering personal advantage for themselves in regards to works for which, under the

University's Intellectual Property Policy, the University does not claim to hold exclusive rights and such consideration is not considered an impermissible conflict of interest.

### 3. Conflicts of Commitment

- I. Full-time University officers, faculty, and exempt staff owe their primary commitment of times and intellectual energies to their University functions. The definition of University functions for any such individual largely relates to the specific responsibilities, functions and professional activities of the University position held by that individual and the expectations for that position that are held by the division, school or college, department or other unit(s) to which the position reports.
- II. Full-time faculty members must take care that outside professional activities not detract from a faculty member's obligation to his or her University duties. When any outside activity detracts from the conduct of University duties, a conflict of commitment will result. Outside activities engaged in within the time allowance of up to a maximum of one day per week (see Policy 7.6.4 For Dental School faculty on appointments of fewer than five days per week, School policies apply.) does not give rise to a conflict of commitment for faculty members.
- III. Physical Presence, Time and Energy. Full-time and part-time University officers, faculty, exempt staff, and other employees do engage in permitted non-University activities, for example, consulting, public service or pro bono work; however, they must nevertheless take care that their physical presence at the University and their dedication of time and energies to the University do not thereby diminish. Specific expectations of physical presence at the University and of time commitment to the University are determined by the position, the policies applicable to that position (e.g., faculty policy limits external professional work of full-time faculty to one work day per work week), and the directives of University officers, deans, or department heads responsible for the function or unit involved.

#### **B. Prohibited Conflicts of Interest:**

1. University officers, faculty, staff, and other employees shall not accept personal gifts, gratuities, favors, accommodations or similar things of value, from non-University entities, if those things of value reasonably would be expected to adversely affect their discharge of University functions to the exclusive benefit for the University.
2. Personal receipt of all gifts, gratuities, favors, accommodations or similar things of value annually exceeding a total of \$500 from non-University entities (as that term is defined in A.3 above), shall be immediately disclosed in writing to the cognizant University officer.
3. University officers, faculty, staff, or other employees shall not transmit to non-University entities, or otherwise use for their personal gain, University-owned, funded, or supported property, work product, data, or other information or materials



that constitute “Institutional Works” as defined in the University’s Policy on Intellectual Property, except to the extent permitted by that Policy.

4. There will be no transactions between the University on the one hand, and University officers, faculty, staff, and other employees or a member of their immediate family<sup>1</sup> (hereinafter called “family member”) or any business entity in which an employee or a family member has a substantial interest<sup>2</sup>, on the other hand, except where all facts of the matter are fully disclosed in writing to the cognizant University officer who has determined that the contract or transaction is not unfair as to the University.
5. It is the policy of the University to hire the best-qualified candidates and to avoid potential, actual, or perceived conflicts of interest in hiring or promoting employees. A family member may only be employed in a position within the same organizational unit with the approval of the cognizant University officer. Furthermore, under no circumstances may a supervisor recommend or approve any employment-related action for any employee to whom s/he is a member of an immediate family as defined in this policy. A close personal relationship shall be treated as if it were such a family relationship if it includes a sexual or romantic relationship or a similarly close personal relationship engaged in outside the University.
6. Other prohibited conflicts of interest occur when there is such a divergence between an individual’s private interests and his or her employment obligations to the University, such that an independent observer would reasonably question whether the individual’s actions or decisions in respect to the University are determined or influenced by considerations of personal gain, financial or otherwise. A conflict of interest depends on the situation, and not on the character or actions of the individual.

### **C. Additional Policies for Faculty:**

#### 1. General

- (a) The intent of these policies is primarily to inform faculty members of the kinds of situations that warrant disclosure and cooperation with direction from the provost and/or Dean in response to such disclosures, rather than to sue faculty discipline after-the-fact for situations that reasonably did not appear to call for disclosure.

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<sup>1</sup> Member of the immediate family means spouse, parent, domestic partner and children, and those who stand in such position by marriage, domestic partnership, adoptions, etc.

<sup>2</sup> Substantial interest excludes a) the interest of a person in a corporation, firm, or other organization as a debt or equity holder where the debt or equity held is less than 1% of the outstanding debt or equity of such corporation, firm, or other organization; b) the interest of a person in a corporation, firm, or other organization by reason of being a director, officer, employee, or their equivalents; c) the interest of a director of a corporation or a member of one’s immediate family in another corporation, firm or other organization which arises by reason of the fact the corporation is a creditor of such other corporation, firm, or other organization.

- (b) Appearances of conflicts of interest are not unlikely to occur in a modern University. Consulting and other professional activities on the part of faculty may permissibly result in income to faculty members for non-University work. However, the faculty member may not allow actions or decisions within the scope of his/her responsibilities as a faculty member, to be determined by considerations of personal financial gain from non-University sources; when the faculty member does so, a prohibited conflict of interest occurs. Faculty members should conduct their affairs so as to avoid conflicts of interest, and must seek direction from the Provost when facts reasonably suggest that a possible conflict will arise or has arisen. The Provost will respond to the faculty member to provide such direction where requested.
- (c) The Provost may in the future provide that annual faculty work plan forms will request that each faculty member annually furnish disclosures that are called for by this policy and to affirm that the faculty member has read and agreed to abide by this policy. If the Provost does so provide, the faculty member's timely and accurate completion of the disclosure provisions of those forms will be sufficient to comply with all disclosure obligations of this policy.

2. Full-time faculty must not accept another position of employment with an academic, business or governmental entity, except if authorized in writing by the Provost or if otherwise permitted by section 7.6.4 of the Faculty Handbook (Non-University and Concurrent Employment).

3. Full-time faculty must maintain a significant and substantial physical presence on the campus and/or at other non-campus workplaces in which the University program functions (e.g. internship and clinic sites) in a manner that permits in-person meetings with students, colleagues and administrators on a regular and frequent basis. Faculty working in programs which regularly require substantial electronic communications will allow less physical presence at the workplace. Part-time faculty must maintain such a physical presence in proportion to their percentage appointment.

4. Neither full-time nor part-time faculty may permit professional or business activities to detract from their allegiance to the University or from the quality or quantity of teaching, scholarly activities, or service responsibilities which are expected of them. For example, a faculty member should work with students in a manner which does not seek to advantage the faculty member in his/her external activities, to the detriment of the students' University needs. In this example, a faculty member who assigns students, staff or postdoctoral scholars to University tasks, for purposes of potential or real financial gain of the faculty member rather than for the advancement of the scholarly field or the students' educational needs, engages in a conflict of interest.

5. In accordance with University policies on Information Technology and other policies, faculty use of University resources, including telephone and electronic communications facilities, personnel, equipment, etc., for non-University business or professional activities, shall be kept to a minimal and incidental extent.

6. Full-time faculty members must take care that outside professional activities not detract from a faculty member's obligation to his or her University duties. When any outside activity detracts from the conduct of University duties, a conflict of commitment will result. Even activities such as pro bono work, government service in the public interest, and any outside employment unrelated to the faculty member's University responsibilities should be managed so they do not interfere with a faculty member's primary commitment to the University. For example, a full-time faculty member who takes on significant, continuing professional obligations to another educational or other entity, that are not part of his/her University faculty member teaching, scholarly or service duties, in certain circumstances may be diverting his/her time and intellectual focus and energy from the University. Likewise, an internal executive or other leadership or management position or similar significant commitment of a full-time faculty member to another entity, can at times be in conflict with commitments to the University and may also violate the one-day-per-week consulting policy. In these kinds of circumstances, the faculty member should seek prior direction from the Provost in the manner indicated in C.1 above.

### **3.9 Academic Space Management, Allocation and Reallocation Policy**

Approved by Academic Council, Faculty, Administration, May 13, 2010

**Management of Space** - Effective space utilization and management is central to the success of the University's mission. The management of space shall be performed in a manner designed to maximize productive usage and to advance the values and strategic priorities of the university. Management of space assigned to academic or administrative units is generally the responsibility of the Deans, Directors or Vice Presidents. In most cases, the responsibility of managing academic space is delegated to the department chairs. It is the responsibility of each unit to ensure space assignments are optimized for their most effective use. Units are encouraged to configure the assigned space to maximize and align specific usage with the strategic goals of the university.

**Allocation & Reallocation of Academic Space** - The Provost may reallocate academic space to meet the needs of the University. Prior to reallocation of academic space, and with reasonable notice, potentially affected departments/units shall be given opportunity to submit documentation to the Provost to justify the retention of allocated academic space. In the event that academic space used by a department/unit is reallocated, the Provost shall provide written documentation to justify his/her decision.

## 4. University Administration

### 4.1 Central Administration: Office of the President

#### 4.1.1 The President

University of the Pacific Policy Statement on Governance, Approved by the Regents on September 12, 1996

The authority and duties of the President are explicitly delegated by the Board of Regents and include all obligations for all University educational and managerial affairs. The President is the chief executive officer of the University and the executive agent of the Board of Regents. The President exercises a general superintendence over all the affairs of the University in accordance with the policies of the Board of Regents and provides leadership and advice to the Board of Regents in carrying out its responsibilities.

Effective Presidential leadership is essential to the proper operation of the governance system. The effectiveness of the board and of the system of institutional governance depend on the ability of the President to cultivate a climate of respect, trust, and openness in which dialectical processes of participatory decision making can flourish.

Proper growth and qualitative improvement of the University require the President to bring strong and effective leadership to each of the following functions:

- Educational program and policy development
- Comprehensive institutional planning
- Faculty and staff development and welfare
- Financial strengthening and budgetary planning
- Fund-raising and constituency relations
- Physical facility development and improvement
- Governance processes, decision making, and policy formation
- Personnel and employment policy development
- Enrollment management and forecasting

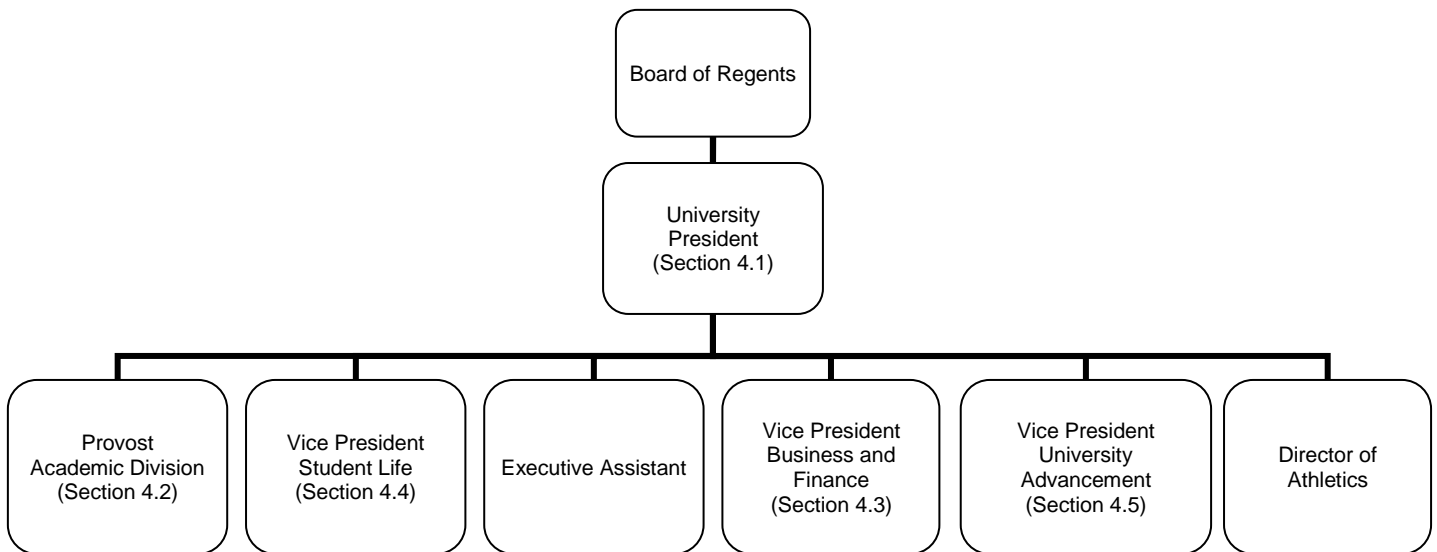
It is understood that a President must appoint a senior staff of Vice Presidents and a Provost to whom the authority and obligations of many of these functions are assigned. This senior staff serves at the discretion of the President and is selected with broad consultation from constituent groups. The arrangement of duties under each member of his/her staff will change as University priorities and personnel change.

The President leads in the design and maintenance of a structure of councils and committees, formed on a representative basis from the major University constituencies, for the purpose of fostering communication, information sharing and dialogue in the review of proposed policies, plans, and budgets. Such groups should be advisory to the President and through him/her to the Board of Regents or, in the case of less general issues, to an appropriate University officer. It is understood that there is a distinction between those committees which have a University-wide role as described above, and those that report to a specific constituency, and this distinction will

be taken into consideration in the design and structure of the committees. It is appropriate in the case of the latter that the constituent group devise its own procedure for selecting representatives.

An important emphasis in the President's functions concerns the exercise of leadership in University planning. The President guides the reexamination and realization of the University's mission and provides strong leadership in developing, articulating, and implementing the University's planning efforts. The President has primary responsibility for the acquisition and management of resources necessary for the realization of high academic standards and high achievement levels throughout the University. The President mobilizes a planning and budgeting structure and process which embody these principles of governance.

### Organization of the University Administration



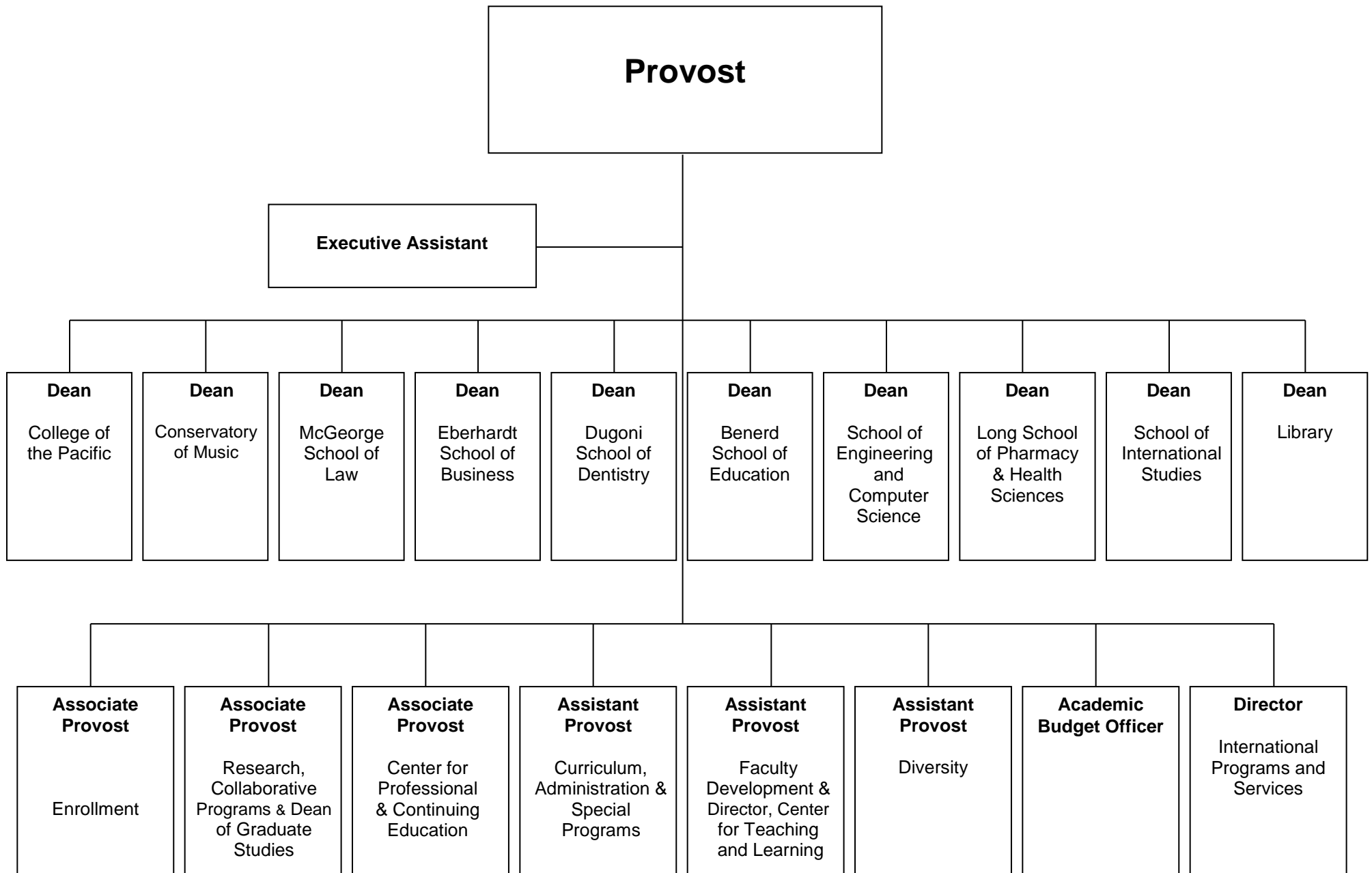
## **4.2 The Academic Division**

### **4.2.1. The Provost**

University of the Pacific Policy Statement on Governance, Approved by the Regents on September 12, 1996

The Provost is the Chief Academic Officer of the University and represents the academic interests to the President and the Board of Regents. The Provost provides leadership to the University faculty and to the deans in advancing the quality of all undergraduates, professional and graduate programs. The Provost is responsible to:

1. Ensure, maintain, and improve the quality and performance of the faculty through the appointment, evaluation and advancement of individual faculty members;
2. Oversee the maintenance, evaluation and improvement of all academic programs;
3. Oversee academic support services, such as libraries and educational technology, and other academic facilities;
4. Oversee enrollment services to recruit and retain a diverse student body of high quality;
5. Promote and support faculty development, scholarship and research;
6. Coordinate academic planning and preparation of annual budgets in relation to planning;
7. Chair the Council of Deans and provide general supervision, advice, and support to the deans;
8. Coordinate all academic policy-making and implementation;
9. Maintain student academic records and active institutional research;
10. Provide oversight for academic and instructional support budgets;
11. Facilitate and ensure the effectiveness of faculty governance;
12. Act on behalf of the President at times so instructed by the President.



## **4.2.2 Associate Provost for Enrollment**

Approved by Provost

The Associate Provost for Enrollment is responsible for the management, operation, marketing, and budget of the Office of Enrollment. The Associate Provost works closely with the academic deans, faculty, division heads, and the staff of enrollment services to oversee the functions of the Office of Admissions, Financial Aid and the Office of the Registrar. The San Francisco and Sacramento campuses maintain separate enrollment offices. The Associate Provost is a member of The Council of Deans and reports to the Provost.

### **4.2.2.a Director of Financial Aid**

Approved by Provost

The Director of Financial Aid, who reports to the Associate Provost for Enrollment, is responsible for the administration and supervision of financial aid at the graduate and undergraduate levels on the Stockton campus. The Director monitors financial aid awards, advises the Provost and Associate Provost for Enrollment in the development of financial aid policy, provides appropriate data and analysis of financial aid programs, as well as providing overall leadership to financial aid staff.

### **4.2.2.b Director of Admissions**

Approved by Provost

The Director of Admission reports to the Associate Provost for Enrollment and is responsible for the activities and supervision of the Office of Admissions. The Director supervises the admissions process in the office, including recruitment, application evaluation, and admissions decisions. In addition, the Director provides leadership to the admissions staff in these areas.

## **4.2.3 Associate Provost for Research, Collaborative Programs, and Dean of Graduate Studies**

Approved by Provost

The Associate Provost for Research, Collaborative Programs, and Dean of Graduate Studies report directly to the Provost and serves as the major university officer to advocate on behalf of graduate education and research, especially the development of collaborative research and practice-based/applied research. This position oversees the implementation of selected distinctive collaborative graduate and undergraduate academic programs; and develops and promotes internal and external networks to advance programs and increase funding for research. The Associate Provost oversees the Graduate Studies Committee and the Office of Sponsored Programs, GA/TR management, quality and marketing of graduate admissions, intellectual property/patent issues, internal research awards, and marketing of graduate education; and coordinates efforts to develop a global, interdisciplinary, university-wide professional education



program for practicing professionals. The position includes a faculty appointment and is a member of the Council of Deans.

#### **4.2.4 Associate Provost for Professional and Continuing Education**

Approved by Provost

The Associate Provost for Professional and Continuing Education is the chief academic and administrative officer for the Center for Professional and Continuing Education, providing entrepreneurial leadership, vision, and direction in extending learning opportunities of the campus, community, and region beyond the traditional, residential environment of the University. The Associate Provost coordinates and encourages collaboration between Pacific's professional and liberal arts programs, and promotes partnerships between Pacific and the region in addressing the needs of the 21st Century workforce.

Specific responsibilities include (but are not limited to):

1. Oversight of the Center for Professional and Continuing Education;
2. Development of partnerships with academic units to create certificate, professional development, and contract training programs for their clientele;
3. Supervision and enhancement of Summer College programs, institutes, and camps in partnership with the academic units;
4. Supervision and coordination of year-round learning initiatives throughout the University;
5. Oversight of recruitment and advising for non-traditional students in collaboration with the various schools;
6. Oversight of conference and workshop programs in collaboration with other units in the University;
7. Collaboration with the Assistant Vice President of Marketing and University Relations, the Associate Provost for Enrollment, and other marketing specialists in the development and coordination of an ongoing marketing plan for the University;
8. Supervision of special projects as assigned by the Provost.

The Associate Provost is a member of the Council of Deans and reports to the Provost.

#### **4.2.5 Assistant Provost for Faculty Development and Director, Center for Teaching and Learning**

Approved by Provost

The Assistant Provost, Director of CTL reports directly to the Provost. The purpose of the Assistant Provost is to promote high quality teaching, productivity in research and creative endeavors, and faculty satisfaction through the delivery of faculty development programs. This position oversees the development and implementation of faculty development programs. Responsibilities include:

1. New faculty orientation program and luncheons
2. The Center for Teaching and Learning
3. Work with the Committee on Academic Planning and Development and oversight of teaching incentive awards and other grants

The Director, Center for Teaching and Learning, supports faculty in the development of effective teaching and assessment skills and strategies, resulting in enhanced opportunities for students to learn. Responsibilities include:

1. Help faculty explore and develop innovative teaching strategies that are responsive to a diverse range of student learning styles, including the effective use of technology, interdisciplinary approaches, and application of learning theory.
2. Develop and coordinate a range of teaching support services, including individual consultations, assistance with course design, seminars, and workshops focused on best practices in teaching and learning.
3. Promote the scholarship of teaching, including activities such as student/faculty research, innovative teaching strategies, and disciplinary pedagogical scholarship.
4. Cultivate an environment where faculty view student learning as a subject of inquiry and investigation, as well as an opportunity for real intellectual work.
5. Assist faculty in planning effective strategies for student learning assessment and in using the results of assessment for teaching and program improvement.
6. Provide leadership in representing the Center for Teaching and Learning to faculty, deans and relevant external constituencies.
7. Manage the Center budget and seek external funding.

#### **4.2.6 Assistant Provost for Curriculum, Administration & Special Programs**

Approved by Provost

This position reports directly to and supports the work of the Provost, and includes membership on the Council of Deans. The Assistant Provost supports the delivery of quality academic programs through oversight of curriculum development; faculty development, training, and advancement in teaching, scholarship and service; appropriate use of academic facilities; and oversight of special academic programs. Additionally, the Assistant Provost is responsible for academic facilities planning.

##### **4.2.6.a Director of the University Honors Program**

Approved by Provost

The Director of the University Honors Program on the Stockton Campus is appointed by the Provost and has the following responsibilities:

1. Assistance in the recruitment of students into the Honors Program by developing and distributing promotional materials, such as the "major sheet," catalogue copy, brochures,

letters to eligible students, and responses to inquiries. This includes the coordination of activities of the Honors Program with the Associate Provost for Enrollment.

2. Recruiting faculty and departmental participation in the Freshman Honors Program and facilitating scheduling through the offices of the Registrar and individual faculty.
3. Working with the Coordinator of General Education to select faculty for participation in the Honors section of Mentor Seminars I and II.
4. Assistance in the advising process of Honors Students and the development, coordination, and implementation of Senior Projects for each University Honors Student.
5. Assistance in the functioning of the Honors Advisory Council.

#### **4.2.7 Assistant Provost for Diversity**

Approved by Provost

The Assistant Provost reports directly to the Provost and oversees diversity planning activities and development of measurable goals and outcomes for the University diversity plan for students, faculty, and staff; and develops and oversees processes that monitor progress to achieve University diversity goals and outcomes. Additionally, this position coordinates planning for this innovative interdisciplinary initiative that seeks to prepare students to be professionals in an Inter-American context, including multicultural, bilingual living and learning experiences; and works collaboratively to establish professional certificate programs in each school and the College.

#### **4.2.8 University Registrar**

Approved by Provost

The University Registrar is responsible for the daily operations of the student records area, including the staff, related processes, and the University's academic records on the Stockton campus. The Registrar is responsible for implementing, interpreting, and enforcing academic rules and policies. The San Francisco and Sacramento campuses maintain separate registrars. The University Registrar reports to the Director of Records and Research.

#### **4.2.9 Academic Budget Officer**

Approved by Provost

The Academic Budget Officer manages the Academic Division and OISR finances. This position develops and implements annual budgets, analyzes financial information, and monitors restricted and designated funds for units reporting to the Provost. The Budget Officer creates and maintains special budget projects and ensures budget policies remain current. The San Francisco and Sacramento campuses maintain separate financial personnel.

#### **4.2.10 Deans of Schools and Colleges**

University of the Pacific Policy Statement on Governance, Approved by the Regents on September 12, 1996

Each college or school of the University and the University libraries has a dean, appointed by the President upon recommendation of the Provost, who serves as the principal academic officer for the college or school and is responsible for the educational program within the college or school. The deans report to the Provost, who is responsible for the coordination of their work within the policies of the Board of Regents. In consultation with the Provost and the faculty of the college or school, the deans lead in the planning, design, development, implementation, and evaluation of the educational programs and policies of the college or school and promote the quality of teaching and learning. They also provide for the selection and evaluation of qualified faculty and make recommendations to the Provost and President concerning initial and continuing appointment of the faculty. They have direct budget responsibility for operating funds in their areas, share in the responsibility for achieving enrollment goals, and in consultation with the Provost and the Vice President of Institutional Advancement, the deans participate in external fundraising and alumni activities.

#### **4.2.11 Council of Deans**

University of the Pacific Policy Statement on Governance, Approved by the Regents on September 12, 1996

The Council of Deans (COD) is an important agency for communication and collaboration among the deans under the leadership of the Provost. The Council includes all academic deans and other selected administrators of the Academic Division. The Council meets regularly to accomplish the academic mission of the University and:

1. Advises the Provost on University standards and policies affecting the academic environment of the University and promote adherence to shared standards of excellence in scholarship, teaching, and learning throughout the University;
2. Coordinates joint policy consideration and other activities shared by the colleges and schools and facilitates communication among them;
3. Refers academic matters affecting the entire University to the Faculty and recommend courses of actions respecting such matters;
4. Provides a forum for discussion of programs, policies, and progress of the colleges, schools and academic support services;
5. Reviews priorities and goals in the formation of proposals for operating budgets in academic affairs, including marketing objectives for earned and contributed revenue, and advises the Provost concerning such priorities and goals.

#### **4.2.12 Director of International Programs & Services**

Approved by Provost

The Director of International Programs and Services provides a leadership role in the development of the University's international mission. The Director supervises the overall operation of international programs and services on the Stockton campus. This includes providing support for both international students and scholars, and for faculty and students who

study abroad. Additionally, the Director works with faculty to plan research and study tours abroad, and assists faculty with temporary international appointments. International programs at the San Francisco and Sacramento campuses are administered on each campus. The Director of International Programs & Services reports to the Assistant Provost for Faculty Development, Diversity, and Special Programs.

### **4.3 Division of Business and Finance**

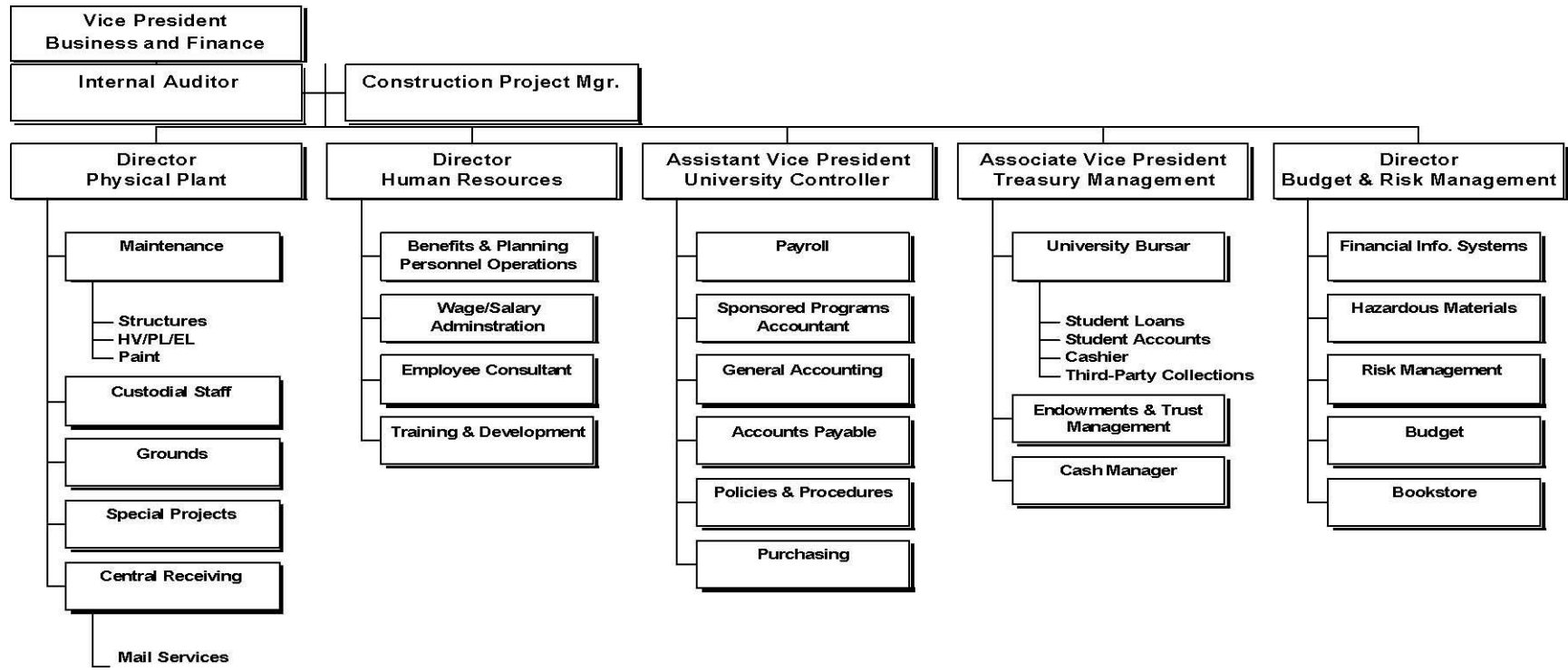
#### **4.3.1 Vice President for Business and Finance**

University of the Pacific Policy Statement on Governance, Approved by the Regents on September 12, 1996; Revised April 16, 2001

The Vice President for Business and Finance is the Chief Financial Officer of the University. The Vice President maintains adequate records and accounts of all University funds; directs the management of all funds; and provides the Board of Regents, the President, and other University officers with timely and accurate financial reports and analyses of the financial condition of the University to assist them in their policy formation and decision making functions. The Vice President assists the President and Provost in preparing the operating budget, makes recommendations to the President concerning goals and priorities in budget preparation and monitors budget performance and enforcement once the budget has been approved.

The Vice President provides oversight and direction to the Human Resources function at the University including classification, pay, grievance, training, and employee relations matters. In conjunction with the Finance Committee of the Board of Regents, he/she provides oversight and direction to the Internal Auditor. The Vice President oversees the management of the physical plant operations on the Stockton campus of the University, including facility and grounds maintenance and repair, construction, central receiving, mail and duplication services.

## Organization of the Division of Business and Finance



Mail Services  
 Duplication  
 Copy Center

## **4.4 Division of Student Life**

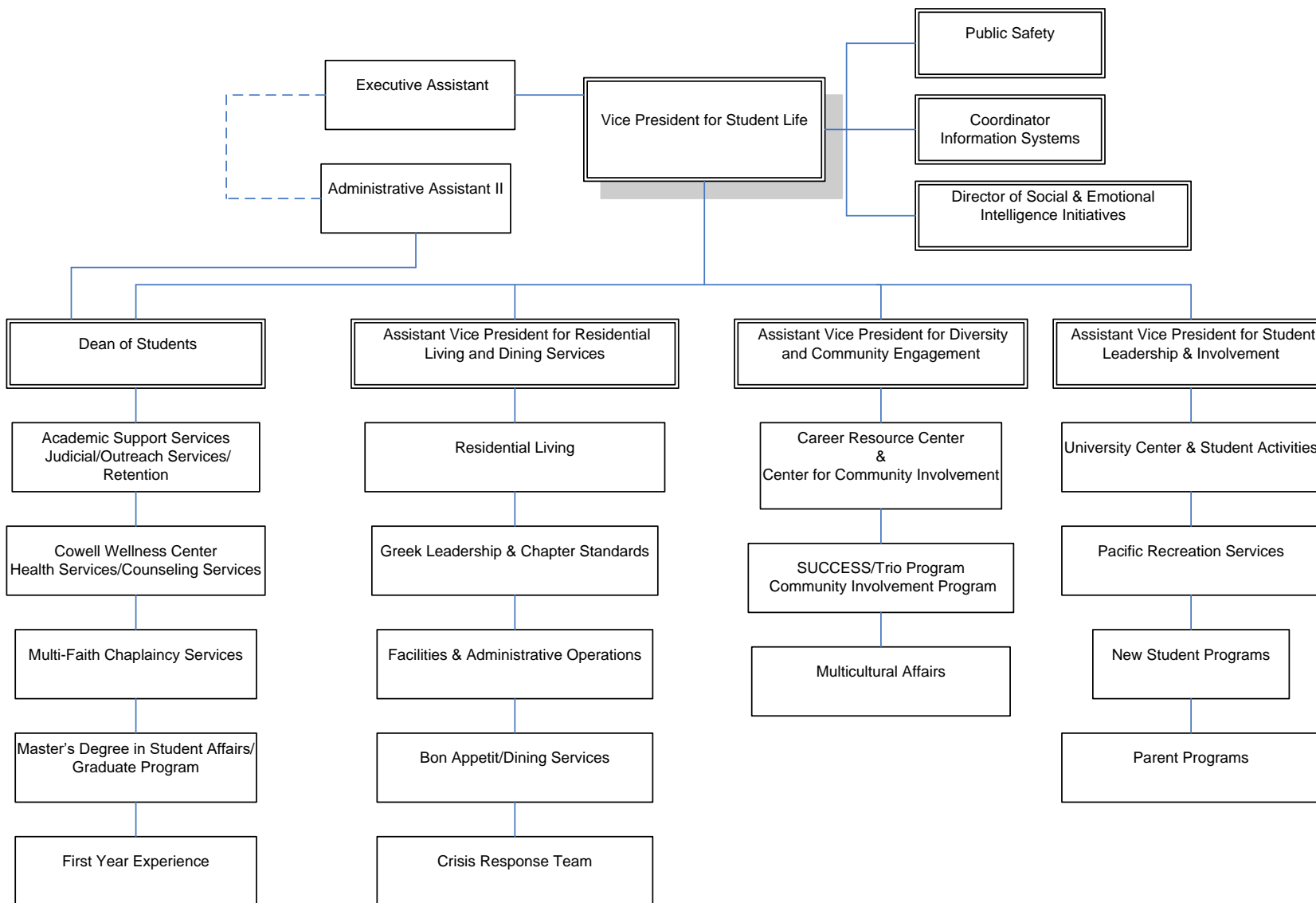
### **4.4.1 Vice President for Student Life**

University of the Pacific Policy Statement on Governance, Approved by the Regents on April 5, 2002

The Vice President for Student Life establishes a campus climate and experience in which students are encouraged to grow intellectually, socially, emotionally, and spiritually. He/she coordinates and supervises the administration of student life services, programs, and policies; administers student life regulations; and assists in the protection of students' rights to academic freedom and due process. The person in this position must work cooperatively with leadership of the three campuses to ensure institutional student life policies are applied appropriately.

Additionally, the Vice President for Student Life is the chief student affairs officer responsible for the general management and direction of the Student Life program on the Stockton Campus. The Vice President plans, coordinates, and evaluates programs and activities related to the campus life of students to ensure consistency with the educational goals of the University. The San Francisco and Sacramento campuses maintain separate services for students.

## DIVISION OF STUDENT LIFE





#### **4.4.2 Mission of the Division of Student Life**

Approved by the Vice President for Student Life on March 1, 2002

The Division of Student Life strives to support a distinctive University mission through a highly personalized and student-centered education both inside and outside the classroom. Student Life supports and empowers students beginning with the transition to the University through orientation programs and services designed to promote academic success. Student Life seeks to actively engage students in the development of leadership, wellness, citizenship, and understanding of human similarities and differences.

#### **4.4.3. Associate Vice President for Student Life**

Approved by the Vice President for Student Life on March 1, 2002

The Associate Vice President assists the Vice President in overall management of the Division of Student Life. The Associate Vice President has direct supervision of:

1. Campus Wellness Center (Cowell Student Health Center, Counseling Center)
2. Career and Internship Center
3. Student Advising
4. Judicial Affairs and Community Service
5. SUCCESS (Trio Grant)

#### **4.4.4 Director, Judicial Affairs and Community Service**

Approved by the Vice President for Student Life on March 1, 2002

The Director is responsible for the University judicial system, including the honor code and the student handbook, *Tiger Lore*. The Director is also responsible for developing community service opportunities on campus and within the community.

#### **4.4.5 Director, Public Safety**

Approved by the Vice President for Student Life on March 1, 2002

The Director is responsible for the Public Safety department, campus safety, and maintains an ongoing relationship as outlined in the Memorandum of Understanding with the Stockton Police Department.

#### **4.4.6. Director, Cowell Wellness Center**

Approved by the Vice President for Student Life on March 1, 2002

The Director is responsible for the administration of the Cowell Wellness Center to include to student health center, health education outreach programs, and the financial management of both the health center and the counseling center.

#### **4.4.7 Director, Counseling Center**

Approved by the Vice President for Student Life, on March 1, 2002

The Director is responsible for management of the student counseling center, which includes individual and group support, and campus outreach programs.

#### **4.4.8 Director, Community Involvement Program and Multicultural Affairs**

Approved by the Vice President for Student Life on March 1, 2002

The Director develops, implements, and supports all aspects of the Community Involvement Program, which includes the recruitment, and support of students into the program. The Director advises the Multicultural Student Organization Council, Diversity Month, and develops multicultural leadership training opportunities.

#### **4.4.9 Director, Success (Trio Programs)**

Approved by the Vice President for Student Life on March 1, 2002

The Director is responsible for all aspects of the SUCCESS (Trio Grant) program. SUCCESS is a federally funded program that provides staff and support services for students.

#### **4.4.10 Director, Career Resource Center**

Approved by the Vice President for Student Life on March 1, 2002

The Director is responsible for the overall management and supervision of the Career and Internship Center. The Center supports the University mission of experiential learning and seeks to provide internship and career opportunities for students. The Center works closely with the Alumni office to engage alumni in support of students in the internship and job search process and to assist alumni in the job search process.

#### **4.4.11 Director, Housing**

Approved by the Vice President for Student Life on March 1, 2002

The Director of Housing is responsible for the organization, short and long term planning, facilities management and budget, and the development of a safe, healthy, and productive residential environment. The Director provides supervision to the Central Office Staff, Resident Directors, and student staff. The Director provides supervision to Dining Services and serves as on the contract administrator.

#### **4.4.12 Director, Student Activities, and the McCaffrey Center**

Approved by the Vice President for Student Life on March 1, 2002

The Director is responsible for the University Center and provides direct supervision of student activities, Greek Life, Associated Students of the University of the Pacific, and Campus Recreation.

#### **4.4.13 Director, Student Advising**

Approved by the Vice President for Student Life on March 1, 2002

The Director provides leadership and supervision for University orientation programs, student advising, and retention programs.

#### **4.4.14 University Chaplain**

Approved by the Vice President for Student Life on March 1, 2002

The Chaplain provides leadership in meeting spiritual needs of our students, advises the Inter-Faith Council, Bishop Scholars, and is responsible for the overall management of the Morris Chapel.

### **4.5 Division of University Advancement**

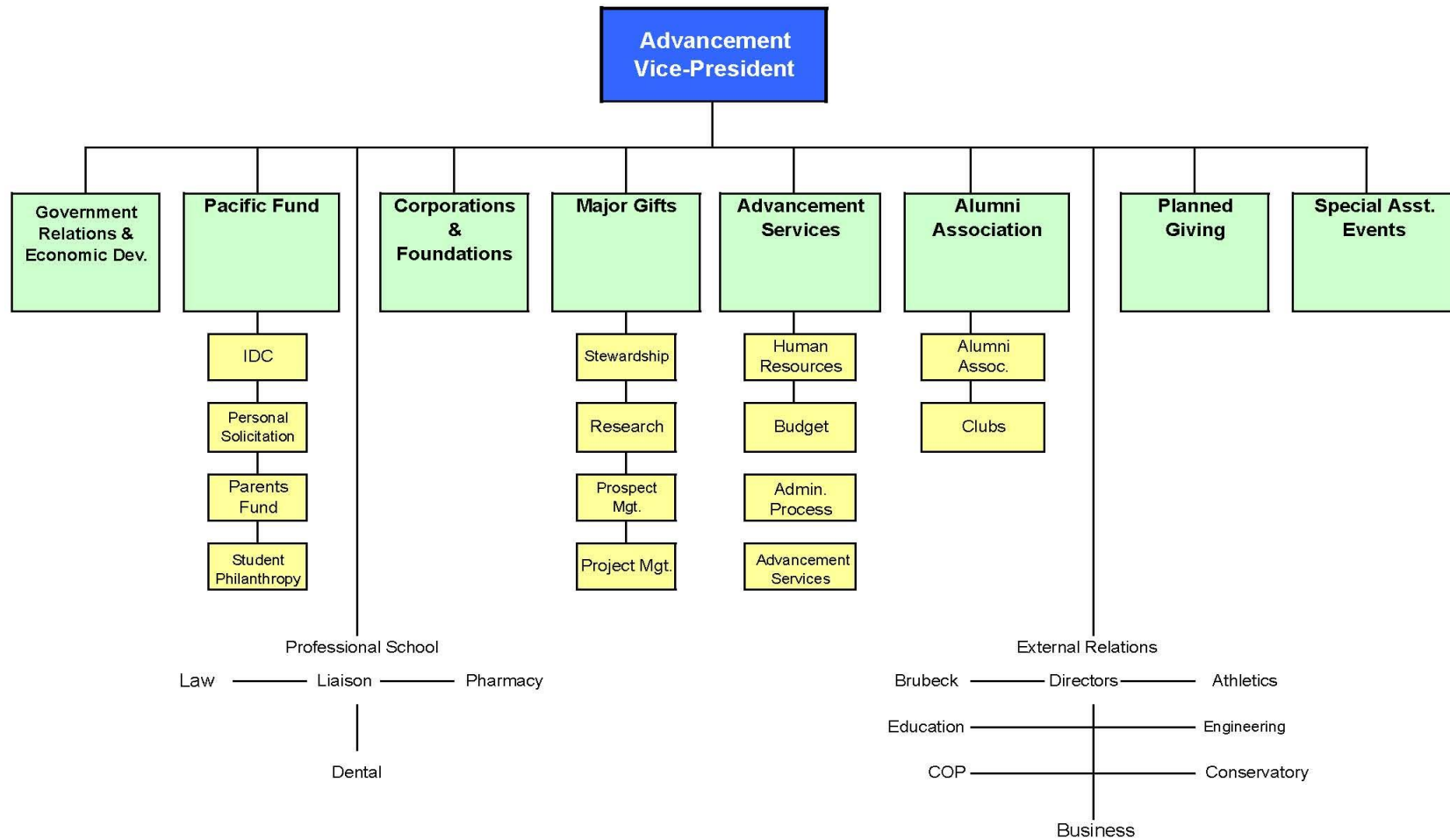
#### **4.5.1 Vice President for University Advancement**

University of the Pacific Policy Statement on Governance, Approved by the Regents on September 12, 1996

The Vice President for University Advancement plans and coordinates all authorized fund-raising activities of the University, including fund-raising for the annual fund, for capital development, for endowment, for planned giving, for campus development, and for special programs. The Vice President formulates long range plans and strategies for institutional advancement and alumni communication and development, and makes recommendations to the President and other officers of the University concerning the approval and support of such plans and goals. The Vice President is also responsible for public relations and institutional visibility.

UNIVERSITY OF THE PACIFIC  
ADVANCEMENT

Effective 09/01/2008  
ORGANIZATION CHART



## **4.6 Search and Selection Procedures for Senior Administrators**

Approved by Academic Council and Provost on February 8, 2001, President on February 28, 2001

These procedures are applicable to searches for and appointment of the Provost, Associate Provosts, Vice Presidents, and Deans. The Board of Regents will determine the search and selection procedures for the President.

### **4.6.1 Search Committee Membership**

#### **4.6.1.a Distribution of Membership**

Revised and approved by Academic Council December 8, 2011 ; Approved by Administration August 22, 2012.

Search committees for the Provost, Vice Provost, Associate Provosts, and Deans are Joint Committees. Search committees for Vice Presidents are Administrative Committees.

The membership of a search committee should represent the major constituencies who will be served by the appointee and should be broadly representative of the University. When appropriate, the Administration should appoint staff, students, and alumni to search committees, in consultation with the governing bodies for those constituencies.

#### **4.6.1. b Provost Search Committee Selection of Members**

Revised and approved by Academic Council December 8, 2011; Approved by Administration August 22, 2012.

The membership of a search committee for the Provost shall represent the major constituencies who will be served by the Provost and shall be broadly representative of the University. Faculty representatives must be voting members of the University faculty and shall comprise no less than 50% of the Committee.

When a vacancy for the position of the Provost is announced, the Academic Council shall as soon as possible conduct a selection of Faculty representatives according to the selection procedures set out herein.

The Chair-Elect shall direct the process for selecting Faculty representatives.

The Executive Board, led by the Chair-Elect, shall serve as a nominating committee for the selection of Faculty representatives on the Provost Search Committee. The Chair-Elect shall solicit nominations from the Faculty of each unit and the President. The Board shall consult the President in creating the final slate of nominees. From this slate of nominees, the Academic Council shall elect the fewest members necessary in order to guarantee that at least one half of the Faculty representatives on the Search Committee are selected by the Council. Also from this slate of

nominees, the President shall select the remainder of Faculty representatives on the Search Committee.

When the announcement of a vacancy for the Provost position occurs during the summer, the election of Faculty representatives by the Academic Council called for above shall be replaced by election by the Executive Board.

The Administration shall appoint staff and students to the Search Committee in consultation with the Staff Advisory Council and ASuop.

#### **4.6.1.c Selection of Members**

When a search committee is a Joint Committee, the Academic Council shall determine the method for selecting faculty representatives. In searches for a dean of a college or school, unless the Academic Council determines that there is sufficient reason for using a different method, the faculty of the college or school shall elect the faculty representatives, who shall be a majority of the committee membership.

When a search committee is an Administrative Committee, faculty representatives shall be selected by the Administration from among those faculty recommended by the Academic Council.

Administrators and other faculty who serve on a search committee shall be selected in the manner specified by the administrator to whom the appointee will report.

#### **4.6.1.d Selection of a Chair**

The President selects the chair of a search committee. Normally, the President will appoint a faculty member as the chair or vice-chair of a dean's search committee.

### **4.6.2 Responsibilities of the Committee**

#### **4.6.2.a Duties of the Position and Criteria for Selection**

The Administration, in consultation with the academic unit or administrative unit, should identify the duties of the position and describe the education and experience needed to perform them satisfactorily. Based on these determinations, the Administration should establish criteria for selection in consultation with the unit and the search committee (the "Committee").

#### **4.6.2.b Development of a Candidate Pool**

The position should be advertised clearly indicating selection criteria. Concurrently, the Committee should solicit nominations from all University constituencies. The University's nondiscrimination policies shall be included in all advertisements. Absent special circumstances, the search for candidates should be national in scope. The Administration or the Committee may, if appropriate, take additional steps to enlarge the pool of qualified applicants.

### **4.6.3 Committee Screening Process**

A Committee should adopt procedures for selecting candidates from the larger pool for further investigation. In a particular search, the collaboration between the Administration, the Committee, and other campus constituencies should be appropriate to the circumstances, but the following sequence is recommended as a guideline. For academic appointments, the Provost shall receive Committee recommendations, as noted below.

- Stage 1. Identify the candidates whose applications best meet or exceed the selection criteria.
- Stage 2. Review all available information provided by the candidates and their references. Conduct preliminary interviews to the extent thought useful.
- Stage 3. Recommend candidates for campus visits and organize the visits.
- Stage 4. Submit a report to the President or the Provost.

### **4.6.4 Collection of Information about the Candidates**

After reviewing the applications and the other information received, the Committee shall interview the best-qualified candidates and contact their references. The Committee should establish and follow procedures regarding confidentiality that are appropriate to the search and are clearly expressed to the candidates. The Committee may ask candidates or their references to provide specified information in writing. Interviews may be conducted in person or by telephone, and personal interviews may take place either on or off campus. Information solicited about a candidate should relate to the criteria established for the position. Committee members should prepare written summaries of oral interviews with candidates and the candidates' references. Committee members should attempt to corroborate information about candidates by contacting additional knowledgeable sources. For each search, all application materials should be retained for five years.

### **4.6.5 Campus Visits**

The Committee shall submit to the President or the Provost the names of candidates it recommends be invited for a campus visit. The President in consultation with the Committee, and in reliance on the information collected and assessed by it, shall decide whom to invite.

The Committee, in consultation with the Administration, shall plan and conduct the candidates' visits. All affected constituencies shall be scheduled to meet the candidates, and when appropriate the candidates shall visit all three campuses.

The Committee shall solicit assessments of the candidate from campus constituencies, and collect and summarize community responses.

#### **4.6.6 Report by the Search Committee**

The Committee shall submit a report to the President or the Provost summarizing relevant information from campus constituencies about the candidates who have completed campus visits, assessing the candidates' credentials and institutional fit, and evaluating the candidates. The Committee also should be available to provide a detailed briefing, upon request, before an offer of appointment is made.

#### **4.6.7 Selection**

Appointments shall be made by the President, and in the case of academic appointments, upon consideration of the recommendation of the Provost.

#### **4.7 Evaluation of Academic Administrators**

Approved by Academic Council on March 8, 2001, President on February 28, 2001

The evaluation of an administrator is intended both to assess the administrator's performance and to assist the administrator in becoming more effective.

The President is evaluated by the Board of Regents.

All other senior academic administrators, including deans, serve in their positions at the determination of the President. These senior administrators are evaluated annually and are formally evaluated periodically, normally at the end of their fifth year in office and every five years thereafter. A formal evaluation also may be conducted prior to the expiration of five years when such an evaluation is determined by the administrator's superior to be appropriate, either at the superior's initiative or in response to a request supported by two-thirds of the faculty under the jurisdiction of the administrator.

The President shall develop evaluation standards and procedures for the evaluation of the Provost. Deans shall be evaluated in accordance with the procedures described in the next section. The Provost shall develop evaluation procedures for senior academic administrators other than deans. Similarly, each dean shall develop evaluation procedures for administrators reporting to that dean, such as associate or assistant deans and directors, for approval by the Provost. Department chairs shall be evaluated in accordance with the procedures of each college or school.

The evaluation process should include the perspectives of all relevant sources.

The evaluation report is a confidential document to be discussed with the individual by the immediate supervisor.

#### **4.7.1 Evaluation Process for Deans**

**4.7.1.a** The Provost shall provide each dean with an annual written evaluation of the dean's performance. The annual evaluation shall be based on criteria that have previously been disclosed to



the dean and shall include an assessment of the degree to which the dean has succeeded in implementing the priorities established for the school or college.

At the beginning of the academic year in which a dean is to be formally evaluated, the Provost shall inform the dean of the purpose of and procedures for the evaluation. The dean should provide an updated vitae, summaries of accomplishments, a list of external constituencies who might be contacted, and other documentation likely to be useful to the evaluation committee. The Provost shall meet with the elected representatives of the college or school's governing body, or with the college or school's Academic Council representatives in the absence of a formal faculty governing body, to discuss the purpose, process, and schedule of the dean's evaluation.

**4.7.1.b** The faculty of the college or school shall nominate six tenured faculty from within the college or school to participate in the evaluation of the dean. If the college or school does not have a faculty or does not have a large enough faculty to make such nominations appropriate, then the nominations shall be made by the appropriate faculty associated with the programs for which the dean is responsible. The faculty shall also nominate at least three tenured faculty from outside the college or school who have had some direct working relationship with the dean, and at least two deans from other schools or colleges within the University. From among those nominated, the Provost shall select two faculty members from within the college or school, one faculty member from outside the college or school, and one dean to serve as the Dean's Evaluation Committee (the "Committee"). The dean to be evaluated may request that the Provost remove any Committee member for cause, and the Provost shall rule on any such request. The dean may also exclude one member without stated cause. If the dean exercises that option, or if a member or members of the Committee have been removed for cause, the Provost shall make whatever additional selections are necessary to bring the Committee's membership into conformity with the requirements stated above. The additional selections shall be made from among the names provided by the faculty, which may be supplemented by the faculty if necessary.

**4.7.1.c** The Provost shall charge the Committee, and shall develop and implement procedures to maintain the confidentiality of its deliberations and its report.

**4.7.1.d** The Committee shall select its chair in consultation with the Provost, delegate tasks, and develop the procedures to be used to solicit information from administrators, faculty, students, and other appropriate constituencies. All faculty members within the school or college shall be surveyed, and those who request shall be interviewed.

**4.7.1.e** The report of the Committee shall evaluate the dean's strengths and weaknesses, and upon completion it shall be made available to the dean. The dean shall have a reasonable time within which to submit a written response to the report. Any response shall be appended to the report, and the Committee may modify the report as seems appropriate in light of the response. The Committee shall then transmit the completed report to the Provost.

**4.7.1.f** The Provost shall meet with the dean in a timely fashion to discuss the Committee's report. The Provost shall then make a recommendation to the President as to whether the dean should be

continued and may specify the next formal evaluation period in order to monitor growth and improvement relating to any recommendations.

**4.7.1.g** After considering the Committee's report and the Provost's recommendation, the President shall decide whether the dean will be continued in the position, and may specify the terms and conditions of continuation.

## Chapter 5. Faculty Governance

### 5.1 History of the Academic Council

Approved by Academic Council on October 12, 2000

Prior to 1967, Faculty governance on the Stockton campus was through a Faculty Council composed of Full Professors and Deans and chaired by the Academic Vice President and through monthly meetings of the full Faculty.

There was much criticism of the unrepresentative nature of the Faculty Council by the Faculty. A large number of new faculty had received appointments to the University during the 1960's as a result of the opening of the cluster colleges and hiring of new faculty in the other schools and colleges in order to meet the needs of the increasing number of students coming to the University as a result of the "baby boom". Full Professors at the time were almost all members of the College of the Pacific. The Faculty Council was an inadequate representation of the full range of interests and concerns of the faculty within the various ranks and units of the University.

At the same time, because of the increased size of the Faculty, it was becoming increasingly difficult to both raise and resolve matters of Faculty concern at meetings which involved all members of the Faculty. As a consequence, at the regular Faculty meeting on January 11, 1966 there was a discussion concerning the desirability of establishing a representative body to act on behalf of the Faculty. At the end of the meeting a motion was offered to develop a plan for such a representative body. The motion was passed by a vote of the Faculty.

As a consequence, a committee was established to develop a more representative body, one which would represent not only the different ranks, but also the various schools and colleges. The committee worked with a variety of models, eventually resulting in the form found in the current Academic Council. It opened membership on the Council to faculty from all ranks and it gave proportional representation to the different schools and colleges.

Part of the change which took place was to make the Council the official voice of the Faculty. While the Academic Vice President was an ex-officio member of the Council, it was decided that the Council should be chaired by a member of the Faculty in order to be independent of the University Administration, although consultation with the administration about matters to place on the agenda of the Council would take place. The role of the Academic Vice President was a resource and a liaison between the Faculty and administration. The meetings of the Council were to be open to attendance by any Faculty member.

The proposal to establish the Academic Council as the representative governing body of the Faculty of the University was adopted by a vote of the Faculty in the Spring of 1967. The Council began functioning as an elected body in Fall of 1967 with Professor Richard Reynolds of the Department of Art as the first Chair. It has been the official elected and representative body of the Faculty since that time.

In the Fall of 1992, questions were raised about whether to keep the form of Faculty governance which had been adopted in 1967. A series of open meetings were held and alternative forms of Faculty governance were considered. After much discussion over the Fall semester, the conclusion was to keep the form of Faculty participation in the governance of the University that the Academic Council provides. The central role of the Academic Council as the representative voice of the Faculty of the University was reaffirmed at that time.

In May of 1995, the Academic Council established a Committee on Bylaws to revise and codify the practices of the Academic Council. In September of 1996 the Regents adopted the University of the Pacific Policy Statement on Governance which described the role of Faculty in University governance. These principles provided the framework for Faculty governance and were integrated into the Bylaws. Over a three year period numerous drafts of the Bylaws were considered by the Academic Council, the Faculty and the Administration. The Bylaws of the Faculty and the Academic Council were approved by a full Faculty vote on November 30, 1999 and by the President on March 6, 2000.

## **5.2 Bylaws of the Faculty and the Academic Council of the University of the Pacific**

Approved by the Academic Council on September 8, 1999; Approved by the Provost on September 8, 1999; Approved by the Faculty on November 30, 1999; Approved by the President on March 6, 2000; Revised March 2004; Revised and approved by Academic Council and Administration on April 9, 2009

### **Article 1. Preamble**

The University of the Pacific Faculty is a community of teacher-scholars acting within the University's system of shared governance as established in the University of the Pacific Policy Statement on Governance adopted by the Board of Regents on September 12, 1996. The University Faculty has authority and responsibility for the design and conduct of educational programs and courses of instruction of the University as specified in that Policy. The governance system provides for the exercise of the University Faculty's primary role in academic decisions, its participatory role in joint decisions, and its advisory role on other general University matters. Because a University is a complex entity, the tasks of governance must be apportioned and delegated, but the interdependence of administration, faculty and Board of Regents is the basic premise of legitimate and effective governance. This document establishes the framework for faculty participation in the shared governance system of the University of the Pacific.

### **Article 2. The Faculty**

#### **2.1 The Faculty**

The University Faculty, hereafter referred to as the Faculty, consists of the President, the Provost, academic deans, other administrators who hold faculty rank, professors, associate professors, assistant professors, instructors, adjunct professors, lecturers, and clinical faculty, whether serving in teaching, scholarly and artistic activity, or administration appointments, whether serving part-time or full-time, and whether in an active or emeritus capacity.

## **2.2 Voting Faculty**

For purposes of University governance, the voting members of the Faculty, hereafter referred to as Voting Faculty, are those tenured or tenure-track Faculty who devote at least fifty percent of a full workload to teaching, scholarly and artistic activity and University service. Faculty who have administrative responsibilities of more than fifty percent are considered to be administrators and are not Voting Faculty. In University matters, Faculty who hold joint appointments shall vote in the college or school or department in which they have the greatest responsibility.

A member of the Voting Faculty who holds appointments with fifty percent responsibility in two colleges or schools or two departments shall designate in writing to the office of the Provost one college or school or one department in which to exercise voting privileges.

## **Article 3. Authority and Responsibility of the Faculty**

### **3.1. Basis for Faculty Authority**

The Faculty bases its authority and responsibility on the University of the Pacific Policy Statement on Governance approved by the Regents on September 12, 1996 and the policy on Basic Governance Principles adopted by the Faculty on November 30, 1999, and the Administration on November 30, 1999. Matters of faculty governance are also guided by the principles of governance found in the WASC standards, in the joint AGB/AAUP statements, The Joint Statement on Government of Colleges and Universities and The Role of the Faculty in Budgetary & Salary Matters, and in the AGB Statement on Institutional Governance.

Following the principles of shared governance, Faculty authority and responsibility can be divided into three general categories: (1) the Faculty has primary authority and responsibility in matters relating directly to the initiation, development, and assessment of academic programs of the University, (2) the Faculty and the Administration have joint responsibility in University matters having an impact on the academic programs of the University, (3) the Faculty provides advice in other University matters. The following Articles describe these responsibilities.

### **3.2 Primary Faculty Responsibilities**

The Faculty, in cooperation with the Provost and Deans, has responsibility for the formulation of policies and procedures directly governing academic matters. The Faculty has the responsibility to:

- recommend the establishment or dissolution of degree programs
- establish the curriculum, scholastic standards and policies for awarding of academic credit
- establish procedures for the review of academic programs
- establish admissions standards and evaluate student admissions procedures
- establish testing programs for the assessment and placement of entering students
- approve all candidates for earned degrees and recommend candidates for honorary degrees

- establish student academic rights and responsibilities and policies and procedures for student discipline
- establish the criteria and procedures for the awarding of student honors
- determine effective methods for the expression of Faculty views on matters of educational policy and institutional concern
- contribute to the advancement of knowledge through open inquiry, creative activity and research

### **3.3 Joint Responsibilities**

Revised April 16, 2014

The Faculty and the Provost together with the Deans jointly make recommendations to the President regarding general University matters which have an impact on the academic programs of the University. The Chair of the Faculty, as the official representative of the Faculty to the Board of Regents, reports on Faculty matters to the Board. Subjects of joint responsibility shall be agreed upon by the Faculty and the Administration. Matters of joint responsibility include, but are not limited to, subjects specified below.

In the areas of University mission, planning and budget, the Faculty and Administration have the joint responsibility to:

- establish and revise the strategic plan
- formulate priorities and recommendations for the University budget
- prepare reports for the accreditation of the University
- establish or dissolve schools, colleges, departments, or independent learning centers
- name academic departments
- establish policies concerning diversity within the University community
- establish the University calendar
- establish policies concerning the library
- establish policies concerning information technology
- establish financial aid policies
- determine the nature and extent of the athletic program
- determine priorities for development and academic fund-raising
- develop plans for facilities and expansion of the campus

In the areas of Faculty appointment and professional development, the Faculty and Administration have the joint responsibility to:

- establish faculty responsibilities and prerogatives as stated in those sections of the University of the Pacific Faculty Handbook which shall constitute the contract between the Faculty and the University
- establish policies for faculty compensation
- establish policies for the search, appointment, evaluation, retention, promotion, and tenure of faculty
- make recommendations for the appointment, retention, promotion, and tenure of faculty

- establish policies for the Faculty Development Leave Program and its evaluation
- establish faculty support programs promoting the quality of teaching, learning and scholarly/artistic endeavors and professional development
- establish policies for conducting the search, appointment, evaluation and retention of University academic administrators
- make recommendations for the appointment and retention of University academic administrators

### **3.4 Advisory Responsibilities**

The Faculty has a responsibility to advise members of the Administration and the Board of Regents concerning other University matters.

## **Article 4. Governance Structure**

### **4.1 Levels of Faculty Governance**

There are two levels of academic governance, the University level and the college or school level. In establishing college or school governance, colleges and schools may establish additional levels of governance for internal purposes. Matters in Article 3, which affect the University as a whole, are the responsibility of the Faculty. Faculty matters which relate exclusively to the academic mission and operation of a college or school are the responsibility of the Faculty of that college or school. Communication among colleges and schools is essential. Matters relating to more than one college and school are subject to the review of the Faculty through its University governance structure. As a general policy academic matters should be considered first and foremost at the lowest appropriate level.

### **4.2 The Academic Council**

In order to exercise its authority and responsibility at the University level, the Faculty has established its own governing body, the Academic Council, hereafter referred to as the Council. The Council, based on the authority and responsibility of the Faculty as stated in Article 3, acts on behalf of the Faculty in the making of University policy.

### **4.3 Chair of the Faculty**

The Chair of the Academic Council is the Chair of the Faculty.

### **4.4 College or School Governance**

The Faculty of each college or school shall establish an internal system of faculty governance. Specific issues regarding local governance are addressed in Article 6 College or School Governance.

#### **4.5 College or School Faculty Chairs**

The Faculty of each college and school shall establish the position of Chair of the Faculty of that college or school.

### **Article 5. The Academic Council**

#### **5.1 Authority and Responsibility of the Council**

The Council is the representative body of the Faculty. The Council, based on the authority and responsibility of the Faculty as stated in Article 3, is the agent through which the Faculty acts in the making of University policy.

#### **5.2 Work of the Council**

The Council gathers information, makes recommendations, formulates and approves policy on all matters listed in Article 3. The Council provides for Faculty action as required either by University Governance Policy or by a majority vote of the Council. To ensure the flow of information, the recommendations and decisions of the Council shall be reported to the Faculty, the Provost, the President and the Regents.

#### **5.3 Organization of the Council**

The following Articles describe the Membership of the Council (5.A), the Officers of the Council (5.B), the Executive Board (5.C), the Calendar for Elections (5.D) and the Procedures of the Council (5.E).

### **Article 5.A Membership of the Council**

#### **5.A.1 Council Membership**

The voting members of the Academic Council consist of faculty representatives of colleges or schools, the Chair, Past-Chair, a representative of the Emeriti Faculty, and two student representatives. The Council also has ex-officio, nonvoting members.

#### **5.A.2 Responsibilities of Faculty Council Representatives**

Faculty representatives on the Council represent the interests of the University at large as well as the views of their specific college or school. It is the responsibility of Council members to ensure communications with the faculty of their college or school, the Council and the University community. Representatives should come from a variety of academic ranks when possible.

##### **5.A.2.1 College and School Representation**

Revised April 16, 2014

The number of faculty representatives allocated to a college or school shall be based on the number of full-time and part-time Faculty who devote at least fifty percent of a full workload to teaching, scholarly and artistic activity and University service in the fall semester of the current academic year.



Faculty who have administrative responsibilities of fifty percent or more may not be counted. Permanent positions which are unfilled may be counted. The library and School of International Studies faculty shall be treated as the faculty of a college or school.

The number of faculty representatives allocated is determined by the following formula:

- One representative for a faculty totaling ten or fewer
- Two representatives for a faculty of more than ten and up to thirty
- One additional representative for each fifteen faculty above the first thirty

Faculty serving as Chair-Elect, Chair and Past-Chair of the Council should be replaced during their term of office and should not be counted among the representatives of a college or school. The allocation of Faculty representatives is determined annually by the Chair-Elect.

#### **5.A.2.2 Eligibility**

Only Voting Faculty are eligible for election as Faculty representatives. Council Representatives who cease to be Voting Faculty may no longer hold a Faculty position on the Council and shall be replaced. The Chair-Elect of the Council shall be responsible for determining eligibility for election to the Council

#### **5.A.2.3 Election Procedures**

Faculty representatives of the Council shall be elected by the Voting Faculty within each college or school from a slate of candidates chosen by the college or school. Faculty representatives should be chosen from a variety of academic ranks. Election shall require a majority of the votes cast. In elections, it is desirable for the faculty of the college or school to propose at least twice as many candidates as are required to fill the available vacancies.

A new representative shall be elected by the college or school faculty for the unexpired term of an incumbent representative who resigns or loses eligibility.

An eligible Faculty member may choose to serve as a Faculty representative while on Faculty leave. If the Faculty representative chooses not to serve while on leave, the college or school faculty may elect a replacement representative for the period of the leave.

All elections to fill partial terms of office shall follow the election procedures described above.

If the number of incumbent representatives exceeds the number of representatives allocated to a college or school, the choice of the continuing representatives is left to the college or school.

#### **5.A.2.4 Terms of Office**

Faculty representatives of the Council shall be elected for three-year terms. The Chair-Elect shall stagger the terms of office so that approximately one-third of the Faculty representation of the Council is elected each year. Shorter terms may be required to facilitate the staggering of terms.

#### **5.A.2.5 Emeriti Representation**

The Emeriti Faculty shall have one representative selected by the Emeriti Society who serves a two-year term.

#### **5.A.3 Student Representation**

There shall be two student representatives who serve one-year terms. One student shall be selected by the Associated Students of the University of the Pacific (ASUOP) and one student shall be selected by the Graduate Student Association (GSA).

#### **5.A.4 Ex-Officio Representation**

The following are ex-officio non-voting members of the Council: the Provost, Chairs of the Faculty of individual colleges or schools, Chairs of Faculty Committees and the Director of Athletics.

### **Article 5.B Officers of the Council**

#### **5.B.1 Officers of the Council**

The officers of the Academic Council are the Chair, Chair-Elect, and Past-Chair. The Secretary of the Council is a non-voting staff position.

#### **5.B.2 Chair**

The Chair of the Council, guided by the Council and its Executive Board, represents the Faculty to the Administration in the University decision-making process.

The Chair shall be responsible for communicating the decisions and recommendations of the Council to the Administration, the Regents and the Faculty.

The Chair is the official Faculty liaison representative to the Board of Regents.

The Chair shall preside at all meetings of the Council, the Executive Board and the Faculty. The Chair shall convene the Council in both regular and special sessions. At Council meetings the Chair has the responsibility to ensure fairness, to facilitate debate and to move issues to a vote in a timely manner.

#### **5.B.3 Chair-Elect**

The Chair-Elect is elected by the new and continuing members of the Council at a special April meeting (See Article 5.D.3.). The Chair-Elect shall be any tenured voting member of the Faculty, who is or has been a member of the Academic Council. Election requires a majority of the ballots cast at the meeting. The Chair-Elect serves a three-year term: the first year as Chair-Elect, the second year as Chair, and the third year as Past-Chair.

In the absence of the Chair, the Chair-Elect shall preside at meetings of the Council, the Executive Board and of the Faculty. The Chair-Elect under the direction of the Chair, is responsible for oversight of the work of Faculty Committees and for communication between these Committees and the Council. Responsibilities include the preparation of annual charges to Faculty Committees

from the Council and the scheduling of necessary Council action on Committee recommendations and of annual Committee reports to the Council.

Based on the information provided by the Provost's office, the Chair-Elect shall determine the number of representatives allocated to each college or school according to Article 5.A.2.1. The Chair-Elect shall also determine the staggering of terms of office so that approximately one-third of the Council representatives are elected each year. The Chair-Elect administers the election processes and annual calendar of elections of faculty to both the Council and Faculty Committees.

#### **5.B.4 Past-Chair**

In the absence of the Chair and Chair-Elect, the Past-Chair shall preside at meetings of the Council, the Executive Board and the Faculty. The Past-Chair shall review all actions taken during her or his term of office as Chair and shall prepare a written report for Council members and the Faculty, indicating major decisions of the past year and issues which need to be continued for consideration. The report should be distributed before the first Council meeting of the fall semester. The Past-Chair shall also be responsible for conducting the election process for the Chair-Elect and for the new Executive Board.

#### **5.B.5 Secretary**

The Secretary of the Council will be assigned by the Office of the Provost. Under the direction of the Chair, the Secretary shall prepare and distribute all agendas, minutes and materials for Council and Faculty meetings, all Faculty ballots for elections and referenda, and shall record and report the results of balloting to the Chair-Elect.

### **Article 5.C The Executive Board**

#### **5.C.1 Membership and Election**

The Executive Board shall consist of the Chair, Chair-Elect, Past-Chair of the Academic Council and four at-large members. The Executive Board shall be broadly representative of the entire Faculty. The six members of the Board other than the Chair shall consist of three representatives from the College of the Pacific and three representatives from professional schools. The at-large members are nominated and elected from the new and continuing members of the Council at a May meeting (See Article 5.D.4.). Election requires a majority of the ballots cast at the meeting. At-large members are elected for one-year terms and may not serve more than three consecutive terms.

#### **5.C.2 Responsibilities of the Executive Board**

The Executive Board advises the Chair of the Council, serves as the agenda committee for Council and Faculty meetings (See Article 5.E.3.2.), coordinates the work of the Council and its Committees (See Article 7.2.1.), acts as liaison between the Faculty and the Administration, and oversees implementation of Council decisions. Matters may be brought to the Executive Board by members of the Faculty, the constituent colleges and schools and the Administration. When appropriate, the Executive Board should provide a full report to the Council on its actions.

### **5.C.3 Meeting Schedule**

The Executive Board shall meet regularly at the call of the Chair or at the request of a majority of its members.

## **Article 5.D Calendar for Elections**

### **5.D.1 Determination of College and School Representation**

In January, the Chair-Elect of the Academic Council shall determine the number of faculty representatives allocated to each school or college for the following academic year. The number of Faculty representatives is determined by the procedures in Article 5.A.2.1.

### **5.D.2 Calendar for Election of Representatives**

In March, schools and colleges should conduct election of members of the Council for the following academic year.

### **5.D.3 Calendar for Election of Chair-Elect**

In April, the Past-Chair will hold a special meeting of new and continuing voting members of the Council to elect, from all tenured voting members of the Faculty, who are serving or have served on the Academic Council, a Chair-Elect. The Past-Chair shall be responsible for receiving nominations for Chair-Elect, for establishing the ballot and for the election of the Chair-Elect. Nominations for the Chair-Elect will be submitted to the Past-Chair. All new and continuing members of the Council should be informed of the list of nominees at least one week prior to the elections. Additional nominees may be offered from the floor. Election of the Chair-Elect shall require a majority of votes cast at the meeting.

### **5.D.4 Calendar for Election of the Executive Board**

In May, the Past-Chair will hold a special meeting of new and continuing voting members of the Council to elect, from their membership, the at-large members of the Executive Board. Nominations for the at-large members will be submitted in writing to the Past-Chair. All new and continuing members of the Council should be informed of the list of nominees at least one week prior to the elections. Additional nominees may be offered from the floor. Election of the at-large members of the Board shall require a majority of votes cast at the meeting.

### **5.D.5 Calendar for Election to Faculty Committees**

The Chair-Elect of the Council shall administer the schedule for the election of faculty to Council committees. The election process should be completed in April for appointments which begin in the fall semester and in November for appointments which begin in the spring semester.

1. In January, the Chair-Elect of the Academic Council shall determine the number of Faculty committee vacancies and shall administer the annual Survey of Interest to identify faculty who are interested in filling the vacancies.
2. In February:
  - a. The Chair-Elect shall distribute to the Professional Relations Committee the survey results for those committees under the purview of the Professional Relations Committee.
  - b. The Academic Council and the Professional Relations Committee shall compile nominations for all Academic Council and Professional Relations Committee nominated committees.
  - c. The Chair-Elect of Academic Council shall instruct the academic units to conduct elections during March to fill the vacant Faculty committee positions that are elected at the unit level.
3. In March:
  - a. The Chair-Elect of the Academic Council shall combine into one ballot the nominations put forth by the Academic Council and the Professional Relations Committee, and then distribute the ballot and conduct the election to fill the Faculty committee vacancies.
  - b. The Chair of the Academic Council shall notify those elected of their committee service and their term of service.
  - c. The Chair-Elect of the Academic Council shall notify the entire faculty and all appropriate administrators and staff personnel of the election results.
4. In April, the Chair-Elect of the Academic Council shall request that the chairs of each Faculty committee identify the incoming chairs of each committee.
5. In May, the Chair-Elect shall ask the appropriate staff personnel to update the Faculty committee website.

#### **5.D.6 Terms of Office**

On June 1, officers, the at-large members of the Executive Board, new Council members and new Faculty committee members with fall term appointments will assume office. New Faculty committee members with spring term appointments will assume office on January 1.

### **Article 5.E Procedures of the Council**

#### **5.E.1 Calendar for Council Meetings**

The Academic Council shall meet on a monthly basis from September to May. Other meetings shall be called as required by the Chair of the Council. The Chair of the Council must call a special meeting of the Council upon receipt of a petition from a group of twenty-five faculty eligible for serving on the Council. Normally, meetings of the Council shall be open to all members of the University community and Faculty may participate in Council discussions. The Council may go into executive session by a majority vote of the voting members present.

Normally, just before the regular April and May meetings, there shall be special meetings of new and continuing members of the next year's Council, to select a Chair-Elect, and to select the at-large members of the next Executive Board.

### **5.E.2 Presidential Access to the Council**

The President of the University may address the Council at any meeting and present such reports and information as may concern the Faculty.

### **5.E.3 Rules of Parliamentary Procedure**

The Council and Faculty meetings as well as Council committees shall govern themselves by a set of orderly parliamentary procedures. The Council adopts the rules of parliamentary procedures described in Merriam Webster's Rules of Order by Laurie Rozakis. A table that summarizes the most commonly used motions is shown in Appendix 1. The Chair shall appoint a parliamentarian.

#### **5.E.3.1 Quorum Rule**

A quorum of the Council shall consist of a majority of its voting members. The Chair shall determine that a quorum exists at the opening of a meeting. If a quorum is lost no formal business can be conducted but discussion may continue.

#### **5.E.3.2 Agendas**

The Executive Board shall prepare the agenda for Council meetings. The Board shall include on the agenda, reports and resolutions submitted in writing in a timely manner by a Council Committee or Council member. Agendas for the meetings of the Council are to be distributed to Council members and the University Community one week before each meeting. Agenda items on which Council action is proposed should be accompanied by written reports, resolutions or other necessary background information. The Executive Board designates Council members to present issues to the Council. The Executive Board should be prepared to recommend a course of action on agenda items. New action items may be added to the agenda by a majority vote of the Council.

The Executive Board shall also prepare the agenda for Faculty meetings. Agendas for these meetings are to be distributed to the Faculty and the University Community one week before the meeting.

#### **5.E.3.3 Approval Procedure for Motions**

A motion is approved only if passed by a majority of voting members present. Main motions and amendments made in the course of a meeting should be submitted in writing to the Secretary before a vote is taken. Voting shall be by secret ballot if called for by the Chair or if requested by a majority vote. There shall be no voting by proxy.

#### **5.E.3.4 Council Minutes**

Minutes of meetings are to be kept in the Office of the Provost and distributed to Faculty, Administrative Officers, and the Regents in a timely fashion. Minutes should be made available to the University Community at each University campus in a central location such as the library.

#### **5.E.4 Matters for Direct Faculty Approval**

The Faculty shall approve, through a general Faculty referendum, policies for fundamental changes in the following areas: the educational program of the University, the policies concerning the formation of the Faculty, in particular the appointment and evaluation of faculty, and the policies concerning the structure of faculty governance. Proposals for fundamental changes in these areas and any other matter that the Council wishes to submit to the Faculty for approval shall first be approved by the Council by a two-thirds majority of the voting Council members. Approval by the Faculty shall require a majority of the ballots cast in the referendum.

#### **5.E.5 Faculty Meetings**

The Faculty shall meet at least twice each academic year. The Executive Board, in consultation with the Provost and the Academic Council, shall set the agenda of the Faculty meetings. Agendas are to be distributed one week before the meeting. Minutes are to be kept in the records of the Council. Other meetings shall be called as required by the Academic Council. The Chair of the Council must call a meeting of the Faculty upon receipt of a petition concerning a particular issue from at least twenty-five of the Voting Faculty.

### **Article 6. College or School Governance**

#### **6.1 Establishment of College or School Governance**

In accordance with the University of the Pacific Policy Statement on Governance, the Faculty of a college or school should, in consultation with the Provost and/or Dean, develop and adopt bylaws concerning its own organization, governance and procedures. The Voting Faculty within each college or school must approve the establishment and amendment of college or school bylaws.

#### **6.2 Governance Requirements**

The Faculty governance system within each college or school must include the elements enumerated in Articles 6.2.1 to 6.2.6.

##### **6.2.1 College or School Voting Faculty**

The bylaws shall describe those faculty of the college or school who are eligible to vote in faculty matters. Eligible voters must include the Voting Faculty within the college or school.

##### **6.2.2 Form of College or School Governance**

The Voting Faculty within the college or school determines, by secret ballot, the form of faculty governance, e.g. a committee of the whole or governance by a representative body such as a faculty council.

### **6.2.3. Faculty Chair of a College or School**

Approved by Academic Council on May 10, 2001

The Faculty Chair is the official representative of the Faculty of a college or school to the Dean and the University Administration. The Chair has the authority to call regular or special faculty meetings of Voting Faculty to consider matters under the purview of faculty governance. The Chair will discharge other responsibilities assigned to the Chair in the bylaws of the unit. A Chair-Elect may discharge the responsibilities of the Chair in the Chair's absence. The college or school bylaws shall include an annual electoral process for selecting a Voting Faculty member to be Faculty Chair of the college or school. This process should include procedures for nomination, election by secret ballot by a majority of those who participate in the election, and certification of the outcome of the vote.

A Voting Faculty may elect the Dean (or Associate/Assistant Dean) of the college or school to chair regular faculty meetings. In no case shall the Faculty Chair relinquish her/his responsibility to serve as spokesperson for the Faculty of the unit, or to call and preside over special faculty meetings, including meetings and/or ballots to reaffirm a dean as chairperson or regular faculty meetings.

### **6.2.4 Voting Procedures**

The bylaws shall include a procedure for determining quorums, approval procedures and the use of secret ballots.

### **6.2.5 Meeting Procedures**

The bylaws shall include a procedure for the conduct of faculty business at regular meetings of the governance body.

### **6.2.6 Agendas**

The bylaws shall include a mechanism to establish agendas and a procedure whereby faculty may place an issue for consideration on the agenda.

## **Article 7. Committees with Faculty Membership**

### **7.1 The Committee System**

The Committee system is an essential mechanism through which the Faculty exercises its authority and responsibilities with respect to University policy. Academic Council decisions and recommendations rely on the background information which accompanies recommendations and reports from Committees. The structure, size, standing charge, reporting function and reporting schedule of Faculty Committees are specified by Council resolution. Committee recommendations and reports should come to the Council in a timely manner and should allow time for Council members to consult with their faculty.

There are three types of committees which involve the Faculty in the governance system: Faculty Committees established by the Council, University Committees which require Faculty



representation, and University Committees which utilize Faculty expertise. The following Articles describe procedures related to each of these types of committees.

## **7.2 Faculty Committees**

Faculty Committees are established by the Council to meet various needs. Committee membership, charges, method of election, and reporting functions are set by the Council. The current list of standing Faculty Committees can be found in Appendix 2 and in the University of the Pacific Faculty Handbook.

### **7.2.1 Coordination of Faculty Committees**

The Executive Board, under the direction of the Chair-Elect, shall coordinate the decisions and actions of the various Committees of the Council. The Chair shall assign at-large Board members to serve as Liaisons to the various Committees. The Liaisons should ensure that each Committee's agenda for the year is clear and is integrated with priorities set by the Council. Each Liaison should receive agendas and minutes from the Committees under the person's purview and should assure that recommendations and annual reports from each Committee are scheduled in a timely manner on Council agendas. Each Liaison should also assure that the elections of new Committee Chairs are held as scheduled and that the results are reported to the Chair-Elect of the Council.

### **7.2.2 Annual Committee Work Plan**

Each Committee should have a plan of work for the year which includes the standing Committee charge and any special Committee charges approved by the Council. In addition the Committee and the Board Liaison should determine a schedule for reporting new policy recommendations and the Committee's annual written report to the Council.

### **7.2.3 Council Action on Committee Recommendations**

The Council shall act on all Committee recommendations in a timely manner and may review the actions of its Committees.

### **7.2.4 Election of Committee Members**

Revised April 16, 2014

The Chair-Elect shall oversee the processes for the nomination and election of Faculty committee members. Oversight responsibilities of the Chair-Elect include the distribution of a Faculty survey to determine Faculty interest in standing for election to Faculty Committees, the various nomination processes for Committee members, preparation of ballots, determination of the schedule for voting, the counting of ballots and certification of the results of elections. Election to a Faculty Committee shall require a majority of the votes cast. The calendar for election processes can be found in Article 5.D.5.

Only Voting Faculty may stand for election to a Faculty Committee. Committee members who cease to be Voting Faculty may no longer hold a Faculty position on a Committee and shall be

replaced. The Chair-Elect of the Council shall be responsible for determining eligibility for election and service on a Faculty Committee.

A new representative shall be elected for the unexpired term of a Faculty representative who resigns or loses eligibility.

An eligible Faculty member may serve on a Faculty Committee while on Faculty leave. If the Faculty representative chooses not to serve while on leave, a new faculty representative shall be elected for the period of the leave.

Interim absences as a result of resignations and/or leaves shall be appointed by the Executive Board of the Academic Council in agreement with the membership makeup of the committee. The appointment shall then be confirmed at the first available meeting of the full Academic Council.

### **7.2.5 Committee Chairs**

Each Faculty Committee shall have a Committee Chair who serves for one year and a Committee Chair-Elect who is selected two semesters before taking office as Committee Chair. The Committee Chair-Elect shall be elected from those Faculty members whose terms of office extend over the period during which the person will serve as Committee Chair. Election of Committee Chair-Elect shall require a majority vote of the voting members of the Committee. The results of the election shall be reported to the Chair-Elect of the Council.

### **7.3 University Committees Requiring Faculty Representation**

University Committees which require Faculty representation are those standing and ad hoc committees whose charges relate to the matters described in Articles 3.2 and 3.3. When Faculty representation is required on a University Committee, the membership, charge, reporting function, and schedule are negotiated jointly between the Council and the Administration. The Council determines the method of selection for Faculty representatives on these committees. The joint charge to these committees should have the approval of the Council. The Chair of the Council shall designate a faculty member from the Committee to act as liaison between the Council and the Committee. Reports and recommendations from these Committees should come to the Council for appropriate action.

### **7.4 University Committees Utilizing Faculty Expertise**

When an Administrative Committee is formed which requires membership of Faculty with special expertise, the charge and membership of the committee should be presented to the Council for comment. The Chair of the Council should solicit suggestions for faculty appointments from the Council and should present a list of qualified faculty to the administrator to whom the Committee will report. The Faculty members may be chosen by the administrator. The Chair of the Council shall designate a faculty member from the Committee to act as liaison between the Council and the Committee. The report of the Committee should be shared with the Council for comment.

## **Article 8. Process for Approval and Amendment of the Bylaws**

### **8.1 Approval of the Bylaws**

These Bylaws shall become effective when approved by the Council, the Provost and the Voting Faculty. Approval by the Voting Faculty shall require approval on a majority of the written ballots cast in a general referendum on these Bylaws.

### **8.2 Amendment of the Bylaws**

Amendments to these Bylaws shall require approval by a two-thirds majority of the Council in a written ballot and approval by the Provost. In addition if a proposed amendment is judged by a majority of the Council to be a major change in faculty policies or procedures, the amendment must be submitted to the Voting Faculty with a majority of the votes cast required for approval.

**Appendix 1. Table of Commonly Used Motions.**

Approved by Academic Council on November 16, 2000

The following table includes the most commonly used motions. The details can be found in Merriam Webster’s Rules of Order by Laurie Rozakis. Each motion is followed by the rules regarding its use. A motion which is further down in the list has precedence over motions above it. (Copyright permission granted.)

<b>Primary Motions</b>	<b>Second</b>	<b>Debatable</b>	<b>Amendable</b>	<b>Approval</b>
Main motion	Yes	Yes	Yes	Majority
Adopt a committee report. Recommendations from the report should be treated as main motions.	Yes	Yes *	No	Majority
<b>Subsidiary Motions</b>				
Amend the main motion.	Yes	Yes	Yes	Majority
Refer the motion to committee	Yes	Yes	Yes	Majority
Postpone action to a certain time	Yes	Yes	Yes	Majority
Limit or extend debate	Yes	No	Yes	Two-thirds
Call for the previous question (close debate)	Yes	No	No	Two-thirds
Table the main motion	Yes	No	No	Majority
Take a motion from the table	Yes	No	No	Majority
<b>Incidental Motions</b>				
Point of order	No	No	No	None
Move to divide a motion	Yes	Yes	No	Majority
Suspend the rules	Yes	No	No	Two-thirds
<b>Privileged Motions</b>				
Call for the orders of the day (return to the agenda)	No	No	No	None
Move to recess for a period of time	Yes	Yes	No	Majority
Move to adjourn	Yes	No	No	Majority
Move to go into executive session	Yes	No	No	Majority
Appeal the ruling of the chair	Yes	Yes	No	Majority

\* Academic Council procedures differ from Merriam Webster’s Rules of Order on this rule.

## **Appendix 2 Faculty Committees**

Approved by Academic Council on November 16, 2000

- 1. Academic Affairs Committee on Undergraduate Studies (AAC)**
- 2. Academic Computing and Information Technology Committee (ACITC)**
- 3. Admissions and Financial Aid Committee (AFAC)**
- 4. Committee for Academic Planning and Development (CAPD)**
- 5. Academic Affairs Committee on Graduate Studies (AACG)**
- 6. Committee on Reassignment (inactive)**
- 7. Computer Lab Coordinators Committee (CLCC)**
- 8. Professional and Continuing Education Advisory Board**
- 9. Council on Teacher Education (CTE)**
- 10. Experiential Learning Oversight Committee (ELOC)**
- 11. Faculty Compensation Committee (FCC)**
- 12. Faculty Grievance Committee (FGC)**
- 13. Faculty Research Committee (FCC)**
- 14. General Education Committee (GEC)**
- 15. Library Committee (LC)**
- 16. Professional Relations Committee (PRC)**
- 17. Student Academic Grievance Board**
- 18. Student Faculty Advocate Board**
- 19. University Awards Committee (UAC)**

## **Appendix 3 Academic Council Calendars**

Approved by Academic Council on November 16, 2000

### **Appendix 3.1 Business Calendar**

#### **June, July, August**

New Chair, new Executive Board, and new Council members take office on June 1.

Former Chair, now the Past-Chair, prepares annual report of Council actions during the past year and continuing issues. Report distributed to Council in the Fall.  
(Article 5.B.4)

Executive Board begins planning for the year. The Board should:

1. Identify continuing and new issues.
2. Review Faculty Committee annual reports and future goals and objectives of each Committee.
3. If necessary prepare special charges to Faculty Committee for work to be done.

#### **September**

Orientation of new Council members. Review Council procedures.

Council establishes priorities, goals and objectives for the year.

Chair-Elect meets with Chairs of Faculty Committee to establish communication and yearly goals for each Committee. Committees should send agendas, minutes and reports to the Chair-Elect.

Council prepares response to recommended budget assumptions from the IPC.

Council determines topics and dates for Fall and Spring Faculty meetings.  
(Article 5.E.5)

#### **October**

Council receives recommendations from the Faculty Compensation Committee concerning salary increments and acts on these recommendations.

#### **November, December**

Council responds to IPC budget recommendations.

#### **January, February**

Chair-Elect requests action items and annual reports from Faculty Committee Chairs.

Executive Board schedules Council action on issues from Faculty Committees. Annual Committee reports should be circulated to the Council and, as needed, be calendared for Council action in the spring.

**March, April**

Council formulates its recommendations for budget priorities and forwards them to the IPC.

**May**

**Appendix 3.2 Election Calendar**

**June**

New Chair, new Executive Board, new Council members and new Faculty representatives on Faculty and Joint Committees take office on June 1. (Article 5.D.6)

**July, August, September**

Council Chair appoints a parliamentarian.

**October**

Chair-Elect determines the list of Faculty and Joint Committee positions which must be filled in the spring semester. Notification should be sent to the appropriate nominating bodies for each Committee requiring replacements. Nominations should be completed during October.

**November**

Chair- Elect administers the schedule for elections of new faculty representatives to Faculty and Joint Committees for the spring semester. Elections should be completed in November. (Article 5.D.5)

**December, January**

New Faculty representatives on Faculty and Joint Committees with spring term appointments assume office on January 1 (Article 5.D.6)

Chair-Elect certifies the list of Voting Faculty and the number of faculty representatives allocated to each College and School (Article 5.A.2.1)

Chair-Elect notifies College and School Faculty Chairs of the number of Council representative to be elected for following year.

**February**

Professional Relations Committee circulates annual survey of faculty interest in service on Faculty and Joint Committees.

**March**

Colleges and Schools elect new Council representatives.

Past-Chair calls for nominations for Chair-Elect and circulates a list of nominees one week before the meeting to hold elections. Additional nominees may be added from the floor of the election meeting. (Article 5.D.3)

Chair-Elect determines the list of Faculty and Joint Committee positions which must be filled in the next Academic year. Notification should be sent to the appropriate nominating bodies for each Committee. Nominations should be completed during March.

## **April**

Past-Chair holds a special meeting of new and continuing voting members of the Council to elect next Chair-Elect of the Council (Article 5.D.3)

Past-Chair calls for nominations for the Executive Board and circulates a list of nominees one week before the meeting to hold elections. Additional nominees may be added from the floor of the election meeting. (Article 5.D.4)

Chair- Elect administers the schedule for elections of new faculty representatives to Faculty and Joint Committees. Elections should be completed in April. (Article .D.5)

## **May**

Past-Chair holds a special meeting of new and continuing voting members of the Council to elect the next Executive Board at first Council meeting (Article 5.D.4).

Terms of office of Council Chair, Executive Board members, Council representatives, and Faculty representatives on Faculty and Joint Committees expire on May 31.

### **5.3 College and School Governance**

#### **5.3.1 The College**

#### **5.3.2 Conservatory of Music**

#### **5.3.3 School of Dentistry**

#### **5.3.4 McGeorge School of Law**

#### **5.3.5 Benerd School of Education**

#### **5.3.6 Thomas J. Long School of Pharmacy and Health Sciences**

#### **5.3.7 University Library Faculty**

#### **5.3.8 School of Engineering**

#### **5.3.9 Eberhardt School of Business**

#### **5.3.10 School of International Studies**

These sections are under development pending review of College and School Governance systems.



## Chapter 6. University Committees

### 6.1 University Committee Structure

Approved by Academic Council on April 25, 2002, Administration on April 24, 2002, Revised by Academic Council on May 12, 2016 and Administration on April 8, 2016

The primary way in which the expertise of the members of the University community can be utilized for decision making and in which the perspectives of the diverse constituencies within the University are incorporated into decision making is through the committee system.

Committees are classified as "faculty", "administrative" or "joint constituency" depending on whether they are responsible to the faculty through the Academic Council, to an administrative officer or to multiple constituencies.

The body or administrator to whom the committee is responsible shall have the power to charge a committee to accomplish a certain task and to receive reports from that committee.

In the case of joint constituency committees, the bodies and the administrative officers to whom the committee reports should establish a common charge to the committee even before the approval process begins. The constituency proposing the new committee has responsibility for tracking the approval process. In the case of amendments to existing committees, the constituency that proposes the change has responsibility for tracking the approval process and ensuring formal written approval by both faculty and administration. Each stage in the amendment process should allow reasonable time to vet proposed changes and should be accompanied by an explanation for the proposed changes.

All represented constituencies will receive the report of the committee.

Membership on committees should be governed by the following principles:

1. Committee membership should represent those constituencies most involved with the function governed by the committee;
2. Committee members shall be selected as described under Committee Descriptions by the constituency they represent;
3. Committees should have as few members as possible. If a member is both elected to a committee and serves by virtue of his/her office, he/she shall have only one vote;
4. Each committee elects its own chair unless otherwise stated under Committee Descriptions, and is encouraged to also select both a chair and a chair-elect; the election should take place at the last meeting of the current academic year. Faculty committees should be chaired by faculty members.

Table 6.1 lists the committees and shows the general structure of each, including committee type, representation, election process, body who formulates charge and to whom report is made, etc.

In addition to the committees listed in Table 6.1, the faculty of each unit (School, College, or Library) should elect its own governance body; examples are the COP Council and the Engineering Council. These unit governance bodies are charged with establishing and approving unit policies, electing all faculty representatives from that unit, working jointly with the Dean of the unit to improve the unit and maintaining liaison with the all-University governance structure.

For each committee description, the letters in parentheses following each committee name indicate whether it is a faculty (F), administration (A) or joint (J) committee and whether the membership is drawn from throughout the University (U) or from only the Stockton campus. (S)

**TABLE 6.1 Overview of Committee Structure**

Faculty Representatives									
Committee	Section	Type	Charged by	Report to	Voting Members	Nominated by	Elected by	Terms	Determination of Chair
Academic Affairs Committee on Graduate	6.2.4	Faculty	AC	AC	15	Unit	Unit	3 yr/over	Comm Elect
Academic Affairs Committee on	6.2.1	Faculty	AC	AC	13	Unit	Unit	3 yr/over	Comm Elect (faculty)
Academic Facilities Improvement Committee	6.3.6	Joint	Provost	Provost	9	AC	AC	3 yr/over	Comm Elect (faculty)
Academic Regulations Committee	6.4.1	Admin	Provost	Provost	15	Unit	Unit	3 yr/over	The Registrar
Admissions and Financial Aid Committee	6.2.2	Faculty	AC	AC	12	Unit	Unit	3 yr/over	Comm Elect (faculty)
Athletic Advisory Board	6.3.1	Joint	President	President	13	PRC	Faculty	3 yr/over	Appt by President
Commencement Speakers Committee	6.3.7	Joint	President	President	9	AC	AC	2 yr/over	Comm Elect (faculty)
Committee for Academic Planning and	6.2.3	Faculty	AC	AC	12	Unit	Unit	3 yr/over	Comm Elect (faculty)
Council on Teacher Education	6.2.5	Faculty	AC	AC	11	Unit	Unit	3 yr/over	Comm Elect
Educational Equity Programs	6.3.2	Joint	Provost	Provost	14	PRC	AC	2 yr/over	Appt by VPSL
Faculty Compensation Committee	6.2.6	Faculty	AC	AC	9	Unit	Unit	3 yr/over	Comm Elect
Faculty Grievance Committee	6.2.7	Faculty	PRC	Unit	16	PRC	Faculty	3 yr/over	Comm Elect
Faculty Research Committee	6.2.8	Faculty	AC	AC	12	Unit	Unit	3 yr/over	Comm Elect
General Education Committee	6.2.9	Faculty	AC	AC	14	Unit	Unit	3 yr/over	Comm Elect
Information Strategy and Policy Committee	6.3.4	Joint	Provost	President	9	Appt by Pres	AC	1 yr/over	Provost
Institutional Animal Care and Use Committee	6.4.7	Admin			8	Appt by Provost			Provost
Institutional Effectiveness Committee	6.3.8	Joint	Provost		17		AC	3 yr/over	Comm Elect (faculty)
Institutional Priorities Committee	6.3.3	Joint	President	President	13	PRC	AC	3 yr/over	Provost
Institutional Review Board	6.4.6	Admin							
International Programs and Services Committee	6.2.15	Faculty	AC	AC	11	Unit	Unit	3 yr/over	Comm Elect
Library Committee	6.2.10	Faculty	AC	AC	13	Unit	Unit	3 yr/over	Comm Elect
Professional Relations Committee	6.2.11	Faculty	AC	AC	8	AC	Faculty	3 yr/over	Comm Elect
Promotions and Tenure Committee	6.2.17	Faculty	Provost	Provost	9	PRC	Faculty	3 yr/over	Comm Elect
Strategic Planning Committee	6.3.9	Faculty	AC	AC	10	PRC	AC	3 yr/over	Appt by AC Chair
Student Academic Grievance Board	6.2.12	Faculty	AC	Appt	7	PRC	AC	3 yr/over	Appt by AC Chair
Student Conduct Review Board	6.4.2	Admin	VPSL	VPSL	21	AC	VPSL	2 yr/over	Comm Elects student
Student Media Board	6.4.5	Admin	AC	AC	10	AC	AC	3 yr/over	VPSL
Sustainability Committee	6.4.8	Joint	Provost	Provost	12	PRC	Faculty	3yr/over	Provost
Technology in Education Committee (TEC)	6.2.16	Admin	President	President	<12	AC	President	3 yr/over	President
University Assessment Committee	6.3.10	Faculty	AC	AC	9	Unit	Unit	3 yr/over	Comm Elect
University Awards Committee	6.2.14	Joint	Provost/AC	Provost/AC	18	AC	AC	3 yr/over	Provost/AC Consult
University Compensation Committee	6.3.5	Faculty	AC	AC	5	PRC	AC	3 yr/over	Comm Elect
University Diversity Committee	6.3.11	Joint	VPBF	VPBF	7	Various	AC	2 yr/over	Dir of HR
University Facilities Committee	6.4.4	Joint	AC & President	AC & President	17	Various	Various	3 yr/over	Comm Elect (faculty)

## **6.2 Faculty Committees**

Approved by Academic Council

In accordance with Article 7.2 of the Bylaws of the Faculty and the Academic Council, the Council has established the following Faculty Committees.

### **6.2.1 Academic Affairs Committee on Undergraduate Studies (F, U)**

Approved by Academic Council on September 23, 1993; revised April 16, 2014, revised September 2015, revised and approved on December 8, 2016; Revised September 14, 2017; Revised May 17, 2019

The Academic Affairs Committee on Undergraduate Studies is responsible for defining and formulating undergraduate curricular policies of the University. It reviews and approves undergraduate curricular proposals, including new and revised programs, new locations or modalities, addition, revision and deletion of courses, changes in course sequencing, credit hours, and course descriptions.

The Academic Affairs Committee on Undergraduate Studies receives undergraduate curricular proposals only after they have been approved by the appropriate faculty committee and Dean of the school or college recommending the curricular change. The Academic Affairs Committee on Undergraduate Studies recommends the University calendar for the University of the Pacific. In addition, the Academic Affairs Committee on Undergraduate Studies approves name changes of undergraduate academic departments.

The Academic Affairs Committee on Undergraduate Studies has eleven voting members: Nine faculty members, each elected by their respective faculties, as follows: one each from the Conservatory of Music, Eberhardt School of Business, School of Engineering and Computer Science, School of International Studies, Benerd School of Education, and the Long School of Pharmacy and Health Sciences; three from the College of the Pacific (representing the natural sciences, social sciences and humanities). Faculty members are elected for three year staggered terms. The Provost or Provost designee is also a voting member.

Two undergraduate students appointed by ASUOP. The ex-officio, nonvoting members are: all academic deans; the Director Admissions or designee; the University Registrar or designee; the University Librarian or designee; the Vice President for Student Life or designee. The Chair is elected from among the faculty members on the committee.

### **6.2.2 Admissions and Financial Aid Committee (F, S)**

Approved by Academic Council on April 13, 2000; revised April 16, 2014, Revised May 12, 2016 and February 16, 2017

The Admissions and Financial Aid Committee is a Faculty Committee which reviews and recommends policies governing admissions to the undergraduate programs of the University.

The Committee reviews and recommends policies for the awarding of financial aid to undergraduate students.

The Admissions and Financial Aid Committee shall have the following voting members:

Seven faculty elected by their Colleges and Schools for three-year overlapping terms distributed as follows:

- Two faculty from the College of the Pacific, each from a different division of the three divisions of the College: Humanities, Natural Sciences and Social Sciences or SIS;
- Five faculty representatives, one from each of the following professional schools: Benerd School of Education, Conservatory of Music, Eberhardt School of Business, School of Engineering, Long School of Pharmacy and Health Sciences;

One student appointed by ASUOP;

Assistant Vice Provost and Director of Admissions;

The Assistant Vice Provost and Executive Director of Financial Aid;

The Associate Vice President and Vice Provost for Enrollment Management shall serve as an ex-officio non-voting member.

The Academic Chair of UOP International shall serve as an ex-officio, non-voting member.

The Committee shall select a faculty member to chair the Committee.

### **6.2.3 Committee for Academic Planning and Development (CAPD) (F, S)**

Approved by Academic Council on December 10, 1998, Revised December 16, 2005, Approved by Academic Council on February 9, 2006, Revised and approved by Academic Council and Administration on November 12, 2009; revised April 16, 2014

This faculty committee has primary responsibility for the encouragement of the professional development of faculty as teachers and it will serve as an advisory board for the Pacific Center for Teaching and Learning. The committee will work in consultation with the Office of the Provost in carrying out the following responsibilities:

1. Grant awards for development of teaching.
2. Participate in the review of the Faculty Development Leave Program in conjunction with other appropriate committees.
3. Serve in an advisory capacity to the Center for Teaching and Learning.

This committee consists of eleven full time members of the faculty (three from COP - one each from social science or SIS, natural science, and humanities), and one each from the seven professional schools of the University and one from the Library nominated and elected by the school or unit they represent. The Director of the Center for Teaching and Learning will serve as an ex-officio non-voting member of the committee. The committee elects its chair annually from the faculty members of the committee.

#### **6.2.4 Academic Affairs Committee on Graduate Studies (F, U)**

Approved by Academic Council on April 27, 2000; revision submitted for approval October 2016, revised and approved on December 8, 2016; revised on October 12, 2017; revised May 3, 2019

The Academic Affairs Committee on Graduate Studies (AACG) is charged with maintaining the quality of the graduate education, and with reviewing, formulating, and approving policies and practices affecting graduate education at the University of the Pacific.

With respect to curricular issues, it reviews and approves graduate curricular proposals, including the establishment of new programs, revision of existing programs, new locations or modalities, addition, revision and deletion of courses, changes in course sequencing, credit hours, and course descriptions. The charge does not include approval of curricular and program changes of Pacific's three professional programs (DDS, JD, and PharmD). The AACG receives graduate curricular proposals only after they have been approved by the appropriate faculty committee and dean of the school or college recommending the curricular change and schools/colleges affected by the proposal. The AACG recommends the University calendar for the University of the Pacific. In addition, the AACG approves name changes of graduate academic departments. The AACG committee has eleven voting members: Nine faculty members, each elected by their respective faculties for three-year staggered terms, as follows:

One each from:

- Conservatory of Music;
- Eberhardt School of Business;
- School of Engineering and Computer Science;
- Benerd School of Education;
- Long School of Pharmacy and Health Sciences;
- College of the Pacific (natural sciences);
- College of the Pacific (social sciences);
- The Dugoni School of Dentistry; and
- The McGeorge School of Law

Two additional voting members will be:

- The Provost or designee; and
- A graduate student appointed annually by the Asuop

The following ex-officio nonvoting members will be included: the academic deans; the director of Admissions or designee, the University Registrar or designee, the University Librarian or designee, and the Vice President for Student Life or designee.

### **The Role of the Dean of the Graduate School**

The Dean of the Graduate School may attend meetings at the Dean's discretion, does not vote, and is not an ex-officio member. The Dean of the Graduate School serves as both a consultative client and a resource for AACG.

The Chair is elected from among the faculty members on the committee.

### **6.2.5 Council on Teacher Education (F, S)**

Approved (before 1980) by Academic Council

The Council on Teacher Education is charged with the definition and coordination of the University's approved programs of teacher preparation and licensing. Its specific functions include:

- a. Recommending policy to the School of Education covering the baccalaureate degree programs as they relate to the basic teaching credentials;
- b. Developing and interpreting programs for the multiple-subject, single-subject, and other basic teaching credentials, subject to review by the Dean of the School of Education.
- c. Coordinating the advising of all candidates for the multiple-subject, single-subject, and other basic teaching credentials in cooperation with the Dean of the School of Education.

Council membership consists of nine faculty elected by their respective Schools or Colleges: four from the College of the Pacific (including one from Sports Sciences); one from the Conservatory of Music; and four from the School of Education. Faculty members are elected for three-year overlapping terms, with one-third being replaced every year. Two students are members (one Multiple Subject candidate, one Single Subject candidate). These students are nominated by the Chair of the Curriculum and Instruction Department of the School of Education prior to the first Fall meeting of the Council. The Dean of the School of Education and the Associate Dean of the College of the Pacific are ex officio, nonvoting members of the Council. The nine faculty members select the Council on Teacher Education chair and the chair-elect from among themselves.

### **6.2.6 Faculty Compensation Committee (F, U)**

Approved (before 1980) by Academic Council; Revised and approved by Academic Council April 12, 2012; revised April 16, 2014; revised March 8, 2018

The Faculty Compensation Committee is charged with representing the faculty on the Stockton, San Francisco and Sacramento campuses in originating, reviewing, or consulting on all matters related to faculty compensation. Matters related to compensation of faculty are referred to the

Faculty Compensation Committee for consultation. The Faculty Compensation Committee chair or designate is an ex-officio member of the Academic Council and is responsible for transmitting the recommendations of the Faculty Compensation Committee to the Academic Council.

The Faculty Compensation Committee is composed of nine faculty members from the Stockton, San Francisco and Sacramento campuses. There are three representatives from the College of the Pacific, one from each division in the College; and one representative from each of the other schools and colleges on the Stockton campus plus one from the Library and one representative each from San Francisco and Sacramento. These representatives are nominated and elected by their respective faculties for three-year overlapping terms. It is to be hoped that there will always be representatives of the several ranks on the committee. The chair is elected by the committee from among the membership. Terms of office begin in Fall Semester.

### **6.2.7 Faculty Grievance Committee (F, U)**

Approved (before 1980) by Academic Council, Provost on April 24, 2002, revised by Academic Council December 14, 2017 and by Provost on August 28, 2018.

The Grievance Committee consists of sixteen members elected from among faculty members nominated by the Professional Relations Committee.

Eight members are from the Stockton campus, four from the Sacramento campus, and four from the San Francisco campus.

The members are elected on each campus by the voting faculty of each campus, and members serve four-year staggered terms.

The members on the Stockton campus are distributed as follows: a total of three from the College of the Pacific and the School of International Studies, and one each from the Conservatory of Music, the Eberhardt School of Business, the Benerd School of Education, the School of Engineering and Computer Science, and the Thomas J. Long School of Pharmacy and Health Sciences.

After serving on the Grievance Committee, members shall remain eligible for an additional five years, to serve on either an Advisory Committee or a hearing panel.

The Chair is responsible for convening the Grievance Committee at least once per semester. The Grievance Committee shall meet in the spring semester to evaluate the operation of grievance procedures, and propose appropriate revisions to the system as needed, and to elect a Chair-Elect. The Chair-Elect may be any member of the Grievance Committee who has at least two additional years of service on the committee. The Chair-Elect serves a two year term: the first year as Chair-Elect and the second year as Chair.

To promote integrity and efficiency of the grievance process, committee members must emphasize and maintain confidentiality to the greatest extent possible. Information obtained through the investigative process should not be shared with any unauthorized persons.



The Grievance Committee will adopt and publish rules consistent with these Grievance and Disciplinary Procedures for faculty described in Section 7.11.2, specifying such details as the time and manner in which the actions called for by these procedures are to be carried out, the extent and nature of pre-hearing exchanges of exhibits and intended testimony, and the way in which a record of proceedings is to be maintained.

The Grievance Committee will have the authority to adopt and publish rules to assure that the Advisory Committees described in Section 7.11.2 carry out their duties in a manner that gives affected faculty members a fair opportunity to present relevant information, both in writing and by such additional methods as may be called for by the circumstances.

See Section 7.11.2 and 7.12 for a full description of the relevant procedures.

### **6.2.8 Faculty Research Committee (F, S)**

Approved (before 1980) by Academic Council; revised April 16, 2014

The Faculty Research Committee reviews and recommends policies and practices affecting research; it allocates University Scholarly Activity Grants in conjunction with the Office of the Provost. Moreover, it selects recipients of the Eberhardt Summer Research Grants, chooses the annual Faculty Research Lecturer and participates in the review of the Faculty Development Leave Program.

The committee is composed of one representative from each of the divisions of the humanities, natural sciences, social and behavioral sciences, and the School of International Studies in the College of the Pacific, one representative each from the other schools and colleges on the Stockton Campus. The representatives are nominated and elected by the faculties of their respective schools and colleges for three-year overlapping terms. The Dean of the Graduate School sits on the committee as an ex officio voting member as well as representatives from the Office of the Provost and the Office of the Chief Financial Officer. The Chair is elected from among the faculty members of the committee.

### **6.2.9 General Education Committee (F, S)**

Approved (before 1980) by Academic Council; Revision approved by Academic Council on February 9, 2012; revised April 16, 2014; Revised January 4, 2019

The General Education Committee is responsible for oversight of the University General Education Program. The General Education Committee is a committee of the Academic Council. The committee refers any major revisions in the General Education program to the Academic Council for approval and recommendation to the Provost.

The oversight functions of the committee include:

- Defining the curricular policies of the all-University General Education Program
- Establishing University-wide minimum general education requirements
- Establishing criteria for courses in the General Education Program
- Certifying and decertifying courses in the General Education Program
- Reviewing periodically courses in the General Education Program

- Defining standards and policies for the Fundamental Skills Requirements of the General Education Program
- Planning assessment approaches for the General Education Program
- Selecting annually the Thomas J. Long Foundation General Education Scholars (students) and Fellows (faculty)

The membership of the Committee consists of faculty representatives elected by their schools and colleges for three year staggered terms as follows:

The following are voting members of the committee:

- One representative each from the Benerd School of Education, Conservatory of Music, Thomas J. Long School of Pharmacy and Health Sciences, School of Engineering and Computer Science, Eberhardt School of Business, and the Library.
- Three representatives from the College of the Pacific, each from a different division.
- One student also serves as a voting member of the committee. The student representative of the committee is appointed by ASUOP or the General Education Committee if ASUOP is not forthcoming in appointing a representative.

The following are ex-officio non-voting members of the committee:

- One representative from each of the Pacific Seminars, appointed by the Director of General Education based on the recommendations from each of the Pacific Seminar Planning committees, with the approval of the General Education Committee for one year terms.
- The Director of General Education is an ex-officio non-voting member of the committee.

### **6.2.10 Library Committee (F, U)**

Approved (before 1980) by Academic Council; Revised and approved by Academic Council May 3, 2012; revised April 16, 2014

The University of the Pacific Faculty Library Committee is the primary body designed to encourage and facilitate faculty utilization of and planning for library services. The committee communicates to the University community the needs, problems, and the progress of library services. The committee may make recommendations with regard to Library services, facilities, budget, and personnel.

The Library Committee consists of the following members: Three from the College of the Pacific, representing the humanities, natural sciences, and social and behavioral sciences or SIS; and one from each of the professional schools on the Stockton campus plus one from the Dugoni School of Dentistry (faculty members are nominated and elected by their respective faculties for three-year overlapping terms. Faculty members are replaced so as to maintain the balanced representation described above); a graduate student named by the Graduate Students' Association and an undergraduate student named by ASUOP are appointed for one-year terms.

The Dean of the Graduate School, the Dean of the University Library, the Assistant Dean of the Law Library, and the Convener of the Library Faculty are ex officio, voting members.

### **6.2.11 Professional Relations Committee (F, S)**

Approved (before 1980) by Academic Council

The Professional Relations Committee initiates and recommends, reviews, and monitors policies on all matters that affect the professional activities of the faculty of the University. Where deviations from all-University policy are perceived by the committee, these are reported to the Academic Council for action. Specific duties are as follows:

- a. Recommends changes in all-University procedures for faculty evaluations. Receives recommendations concerning standards and procedures for faculty evaluation from the Committee on Promotions and Tenure;
- b. Recommends all-University guidelines for the administration of personnel practices and professional activities as necessary and reviews the procedures and practices of each school and college;
- c. Nominates committee personnel for those University committees elected by the Academic Council from the faculty at large, with the exception of the Professional Relations Committee. The Professional Relations Committee will present nominations for University committees in the Spring so that a single ballot for those committees may be distributed and the elections held about mid-May. Those elected will begin their committee appointment(s) in September of the year, or earlier if special duties are requested;
- d. Studies other problems related to the professional stature of the faculty as suggested by the Academic Council.

The committee reports to the Academic Council.

The Professional Relations Committee will be composed of eight members; three from the College of the Pacific, three from professional schools, and two members at large, one of whom shall be representing graduate programs. The members will be nominated by the Academic Council and elected by the faculty. Members are elected for three-year overlapping terms so that one-third of the membership is elected each year.

### **6.2.12 Student Academic Grievance Board (F, S)**

Approved (before 1980) by Academic Council, Revised October 14, 2004; Revised November 10, 2011; Revised February 14, 2013

#### **Introduction**

To protect a student against prejudiced or capricious academic practices or examination, principles of fundamental fairness for academic grievances must be assured.

To this end, the University of the Pacific establishes the Student Academic Grievance Board, which shall hear all cases relating to academic grievances for undergraduate and professional students on the Stockton campus of the University.

In addition, students shall be assisted through the process by a Student Advocate and Faculty Advocate.

### **Board Membership and Staff**

The Student Academic Grievance Board shall be comprised of three faculty members nominated by the Professional Relations Committee and approved by the Academic Council to serve three-year staggered terms and three students from the Student Conduct Review Board to be appointed by the Director of Student Conduct and Community Standards (Student Conduct) in consultation with the President of ASUOP, to serve one-year terms. The Director of Student Conduct or his or her designee shall convene the Board and ensure that fundamental fairness of the process is protected. Individuals may be reappointed to the Board for no more than two consecutive terms.

The Faculty and Student advocates will be selected from the Board. The remaining two faculty members and one student member will form the hearing panel for the specific case. A Faculty Advocate will meet with the aggrieved student and the Student Advocate, and advise the student in the preparation of evidence necessary to support his/her complaints.

Both the instructor and the student shall have the right to one preemptory challenge of a member of the panel or the Advocate team.

Any individual challenged shall be replaced on the panel by a member of the Judicial Review Board, to be appointed by the Director of Judicial Affairs.

### **Focus of the Proceedings**

The grievance procedure is primarily intended to address allegations about unfair assignment or course evaluation. However, allegations about other academic matters will be reviewed, such as advising errors, exclusion from a final examination, or refusal to allow a make-up examination or to submit a late paper.

Grievances must be based on objectively demonstrable evidence regarding an instructor's academic practices. For example, the basis for a grade grievance may exist if the evaluation of the student was different than other students in the course and can be documented or if a grade is assigned in a manner other than the prescribed method in the course syllabus or assignment.

Situations requiring accommodations must be disclosed and verified at the beginning of the course. Accommodations are not retroactive.

Issues relating to academic dishonesty and other violations of the University's Honor Code and Student Code of Conduct are separate from the Student Academic Grievance Board.

Students are encouraged to keep all documents related to the grievance until the grievance has been resolved.

### **6.2.13 Student Faculty Advocate Board (F, S)**

Approved (before 1980) by Academic Council; Deleted November 10, 2011 by Academic Council

### **6.2.14 University Awards Committee (F, S)**

Approved (before 1980) by Academic Council

The University Awards Committee is responsible for the screening, evaluation, and recommendation of candidates for University honors such as:

- a. Honorary degrees;
- b. Order of Pacific;
- c. Distinguished Faculty Award

The committee shall circulate a timetable and information on the nominations in appropriate form to all members of the University community. Candidates for Honorary Degrees are recommended by the committee to the Academic Council.

The University Awards Committee is composed of five members with three-year overlapping terms. Two administrators are appointed by the President. Three faculty members are nominated by the Professional Relations Committee and elected by the Academic Council. Each member of the committee shall have given long service to the University and have a sense of the traditions of the University. No one shall be eligible for one of these awards while serving on the committee. The members of the committee elect the chair of the committee.

### **6.2.15 International Programs and Services Committee (F, S)**

by Academic Council 2004; Revised October 12, 2017

The International Programs and Services Committee is the primary body designed to ensure the quality of educational experiences of international students coming from abroad to study at Pacific and of all Pacific students abroad. Such experiences include international internships, fieldwork, faculty-led programs, any summer or semester or year abroad academic program as well as other types of international programs or courses.

The Committee reviews and makes recommendations to the Director of International Programs and Services about all practices and policies affecting international education.

The International Programs and Services Committee is charged with academic review and approval of new study abroad programs and deletion of existing study abroad programs.

The committee will report on an annual basis to the Academic Council.

The International Programs and Services Committee will consist of the following members:

- One faculty member from each of the three divisions of the College of the Pacific
- One faculty member from the School of International Studies
- One faculty member from each of the following: Benerd School of Education, Conservatory of Music, Eberhardt School of Business, School of Engineering & Computer Science, Arthur A. Dugoni School of Dentistry, McGeorge School of Law, Thomas J. Long School of Pharmacy & Health Sciences

These faculty are to be nominated and elected by each unit to serve three year overlapping terms.

Committee will elect its own chair and chair-elect from among its voting members.

The ex-officio voting members are:

The Director of International Programs and Services

A representative appointed by the office of University Risk Management

A representative appointed by the Office of Student Life

The Academic Chair of UOP International

#### **6.2.16 Technology in Education Committee (F, U)**

Approved by Academic Council on October 12, 2006; revised April 16, 2014, Revised and approved by Academic Council on March 10, 2016

This faculty committee has primary responsibility of providing recommendations to the Academic Council, the Information Strategy and Policy Committee (ISPC), Pacific Technology, and the participating academic units concerning the use of instructional technology and services to support teaching, to promote student learning, and advance scholarship and support research. The committee will serve as the faculty advisory board for carrying out the following responsibilities:

- Grant awards for Technology in Education Committee-related activities
- Recommend and prioritize project initiatives and activities pertaining to the advancement of teaching, learning, and scholarship using information technology
- Continuously review the role of central computing related to teaching, learning and scholarship and, as appropriate, recommend policy, procedure, resource allocations and specific projects for consideration and approval
- Serve as a communication conduit between ISPC, Pacific Technology, The Academic Council, and the academic units for the purpose of keeping all parties informed of activities and needs
- Serve as a forum for the exchange of ideas related to the use of technology for teaching, learning and scholarship

- As appropriate, facilitate multi-unit partnerships both within and outside the realm of central computing

## **Membership**

The voting membership of the Technology in Education Committee (TEC) will be composed of nine full time faculty members representing (one each) the College, each of the seven professional schools, and the Library. Membership on the Committee will be nominated and elected by the academic units they represent. Academic Units are encouraged to have the Chairs of their “Technology Committees” serve as members on the TEC. In all cases, members on the TEC should be highly knowledgeable of the needs of the faculty whom they represent, relative to the technological needs important for the advancement of teaching, learning and scholarship. Members will be elected for staggered three-year terms. The chair and chair-elect of the committee will be elected from faculty members on the TEC. The chair-elect will assume the office of committee chair on June 1 and a new chair-elect will be elected each April – May. The Chair is a standing member of the Information Strategy and Policy Committee (ISPC). The Director of CTL, the Senior Associate Dean of the College, and CIO appointed representative of Pacific Technology will be non-voting, ex officio members. The Committee may also invite additional ex officio members who are knowledgeable in technological matters related to teaching, learning or scholarship within the academic units.

### **6.2.17 Promotions and Tenure Committee (P&T) (F, U)**

Approved by Academic Council, Faculty and Administration Spring, 2004; revised April 16, 2014; revised by Academic Council on December 14, 2017 and approved by Administration on June 18, 2018, future revisions solely by Academic Council; revised May 17, 2019

The Promotions and Tenure Committee (the Committee) is responsible for rendering recommendations to the Provost and to the President concerning cases of individual promotion and tenure.

The Committee will receive from the Provost the approved procedures for evaluations from each school and college, the list of persons from each unit eligible for consideration in a given year, and the recommendations for promotions and tenure from each unit.

The Provost is responsible for setting the timetable for actions on promotions and tenure in the schools and colleges and the Committee on Promotions and Tenure. The Committee will review the actions of each unit to assure conformity to that unit's individually adopted procedures and standards and to University-wide procedures and standards.

In order to maintain consistent standards for promotions and tenure, the Committee may recommend changes in such procedures and standards to the individual units and to the Professional Relations Committee.

If a change in the standards occurs prior to the year of a candidate's tenure and/or promotion review, the decision will be based on the standard at date-of-hire unless professional accreditation of programs require a prompt change or the candidate chooses the new standards. Promotion to full professor review will follow the new standards if changes to standards occur outside of the two years prior to the candidate's promotion to full professor. This policy also applies to approved revisions of unit guidelines. When changes are made either at the University level or at the unit level, the unit must assist faculty to make the transition to the new standards in an equitable manner.

With respect to individual cases, after all approved procedures for evaluation are completed in each school or college in accordance with the designated timetables, the Provost will bring to the Committee the recommendations from each Dean. The candidates have a right to review and respond to all information sent to the Promotion and Tenure Committee. The Committee will review each case. The Committee must report all recommendations to the Provost.

The Committee may recommend that promotion or tenure be granted, or it may return the matter to the forwarding unit for further consideration, documentation, or compliance with University procedures or standards; or it may recommend that promotion or tenure not be awarded.

The University considers candid evaluations and reviews to be of the utmost importance to the integrity and efficiency of its promotion and tenure process. To promote this goal, confidentiality must be and will be emphasized and maintained to the greatest extent possible. Information obtained through the promotion and/or tenure evaluation process should not be shared with any unauthorized persons. Committee members who are found to have intentionally disclosed information obtained through the promotion and tenure process, including but not limited to, promotion and tenure evaluations may be removed from the Committee and prohibited from taking part in future promotion and/or tenure committees.

With the exception of evaluations done by non-University reviewers (i.e., reviewers not employed by the University), if returned to the forwarding unit for further consideration and to the Committee, candidates have the right to review and respond to all information sent to the Promotion and Tenure Committee. Candidates have the right to review redacted evaluations done by non-University reviewers. Should a candidate provide a written request for reasons for denial of tenure and/or promotion,



the Provost will provide such reasons after consultation with the Promotion and Tenure Committee. The candidate may request that the reasons be provided in writing. If so requested, the information will be provided in writing.

The Committee is composed of the following members: Nine tenured faculty members chosen as follows:

- Three from the College of the Pacific, one from each Division.
- One from the Sacramento Campus
- One from the San Francisco Campus
- Four from any combination of the Schools and/or the Library, however no two of them shall be from the same School.

The faculty members are nominated by the Professional Relations Committee and elected by the faculty at large for three year overlapping terms. No faculty member may be elected to serve for two consecutive terms. In making nominations, the balance of the committee should be kept in mind to ensure experimental science expertise and clinical education expertise is maintained if not identified in other representatives.

The Committee shall elect its own chair from among the faculty members. The Chair shall have served on the Committee for at least one year. The Academic Council's administrative support will provide staff support for the Committee.

A designee of the Provost who is a tenured faculty member shall serve as the Provost Office Liaison to the committee. The Provost Office Liaison shall provide support to the committee in matters such as:

- Ensuring that committee members have access to electronic candidate dossiers.
- Ensuring technology support to enable remote communication between committee members at all three campuses.
- Assisting the committee in securing clarifying information from forwarding units as needed.
- Serving as a resource person on matters concerning university policies and procedures.
- Attending meetings as needed upon request from the committee chair.

In its final meeting each academic year, the Committee should discuss any units that are significantly in non-compliance with University guidelines for the evaluation of faculty. The Committee should develop a specific description of the issue and report this to the Provost Office Liaison, who will follow up with the Dean of the unit to

insure practice and procedures are brought into compliance with University guidelines.

### **6.3 Joint Administration Faculty Committees**

#### **6.3.1 Athletic Advisory Board (J, S)**

Approved by Academic Council, Administration on December 1, 1997

The Board advises the President concerning the conduct of the athletics program under the policies of the University and acts as a hearing committee for the Director of Athletics. The Board evaluates and monitors the NCAA rules education and compliance programs of the athletics program.

The Athletics Advisory Board is composed of ten faculty members from the Stockton campus, the NCAA institutional representative, the President of the Pacific Student-Athlete Council, and one student appointed by ASUOP: at least 50% of the faculty membership must be tenured. Five of the faculty members are nominated by the Professional Relations Committee and elected by the University faculty at large for three-year staggered terms. Five of the faculty members are appointed by the President for three-year staggered terms. If the NCAA institutional representative is a faculty member then the representative will be a voting member; if not a faculty member then the representative will be an ex officio member of the Board. The chairperson is appointed by the President. The Athletic Director, Associate and Assistant Athletic Directors, Athletic Academic Advisor, and a representative chosen by the Pacific Coaches Council shall be ex officio, non-voting members of the Board.

#### **6.3.2 Educational Equity Programs (SUCCESS & Community Involvement Program) Advisory Board (J,S)**

Approved (before 1980) by Academic Council, Administration, Revised November 2001; Revised November 11, 2004, Revised December 13, 2007, Revised August 2, 2017

The Educational Equity Programs Advisory Board will advise the Vice President for Student Life on the matters of the programs.

The Educational Equity Programs Advisory Board is composed of the Executive Director of the Educational Equity Programs, Director of Community Involvement Program, two student representatives: two students from the Educational Equity Programs, two faculty representatives (two-year staggered), two representatives from Admissions Office, Financial Aid Officer, Delta College Educational Opportunity Service representative, two EEP Alumni, and two Community representatives. Faculty members are elected by Academic Council.

EEP students will be elected by EEP students once a year at the end of the Spring Semester. Community representatives and EEP Alumni will serve for two years (staggered) and will be nominated by current community representative/EEP Alumni and the Vice President of Student Life.

The Chair will be appointed by the Vice President of Student Life. The positions will be held from August 1<sup>st</sup> to July 31<sup>st</sup>.

### **6.3.3 Institutional Priorities Committee (IPC) (J, U)**

Approved by Academic Council on May 16, 1996, President May, 1996, Revised May, 1997, Revised April, 2011

The Institutional Priorities Committee (IPC) is the primary strategic planning and budgeting group of the University and serves as a principal advisory body to the President regarding the resourcing of University priorities. Regular, periodic consultation by the IPC with faculty, administration, staff and students is essential. The committee is delegated to oversee strategic planning and budgeting processes at the institutional level including:

Summary of Charge:

1. Review and update the University strategic plan and monitor University strategy and progress toward goals.
2. Further the integration of strategic planning and budgeting processes by:
  - a) recommending guidelines for strategic planning and budgeting processes;
  - b) ensuring that budgetary investments and allocations align to institutional priorities; and
  - c) integrating campus and program level plans and outcomes into institutional strategy.
3. Establish the institutional strategic budgeting context by:
  - a) recommending strategies to achieve planning priorities;
  - b) formalizing budget assumptions;
  - c) reviewing and making recommendations regarding drafts of the annual budget; and
  - d) evaluating and improving the ongoing planning and budgeting processes as appropriate.

Composition:

The members of the Institutional Priorities Committee include the President, the Provost and the vice presidents, five faculty members (including one faculty member from either the McGeorge School of Law or the Arthur A. Dugoni School of Dentistry), two deans, two administrative (professional staff) representatives, one Staff Advisory Council representative, and two students

(one undergraduate and one graduate or professional student). If the McGeorge School of Law or the Arthur A. Dugoni School of Dentistry is not represented by one of the faculty, staff or administrative members of the committee, a representative from that unit will be added to the membership.

Appointment and terms:

The President annually appoints one of the faculty members as Chair. The Vice President for Business and Finance serves as Vice Chair.

The Academic Council elects two faculty representatives, each from a different school, to serve three-year staggered terms. In addition, the past chair of Academic Council or an Executive Board designee serves a one-year term. The Staff Advisory Council annually elects the Staff Advisory Council representative. An additional staff representative is appointed by the President. The undergraduate student representative is appointed annually by the ASUOP President. The graduate or professional student representative is appointed annually by the President. The dean is appointed annually by the President. Annual appointments are normally limited to a maximum of five years. Appointments will seek to reflect the diversity of the campus community and ensure that all three campuses have representation. The faculty chair of the IPC is appointed annually by the president and is selected from committee members. The vice-chair is the VP for Business and Finance.

Additional attendees:

Requested by the Chair, Vice-Chair or Provost; as needed to support the committee in achieving its goals.

#### **6.3.4 Information Strategy and Policy Committee (ISPC) (J, U)**

Approved by Cabinet on June 11, 2001; Approved by Academic Council on September 13, 2001; Revised August 2002; Approved by Academic Council on September 12, 2002; Revised by Cabinet on December 6, 2004, revised and approved by Academic Council December 9, 2004, and Revised and Approved by Cabinet December 20, 2004; Revised by Cabinet on May 5, 2006; Approved by Academic Council on September 14, 2006; Revised and approved by Academic Council and Administration on April 9, 2009; Revised and approved by Academic Council and Administration on October 13, 2011.

The Information Strategy and Policy Committee (ISPC) is the primary body to advise the President on the strategic use of information. The committee works collaboratively with various administrative and faculty groups to facilitate the effective and efficient use of information in support of the University's mission and priorities.

The committee has the following responsibilities:

1. To develop institutional strategies related to information technology as guided by the University's mission and priorities.
2. To recommend institutional initiatives and priorities, including the required outcomes and resources, to utilize information to advance the above institutional strategies.

3. To recommend institutional policies on information security, service, and technology.

The Committee includes the following members:

Appointed annually by the President as appropriate

- Vice President and Secretary to the Board of Regents, Chair
- Academic Council Chair or Chair-Elect or designee from the Academic Council
- Faculty TEC Committee Chair or Chair-Elect
- Staff Advisory Council Chair or Chair-Elect (or designee)
- Enterprise Business Partners Chair or Chair-Elect (or designee)
- One representative from the ASUOP (nominated by the ASUOP President)

Elected/appointed to 3 year terms

- Two faculty members at large elected by the faculty
- One representative from the Academic Division nominated by the Provost
- One representative from the Division of Business and Finance nominated by the Vice President for <sup>[1]</sup><sub>[SEP]</sub>Business & Finance
- One representative from the Division of University Development nominated by the Vice President for University Development
- One representative from the Division of Student Life nominated by the Vice President for Student Life
- One representative from the Division of External Relations and Athletics nominated by the Vice President for External Relations and Athletics
- One representative from the Sacramento campus nominated by the Dean of the Law School
- One representative from the San Francisco campus nominated by the Dean of the Dental School

Non-voting Staff to the Committee

- Associate Vice President, Office of the President
- Chief Information Officer
- IT staff as invited by the CIO

### **6.3.5 University Compensation Committee (J, U)**

Approved by Academic Council and Administration on November 11, 1999;

The University Compensation Committee is a joint administration-faculty committee that reports to the Vice President for Business and Finance. This committee is responsible for developing University strategic policy for total compensation – both salary and benefits for faculty and staff. The Committee reviews the University's total compensation philosophy and plan including, but not limited to, benefits such as the medical program, life insurance, retirement plan, continuing long-term care, disability insurance, tuition remission and daycare.

The Committee considers recommendations from the Faculty Compensation Committee and any ad hoc committees responsible for developing recommendations for faculty and/or staff benefits, and salary planning and programs.

The Committee makes recommendations to the Vice President for Business and finance who forwards recommendations, as appropriate, to the provost, the Academic Council, the Institutional Priorities Committee and the President for their consideration. The faculty selected by the Academic Council is responsible for liaison and the Academic Council.

The voting members of the committee consist of the following seven members who shall serve staggered terms of two years:

- One faculty member selected by the Academic Council;
- One faculty member from the Faculty Compensation Committee selected by that Committee;
- One faculty or staff member selected by the Dean of the McGeorge School of Law;
- One faculty or staff member by the Dean of the School of Dentistry;
- One dean from the Stockton Campus selected by the Provost
- Two staff from the Stockton Campus selected by the President.

In addition, the Committee will have five ex-officio non-voting members as follows:

- Director of Human Resources;
- Director of Budget;
- Medical Director of Cowell Health Center;
- Human Resources Directors from McGeorge School of Law and the School of Dentistry.

The Director of Human Resources will chair the Committee.

### **6.3.6 Academic Facilities Improvement Committee (J, S)**

Approved by Academic Council and Vice President for Business and Finance on October 12, 2000, Revised by Academic Council on October 13, 2016 and the Vice President for Business and Finance on November 2, 2017 and the Provost on February 14, 2017

The Academic Facilities Improvement Committee is a joint administration/ faculty standing committee. The Committee recommends priorities for funding improvements of academic facilities and reviews requests for improvements valued at over \$2000. The Committee submits its recommendation to the University Facilities, Planning, and Space Management Committee for review and the Office of the Provost for action. The Committee meets at least quarterly.

The Committee membership consists of four faculty, one of whom is a member of the University Facilities, Planning, and Space Management Committee, selected by the Academic Council for overlapping three year terms, one Academic Dean selected by the Provost for a two year term, one representative from Pacific Technology, selected by the Chief Information Officer for a two year term, a representative of Physical Plant selected by the Vice President for Business and Finance for a two year term and a student selected by ASUOP for a one year term. The committee shall have at least one representative from the Sacramento and San Francisco campuses. The Registrar is an ex-officio non-voting member. The Committee elects its own faculty chair.

### **6.3.7 Commencement Speakers Committee**

Approved by Academic Council on April 12, 2001, President on April 24, 2002, ASUOP on May 6, 2002

The Commencement Speaker Committee assists the President in selecting Convocation speakers. The Committee submits a list of recommended speakers to the President for consideration and selection. The Committee solicits nominations from all members of the University community. Speakers are for Commencement two years hence.

The Committee has nine members: four students (two sophomores and two juniors); four faculty members, and the Assistant Director of the McCaffrey Center. Committee members will be selected the spring semester of the prior year in order to allow the committee an entire year to complete its work and provide ample time for the President to consider the nominees. Student representatives are selected by ASUOP and serve for two year staggered terms. Faculty representatives are selected by the Academic Council and serve for two year staggered terms.

### **6.3.8 Institutional Effectiveness Committee**

Approved by Academic Council and Administration on December 4, 2014; Revised March 10, 2015; Revised by Academic Council on September 10, 2015 and Administration on August 3, 2017

The Institutional Effectiveness Committee (IEC) is responsible for establishing policies and practices to support program review for academic programs, co-curricular programs, and administrative units at the University of the Pacific. The IEC is divided into two sub-committees: one sub-committee chaired by a faculty member responsible for academic program review; the other sub-committee chaired by an administrative member responsible for administrative program review. An action item establishing policies or procedures of the IEC must be passed by a quorum of five in each sub-committee. The entire IEC shall be chaired by one faculty member (elected by and from the faculty membership of the committee) and a vice-chair appointed by the President. The Chair will coordinate the convening of the entire IEC to share and discuss the results of academic and administrative program reviews.

The appropriate sub-committee in IEC will receive each program's self study, program review and action plan. The sub-committees will review materials and provide feedback if necessary. They will assess the mid-cycle review to track progress, as well as to identify trends, potential synergies, and efficiencies across the University. Feedback should be sent to the Provost/Dean/Chair for academic programs, and the President/VP for administrative programs.

The Institutional Effectiveness Committee will:

1. Design, implement, and evaluate the program review guidelines and processes. The academic sub-committee examines academic program review guidelines/processes and the administrative sub-committee examines administrative program review.

2. Review annually the program review action plans and consider opportunities for collaboration across the University in order to improve efficiencies, synergies, and effectiveness.
3. Review and assess progress on program action plans mid-way through the program review cycle.

The membership of the academic sub-committee in IEC will be: Five faculty members appointed by Academic Council for three year staggered terms from the following bodies/units: One from the College, a non-COP faculty member from the Stockton campus, one from Graduate Studies Committee, one from Dentistry, one from Law, the Vice Provost for Strategy and Educational Effectiveness, one undergraduate student appointed by ASUOP for one or two-year terms, and one staff member from Student Life, appointed by the Vice President for Student Life.

The membership of the administrative sub-committee in IEC will be: Eight staff members appointed by the President: the AVP for Planning or President's designate, Business & Finance, Development, Student Life, Technology, Athletics, one from the San Francisco campus, one from the Sacramento campus, and one faculty member (appointed by Academic Council). Staff members will serve three-year staggered terms.

### **6.3.9 Strategic Planning Committee**

Approved by Academic Council on October 10, 2013 and by President on October 16, 2013

The Strategic Planning Committee (SPC) is a standing joint administrative faculty committee charged to support University strategy and planning at the highest level. The committee advises on strategy, helps develop planning materials, analyzes data and information to support current plans, and ensures the alignment and integration of planning across the institution.

The Strategic Planning Committee:

1. Develops and revises the university's Strategic Plan for approval by the President and Board;
2. Ensures integrations and alignment of the university Strategic Plan with divisional, college, and school plans and with other critical planning processes;
3. Recommends metrics for measuring progress and success in achieving the strategies within the Plan;
4. Helps to shape the university's implementation plan and reviews it annually;
5. Continuously monitors the university's progress toward achieving the plan's goals;
6. Interacts with the strategic budgeting process to assure the plan informs budgetary decisions.

The Committee membership:

The Strategic Planning Committee will be a 12 person committee plus the Provost who will serve as the chair of the SPC. The majority of the committee members will be from the academic division. The chief institutional planner (currently Associate Vice President for Planning) will serve as non-voting staff support to the committee.



Membership will be:

One student representative (undergraduate or grad/professional)  
Student members serve one-year terms.

Four Administrative/Staff representatives allocated as follows:

Ex-officio professional administrative staff position.  
One representative from the Division of Student Life  
Two additional Administrative/Staff representatives appointed by the President

Seven Faculty representatives allocated as follows:

A representative elected from the faculty of the Sacramento campus  
A representative elected from the faculty of the San Francisco campus  
Additionally, the faculty shall elect, after receiving a long slate of nominees from the Council of Deans, The Administration, and the faculty at large, two members to the committee for three year terms. The Academic Council Executive Board shall, after receiving input on the remaining nominees from the President, then choose three additional nominees from the list to serve as members on the committee.

Initial Appointments: One of the appointed members shall be initially appointed for a one year term. Two of the appointed members shall be initially appointed for a two year term.

### **6.3.10 University Assessment Committee (UAC) (J)**

Approved by Academic Council on May 9, 2014 and by Administration on June 6, 2014.

#### **A. Purpose Organizational Structure and Reporting**

The University Assessment Committee is a joint standing faculty-administrative committee that will foster a culture of assessment and evidenced-based improvement at the University. This Committee is charged to provide recommendations to the Provost and Academic Council on matters related to the institution-wide assessment of academic and student development programs at the University.

#### **B. Membership**

The membership of the University Assessment Committee will include the following voting members. A committee member may represent more than one group, but will only have one vote.

1. Two at-large faculty members appointed by Academic Council, with one from the College and one from another school, appointed for 3-year staggered terms (n=2). At least one member should be from the Academic Affairs Committee on Undergraduate Studies.
2. One representative with assessment responsibilities from each school and college, Graduate Studies, the Library, and Student Life appointed by their unit (n=11)
3. One representative with assessment responsibilities from University-wide academic programs (General Education, Writing Center, Office of Sustainability, etc.) appointed by their unit (n=3)
4. The University's Director of Learning and Academic Assessment (n=1)

5. The University's Director of the Center for Teaching and Learning (n=1)

The majority of the committee will have formal course teaching responsibilities within the prior year.

The Committee Chair (or Co-Chairs) will be appointed by the Provost in consultation with Academic Council.

### **C. Committee Roles, Responsibilities and Charges**

In its role to foster a culture of assessment and evidenced-based improvement at the University, the University Assessment Committee will have the following responsibilities and charges.

1. Develop plans and recommendations for the assessment of University-wide outcomes.
  - a. Develop, review and revise assessment plans for University-wide learning outcomes. These plans will be reported to the Provost and Academic Council.
  - b. Recommend or develop specific assessments to be used in the assessment of University-wide and other learning outcomes. These recommendations will be reported to the Provost and Academic Council.
  - c. Develop, review and revise guidelines for program and unit assessment plans and reports. These guidelines will be presented to the Institutional Effectiveness Committee for review and revision and then to the Provost and Academic Council for review and approval.
2. Foster a culture of assessment at the University
  - a. Collaborate with the Director of Learning and Academic Assessment and the Director of the Center for Teaching and Learning in the selection, design, promotion and possible delivery of on- and off-campus programs on faculty development in assessment.
  - b. Promote the scholarship of teaching, learning and assessment and the recognition of assessment efforts in collaboration with units and pertinent offices, including providing recommendations to the Provost and Academic Council when appropriate.
  - c. Provide consultations to departments and programs on assessment matters. These consultations may be provided by individual or a group of members of this committee.
3. Review the University-wide assessment report on the assessment of University-wide outcomes that will be prepared by the Director of Learning and Academic Assessment.
  - a. Review the annual report, provide any recommendations for revisions, and eventually provide the Provost with recommendations on the endorsement of the report.
  - b. Provide recommendations based on the annual report related to guidelines for plans and reports, selection and use, and faculty development in assessment.
4. Meet at least monthly during fall and spring semesters and as needed over the summer.

### **6.3.11 University Diversity Committee (J, U)**

Approved by Academic Council on April 13, 2017 and by Administration on April 17, 2017

The University Committee (UDC) is charged jointly by the President and Academic Council to consult with the University Diversity Leadership (Diversity Leadership Team and campus leads) and make recommendations on all diversity-related matters, which include, but are not limited to, university climate, student recruitment and retention, faculty and staff recruitments and retention, curricular and co-curricular affairs, and alumni/community outreach. In general, meeting of the full UDC and its subcommittees will be publicized and open to interested parties. The ex-officio memberships listed herein are meant to be inclusive rather than exhaustive.

The committee consists of the following 17 voting members: seven (7) faculty, five (5) staff, three (3) students, one (1) alumnus/a and one (1) community member.

- The faculty members will be nominated and selected by the faculty on their respective campuses. Of the faculty members,
  - One (1) will come from the San Francisco campus,
  - One (1) from the Sacramento campus,
  - Five (5) will come from the Stockton campus. Of the Stockton faculty,
    - One (1) will come from COP,
    - One (1) will come from a unit other than COP,
    - One (1) will come from the faculty in the Ethnic Studies, Gender Studies, or Latin American Studies programs on a one-year rotating basis, and
    - Two (2) will be elected as at-large members.
- The staff members will be nominated and selected by their respective advisory councils, except where otherwise indicated. Of the staff members,
  - One (1) will come from the San Francisco campus,
  - One (1) from the Sacramento campus,
  - Two (2) will come from the Stockton campus, and
  - One (1) staff member will come from a collective bargaining unit, selected by University leadership.
- One (1) student shall come from each campus, nominated and selected by their respective student association
- One (1) alumnus/a of Pacific will be nominated by the Pacific Alumni Association.
- One (1) community member will come from Stockton, San Francisco, or Sacramento and will be nominated by the Associate Vice President for External Relations, Strategic Partnerships, and Presidential Initiatives.

Unless otherwise indicated, voting members serve three-year staggered terms. The chair is a faculty member of the committee, elected by the voting members. The Diversity Leadership Team and the Diversity Leads on the San Francisco and Sacramento campuses will serve as ex officio non-voting members of the full UDC. Appointment letters will be sent annually from the Office of the President.

The UDC has five standing subcommittees: Student Recruitment and Retention, Faculty and Staff Recruitment and Retention, Curriculum and Co-Curriculum, Alumni and Community Outreach, and University Climate. The UDC Chair, in consultation with the University Diversity Leadership, will assign UDC voting members to subcommittees and will appoint the

subcommittee chairs, each of which will serve a one-year term as chair with the possibility of one re-appointment.

- **Student Recruitment and Retention Subcommittee.** The Student Recruitment and Retention Subcommittee will be consulted and make recommendations on matters relating to recruitment of a diverse student population, and retention of different student populations. The membership will consist of:
  - The three student UDC members,
  - One of the faculty UDC members, who will serve as chair,And the following ex-officio members:

- The DLT member representing students,
- The Diversity Leads on the San Francisco and Sacramento campuses,
- The Vice Provost for Undergraduate Education,
- The Assistant Vice Provost/Director of Admissions,
- The Assistant Dean of Intercultural Student Success, and
- The Assistant Director of African American/Black Student Support and Success.

One of the ex-officio members will serve as administrative support for the subcommittee.

- **Faculty and Staff Recruitment and Retention Subcommittee.** The Faculty and Staff Recruitment and Retention Subcommittee will be consulted and make recommendations on matters relating to increasing the diversity of Pacific's faculty and staff, both through recruitment processes for new employees and in retaining those employees we already have. The membership will consist of
  - Two faculty UDC members,
  - Two staff UDC members,And the following ex-officio members:

- The Assistant Provost for Diversity, and
- The Diversity Leadership Team member representing staff.

One of the voting UDC members will serve as chair, selected by the subcommittee members, and one of the ex-officio members will serve as administrative support for the subcommittee.

- **Curriculum and Co-Curriculum Subcommittee.** The Curriculum and Co-Curriculum Subcommittee will be consulted and make recommendations on matters relating to diversity in Pacific's curricula and in co-curricular events and programming. In addition, the faculty members of this subcommittee will be responsible for maintaining Pacific's undergraduate Diversity Requirement. Only the faculty will vote on curricular matters that come before this subcommittee. The membership will consist of:
  - The five faculty UDC members from the Stockton campus,
  - One staff UDC member,
  - One student UDC member,

And the following ex-officio members:

- The Assistant Provost for Diversity, who will serve as administrative support for the subcommittee,
- The Diversity Leadership Team member representing students,
- The Assistant Dean of Intercultural Student Success, and
- The Dean of Religious Life.

The chair of this subcommittee will be a faculty member other than the chair of the UDC.

- **Alumni and Community Outreach Subcommittee.** The Alumni and Community Outreach Subcommittee will be consulted and make recommendations on matters relating to diversity and inclusion among Pacific alumni and Pacific's partnerships with community organizations in Stockton, Sacramento, and San Francisco. The membership will consist of:
  - A student UDC member,
  - A staff UDC member who will serve as chair,
  - The alumnus/a UDC member.
  - The community UDC member,

And the following ex-officio members:

- The Executive Director of Alumni Relations,
- The Associate Vice President for External Relations, Strategic Partnerships, and Presidential Initiatives,
- The Associate Vice President for Marketing and Communications,
- The Latino Community Outreach Coordinator, and
- The Director of the Center for Community Involvement.

One of the ex-officio members will serve as administrative support for the subcommittee.

- **University Climate Subcommittee.** The University Climate Subcommittee will be consulted and make recommendations on matters relating to campus climate for diversity and inclusion on each campus, including infrastructure items as well as recognition of successful diversity and inclusion work at Pacific. In addition, it will receive recommendations from the Bias Response Team regarding educational responses to bias incidents. The membership will consist of:
  - One faculty UDC member,
  - One staff UDC member,
  - One student UDC member,

And the following ex-officio members:

- The Assistant Provost for Diversity,
- The DLT member representing staff,

- The Diversity Leads on the San Francisco and Sacramento campuses,
- The Title IX Coordinator,
- The Ombudsperson,
- The Dean of Religious Life,
- The Director of Services for Students with Disabilities,
- The Director of the Women’s Resource Center, and
- The Coordinator of the PRIDE center.

The chair will be either the faculty or the staff UDC member. One of the ex-officio members will serve as administrative support for the subcommittee.

**Table of Subcommittees:**

	<b>Student Recruitment and Retention</b>	<b>Faculty and Staff Recruitment and Retention</b>	<b>Curriculum and Co-curriculum</b>	<b>Alumni and Community Engagement</b>	<b>University Climate</b>
<b>Size</b>	11	6	11	8	13
<b>Voting members from UDC</b>	1 faculty 3 students	2 faculty 2 staff	5 faculty 1 staff 1 student	1 staff 1 student 1 alumnus/a 1 community member	1 faculty 1 staff 1 student
<b>Ex-officio members from UDC</b>	AVP/Dir-Adm VP-UE AD-ISS ADir-AABSSS DLT-Students DL-SF SL-Sac	AP-DIV DLT-Staff	AP-Div DLT-Students AD-ISS D-RL	EDir-AR AVP-Ext R AVP-MC Dir-CCI	AP-Div DL-SF DL-Sac DLT-Staff Title IX Ombuds D-RL Dir-SSD Dir-WRC Coord-PRIDE

<b>Chair</b>	Faculty UDC member	Faculty or staff UDC member	Faculty UDC member (not UDC chair)	Staff UDC member	Faculty or staff UDC member
<b>Admin Support</b>	One of the ex-officio members	One of the ex-officio members	AP-Div	One of the ex-officio members	One of the ex-officio members
<b>Charges from other groups</b>			Maintaining the Diversity Requirement from UDCC		Educational responses to bias incidents from BRT

## 6.4 Administration Committees with Faculty Membership

### 6.4.1 Academic Regulations Committee (A, S)

Approved (before 1980) by Academic Council, Administration on April 24, 2002, Revised and approved by Academic Council on February 11, 2010, Revision approved by Administration on May 25, 2010

The Academic Regulations Committee has four primary responsibilities as follows:

- a. Original jurisdiction of requests from any student on the Stockton campus for exceptions to general University academic regulations as follows:
  1. Academic residence requirements;
  2. Multiple degree requests;
  3. Transfer credit limitations;
  4. Inter-college/school problem;
  5. Requests delegated by a school or college.
  
- b. Appellate jurisdiction for students who wish to appeal decisions on academic matters rendered by a committee of an individual school or college as follows:
  1. Student study programs;
  2. Add/drop requests;
  3. Degree requirements;
  4. Scholarship actions: probation, disqualifications, honors recognition;
  5. P/NC limitations.

- c. Original jurisdiction for students of any school or college that does not have its own committee for acting on petitions on the academic matters listed in "b" above.

Appeal of the Academic Regulations Committee decisions go to the Provost Office.

The voting members include: The University Registrar, as chair, is a non-voting member, except to break a tie; a representative from the Division of Student Life, the Director of Admission or designee, the Director of Student Business Services or designee, one administrator or faculty member from each of the schools or colleges on the Stockton campus, at least two of whom should be faculty elected by their respective faculties for three-year overlapping terms, and at least two but not more than four students appointed by the ASUOP.

The secretary shall be through the Office of the Registrar.

#### **6.4.2 Student Conduct Review Board/ Hearing Officer (A, S)**

Approved by Academic Council on March 26, 1976; ASUOP on February 26, 1976; Administration April 7, 1976; Revised May 28, 2002; Revised June 28, 2002; Approved by Academic Council on September 12, 2002, revised February 20, 2013

The purpose of Student Conduct Review Boards and Hearing Officers is to adjudicate alleged violations of the Student Code of Conduct and University Policies. "Adjudicate" means to determine whether or not, a student has violated a provision of the Student Code of Conduct and, if so, to provide an institutional response. Based on the nature of the alleged violation, adjudications will be referred by the Director of Student Conduct and Community Standards to either a Student Conduct Review Board or a Hearing Officer. Complete guidelines are set forth in the *Tiger Lore Student Handbook*.

Student Conduct Review Board members and Hearing Officers will be appointed by the Vice President for Student Life to serve for two year terms from a recommended pool, consisting of: six faculty nominated by the Academic Council, and a pool of students and staff recruited and trained by the Office of Student Conduct and Community Standards. After the two year appointed term and at their convenience, faculty may continue to serve as Review Board members. The membership of each Student Conduct Review Board consists of three students, one faculty, and one administrator. A student member will facilitate the Review Board Hearing. A student member selected by the Board will chair the review. The Director of Student Conduct will train all Review Board members and Hearing Officers on campus policies and student conduct review proceedings.

#### **6.4.3 Student Activity Advisory Board (A, S)**

Approved (before 1980) by Academic Council; Revised by Administration on May 28, 2002; Approved by Academic Council on September 12, 2002

The Student Activity Advisory Board is charged with establishing policies and determining budget allocations for the operation of the McCaffrey Center. The Board is responsible to the President, and policies recommended by the Board are subject to his approval.



The Board exercises its budget responsibilities by approving allocations of all funds from McCaffrey Center income sources.

The Board is composed of four students (two appointed by the ASUOP President and two selected by ASUOP Arts and Entertainment Board); one faculty member, elected by the Academic Council for a three year term; a representative of Student Life, appointed by the Vice President for Student Life; a representative of the Finance Center, appointed by the Vice President for Business and Finance and Business; the McCaffrey Center Director (ex-officio); and the ASUOP Programs Adviser (ex-officio).

#### **6.4.4 University Facilities, Planning, and Space Management Committee (J, U)**

Approved by Academic Council on February 12, 1998; Administration April 24, 2002, Revised May 2019

##### **Committee Charge**

It is the charge of the University Facilities, Planning, and Space Management Committee to advise and make recommendations on decisions related to the physical assets of the University to be used in the delivery and support of the institution's mission. The Committee shall review and advise on the projected future needs and opportunities for facilities across all University campuses.

The Committee shall through the Committee Chair, advise the Vice President for Business and Finance:

1. On the planning, development and/or renovation of space and facilities to support the delivery of both current and future programs to take advantage of the University's multiple locations;
2. On deferred maintenance program planning and major maintenance project requirements;
3. Make recommendations on how to best ensure compliance with health, safety, accessibility and other regulatory requirements;
4. Make recommendations on how to best establish and implement policies and processes encouraging energy efficient and sustainable practices in construction, maintenance and operation;
5. On policies, procedures and recommend initiatives to best support the University's physical planning, management and utilization efforts; and
6. Provide a channel for communication to/from the stakeholder group each member represents and the campus communities as a whole.

The Committee's mandate includes adjacent or near-to-campus space and facilities which house students, provide a community context and connections to and from the main campus, and which

otherwise directly support the mission of the University. Committee's charge is equally applied no matter the funding source(s) and shall include collaboration with other University committees addressing space and facilities. It does not include real estate assets, land or buildings owned by the University's endowment solely for investment purposes as the oversight of such property falls to the Vice President for Business and Finance.

The Committee Chair and Convener shall be the Assistant Vice President for Facilities, who is an ex officio non-voting member. The Committee shall have two Vice Chairs; the Director of Construction Planning and Space Management and the Director of Physical Plant, both of which will have voting rights. A recording secretary shall be identified and shall serve as a resource to the Committee.

The Committee meets at least quarterly, but may meet more frequently, as required to fulfill its duties and responsibilities. A quorum is required for any actions taken by the Committee. A quorum shall consist of a simple majority of the membership.

### **Scope of Responsibilities**

The responsibilities of the Committee are as follows:

1. Undertake regular reviews of the condition and use of campus buildings, grounds and utilities to ensure their adequacy to support the mission and priorities of the University. The Committee shall ensure that a comprehensive University facilities audit is regularly completed and accurately maintained which describes the University's physical plant assets, including their current condition, space usage and attributes, and adequacy to support the University's mission.
2. Review the annual deferred maintenance budget and make recommendations to the Vice President for Business and Finance to ensure resources are adequate and appropriately allocated to support the needs of the University's physical plant maintenance, repair, replacement, and operation. The Committee shall advise the Vice President for Business and Finance regarding the components of the University's proposed physical facilities budget including annual (routine) maintenance and operations and plant renewal (major) maintenance. Additionally, the Committee shall review estimated new operating costs associated with capital construction projects to ensure they are considered in operating budget development.
3. Review regularly the status of deferred maintenance projects in accordance with approved University policies and procedures. Such review includes the budget status and progress of projects, to ensure they are completed on time, within available resources, and in accordance with the project plan and scope.
4. Review the annual capital budget and make recommendations to the Vice President for Business and Finance to ensure resources are adequate and appropriately allocated to support the needs of the University's mission and priorities.
5. Regularly review the status of all new construction or major additions and renovations in accordance with approved University policies. Such review includes the selection process for architect and contractor selection, project delivery and administration methods, budget status and

project progress to ensure capital projects are completed on time, within available resources, and in accordance with the project plan and scope.

6. The Academic Facilities Improvement Committee (AFIC) will become and serve as a sub-committee to this Committee. The AFIC charge and objectives will remain as is, and representation from the Space Management Committee.

Ensure the University has a comprehensive and updated Facilities Master Plan which is aligned with the mission and priorities of the University. The Committee shall advise and make recommendations on the Facilities Master Plan process, documentation and amendments.

**Committee (maximum membership of 14, not including the Chair/Convener and Recording Secretary):**

1. One faculty representative from the Academic Facilities Improvement Committee (AFIC);
2. Stockton Director of Physical Plant
3. Sacramento Campus Manager
4. Director of Housing
5. Director of Planning, Design and Space Management;
6. Director of Construction Management
7. Representative of the Staff Advisory Council (SAC), nominated by the Chair of SAC;
8. Representative of Athletics, nominated by the Athletic Director
9. Representative of University Development, nominated by the Vice-President of that Division
10. Representative of the Institutional Budgets Committee, nominated by the Committee Chair
11. Director of Public Safety for the Stockton campus
12. Representative of Marketing/Communications, nominated by the Vice President of that Division
13. Assistant Dean for Human Resources and Support Services, San Francisco Campus
14. ASUOP President, or Nominee.

Members serve three-year staggered terms, ending on June 30th of the last year of their term. Student member serves a one-year term. Members may represent more than one stakeholder group, with clear designation of this multiple role to all parties.

- Chair and Convener for the Committee shall be the Assistant Vice President for Facilities/Chief Facilities Officer.
- A Recording Secretary shall also be identified by the Committee Chair.

#### **6.4.5 Student Media Board (A, S)**

Adopted by Academic Council on November 11, 2004.

The Stockton Campus Student Media Board is the governing body for all undergraduate student media affiliated with the University of the Pacific, ensuring that all media organizations receive the proper institutional support and adopt the best practices in their operations. The Board is responsible for annual appointment, training, evaluation and, if necessary, the removal of the chief student officers and advisors to each student medium at Pacific. The Board has general and budget oversight of each medium and makes recommendations to the Vice President for Student Life about the appropriate media mix at Pacific.

The Student Media Board is composed of the following:

Voting members: three faculty members nominated by the Academic Council and appointed by the Vice President for Student Life, three students nominated by the President of ASUOP and appointed by the Vice President for Student Life, one staff member from the Division of Business and Finance, one staff member from the Division of Student Life, one staff member from the Division of University Advancement, one individual from the local community with relevant media experience.

Non-voting members: Chair of the Student Media Board (votes in the event of a tie), the chief student officer for each medium, and the advisor to each medium.

The three voting faculty members serve for three-year staggered terms, with eligibility for re-appointment. The students shall be appointed for a one year term, eligible for re-appointment. The staff members shall be appointed by their respective Vice Presidents and shall serve a three year term, eligible for re-appointment. The community representative will be appointed by the Vice President for Student Life and shall serve a three year term, eligible for reappointment. The non-voting members will serve for the time they are in their respective positions. The Chairperson is appointed by the Vice President for Student Life and shall serve a three year term, with eligibility for reappointment. Reappointments shall not exceed three consecutive terms.

#### **6.4.6 Institutional Review Board (IRB) (A, S)**

Approved by Provost and Academic Council on April 24, 2002

The University of the Pacific Institutional Review Board (IRB) is responsible for holding all research projects involving human subjects to the standards set out in the Code of Federal Regulations, 45 CFR 46. The IRB committee reviews, examines and evaluates proposals for experimentation using human subjects in accordance with guidelines supplied by the Office for Human Research Protections (OHRP) of the Department of Health and Human Services.

The Committee is charged with determining:

1. risks to human subjects;

2. benefits to subjects and/or society;
3. specific nature of subjects participation including;
4. recruitment of subjects,
5. voluntary nature of subject participation,
6. informed consent,
7. remuneration (if any) to subject,
8. specific procedures to be followed.

The University composes the IRB committee in accordance with federal guidelines. The IRB committee must have at least five members, with varying backgrounds to promote complete and adequate review of research activities commonly conducted by the institution. The Provost shall make appointment to the IRB committee. The IRB can have as many members as necessary for it to perform its duties effectively. However, care should be taken to ensure that it does not become so large that its management becomes cumbersome. The IRB committee shall schedule monthly meetings during the academic year.

The IRB must be sufficiently qualified through the experience and expertise of its members and the diversity of their backgrounds, including considerations of their racial and cultural heritage and their sensitivity to issues such as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human subjects. In addition to possessing the professional competence necessary to review specific research activities, the IRB must be able to ascertain the acceptability of proposed research in terms of institutional commitments and regulations, applicable law, and standards of professional conduct and practice. The IRB must therefore include persons knowledgeable in these areas. The IRB may not consist entirely of members of one profession.

The IRB must include at least one member whose primary concerns are in scientific areas and at least one member whose primary concerns are in nonscientific areas. The IRB committee must also include at least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution. The IRB must make every nondiscriminatory effort to ensure that it does not consist entirely of men or entirely of women. Selections must not, however, be made on the basis of gender. An IRB may, in its discretion, invite individuals (adjunct members) with competence in special areas to assist in the review of issues which require expertise beyond or in addition to that available on the IRB. These adjunct members may not vote.

The nonaffiliated member(s) of the IRB will be drawn from the local community-at-large. Ministers, teachers, attorneys, businesspersons, or homemakers are possible candidates. The person(s) selected should be knowledgeable about the local community and be willing to discuss issues and research from that perspective. Consideration will be given to the type of community from which the institution may draw its research subjects. The nonaffiliated member(s) should not be vulnerable to intimidation by the professionals on the IRB, and their services should be fully utilized by the IRB.

#### **6.4.7 Institutional Animal Care and Use Committee (IACUC) (A, S)**

Approved by Provost and Academic Council on April 24, 2002

This Committee reviews research protocols that require the use of animals to ensure that the methods of animal care and use are appropriate and in compliance with federal and institutional regulations. The responsibilities of the IACUC include:

1. review and approval of all research protocols involving laboratory animals;
2. inspection of the animal facilities at least twice a year; and
3. evaluation of the animal care program within the institution and service as an informational source on animal concerns for the institutional personnel and the community at large.

The Committee consists of eight members appointed by the Provost including: a chair, a veterinarian, four faculty members, a representative from animal care facility staff and a lay-person not affiliated with the University. The School of Dentistry maintains a separate animal care and use committee for research on the San Francisco campus.

#### **6.4.8 Sustainability Committee (A, U)**

Approved by Academic Council on April 9, 2009; Revised April 12, 2018

University of the Pacific in its commitment statement of sustainability acknowledges the importance of advancing sustainability through learning, practice and collaboration internally and with local communities by considering our environmental, social and economic impacts. Sustainability commonly refers to development that meets the needs of the present without compromising the ability of future generations to meet their own needs as laid out by the United Nations.

The Sustainability Committee is an administrative standing committee with faculty membership and charged to advise the President on the development of strategies and policies that contribute to the practice and understanding of sustainability across the University.

To continuously improve campus performance on matters of sustainability the Sustainability Committee will:

1. advise on establishing and integrating sustainability strategies across the institution;
2. recommend policy, institutional goals and resource allocation;
3. monitor related indicators and progress through assessment and benchmarking activities; and
4. encourage the alignment and expansion of education practices, teaching and learning, scholarship, and co-curricular activities.

The Committee consists of no more than 14 voting members and is not to exceed 16 total members. Voting members consist of:

- Sustainability Director

- 2 students, undergraduate or graduate nominated by respective student government bodies
- 3 faculty, nominated by Academic Council
- At least one representative from each campus
- At least one representative from the following areas:
  - Physical Plant
  - Student Life
  - IT
  - University Development and Alumni Relations
  - Procurement
  - Athletics

Members can fulfill 2 roles, for example a faculty member from the San Francisco campus would fulfill the role of faculty and campus representative. The Garden Program Director and Sustainability Coordinator serve as ex-officio, non-voting members and the Sustainability Director is an ex-officio, voting member. Student members serve one-year terms; all other members serve three-year staggered terms. All members are appointed by the President. The Sustainability Director and a faculty member serve as co-chairs.

## **Chapter 7. Faculty Personnel Policies**

Approved by Academic Council on December 13, 2001, Administration on April 24, 2002, Faculty on May 10, 2002; Amendments to 7.4 approved by Academic Council and Administration Spring 2004

### **7.1 Types of Faculty Appointments**

#### **7.1.1 Faculty Ranks**

Approved by Academic Council, Faculty, Administration

The faculty ranks at the University are professor, associate professor, assistant professor, instructor, and lecturer defined in section 7.3.1. Professional librarians on the Stockton campus are assigned academic ranks.

#### **7.1.2 Appointment with Tenure**

Approved by Academic Council, Faculty, Administration

An appointment with tenure is an appointment without limit of time. This appointment continues until the earliest of the following dates: date of resignation, date of retirement from the Faculty of the University; or date of termination of appointment with tenure which has occurred in accordance with the written policies of the University as set forth in the Faculty Handbook. The faculty ranks which are eligible for appointment with tenure are professor, associate professor, and assistant professor.

An appointment with tenure may be made only by written decision of the President, which shall be transmitted by the Provost to the faculty member. An appointment with tenure may not be acquired by any other means, such as length of service to the University. The terms and conditions of appointment with tenure are stated in the Faculty Handbook and in any additional written notices from the Provost of the University, or the Provost's designee, stating special terms of the appointment.

When termination of appointment with tenure occurs in accordance with the written policies of the University as set forth in the Faculty Handbook, written notice executed and dated by the President shall be given to the faculty member. The termination is not effective prior to report to the Board of Regents.

#### **7.1.3 Joint Appointments and Affiliations**

Approved by Academic Council, Administration

Joint appointments and affiliations are granted for the enrichment of academic programs.

A joint appointment is an appointment to two units of the University in which the faculty member is recognized to have full faculty status in those units with all the rights and responsibilities pertaining to such status (subject to the provisions relating to voting).



A faculty member in a unit may have an affiliation appointment to another unit. The faculty member has full rights and responsibilities in his or her primary unit and participates in the other program in a restricted, specialized, or temporary manner. The affiliation should not require the faculty member to regularly attend meetings or to participate in the full range of administrative and governance functions of that unit.

#### **7.1.4 Clinical Appointments**

Approved by Academic Council, Administration, Revised by Academic Council on January 26, 2017 and Administration on February 14, 2017

Clinical appointments are made upon the recommendation of the department faculty where appropriate to an academic program. The clinical appointment is a non-tenurable appointment. Units desiring to use these appointments should define guidelines for clinical positions and present the proposed guidelines to Professional Relations Committee and then to the Academic Council for consideration and recommendation to the University Administration. Guidelines should include the definition of the position, and procedures for evaluation and promotion in rank. A prefix such as “clinical”, or suffix such as “of Practice”, or other appropriate prefix or suffix, will be designated for these appointments, full-time or part-time.

#### **7.1.5 Adjunct Appointments**

Approved by Academic Council, Administration

An adjunct appointment is one which formally recognizes the services to the University of persons of high professional standing in the community who may have no other official ties to the University. Generally such an appointment will be made of individuals who have expressed willingness to assume some responsibilities relating to the training of graduate and professional students registered at the University. By reason of this formal appointment, they become eligible to serve on thesis and dissertation committees, attend departmental staff meetings, and have access to the library.

Adjunct appointments are made on an annual basis only with annual review and renewal. These appointments carry no commitment by the University of the Pacific for financial compensation or fringe benefits. From time to time persons with adjunct appointments may be invited to teach specific courses or assume administrative functions for which they are qualified, in which case they may be compensated.

Adjunct appointments are made by the Provost, or the Provost’s designee, on the recommendation of the dean and an appropriate faculty committee in the school or college in which the appointment is to be made. Academic rank of adjunct appointment should be consistent with unit guidelines for other academic appointments.

#### **7.1.6 Part-Time Faculty**

Approved by Academic Council, Administration

Part-time faculty are appointed as needed by each unit and considered as less than full time annual appointment as specified by each unit. Part time is determined by the unit based on a comparison to year-long appointments. Time of service on a part-time appointment may not accrue to time for appointment with tenure.

#### **7.1.7 Visiting Faculty**

Approved by Academic Council, Administration

Visiting faculty appointments are made by the Provost, or designee, on the recommendation of the dean and an appropriate faculty committee in the school or college in which the appointment is to be made. These appointments are normally one academic year in length.

#### **7.1.8 Emeritus Status**

Approved by Academic Council, Administration, Revised and approved by Academic Council on April 13, 2017 and the Administration on May 10, 2017

Tenured full and associate professors who have served the University for ten years or more or have joined the University late in a distinguished career and have served the University for five years or more may, upon retirement, be designated Emeritus or Emerita by the President of the University upon the recommendation of the appropriate dean and with the concurrence of the Academic Council and the Provost.

Non-tenured faculty from schools with analogous promoted ranks, who have served the University for ten years of full time service or more, may, upon retirement, be designated Emeritus or Emerita by the President of the University upon the recommendation of the appropriate dean and with the concurrence of the Academic Council and the Provost.

Deans and other senior administrative officers of the University who have served with distinction for ten or more years may, upon retirement, be designated Emeritus or Emerita by the President upon the recommendation of the Provost.

Normally, the term "senior administrative officer of the University" refers to those senior administrative officers who serve in the academic sector of the University and report directly to the Provost.

The formal conferring of Emeritus or Emerita status will normally occur at graduation ceremonies.

All persons, upon designation as Emeritus or Emerita, as above, automatically become members of the University of the Pacific Emeriti Society (see section 8.13 for Emeriti Society information)

#### **7.1.9 Endowed Chair and Endowed Professor Positions**

Approved by Administration on December, 1997; Academic Council on May 11, 2006, Revised by Academic Council on May 11, 2017 and Administration on June 20, 2017

Endowed faculty positions are an attractive means to draw distinguished teacher-scholars to the University and to recognize distinguished members of current faculty.

Criteria for candidates for endowed chair and endowed professor positions include:

1. Distinguished contributions in teaching, scholarship, and service in the field designated by the endowed position.
2. Normally the rank of Professor and, if an internal appointment, with tenure.

The term for an endowed position should be for a period of up to five years, to be determined by the dean in consultation with the Provost. Appointees may be re-nominated for the position and may be reappointed.

The appointment to endowed faculty positions of candidates who are not currently serving at the University will be made by the President upon the recommendation of the Dean of the unit, in consultation with the Provost, following normal procedures for faculty recruitment (Section 7.2).

In cases where the University decides to make an internal appointment for a faculty endowed chair or endowed professor position, the nomination and recommendation process will be conducted as follows:

1. The University Promotions and Tenure Committee plus two additional faculty members will serve as a review committee.
  - a. The Provost will appoint to the review committee a senior faculty member from the unit of the endowed appointment who has been jointly nominated by the chair of the department and dean of the school/college.
  - b. The Provost will appoint to the review committee an incumbent in an endowed faculty chair or professorship.
2. The review committee will receive nominations for the endowed position from the full-time faculty of the appropriate department or school, together with supporting materials and letters of recommendation from the department chair (if applicable) and dean of the college. (a unit may choose to form a unit committee to review nominations and make recommendations to the dean.) The University review panel will then make a recommendation for appointment to the Provost, who will consult with the dean of the unit and recommend to the President for appointment.
3. The appointee to the endowed position should receive an annual stipend from spendable endowment earnings for research/creative activity and program expenses, designated and documented by the appointee. There may or may not be an annual salary supplement for the appointee.

In the fall of the fifth year of an appointment of an endowed professorship or endowed chair a thorough review will be conducted. The individual holding the chair/professorship will be notified of the review in writing prior to the end of the spring semester preceding the review.

The process for review will be defined by each unit and in accordance with any stipulations that may exist for the position. If the endowment calls for the position to be opened for nominations the procedure for initial appointment will be followed. The incumbent faculty member will prepare a dossier/report of their activities during appointment. This will include, but not be limited to, teaching, scholarship, service and any activities specifically defined by the terms of the endowed appointment. The portfolio will be reviewed for continued distinguished contributions in teaching, scholarship, and service in the field as designated by the endowed position. A unit may choose to form a unit committee to review and make recommendations to the dean. The dean will make a recommendation to the Provost. The Provost will make a final recommendation on reappointment to the President. A denial of reappointment to an endowed position does not affect the faculty member's tenure status. If a reappointment is denied the position will be opened for nominations.

## **7.2 Faculty Recruitment**

Approved by Academic Council, Administration

### **7.2.1 Authorization to Recruit**

Approved by Academic Council, Administration

Authorization to institute all faculty recruitment in the University of the Pacific is granted by the Provost or designee. No faculty position in the University of the Pacific may be filled without justification of student or program needs approved by the dean and the Provost.

The recruitment of faculty is undertaken by the members of the faculty in consultation with the dean of the school or college. The dean is responsible for assuring that the process of recruitment conforms to the procedures of this Handbook. Because the programs of each of the schools and colleges of the University depend upon one another, the recruitment process must be a cooperative one in which the needs of the entire University are considered.

The University of the Pacific has developed a Diversity Hiring Plan to aid in the diversification of its faculty in order to enhance the intellectual, cultural, and social fabric of its academic community. The University focuses energy and resources on the recruitment and employment of faculty who are both the best qualified available candidates and are from under-represented groups that are designated in the Diversity Hiring Plan as target recruitment goals. The current Faculty Diversity Hiring Plan is available from the Office of the Provost.

### **7.2.2 Search Committee**

Approved by Academic Council, Administration

The Dean forms a Search Committee in consultation with faculty for full time tenure-track positions. The Committee must involve students, undergraduate and/or graduate, depending on the nature of the position being filled, as well as faculty from other schools and colleges, when appropriate. The following are among the responsibilities of the Search Committee:

1. Develop and publish a position description. This should be sent to the Assistant Provost for review.
2. The position description must be advertised in the major professional journal or journals of the field in which the position is to be filled and other journals or methods of dissemination as appropriate to promote notification to under-represented groups designated in the Diversity Hiring Plan. Any position description must include a statement reflecting the University's policy of non-discrimination in employment. Nominations should be requested from appropriate graduate schools.
3. The Search Committee must document the attempts to promote notification of the vacancy to potential applicants from under-represented groups designated in the Diversity Hiring Plan so that efforts to obtain applications from qualified individuals of such groups are made. The chair of the Search Committee must prepare a report for the appropriate dean in which those efforts are documented. This report must be submitted to the dean and the Office of the Provost before invitations to the campus can be authorized.
4. The Committee must develop selection criteria and procedures for ranking and choosing from among qualified candidates in the applicant pool. Prompt responses should be sent to all candidates to inform them of their status.
5. Confidential materials received for recruitment purposes must be maintained in a confidential manner until an appropriate time for destruction. For each search, all application materials must be retained for five years.

### **7.2.3 Invitation to Campus**

Approved by Academic Council, Administration

Campus visits by candidates must be approved by the Provost or designee. Candidate expenses for approved visitations will be paid by the University.

### **7.2.4 Evaluation of Candidates**

Approved by Academic Council, Administration

The Search Committee chair is responsible for ensuring a thorough and fair evaluation of each candidate. The chair should solicit feedback from all persons who meet with candidate. The opinions of all persons who meet with the candidate should be communicated clearly and quickly to the chair.

### **7.2.5 Recommendations for Appointment**

Approved by Academic Council, Administration

The process for faculty recommendation for appointment will be determined by the faculty of the unit in which the appointment will occur. The decision as to the appointment of the faculty member is made by the Provost or designee after the receipt of the recommendation of the faculty and the dean of the unit.

### **7.2.6 Letters of Appointment**

Approved by Academic Council, Administration

The University of the Pacific provides a new appointee a letter of offer of appointment stating rank, salary, the amount of prior service, if any, to be counted toward completing the minimum time requirements for advancement in rank and/or completing the probationary period before the appointee will be eligible for review for an appointment with tenure, and other terms of appointment including reference to the terms of the Faculty Handbook. The appointee is asked to express agreement to the terms of the offer embodied in the letter of appointment by signing and returning a copy of the letter. Credit for prior service, if any, must be specified in the candidate's appointment letter. Any modification, addition or deletion of the terms of the appointment as stated in the letter must be agreed upon within the first year of the appointment and evidenced by an amendment to the letter executed by the Provost or designee and the faculty member.

### **7.2.7 Policy Statement on Faculty Background Screenings**

Approved by Academic Council, Administration - Revised December 2008, January 2009, February 2009, August 2009, September 2009;<sup>SEP</sup> Reviewed and approved by Academic Council on September 10, 2009. Issued January 2010.

#### **Purpose**

University of the Pacific has created a background screening process that is conducted to promote a safe work environment, to advance the mission of the University, and to protect our University's most important assets: the people we serve and the people with whom we serve. It assists hiring authorities in making prudent employment decisions based upon more comprehensive job-related information. Pacific will not employ individuals with prior criminal convictions who, in the judgment of the University, pose an unacceptable risk to the University or its employees, students, and visitors. Nor will Pacific employ individuals who misrepresent their identity through falsified social security numbers, work-related credentials, or any other material information. This policy establishes procedures for carrying out background screenings for prospective faculty employees.

#### **Functional Responsibility**

Once the appropriate Search Committee Chair or Dean has selected the eligible faculty candidate(s), it is the responsibility of the Human Resources Administrator to:

- Initiate a background screening immediately after a faculty candidate for employment has been notified that he/she is a finalist for an authorized faculty position.
- Report to the appropriate Search Committee Chair and hiring Dean the outcome of the findings about the eligibility for employment of the faculty candidate finalist based on the results of background screening and the criteria set forth in the Policy.

#### **Policy**

All faculty finalist candidates for employment with the University must authorize the completion of a lawful background screening consistent with this Policy by signing the appropriate authorization forms for a background screening as part of the hiring process.

- The University will not request (or use) information on arrests or detentions that did not result in a criminal conviction.
- The University will not request (or use) information on referrals to, or participation in, any pre-trial or post-trial diversion program.

*Note: The University may request (or use) a portion of this information in hiring for faculty positions that will work at the University health care facilities.*

The University shall not take any adverse action based upon:

- an arrest or detention that did not result in a conviction.
- a conviction for which the record has been ordered expunged by the court.
- an arrest for which pre-trial diversion has been completed.
- a misdemeanor conviction for political activities.
- convictions that are more than two years old (under certain penal statutes) for possession of marijuana, possession of paraphernalia for using marijuana, and presence in location where marijuana is being used.

Among other circumstances, of information revealed by the background screening report, generally a candidate will not be recommended for employment when:

- Background screening shows a sexual offender conviction record.
- Background screening shows a felony conviction record.
- Background screening reveals what, in the judgment of the University, is material information that was not disclosed, improperly disclosed, or misrepresented on the candidate's vitae, background screening release form, or in other materials filed by or presented by the applicant.

### **Scope**

Except as otherwise provided for in this Policy, a background screening finding of a criminal conviction will not automatically disqualify a candidate for employment at Pacific. However, the University may take such a finding of criminal conviction, and its circumstances as perceived by the University, into account in making a decision of employment when the faculty responsibilities and the surrounding circumstances and conditions of their discharge, in the University's view, warrant a decision not to hire that candidate.

An offer of employment is contingent upon:

- Degree/Credential/License - Verification, to the satisfaction of the University, for positions requiring a degree or professional certification/license and in cases where the employment decision will be based on the completion of specific academic work.
- Sex Offender/Criminal Conviction Record - Check, to the satisfaction of the University, for all faculty positions and all faculty candidates.
- Social Security Number - Verification.
- For positions with driving requirements as specified in the job description, verify a valid United States driver's license and the candidate's ability to be insured under Pacific's insurance carrier.

### **Felony or Sexual Offender Finding:**

If a candidate's background screening results indicate a felony or sexual offender conviction, Human Resources may, subject to the provisions of the Policy, make a negative recommendation regarding the candidate's eligibility for employment.

### Misdemeanor Finding:

If a candidate's background screening results indicate a misdemeanor finding, Human Resources will review the offense against the job-related responsibilities and make a recommendation for the University of its impact on suitability for employment.

### Improper Credentials Finding:

If a candidate's background screening results indicate any material information that was not disclosed by the candidate or any improper or falsification of license and/or academic credentials, Human Resources may disqualify the candidate's eligibility for employment.

Search Committees and Deans will not receive a copy of any candidate's report. They will be given a recommendation regarding the candidate's eligibility for employment.

An offer of employment made before the initiation and/or completion of a background screening process is conditional upon the completion of the process and a determination of eligibility by the Human Resources Administrator for employment.

No conditional offer of employment may be made unconditional, nor may any candidate go on the University payroll or begin work of any sort until all appropriate background screenings have been completed and eligibility for employment is determined and approved by Human Resources.

Existing faculty will not be subject to a background screening unless the faculty member transfers to an administrative position. At which time, such screening will be required if not previously completed. Faculty being promoted within faculty ranks will not be required to complete a background screening.

Human Resources will maintain copies of the release authorization forms and results as required by law. They will be kept as legally required in a separate, locked file apart from personnel files.

Background screening results **SHALL NOT** be part of the faculty's personnel file.

### **Procedure**

- All faculty candidates identified by the appropriate search committee as finalists for a position must sign and return a Release and Authorization form to Human Resources authorizing a background screening investigation mandated under this Policy. The form will be made available to eligible candidates by Human Resources. Application materials for faculty positions will indicate the finalists for a position must sign and return to Human Resources a Release and Authorization form authorizing a background screening investigation mandated under this Policy in order to be further considered for employment.
- Human Resources will authorize a non-University entity specializing in lawful background screening to conduct any background screening required under this Policy. The average response time is a minimum of two to four days.
- The Human Resources Administrator will report to the Search Committee Chair and hiring Dean in writing concerning the candidate's eligibility for employment.



- Prior to taking any adverse employment action based in whole or in part on the results of the background screening, the candidate will be notified by the vendor of screening results. The applicant will have ten days to respond to the adverse finding and will work directly with the vendor. (These could include items that the candidate believes should be removed from the report or items that were incorrectly posted to the applicant's record.
- Final eligibility for hire will be authorized by the Provost or his designee(s) (Deans on the two satellite campuses)

### **Appeal Process**

Determinations of ineligibility may be appealed by the candidate of the Search Committee Chair and hiring Dean by writing to the Provost or designee within ten (10) days of notice of such decision with information that is relevant to the appeal. The Provost shall consult with the Director or Assistant Vice President of Human Resources to make the final decision on the appeal.

### **7.3 Minimum Requirements for Appointment and/or Promotion**

Approved by Academic Council, Faculty, Administration

The following minimum requirements are necessary but not sufficient causes for promotion. In order to qualify for appointment or promotion, a faculty member must meet minimum requirements and, in addition, must also demonstrate, in the judgment of the faculty, the dean, and the Provost, achievements as specified in Section 7.4 and in the evaluation criteria and procedures of the school, college, or library in which the faculty member holds an appointment.

#### **7.3.1 Minimum Academic Requirements for Appointment to Academic Rank in the University**

Approved by Academic Council, Faculty, Administration<sup>1</sup>

**Instructor.** A master's degree or its equivalent in the field of specialization and promise of teaching success and of scholarly or artistic achievements; a candidate without a master's degree must have equivalent educational or professional experience in the appropriate area of instructional responsibility, and the recommendation for appointment must contain a statement of this equivalence. The rank of Instructor is not a tenure eligible appointment.

**Assistant Professor.** An earned doctorate or terminal degree in the field of specialization, demonstrated potential for sustained high quality teaching in the field of academic responsibility, and potential for sustained high quality scholarly or artistic achievements in the field of academic appointment, and an expectation for contributions to University and professional service appropriate to the mission of the department and academic unit. A candidate without an earned doctorate or terminal degree must have equivalent educational or professional experience in the

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<sup>1</sup> At the McGeorge School of Law of the University of the Pacific the minimum degree requirement for appointment to any of the academic ranks is a J.D. degree or its equivalent.

area of instructional responsibility, and the recommendation for appointment or promotion must contain a statement of this equivalence.

**Associate Professor.** An earned doctorate or terminal degree in the field of specialization, a sustained record, taking into account growth and development, of high quality teaching and high quality scholarly or artistic achievements in the field of academic appointment, and appropriate University and professional service. A candidate without an earned doctorate or terminal degree must have equivalent educational or professional experience in the area of instructional responsibility, and the recommendation for appointment or promotion must contain a statement of this equivalence.

**Professor.** An earned doctorate or terminal degree in the field of specialization, a continued record of high quality teaching and high quality scholarly or artistic achievements in the field of academic appointment and substantial contributions and leadership in University and/or professional service. A candidate without an earned doctorate or terminal degree must have equivalent educational or professional experience in the area of instructional responsibility, and the recommendation for appointment or promotion must contain a statement of this equivalence.

**Lecturer.** Approved as 4.3.4 Academic Council, Faculty, Administration 90-91 A candidate for lecturer shall have the special experience, skill, or training to meet an instructional need of the University. The candidate need not satisfy minimum requirements for appointment to the faculty of the University listed above, but written justification of the appointment shall accompany the dean's recommendation to the Provost. While holding an appointment as a lecturer no person shall be eligible for tenure, nor shall service in this appointment be counted toward meeting minimum time requirements for promotion and/or the probationary period for tenure. Each appointment as a lecturer in the University will be for a specific period of time. A review of each such appointment will be conducted consistent with the University guidelines for faculty evaluation before a renewed appointment is proffered. The rank of Lecturer is not a tenure eligible appointment.

### 7.3.2 Minimum Length of Service for Promotion

Approved by Academic Council, Faculty, Administration

**Instructor to Assistant Professor.** No minimum length of service is required. Normally, promotion occurs following completion of the doctorate.

**Assistant Professor to Associate Professor.**<sup>2</sup> Normally, at least six years of full-time four year college or University teaching, including years of prior service identified in the initial letter of appointment and three or more years of service at this University. Normally, apart from other necessary criteria for promotion, the minimum time a faculty member shall have been in rank before becoming eligible for promotion shall be five years.

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<sup>2</sup> At the McGeorge School of Law of the University of the Pacific the minimum length of service required for advancement from both assistant and associate ranks is normally three years.

**Associate Professor to Professor.** Normally, at least ten years of full-time four year college or University teaching, including years of prior service identified in the initial letter of appointment and three or more years of service at this University. Normally, apart from other necessary criteria for promotion, the minimum time a faculty member shall have been in rank before becoming eligible for promotion shall be five years.

### **7.3.3 Minimum Requirements for Evaluation for Appointment with Tenure**

Approved by Academic Council, Faculty, Administration, Revised and approved by Academic Council and Administration on May 13, 2010

A candidate for tenure must hold the rank of assistant professor or higher, and must have an earned doctorate or terminal degree in the field of specialization, and taking into account growth and development, a sustained record of high quality teaching in the areas of academic responsibility, and, in the judgment of the faculty, the dean, and the Provost, a sustained record of high quality scholarly or artistic achievements in the field of academic appointment. A candidate without an earned doctorate or terminal degree must have equivalent educational or professional experience in the area of instructional responsibility, and the recommendation for tenure must contain a statement of this equivalence. Unless prior written exception has been granted by the Provost, a candidate must have taught for a probationary period of at least six full-time years in one or more accredited four year colleges or universities, with four of these at the University of the Pacific. An appointment with tenure cannot be acquired on the basis of years of service alone.

### **7.3.4 Evaluation of Prior Service**

Approved by Academic Council, Faculty, Administration

Each faculty member's initial letter of appointment must identify full-time prior professional service and/or teaching experience at an accredited institution of higher learning, if any, which have been approved as counting toward meeting minimum time requirements for promotion and/or the probationary period for tenure. After consultation with the candidate, the dean should recommend how much service and/or experience to count to the Provost, who will make the final determination. The letter of appointment will also indicate the year in which the first peer evaluation will occur.

### **7.3.5 Limitation on Time in the Rank of Instructor**

Approved by Academic Council, Faculty, Administration

No one may hold the rank of instructor on a full-time continuous appointment for more than three years, or for more than two years with one or more years of prior full-time four year college or University teaching experience. An instructor must either be considered for promotion to assistant professor or be informed at the appropriate time (see Section 7.9.1) that reappointment will not occur.

### **7.3.6 Exceptions to Minimum Service and Probation Requirements**

Approved by Academic Council, Faculty, Administration

In exceptional cases, the University's interests may best be served by reducing the minimum length of service for promotion and/or the probationary period for tenure. It is appropriate for the Provost to determine such exceptions recommended by the dean, but the evaluation process for promotion, tenure, or appointment should otherwise conform with the criteria and procedures described in this manual.

Time on Faculty Administrative Leaves (see Section 8.7 Faculty Administrative Leaves) is to be excluded in calculating length of service for promotion and/or the probationary period for tenure.

### **7.3.7 Administrators with Faculty Status**

Approved by Academic Council, Faculty, Administration

Academic administrators holding faculty rank shall normally be evaluated according to the process for Evaluation of Academic Administrators (see Section 4.7). The evaluation process for all decisions that determine or would alter their faculty status with respect to faculty appointment, rank, and tenure, however, must conform with the criteria and procedures described in this Handbook.

## **7.4 Process for Promotion and Appointment with Tenure**

Approved by Academic Council, Faculty, Administration

The process for promotion and appointment depends on a careful evaluation by a peer committee of all evidence deemed appropriate for consideration at the time the evaluation report is written. Subsequent recommendations by the department chair, dean or Provost should be based only on this body of evidence.

In order to be considered, additional evidence, that becomes available after the evaluation report is submitted, must be reviewed by the evaluation committee to determine if the evaluation report should be amended. The revision of the report must be done expeditiously so that the Promotions and Tenure Committee can act in a timely manner.

The process for promotion and appointment consists of the following stages.

### **7.4.1 Initiation of the Process**

Revised and approved by Academic Council and Administration on May 13, 2010

In accordance with Section 7.5.3, the following procedures apply:

**Evaluation for Tenure.** Faculty shall be evaluated for tenure in or before the fall of the last probationary year. In the spring of each academic year, the dean shall submit to the faculty of the department, school, library, or college a list of those within the unit who are due for evaluation for tenure in the upcoming academic year. Faculty members may not defer an evaluation for

tenure. A faculty member whose application for tenure is denied will be granted a one year terminal appointment for the academic year immediately following the decision.

**Evaluation for Promotion.** Faculty may be evaluated for promotion in the fall of the academic year before reaching eligibility. In the spring of each academic year, the dean shall notify each faculty member of a school, college, library, or department who will become eligible for promotion in the upcoming academic year. Faculty members may consent to or defer evaluation for promotion.

#### **7.4.2 Evaluation by Faculty Committee**

Evaluation by faculty committee is the second stage of the process. The procedures and criteria for evaluation by faculty committee are described in Section 7.5 on faculty evaluation. A copy of the evaluation report and the recommendations of the evaluation committee are sent to the dean, faculty member and the department chair, if applicable. Faculty members who will also vote on the recommendation of the evaluation committee will also be given confidential access to the report.

#### **7.4.3 Faculty and Department Chair Recommendations**

Schools and colleges must provide a procedure whereby the tenured faculty of the unit can indicate whether or not they support the recommendation of the evaluation committee. Such procedures should appear in the unit guidelines for promotion and tenure.

After reading the report of the evaluation committee, the tenured faculty of the school, college or department, as specified in unit guidelines, shall vote on whether or not to support the recommendation of the evaluation committee. This recommendation is reported to the faculty member, the department chair, and the dean.

When called for by unit guidelines, the department chair also submits a recommendation to the dean and the faculty member.

#### **7.4.4 Dean's Recommendation**

Upon receipt of the evaluation report and any other recommendations, the dean shall then add a recommendation for action. A copy of this recommendation shall be given to the faculty member and the department chair. The dean shall submit the evaluation report and all other recommendations to the Provost for review by the Promotions and Tenure Committee.

#### **7.4.5 Recommendation from the Promotions and Tenure Committee**

Approved by Academic Council, Faculty and Administration; Revised and approved by Academic Council, Faculty, and Administration on April 9, 2009, Revised and approved by Academic Council on November 10, 2016, Faculty on December 13, 2016 and Administration on June 1, 2017

The Promotions and Tenure Committee (the Committee) is responsible for rendering recommendations based on approved Department, School, College and University guidelines to the Provost and to the President concerning cases of promotion and tenure.

The Committee will receive from the Provost the approved procedures for evaluations from each school and college, the list of persons from each unit eligible for consideration in a given year, and the recommendations for promotions and tenure from each unit. The Provost is responsible for setting the timetable for actions on promotions and tenure in the schools and colleges and the Promotions and Tenure Committee.

The Committee will review the actions of each unit to assure conformity to that unit's individually adopted procedures and standards and to University-wide procedures and standards. In order to maintain consistent standards for promotions and tenure, the Committee may recommend changes in such procedures and standards to the individual units and to the Professional Relations Committee. If a change in the standards occurs prior to the year of a candidate's tenure and/or promotion review, the decision will be based on the standard at date-of-hire unless professional accreditation of programs require a prompt change or the candidate chooses the new standards. Promotion to full professor review will follow the new standards if changes to standards occur outside of the two years prior to the candidates promotion. This policy also applies to approved revisions of unit guidelines.

After all approved procedures for evaluation are completed in each school or college in accordance with the designated timetables; the Provost will bring to the Committee the recommendations from each dean and all supportive materials. The candidates have a right to review and respond to all information sent to the Promotions and Tenure Committee. The Committee will review each case. The Committee must report all recommendations to the Provost.

The Committee will provide its recommendation as to whether, in its judgment, the standards for promotion and appointment with tenure have been satisfied.

If the Committee determines that the evidence provided supports the granting of tenure or promotion, it may recommend that promotion or tenure be granted. If the Committee determines that:

- the evaluation committee report is incomplete or does not comply with unit guidelines,
- the recommendation of the evaluation committee is not supported by the evidence or,
- the evaluation does not follow University procedures, it shall return the report to the forwarding unit for further consideration and/or documentation.

If the evaluation report is returned to the forwarding unit for further consideration by the unit evaluation committee, the candidate has the right to review and respond to all information resubmitted to the Promotions and Tenure Committee. Any new written evidence of a candidate's performance must be sent to all the parties participating in the review at any time prior to the President's decision. If, after the evaluation report is resubmitted to the Committee, it is determined that the standards for promotion and/or appointment with tenure have not been met, the Committee may recommend that promotion or tenure not be granted.

Should a candidate provide a written request for reasons for denial of tenure and/or promotion, the Provost will provide such reasons after consultation with the Promotions and Tenure Committee. The candidate may request that the reasons be provided in writing. If so requested, the information will be provided in writing.

#### **7.4.6. Provost's Recommendation**

After receiving the recommendation of the Promotions and Tenure Committee, the Provost shall submit a recommendation to the President as to whether, in the Provost's judgment, the standards for promotion or appointment with tenure have been satisfied. The Provost shall also submit to the President the report of the evaluation committee and all other recommendations.

#### **7.4.7 Decision of the President**

The President holds the authority to grant promotions and to make appointments with tenure. The President will review all materials submitted by the Provost, and then make a decision as to whether, in the judgment of the President, the standards for promotion and appointment with tenure have been satisfied. The decision of the President is reported by the Provost to the faculty member by written notice.

### **7.5 Faculty Evaluation Guidelines**

#### **7.5.1 Purpose of Faculty Evaluation**

Approved by Academic Council, Faculty, Administration

Evaluation should assist the faculty and administration to identify and encourage excellence in the faculty. The evaluation report should emphasize a positive approach by confirming areas of strong performance, indicating areas where performance is insufficient, and indicating areas where improvement should be achieved. A list of weaknesses by itself is insufficient to meet the intent of this policy. Further, the report and recommendations should reflect the person's current level of performance and note the improvement of prior weaknesses, if any, but should not depend or focus on deficiencies which have been consistently resolved in the judgment of the faculty. Such a positive approach will provide a basis for the long-term development of the faculty.

It is expected that candidates for promotions and tenure will have received timely comment on areas of weakness so that the candidate will have had an opportunity to develop a record of correction of such weaknesses. Unit guidelines should specify the process for providing timely comment and available assistance to candidates. The dean has the responsibility for oversight of this process.

Evaluation should determine the extent to which the work of an individual faculty member contributes to the mission of the University and the unit(s) of assignment. Therefore, it should be based on an explicit statement of expectations within the department, school, library, or college concerning the faculty member's workload, and evaluation reports and recommendations should follow approved criteria and procedures which specify how the various components of faculty

work will be weighed in that unit. While evidence of high quality teaching, scholarly or artistic achievements, and relevant professional service must all be present for a favorable evaluation, the nature and weighting of these elements may differ from unit to unit because of diverse goals and circumstances.

### **7.5.2 Providing of Reports and Recommendations and Opportunities for Response**

Approved by Academic Council, Faculty, Administration

The faculty member shall be given a copy of the reports and recommendations of the evaluation committee and the department chairperson and shall have an eight day period to forward a written response to the department chairperson and/or the committee and the dean. At the faculty member's request, this response shall be appended to the report and recommendation which the dean sends to the Provost. A copy of the dean's recommendation will also be given to the faculty member and department chairperson.

### **7.5.3 Calendar of Evaluation and Review Dates**

Approved by Academic Council, Faculty, Administration

**Annual Review.** There will be an annual review of each faculty member's teaching and advising, scholarly or artistic achievements, and professional service for the previous year, as well as current work and projected activities. This review will follow procedures described in Section 7.5.5.i and be scheduled so as to affect teaching load assignment and salary recommendations for the subsequent academic year. Annual reviews may also provide material to be considered in evaluations of tenured faculty and in evaluations for retention, tenure, and promotion.

**Evaluation for Reappointment.** A recommendation for reappointment of first-year faculty is to be submitted to the Provost in February. Second-year faculty are recommended for reappointment in November.

The evaluation for retention may be administrative (not a committee evaluation), or it may be a peer (committee) evaluation. A peer evaluation for retention must occur at least three years before the scheduled tenure evaluation. For faculty credited with prior years of teaching, the timing of the first peer evaluation will depend upon the number of years of credited prior service specified in the initial letter of appointment.

**Combining Evaluations for Tenure and Promotion.** Evaluations for tenure and promotion should be combined into a single evaluation whenever possible.

**Evaluation for Tenure.** Faculty shall be evaluated for tenure in or before the fall of the year before the last probationary year. In the spring of each academic year, the dean shall submit to the faculty of the department, school, library, or college a list of those within the unit who are due for evaluation for tenure in the upcoming academic year. Faculty members may not defer an evaluation for tenure.



**Evaluation for Promotion.** Faculty may be evaluated for promotion in the fall of the academic year before reaching eligibility. In the spring of each academic year, the dean shall notify the faculty of the library, department, school, or college who become eligible for promotion in the upcoming academic year. Faculty members may consent to or defer evaluation for promotion.

**Evaluation of Tenured Faculty.** Tenured faculty should be evaluated every fifth year, unless there has been an evaluation for promotion or reassignment in the two years prior to when such an evaluation would be due. Fifth-year evaluations will employ the same criteria as other evaluations. A unit may establish a procedure whereby five annual faculty reviews are so structured as to culminate in a fifth-year report. Units that choose this option must furnish details in their statement of evaluation criteria and procedures.

#### **7.5.4 Evaluation Criteria**

##### **7.5.4.a Evaluation Criteria Defined**

Approved by Academic Council, Faculty, Administration; Revised on April 27, 2006, Approved by Administration on June 14, 2006. Academic Council Action, revised on March 20, 2008; Revised and approved by Academic Council and Administration on April 9, 2009; revised April 16, 2014

As a University-wide criterion in evaluations for promotion and appointment with tenure, a sustained record demonstrating high quality teaching in the areas of academic responsibility is most important. A sustained record demonstrating high quality scholarship or artistic achievements in the field of academic appointment is next in importance. Relevant professional service is expected of all faculty members. While teaching and scholarship are weighted higher in promotion and tenure decisions, University and professional service is required and will be evaluated according to unit guidelines and the professorial rank being considered. Evaluation should emphasize quality, and quantity shall not be evaluated with an emphasis equivalent to or greater than quality. Further, a report of potential for high quality teaching, high quality scholarly or artistic achievements, and relevant University and professional service, without a demonstration that these elements are present at a level relevant to the evaluation, in the judgment of the reviewers, is not sufficient to sustain a favorable recommendation.

Consideration of citizenship in the University is part of the established evaluation areas of teaching, scholarship or artistic performance, and service and is not to be evaluated as a separate area. Responsible citizenship consists of attitudes and actions which show respect for one's faculty and staff colleagues as well as students and which help other faculty and staff members so that as a learning community we further Pacific goals of excellent teaching and advising for students, rigorous scholarship, and productive service. Faculty should acknowledge that a deficiency in or complete lack of citizenship can directly and negatively impact their performance in teaching, scholarship or artistic performance, and service.

Professional disagreements among colleagues are entirely consistent with demonstrating university citizenship. However, all faculty members are expected to express those disagreements in a professional and respectful manner. Faculty should not let personal biases and/or disagreements impact their department, students, or the University as a whole. Issues

pertaining to citizenship should not be used to discriminate on any basis prohibited by the University's Policy on Academic Freedom (Section 3.1) and should not be used to promote orthodoxy of opinion on academic matters.

Beyond these broad guidelines, specific evaluation criteria and weighting ranges will be determined by the college, schools, and library and set forth in the statements subject to the approval of the Academic Council and the approval of the Provost, who will then forward the proposed guidelines, decisions, and related information to the President for final approval. The Provost and the Academic Council shall strive to provide joint recommendations to the President whenever possible, but if disagreement exists separate recommendations and supporting information will be provided.

Procedures by which evaluations will be conducted should be set forth in the same statements, as indicated in Section 7.5.5.b. Further, statements are expected to evolve; that is, initial unit specifications of the characteristics of high quality teaching and scholarly or artistic achievements, relevant professional service, and the procedures for evaluating them are approximations to be refined and revised on the basis of reflective experience and informed review.

Unit guidelines for tenure or promotion evaluations should provide for objective consideration of the candidate's record of discharging the obligations of University citizenship in the areas of teaching, scholarship or artistic performance, and professional service. In determining specific unit evaluation criteria, the following section constitutes a general code or protocol that each unit will adapt to its particular situation. Units that currently employ a quantitative measure must include of a provision that meeting the quantitative measures is a minimum achievement for consideration for promotion and/or tenure but that meeting the department's minimum quantitative standards does not entitle the candidate to a positive recommendation, in that high quality scholarship and teaching is required in addition to meeting any quantitative requirement.

**Teaching.** Teaching is primarily an intellectual enterprise; it is not merely the packaging and distributing of information. Teachers inspire and motivate their students and convey enthusiasm for their subject. Teachers deliberately frame the central questions of a course, establish rules of argument and evidence, illustrate connections between and among ideas and observations, compare interpretations that give different meanings to information, and design student assignments and experiences that inform and shape a critical view of assertions and claims.

Teaching excellence includes:

- the acquisition and maintenance of substantive expertise in the discipline,
- the definition and planning of sound instructional objectives, and the assessment of their attainment
- the organization, preparation, and presentation of appropriate instructional material, and the fair and accurate evaluation of student achievement
- the collective responsibility for organization, development and evaluation of the academic program

Other forms of teaching excellence are also valued and may be demonstrated by direct measures or other evidence of:

- creativity and innovation in teaching and learning
- teaching enhanced substantially by integrating appropriate technology
- teaching that is culturally responsive and proficient;
- Interprofessional and intraprofessional collaboration in teaching and learning
- teaching that engages community-based (“service”) learning
- teaching in an international setting
- participation in the interdisciplinary core of the general education program
- direction of undergraduate research, graduate research, master's theses and doctoral dissertations.

Since good teaching manifestly has disciplinary as well as general characteristics, the criteria employed by the department, college, school, or library shall be tailored for the unit. The criteria should reflect the unit's particular disciplinary requirements. Each unit's statement of criteria and procedures for evaluating teaching will be subject to review and approval at the library, school, or college level and at the University level.

Academic advising may be included as part of a faculty member's responsibility. Advising new students serves to introduce them to the intellectual nature of the University and assists them in making a successful transition to collegiate life and in selecting programs and courses that integrate individual needs with academic objectives. Advising majors and students in professional schools and programs serves to introduce them to the nature of the disciplines and professional life and assists them in the design of their academic programs and the selection of and transition to professional careers.

Teaching requires ethically responsible interaction with students, treating students fairly and consistently, and respecting their rights and personal privacy. In the exchange of ideas and criticisms faculty members show due respect for the opinions of students, faculty and others. Citizenship in teaching requires a level of respect toward colleagues such that there is constructive interaction between faculty members on matters that would aid the teaching and advising of Pacific students. Activities by a faculty member that contribute to better citizenship in teaching and advising of students are appropriate for evaluation.

**Scholarly and Artistic Achievements.** Evaluation of scholarly and artistic achievements should emphasize quality, and quantity shall not be evaluated with an emphasis equivalent to or greater than quality. Scholarly and artistic achievements include work presented, performed, or exhibited for the review of peer professionals. Faculty members are expected to subject their work to the judgment of colleagues within the profession. Academic units must clearly define what activities constitute scholarly and artistic achievements and how these activities should be evaluated in a manner that is consistent with University guidelines.

Scholarly achievements refer to the broad spectrum of faculty work in the scholarship of discovery of knowledge, of integration of knowledge, of application of knowledge, and of teaching and learning. Typical scholarly achievements include, but are not limited to, writing and publishing (in print or electronically) books, chapters in books, monographs, articles in refereed

journals, scientific and technical reports, clinical reviews, commissioned book reviews, and publications on teaching and learning. In addition, presenting scholarly or pedagogical papers at professional meetings, writing and publishing textbooks or other teaching materials, editing professional journals, refereeing papers, and submitting major grant proposals may be regarded as scholarly achievements.

Artistic achievements include, but are not limited to, music recitals and performances, publication or performance of original musical compositions, art work submitted to juried exhibitions or selected for gallery presentation, involvement in the technical or creative aspects of theatrical and dance productions, or the public reading of one's own prose or poetry. Artistic and creative endeavors are subject to review by members of the profession in a manner comparable to other types of scholarly activities.

Other examples of scholarly and artistic endeavors may be identified and justified by the departments, college, schools, and library; in the Dental School, for example, preparation and presentation of table clinics and continuing education, and achieving board certification in a dental specialty are regarded as scholarly achievements.

Although quality of the scholarly and artistic achievement should be emphasized over quantity, academic units must establish minimum quantitative benchmarks that must be met before someone is eligible for consideration for promotion and/or tenure. It should also be noted, however, that meeting the unit's minimal standards does not entitle the candidate to a positive recommendation.

Faculty members are bound by professional ethics in scholarly and artistic endeavors. They strive to be objective in their professional judgment of the work of colleagues. In scholarly activity, citizenship may involve assisting colleagues with their research and other scholarly activities. It consists of attitudes and actions that show respect for the research of one's colleagues.

**University and Professional Service.** Professional service covers contributions to the development and maintenance of campus organizational life, campus intellectual life, and service related to the faculty member's discipline. Faculty members are expected to accept their share of faculty responsibility for the governance of the University commensurate with their rank.

Contributions to campus organizational life might include committee service and various organizational activities performed by faculty members, such as serving as an appointed or elected representative on department, college, library, and University committees for formulating academic policies and conducting University business. It may also include assisting in the recruitment of students and such other activities as the school, library, college, or department identifies and justifies as appropriate.

Contributions to campus intellectual life might include using one's discipline in co-curricular activities, such as presenting lectures to campus groups or organizations, appearing on or running radio shows, developing a film series, creating or running special programs, or making artistic contributions to campus life.

Service related to one's discipline might include a range of activities not normally subjected to peer review, as well as service to professional organizations at any level. This might include serving on boards, commissions, or advisory groups relating to the faculty member's discipline, serving as a discussant at a professional meeting, organizing a session, being a panel member, or serving as an officer, board member, or committee member in a professional organization. It includes providing professional or expert advice on subjects in one's discipline to governmental bodies and media organizations, writing newspaper articles, opinion columns, as well as other pieces not subject to peer review, and contributing professional expertise to community activities through lecturing and consulting.

Responsible citizenship may involve assisting other faculty members in their service work and is to be used in their evaluation.

#### **7.5.4.b Effective Dates for Changes in Evaluation Criteria**

Approved by Academic Council, Provost, Faculty; revised April 16, 2014, Revised and approved by Academic Council on November 10, 2016, by the Faculty on December 13, 2016 and by the Provost on February 14, 2017

If a change in the standards occurs prior to the year of a candidate's tenure and/or promotion review, the decision will be based on the standard at date-of-hire unless professional accreditation of programs require a prompt change or the candidate chooses the new standards. Promotion to full professor review will follow the new standards if changes to standards occur outside of the two years prior to the candidates promotion to full professor. This policy also applies to approved revisions of unit guidelines. When changes are made either at the University level or at the unit level, the unit must assist faculty to make the transition to the new standards in an equitable manner.

#### **7.5.5 Unit Evaluation Guidelines**

Approved by Academic Council, Faculty, Administration

##### **7.5.5.a Adoption of Unit Guidelines**

Approved by Academic Council, Faculty, Administration; revised April 16, 2014

The Dean and the Faculty of each unit shall review, adopt, and publish its evaluation guidelines. Adopted unit guidelines will be reviewed by the Professional Relations Committee and acted on by the Academic Council and the Provost to ensure conformity to University-wide principles of evaluation. The Provost and the Academic Council shall strive to provide joint recommendations to the President whenever possible, but if disagreement exists separate recommendations and supporting information should be provided. The Provost will forward the proposed unit guidelines, decisions, and related information to the President for final action.

The primary responsibility for evaluating faculty performance rests with the unit (library, college, school, or department). Evaluations must be performed in an atmosphere of openness and fairness. Thus, faculty should be fully aware of all expectations and responsibilities.

Ensuring such awareness is a joint responsibility of the faculty member being evaluated and the unit governance body that establishes policies for the assignment of teaching load as well as expectations regarding scholarly activity and service. All such policies must conform to University guidelines stated in Section 7.5.4.

#### **7.5.5.b Providing Written Guidelines**

Approved by Academic Council, Faculty, Administration; revised April 16, 2014

The Dean of each unit will provide its faculty at the time of hire with a copy of the By-Laws of the University and a written statement of its unit guidelines including criteria and procedures for selecting new faculty, evaluating faculty for retention, promotion, and tenure, conducting annual reviews, and evaluating tenured faculty. For each kind of evaluation, the unit guidelines will identify:

1. the nature and scope of the evaluation, including whether it will be conducted by an administrator, a committee, or by both,
2. the relative importance within the unit of the criteria for evaluation, as subject to University-wide priorities set forth in Section 7.5.4.
3. the kinds of information deemed most relevant within the unit for the particular evaluation,
4. the sources from which information should be gathered, including how prior evaluations will be used, and
5. methods for gathering information that minimize potential bias and distortion, so as to represent accurately the accomplishments of the faculty member.

#### **7.5.5.c Sources of Relevant Information**

Approved by Academic Council, Faculty, Administration; revised April 16, 2014

Unit guidelines should indicate that evaluations for promotion, for appointments with tenure and for fifth year evaluations of tenured faculty, will be based on written reports, whenever possible, or on interviews from at least the following sources:

1. the faculty member being evaluated; the faculty member should provide a curriculum vitae and a report (with supportive materials) of his or her teaching, scholarly activities, and professional service.
2. students (both past and present) and advisees; where feasible, graduates should also be consulted. At least one evaluation of each course the faculty member teaches will be conducted using a procedure specified by the guidelines.
3. colleagues of the faculty member, including all members of the department in which the faculty member holds an appointment (or all members of the faculty in schools in which the faculty make decisions as a committee of the whole).
4. the Dean of the unit.
5. at least two external letters evaluating the quality of the candidate's scholarship and contribution to the discipline.

### **7.5.5.c.1 Evaluation of Scholarship and Teaching**

The record of previous peer review relating to scholarly and artistic activity should also be included in the dossier considered by the committee. The academic unit shall require (and individual candidates may request) two letters of review by peers in related professional areas outside the University in evaluations for promotion, tenure, and fifth year evaluations of tenured faculty. Unit guidelines should be designed to bring about agreement between the candidate and the committee concerning the choice of extramural peers. The candidate should have the opportunity to suggest names of such peers and to comment on the suitability of peers proposed by the committee. The final decision on the choice of an external peer is to be made by the committee. If the reviewer has a relationship with the candidate, an explanation should be included in the unit evaluation committee report stating why the reviewer is the most appropriate person to review the candidate's scholarship.

External letters should be requested by the chairperson of the evaluation committee or other relevant unit committee or individual, e.g. an evaluation review committee, and selected from a list compiled by the Department Chairperson. The candidate should see the list and have the opportunity to veto for cause a potential letter writer, but should not know who is ultimately requested to write a letter. All letters should be confidential and the candidate<sup>[1]</sup><sub>[SEP]</sub> should only view redacted letters that do not identify the institution or individual who wrote the letter. In the dossier, the external evaluation letters should be separated from the other letters of support.

Summary data for all courses evaluated by students during the evaluation period should be included in the dossier. The summary of evaluations should compare the candidate's scores with the norms in the unit, if the unit compiles unit norms. The summary and comparison should be completed by a member of the evaluation committee. The candidate's dossier should also include a sample of student evaluations, including student comments. The student evaluation sample of courses will be submitted by the evaluation committee for inclusion in the dossier. The sample should represent a significant sample of the depth and breadth of the courses taught during the evaluation period.

The Third Year Review shall be included in the candidate's dossier.

### **7.5.5.c.2 Evaluation Committee Reports**

The evaluation committee report should reflect the agreed conclusion of committee members on whether the faculty candidate meets the tenure and/or promotion standards for each section; teaching, scholarship and service. If the evaluation committee cannot reach agreement on an individual section, both the majority and minority views on whether the candidate meets tenure and/or promotion should be included in the document. A recommendation from the committee does not constitute a vote. A faculty member should only be allowed to vote once.

The evaluation committee report should include information that assists the P&T Committee members from other disciplines in understanding the discipline evaluation criteria standards. For example, in the scholarship section, when relevant, the report should discuss the quality of the journals and presses published in, or conferences presented at, and the significance of co-authorships, including first and last authorships, in the discipline.

Evaluation committee reports should provide objective evidence of teaching, such as student

evaluations and peer review. Evaluation committee reports should clearly state the method of any peer teaching evaluation. Units should employ a process that allows peers to base their evaluation on direct evidence, e.g. direct observation, review of video of faculty candidates' teaching and/or review of teaching materials rather than hearsay reports from students or other colleagues. Generally individual student letters regarding teaching shall not be considered.

#### **7.5.5.c. 3 Unit Consideration Of Promotion and /or Tenure**

In most instances, a meeting to discuss the dossier and share information prior to taking the actual vote of the group is the most effective process. In cases where a group discussion is not possible, the unit must determine a process for sharing of opinions and incorporate this into the evaluation for Promotion and Tenure. Units should adopt a practice to capture the basis for negative and positive votes by eligible unit faculty.

The department chair should prepare a transmittal memorandum that includes the vote by eligible unit faculty and summarizes the basis of majority and any minority views about whether the candidate meets the standards for teaching, scholarship and service. The summary of majority and minority opinions should be based on the discussion in the unit meeting or other process that the unit employs to gather eligible unit faculty views. The transmittal memorandum should not disclose or be drafted in a way to identify the opinions of individual faculty members. The transmittal memorandum should be included in the dossier.

#### **7.5.5.c.4 Dean's Letter**

The Dean reviews all the evidence including the Chairperson's transmittal memorandum and writes a letter communicating a recommendation based on an independent review. The letter should clearly describe the Dean's assessment of the candidate's contribution to the field. Additionally, if areas needing improvement were identified in the third-year review, all efforts applied to address these should be included. To preserve the independent evaluation required at each stage of the tenure and promotion process, the Dean should not be present at the unit level discussion meeting. New information not reviewed by the unit evaluation committee shall not be included in the Chairperson's transmittal memorandum or the Dean's letter.

The dossier, including the chair's letter and the evaluation committee report shall be submitted electronically to the Provost's office.

#### **7.5.5.d Administrative Evaluation for Reappointment**

Approved by Academic Council, Faculty, Administration

First year evaluations for reappointment may be conducted by unit administrators utilizing sources indicated in Section 7.5.5.c. The second year evaluation for reappointment may be conducted by an administrator or by a committee (as indicated in Section 7.5.3), but in either case will include substantial input from unit faculty. All other evaluations specified in these guidelines, including the pre-tenure review described in Section 7.5.3 above, will be peer reviews.

#### **7.5.5.e Evaluation by Committee**

Approved by Academic Council, Faculty, Administration



Unit guidelines will include a procedure for the selection of evaluation committees. The chairperson of the evaluation committee will be determined by the committee. Those departmental chairpersons or others who voluntarily or by request submit separate evaluation reports at any time to the Provost shall not be members of the evaluation committee. The dean will not be a member of an evaluation committee. A unit may adopt procedures to use one central evaluation committee in applying the approved guidelines to more than one candidate.

**Evaluation for Reappointment.** An evaluation committee for reappointment should normally include at least the following voting members:

A peer (tenured, if possible) of the faculty member, preferably from within the faculty member's professional specialty area.

Another faculty member (tenured, if possible) from the evaluated faculty member's department, school or college or from the library.

A student of the faculty member if one is available, otherwise a student from the academic unit.

**Evaluation for Promotion and/or Tenure.** In addition to the members listed above for retention committee evaluations, an evaluation committee for promotion and/or tenure should normally also include a tenured faculty member from outside the department, school, library, or college of the faculty member being evaluated.

#### **7.5.5.f Challenging of Members**

Approved by Academic Council, Faculty, Administration

Unit guidelines should provide a procedure whereby a faculty member being evaluated may, in a timely manner, challenge the members chosen for the evaluation committee, including a standing evaluation committee. Guidelines of the unit should specify procedures for handling a challenge to committee membership. In the absence of unit guidelines, the dean, after reviewing the challenge to committee membership, shall determine the outcome of the challenge.

#### **7.5.5.g Conveying Reports to Faculty Being Evaluated**

Approved by Academic Council, Faculty, Administration

Unit guidelines should indicate a procedure and time-line for conveying evaluation committee reports and recommendations to the person being evaluated (see Section 7.5.2).

#### **7.5.5.h Dissenting Recommendations**

Approved by Academic Council, Faculty, Administration

In case the dean does not agree with the recommendation of the evaluation committee, unit guidelines should provide that the dean's reasons also be conveyed in writing to the faculty member being evaluated.

#### **7.5.5.i Annual Review**

Approved by Academic Council, Faculty, Administration

Unit guidelines should provide that each faculty member will have an annual review to evaluate work done in the previous year and to formulate a plan for the coming year. The review will be conducted by the dean or the dean's administrative designate (e.g., the department chairperson). To facilitate the review, the faculty member will prepare a brief Report of Activities and Plan. Each unit will develop a format for the report and plan which addresses the areas of teaching, scholarly and artistic endeavors, and professional service. Opportunities and emergencies arise which cause a faculty member to change plans. When this occurs, the faculty member should discuss any major changes with the appropriate administrative officer and document them for inclusion in the following year's annual report.

#### **7.5.5.j Selecting New Faculty**

Approved by Academic Council, Faculty, Administration

Unit guidelines should include a process for establishing search committees for new tenure-track faculty members that is in conformity with Section 7.2 Faculty Recruitment.

### **7.6 Faculty Compensation Policy**

Approved by Academic Council, Faculty, Administration

#### **7.6.1 General Compensation Policy**

Approved by Academic Council, Faculty, Administration

Funds for faculty compensation, as part of the University's budget, are allocated by the Board of Regents, acting on the recommendation of the President. The Provost, with advice from the Institutional Priorities Committee and the Council of Deans; and the Academic Council, with advice from the Faculty Compensation Committee, will provide the President with information and recommendations concerning long-term faculty salary goals, annual increases, and overall compensation policy. The Provost and the Academic Council shall strive to provide joint recommendations to the President whenever possible, but if disagreement exists separate recommendations and supporting information should be provided. The President will set compensation policy.

#### **7.6.2 Unit Salary Policy**

Approved by Academic Council, Faculty, Administration

Each Academic unit will, in keeping with its mission, develop a policy for recommending annual adjustments to individual faculty salaries on a basis that is consistent with overall University guidelines. Unit faculty, deans, the Academic Council, and the Provost should work closely with each other at all stages in an attempt to reach mutually agreeable guidelines.

Within each academic unit the faculty and dean will develop a policy including criteria and procedures for recommending annual adjustment to individual faculty salaries on the basis of factors referred to in Section 7.6.1 and 7.6.3. The dean of each unit shall review the proposed policy and forward it along with recommendations to the Academic Council and the Provost.

The Provost and the Council will review the proposal in terms of conformance with University guidelines, recommend approval or suggest changes, and forward all information to the President. Although all parties will attempt to reach mutually agreeable recommendations, separate recommendations and supporting information will be forwarded to the President if such agreement is not attained and the President will determine the policy.

### **7.6.3 Annual Adjustments**

Approved by Academic Council, Faculty, Administration

Annual adjustments to faculty salaries will take into account such factors as changes in the cost-of-living, merit, market considerations, and inappropriate wage differentials; furthermore, recommendations for adjustment of individual faculty salaries will reflect the results of annual reviews and other evaluations referred to in Sections 7.4, 7.5 and 7.5.5. Deans of the academic units will recommend individual salary adjustments to the Provost.

Once a recommendation has been approved, the dean or designate (such as the department chairperson) will write to the faculty member, stating the amount, basis and components of the recommended adjustment. The faculty member may request further clarification and reconsideration of the recommendation.

Normally, annual adjustments are added to base salary and are therefore taken into consideration when new salaries are proposed for the following year. Any component of a faculty member's compensation which is not part of base salary (such as stipends for department chairs, program directors, or other special assignments) should be clearly identified as such.

### **7.6.4 Non-University and Concurrent Employment**

Approved by Academic Council, Administration

The University generally permits full-time faculty members to engage in non-University professional activities, including private practice, consultation, and the like, up to a maximum of one day per week. (See 3.9 Conflict of Interest and Conflict of Commitment.) The University reserves the right to further limit regular and continuing outside employment on an individual basis if, in the judgment of the administration, it interferes with the faculty member's ability to fulfill University responsibilities. The dean of the school or college has the authority to annually review all such activities and to request that faculty members, in a timely manner, provide information requested by the dean about such non-University professional activities.

Concurrent teaching by full-time faculty at other academic institutions is discouraged and may be undertaken only with the written approval of both the dean of the school or college in which the faculty member holds an appointment and the Provost. A request for approval should be submitted to the dean prior to making a commitment to such teaching.

### **7.7 Joint Appointment and Affiliation**

Approved by Academic Council, Administration

For the enrichment of academic programs, the full utilization of faculty resources and the effective coordination of academic planning, the University requires alternative forms of faculty appointment. A faculty member in one unit may be called upon to teach in another unit on a temporary or permanent basis, under a variety of circumstances. Accordingly, two additional modes of appointment, called affiliation and joint appointments, are provided.

### **7.7.1 Affiliation**

Approved by Academic Council, Administration, Revised and approved by Academic Council and Administration October, 2018

A faculty member holding an appointment in one unit is said to have an affiliation with another unit when the faculty member's participation in a particular program is restricted, specialized, or temporary in nature. Affiliation should not be in place of joint appointment where the criteria for joint appointments are met.

A faculty member affiliated with a department or unit should be regularly informed of the schedule and agenda of meetings of that unit; should participate in the discussion of issues before that unit; and should be consulted on all matters before the unit directly affecting the faculty member's responsibilities in that unit. However, the faculty member should not be required to attend meetings regularly or to participate in the full range of administrative/governance functions of that unit.

The distribution of the faculty member's responsibilities in the two units may vary from year to year. The faculty member's salary shall be allocated to the two units in proportion to the person's responsibilities in each unit each year.

### **7.7.2 Joint Appointment**

Approved by Academic Council, Administration

A faculty member holding a joint appointment in two units is recognized to have full faculty status in those units with all the rights and responsibilities pertaining to such status (subject to the provisions relating to voting). Joint appointment reflects the scope of the faculty member's professional training and interests and the person's long-term responsibilities to the University.

One of the units shall be designated the unit of primary appointment. Normally, the faculty member carries the greater set of responsibilities in the unit of primary appointment. However, the distribution of responsibility may vary from year to year, and in special circumstances the smaller part may be in the primary unit. The faculty member's salary shall be allocated in proportion to the person's responsibilities in each unit, each year.

For purposes of University-wide governance, including representation on Academic Council and University-wide committees, a faculty member holding joint appointment shall be considered to belong to the unit of primary appointment.

For purposes of school or college governance, a faculty member who normally carries fifty percent or more of responsibilities in a school or college shall have the right to vote in elections, general faculty meetings, and referenda of that college.

For purposes of departmental governance, where applicable, a faculty member who normally carries more than fifty percent of responsibilities in a department shall have the right to vote on all matters before the department. A department may agree that faculty members holding a joint appointment with a load of fifty percent or less may vote in matters before the department. The rights and responsibilities including voting rights, in each department must be clearly delineated at the time of the appointment. The provisions of this paragraph shall apply also to interdisciplinary programs.

### **7.7.3 Procedures and Criteria**

Approved by Academic Council, Administration

A faculty member desiring joint appointment or affiliation with another unit may submit a request to the Provost, after consulting with the appropriate chair (where applicable) and dean. The faculty member will then be screened by the Provost and the deans concerned to determine whose names should be forwarded to the respective units for further consideration. If the name is not forwarded for further consideration, the faculty member shall be notified in writing of the reasons for this decision.

Any department or college of the University may initiate the process of joint appointment or affiliation by submitting the names of faculty members who might be invited to receive joint appointment or affiliation. Such invitations should be submitted by the dean for screening by the Provost and two deans concerned. If the joint appointment or affiliation is viewed favorably by the Provost and the two deans concerned, the Provost should contact the faculty member to ascertain interest in such a joint appointment or affiliation.

In screening proposed joint appointments or affiliations, the following criteria should be considered: The faculty member's area (s) of formal training; the faculty member's experience in teaching and scholarship; additional areas of competence developed in the time subsequent to the period of formal training; collateral academic fields in which the faculty member can reasonably be expected to contribute; the faculty member's potential for retraining; and the nature of the program in the unit(s) of potential joint appointment or affiliation.

In considering joint appointments, careful consideration should be given to the long-term needs of the schools or departments involved, and the University as a whole. Joint appointments shall not be made for short-term consideration alone, or to improve one program at the cost of another. Joint appointments are made by the Provost, acting upon the recommendation of the deans concerned and the members of the faculty of the departments or programs concerned. The Provost's letter of appointment shall specify the primary unit of appointment, the responsibilities of the faculty member in both units, and any understanding or conditions pertaining to the appointment, agreed to by all parties.

#### **7.7.4 Program Consideration**

Approved by Academic Council, Administration

Each course in the University shall be clearly designated, for academic and budgetary purposes, to belong to a specific unit, regardless of the status of the faculty member or members who may teach that course. The course shall be taught under the authority and responsibility of the designated unit and shall be credited to that unit in the accounting of teaching load (Full Time Equivalency, Student Course Places, etc.). This provision in no way precludes the possibility that a course belonging to one unit may be recognized (cross-listed) by another unit to count towards major requirements, general education requirements or other purposes.

The existence of joint appointments and affiliations has the purpose and the potential to enrich the programs of all units of the University. Jointly-appointed or affiliated faculty have the responsibility of adjusting to the curricular needs of the unit which they enter. Program needs have priority over faculty interests. Optimal use of faculty resources to meet program needs may require some mutual accommodation on the part of all faculty concerned. The needs of the program and the capabilities of its faculty (including continuing faculty and new members) should be considered in a unified way. The University has the responsibility to provide resources, through Faculty Development Leaves, released time, or other means, for the program development and/or faculty retraining which may be necessary.

#### **7.7.5 Rights and Responsibilities of Faculty**

Approved by Academic Council, Administration

Faculty holding an affiliation or joint appointment in two units have the responsibility to meet the needs of those units, taking into account the relative proportion of their time and salary allocated to those two units. The University has the responsibility to recognize and avoid the abuses which may arise under such circumstances. The status of joint appointment or affiliation means that a faculty member's time is divided between two or more units; consequently, no one unit can expect what is expected of full-time members. A faculty member should not be subjected to conflicting demands in class scheduling or conflicting expectations for professional development. Any faculty member who feels such conflicting expectations may make the complaint known to the Chair (where applicable) and to the dean or deans concerned who shall attempt to resolve the conflict, with the assistance of the Provost, if necessary. The following shall be outlined in writing at the time of the joint appointment:

- Distribution of salary support and clarity of percentage of appointments
- Workload assignment including teaching (including advising) scholarship and service expectations for office space and office hours
- Terms and procedures for faculty evaluation-annual evaluations, third year review and for promotion and tenure
- Expectations and obligations of engagement in department/unit, activities including department/unit meetings, and extent of voting rights in each department
- Specifics of FTE for each department, including:
  - How enrollments are split between departments if applicable
  - How faculty members are “counted”
    - Ratio of faculty to majors/graduate students

- Distribution of resources
- Length of appointment and conditions for continuing shared appointment of a different faculty member being offered the joint appointment leave the position, transitions completely into one department, is appointed to a university administrative position, or is on Faculty Development Leave.
- A procedure for changing the proportion of the appointment between the units
- Terms for changes in appointments
  - Discontinuation of appointment-clarification of the terms under which (i) the faculty member may be allowed to discontinue the joint appointment, (ii) either department may be allowed to discontinue the joint appointment, and (iii) the provost may discontinue the joint appointment.
  - Faculty retreat rights- does the faculty member have the option of retreating to 100% in one of the departments in which the joint appointment is held? If possible, the process and timeline of notification for consideration must be identified in the MOU and the MOU referenced in the appointment letter. If this is not an option, it should be clear at the time of appointment what, if any, options are available.
  - Eligibility to be considered for the position of department chair within the scope of the agreement or whether a subsequent agreement would need to be reached prior to consideration. Eligibility to be considered for other administrative assignments while remaining in the scope of this joint faculty appointment. Whether eligibility for department chair or to be considered for administrative assignments while retaining the faculty joint appointment status applied to only one department or both?
  - Conflict resolution should be clearly outlined, both in the original appointment letters as well as the FHB
- Benefit/No Harm/Scope of Influence statement
  - The concerns addressed by this statement tend to fall into one of the two categories;
    1. The faculty member is not expected to perform double duties nor be entitled to resources over and above those of a single appointed faculty member in either unit,
    2. Clarification of the extent to which the individual holding this joint appointment holds full voting rights in each department or holds limited full voting rights only on specified issues.

### **7.7.6. Evaluation**

Approved by Academic Council, Administration

For faculty holding an appointment in one unit and an affiliation in another, the usual evaluation committee shall be augmented to include one faculty member and one student from the unit of affiliation.

For faculty holding joint appointments, the evaluation shall be conducted by the unit of primary appointment, with participation of faculty and students of the other unit (s). The report of the

Evaluation Committee shall be forwarded to the deans of both units, who shall submit individual reports to the Provost and (in case of promotion or tenure evaluations) to the Committee on Promotions and Tenure.

### **7.8 Part-Time Faculty**

Approved by Academic Council, Administration

#### **7.8.1 Appointment and Reappointment**

Approved by Academic Council, Administration

Part-time faculty are appointed for only specified periods of teaching service such as one academic year or one semester. Reappointments to part-time positions are made only on the basis of need as determined annually or semester by semester by the relevant dean. Part-time appointments are made as early as possible before the beginning of the period in which the instruction is to be offered. The determination of part-time status will be defined, within the guidelines of University policies, by the individual units to best meet their pedagogical demands.

#### **7.8.2 Rank and Promotion**

Approved by Academic Council, Administration

Part-time faculty may be appointed at any rank appropriate to the experience and qualifications of the person being appointed. Use of the title of Lecturer is encouraged for part-time appointments. Part-time faculty with long and continuous service may apply to the dean for promotion in rank. Such a promotion, if granted, does not change the part-time status of the appointment.

#### **7.8.3 Salary and Compensation**

Approved by Academic Council, Administration

Part-time faculty are paid on a per unit or per day basis although full-time faculty who move to part-time employment are paid an appropriate portion of a full-time salary. To determine benefits, refer to Chapter 8, Collateral Faculty Benefits, and the Office of Human Resources.

#### **7.8.4 Rights and Privileges**

Approved by Academic Council, Administration

Part-time faculty participate freely in department, school, college and University meetings but voting privileges and service on faculty committees are restricted to those holding fifty percent or more teaching appointments.

### **7.9 Discipline of Faculty**

Approved by Academic Council December 10, 2015, Administration January 10, 2016, revised December 14, 2017



### **7.9.1 Scope**

In order to protect the values of academic freedom, the integrity of teaching of students and of faculty research and creative activity, and sound administration of the institution, the University requires the adherence of all faculty members to high standards of professional conduct. On the basis of information and belief that a significant deviation from these standards has occurred, a faculty member may be subject to disciplinary charges.

### **7.9.2 Professional Misconduct (excluding Sexual Misconduct, Discrimination and Retaliation)**

Approved by Academic Council December 10, 2015, Administration January 10, 2016; revised December 14, 2017

#### **7.9.2.1 Definitions**

Professional misconduct is improper behavior of a serious nature that arises from, or is reasonably related to, the faculty member's position, duties, or responsibilities with the University, or that demonstrably affects in a significant adverse way the effective performance of University functions.

Professional misconduct includes the following:

- a. dishonest, illegal, or unethical behavior in the faculty member's teaching, research, administrative, or service duties;
- b. preventing or obstructing University teaching, research, administrative, or service functions, or any other lawful function of the University;
- c. acts of discrimination, harassment, or retaliation;
- d. sexual misconduct or other behavior prohibited by the University's Policy Prohibiting Sexual Misconduct, Discrimination and Retaliation [see 7.9.4]
- e. neglect of University-related duties or responsibilities;
- f. other professional misconduct of a serious nature, including but not limited to, intentionally inflicting physical harm or other serious harm on a member of the University community, or knowingly violating a University policy regulating behavior of faculty members; and
- g. attempting to engage in, inciting another to engage in, or abetting, conduct which would violate paragraphs (a)-(d) above if engaged by the faculty member.

#### **7.9.2.2 Sanctions**

Discipline for professional misconduct involves either a severe sanction or a non- severe sanction. (As used in this policy and in the procedures for implementing it, the word "sanction" includes "sanctions" unless the context makes it clear that an effort to impose or the imposition of one sanction would make it impossible to impose an additional sanction. Unless otherwise indicated, these procedures do not preclude the imposition of more than one sanction based upon the same conduct, so long as the proper procedures are followed and the totality of sanctions is justified under the circumstances.)

Severe sanctions are (1) a temporary or permanent reduction in base salary; (2) a specified period of suspension without pay as to certain or all duties at the University; (3) termination from the University for disciplinary reasons or substantial and manifest incompetence. All other sanctions are non-severe.

Proposed discipline with a severe sanction may not be imposed except in conformity with sections 7.9.2.3 and 7.11 below. Discipline with a non-severe sanction may be imposed by the Provost; however, the faculty member may challenge such discipline through the grievance procedures described in sections 7.10 and 7.11 below.

### **7.9.2.3 Procedures Applicable to Charges of Professional Misconduct as to Which a Non-Severe Sanction is Sought**

In the case of a proposed sanction that is non-severe, the Provost shall prepare a written statement containing the charges, the proposed sanction, and a brief summary of relevant facts. In the event that the matter is not resolved to the mutual satisfaction of the Provost and the faculty member within 30 days of delivery of the written statement, the Provost may implement discipline that imposes a sanction that is non-severe. The Provost shall notify the faculty member in writing of the imposition of discipline and the reasons supporting it. The Provost may impose a sanction that is non-severe while proceedings for a severe sanction are pending. The faculty member may file a grievance with respect to the imposition of a non-severe sanction [see 7.11].

### **7.9.2.4 Procedures Applicable to Charges of Professional Misconduct as to which a Severe Sanction is Sought** Approved by Academic Council December 10, 2015, Administration January 10, 2016, revised December 14, 2017

#### **7.9.2.4a Interim Suspension**

Faculty members may be disciplined by the imposition of a severe sanction only after compliance with the Grievance and Disciplinary Procedures for Faculty Members. In appropriate circumstances, as determined by the Provost, the Provost may suspend a faculty member pending the final resolution of a charge. Such an interim suspension is appropriate only if the Provost finds that the faculty member's continued assignment to regular duties is likely to be immediately and seriously harmful to the University community. Before such an action is taken, the Provost shall consult with the Chair of the Grievance Committee. A faculty member who is suspended pending resolution of a charge will ordinarily continue to receive full pay and benefits, but in extraordinary circumstances, as determined by the Provost in consultation with the Faculty Grievance Committee Chair, an interim suspension without pay may be imposed. Extraordinary circumstances shall only exist where there is an immediate risk of potential harm to the University community.

#### **7.9.2.4b Effort at Resolution**

In a case where the Provost expects to issue a written statement of charges and proposed severe sanction under section 7.9.2.2 above, the Provost shall first attempt to resolve the matter by agreement with the faculty member to be

charged. In the event that the faculty member and the Provost both believe it desirable, they may agree to invite the participation of faculty colleagues in that resolution effort.

#### **7.9.2.4c Initiation of Charges by the Provost**

If agreement is not reached between the Provost and the faculty member, the Provost may issue a written statement of specific charges and proposed severe sanction, and a Hearing Panel shall be convened as described in section 7.11. During a hearing where the Provost seeks a severe sanction, the faculty member will be permitted to have an academic adviser and counsel of the Faculty member's choice. The burden of proof that adequate cause exists rests with the university and will be satisfied only by a preponderance of evidence presented during the hearing.

### **7.9.3 Termination of Appointments by the University for Substantial and Manifest Incompetence**

The Provost may propose to terminate a term, tenured or other appointment of a faculty member prior to the schedule date of termination, due to substantial and manifest incompetence rather than misconduct. In the event the Hearing procedures set forth in Section 7.11 shall apply, except that the hearing panel shall be called a Termination Review Panel and no action shall be proposed by the Provost other than termination of appointment.

The faculty member will be permitted to have an academic adviser and counsel of the faculty member's choice. Testimony will include that of qualified faculty members from Pacific or other institutions. The burden of proof that adequate cause exists rests with the university and will be satisfied only by a preponderance of evidence presented during the hearing.

In the event that the Hearing Panel by a majority vote determines that the Provost has not established substantial and manifest incompetence, the Provost shall withdraw the proposal for termination. If the Hearing Panel determines by a majority vote that the Provost has established substantial and manifest incompetence, the Provost may terminate the appointment of the faculty member upon receiving written concurrence of the President.

## **7.10 Faculty Grievances**

Approved by Academic Council December 10, 2015, Administration January 10, 2016, revised December 17, 2017

When a hearing is called for by section 7.11.1, the Grievance Committee shall comply with the procedures described in this section.

### **7.10.1 Definitions of Faculty Grievances**

**Revised April 16, 2014, revised December 17, 2017**

The allegation by a faculty member

1. that University policy, procedure, or rules have been violated and that the violation has caused substantial consequences, or
2. that such a faculty member has been otherwise treated inequitably by the University in relation with others with substantial consequences is an appropriate matter for filing of a grievance by a faculty member. A grievance may challenge an act or failure to act by an administrative officer that directly and adversely affects the faculty member as an individual in his or her professional or academic capacity. The grievance process may not be used to challenge a policy of general applicability on the ground that it is unfair or inadvisable, nor may it be used for minor matters unless such acts are part of a pattern of inequitable treatment. A grievance by a faculty member shall be filed with the Chair of the Grievance Committee, who shall designate and refer the grievance for consideration as described below to a three-member Advisory Committee, consisting of current or recent past members of the Grievance Committee. At least one of the members should normally be a faculty member in the same college or school as the complainant, and at least one member shall be a faculty member in a college or school different from that of the complainant. In designating the members of the Advisory Committee, the Chair shall endeavor to select a balanced group, no member of which is likely to have an interest or potential bias in the matter, or to otherwise be unsuitable or unavailable for service. If the Grievance Committee Chair is party to the grievance, the Grievance Committee Chair-Elect shall appoint the members of the Advisory Committee, and with regard to that matter shall carry out all other functions assigned to the Chair.

### **7.10.2 Informal Resolution and Screening of Faculty Grievances** **Revised April 16, 2014, revised December 17, 2017**

#### **7.10.2.a. Preliminary Investigation**

The Advisory Committee shall assess whether the grievance raises a prima facie case based on the two defined criteria described in section 7.10.1 above and consider whether it has a reasonable possibility of being sustained on the merits by a hearing panel. To this effect, the Advisory Committee may conduct a preliminary factual investigation and shall have access to all relevant records kept by the university and all its units, provided such access to this information does not violate privacy laws or contractually protected materials. During the preliminary factual investigation, the Advisory Committee may interview key individuals pertaining to the grievance and provide an opportunity for the exchange of documentary or other information.

#### **7.10.2.b. Informal Resolution**

The Advisory Committee should work, in coordination with the Chair of the Grievance Committee, to promote the equitable resolution of disputes without resort to a hearing. The Chair of the Grievance Committee alone

should communicate with the appropriate University authority, complainant or his/her representatives about resolutions proposed by the Advisory Committee. Informal resolutions will be documented with a letter from the Chair of the Grievance Committee to all parties, including the Provost and the President.

If unable to bring about the informal resolution of a grievance, the Advisory Committee will produce a brief written report with its preliminary findings and recommendation regarding a formal hearing supported by at least two of the Committee members. The Advisory Committee report will contain specific findings of fact based critical issues and a reasoned analysis on whether those facts constitute a violation of section 7.10.1, and whether, or not, a formal hearing is warranted based on its merits. Unless an extension is granted by the Chair of the Grievance Committee upon a showing of good cause, such as availability for nine month faculty, the Advisory Committee shall make its recommendation within 45 days of the referral of the grievance. The report should be submitted to the Chair of the Grievance Committee and it is the Chair's discretion if the report is available to all parties.

No grievance will go forward to a hearing unless the Advisory Committee decides that it raises a matter described in section 7.10.1 and that a hearing is warranted based on its merits. If the Advisory Committee recommends that a Formal Hearing is warranted, the Chair of the Grievance Committee will begin the process of convening a Hearing Panel [7.11.1].

## **7.11 Hearing Procedures for Faculty Discipline, Grievances, and Involuntary Separations**

Approved by Academic Council, Administration, revised on December 17, 2017

The Procedures described in this section shall be followed in hearings on (1) a charge against a faculty member that proposed a severe sanction; (2) a faculty grievance that cannot be informally resolved by the Advisory Committee and the Chair of the Grievance Committee. No severe sanction and/or separation shall be imposed with finality unless these procedures have first been followed, except when the faculty member waives their application.

### **7.11.1 Initiation of a Hearing**

For disciplinary actions and involuntary separations, the Provost shall provide the faculty member and the Grievance Committee with a Notice of Hearing including a written statement of the proposed action, such as severe sanction and/or involuntary separation, framed with reasonable particularity regarding the charges and/or the reasons for involuntary separation, and shall provide the faculty member with adequate time to prepare a defense. In general, hearings shall commence within sixty (60) calendar days of transmittal to the faculty member of the Notice of Hearing. For grievances, the faculty member may request a hearing by providing a written statement to the Provost and the

Chair of the Grievance Committee setting forth the ground for the grievance framed with reasonable particularity and efforts made to resolve the grievance with the Advisory Committee on Grievances. [7.10.2].

### **7.11.2 The Hearing Panel**

The principal responsibilities of the Hearing Panel are to develop a record, to make findings based on the record, and to forward its recommendation to the Provost. A hearing panel shall consist of three members unless a severe sanction is sought, in which case the Hearing Panel shall consist of five members. The Hearing Panel in a matter shall be established as follows: The Chair of the Grievance Committee shall compile a draft roster of 15 tenured faculty members by drawing names at random from among the members and former members of the Grievance Committee described in section 7.10.1 above who are eligible to serve in the matter. The members of an Advisory Committee [7.10.1] considering a matter shall not participate as Hearing Panel Members. The Chair shall forward the draft roster to the responsible parties and to the faculty member, and shall consider any submissions from them indicating that any of those on the list should not be part of the Hearing Panel because of an interest, potential bias, or other good cause. After considering any such submissions, the Chair shall determine if it is appropriate to remove any names from the draft roster. The names remaining on the list shall then become the roster of potential members of the Hearing Panel, except that if the number of names remaining on the list is less than 12, the Chair shall repeat the process described above to generate a roster containing at least 12 names. The responsible parties and the faculty member, respectively, shall each thereafter confidentially nominate at least seven individuals from the roster to serve on the Hearing Panel. After the Chair has received all such nominations, the Chair shall notify each party of the other's nominees. The Chair shall in all cases appoint to the Hearing Panel any individual who has been nominated by both the responsible parties and the faculty member, unless there are more than five such individuals, in which case five shall be appointed. If there are three or fewer individuals appointed in such manner, the Chair shall complete the appointments of the hearing panel from the roster by appointing at least one other member nominated by the responsible parties and at least one other member nominated by the faculty member. The Chair shall fill any remaining vacancies on the Hearing Panel by making additional appointments from the roster. The Hearing Panel shall choose its own Chair. Discussions among the responsible parties, the faculty member, and the Hearing Panel members concerning the matter shall not commence prior to the initial hearing.

### **7.11.3 Conduct of the Hearing**

For disciplinary actions and separations, the Provost shall have the burden of proving the charges by a preponderance of the evidence. For grievances, the faculty member shall have the burden of proving the grievance by a preponderance of the evidence. Evidence includes relevant documents and witness testimony. Both the Provost and the faculty member shall be permitted to present evidence, to examine all evidence presented, to confront and question all witnesses, and to present arguments orally and in writing. The Hearing Panel shall not be bound by formal rules of evidence. The Provost shall designate the University employee or employees who will participate on behalf of the Provost. The faculty member may act on his or her own behalf, or may utilize another

Pacific faculty member as an advocate. The faculty advocate may not serve as a witness, nor have participated as a member of the Advisory Committee considering this matter. If the Provost is seeking to impose the severe sanction of termination from the University for disciplinary reasons, or separation from the University for any other reason, the Hearing Panel shall permit the faculty member to be represented by an attorney. If the faculty member is represented by counsel, the Provost may also have attorney representation.

#### **7.11.4 Recording the Hearing**

A record of the hearing shall be prepared in the form of an audio recording, a video recording, or a written transcript, and a copy shall be made available to the faculty member at no cost.

#### **7.11.5 Hearing Report**

After the hearing has been completed, the Hearing Panel shall prepare a report containing its findings, conclusions, and recommendation. All recommendations must be supported by a majority vote of the members of the Hearing Panel. Unless an extension is granted by the Chair of the Grievance Committee upon a showing of good cause, the Hearing Panel shall forward its report to the parties, the Provost, and to the Chair of the Grievance Committee within 30 calendar days of the end of the hearing.

#### **7.11.6 Resolution**

The Provost shall review the Hearing Panel's report and decide upon the action to be taken. The Provost shall implement the recommendation of the Hearing Panel unless the Provost finds compelling reasons for adopting a different result, in which case the Provost shall issue a written decision stating the considerations that justify departing from the recommendation of the Hearing Panel.

In any case resulting in a decision of severe sanction and/or involuntary separation under other University policies, the Provost shall forward his or her decision to the President for approval before the action is final. In such cases, a faculty member shall have fifteen (15) calendar days to transmit a response to the President prior to the President's determination. The President shall accept the Provost's decision unless the action is manifestly unjust or the product of one or more serious procedural defects. The President may return a matter to the Grievance Committee or the Provost for whatever further proceedings the President identifies as appropriate to correct serious procedural defects or produce a record adequate to allow the President to make a determination. If the President affirms an action which results in the involuntary separation of the faculty member, the faculty member shall have the right to have the record of the case transmitted to the University Board of Regents for review, and the right to binding arbitration under the procedures of section 7.12.4.

#### **7.11.7 Role of the Provost**

If the Provost is personally involved in the incident giving rise to a grievance or charge, the President shall carry out the responsibilities assigned to the Provost in these procedures. If the President's personal involvement in the events giving rise to a

grievance or charge is substantial, or if the President is alleged to be biased with regard to a grievance or charge, the Chair of the Grievance Committee shall have the authority to bring the allegations to the attention of the Board of Regents, so that the Board may, if the circumstances warrant, designate a replacement to carry out the responsibilities assigned to the President in these procedures.

### **7.11.8 Hearings in Grievance Cases Related to Disciplinary Cases**

**7.11.8.a** When a grievance involves the same set of facts that are the subject of a disciplinary matter, the Committee may, at its discretion hold either matter in abeyance while it proceeds with the other. Alternatively, the Committee may, with the consent of the grievant, the accused in the disciplinary matter, and the Provost, refer both matters for consideration in a single hearing. When a faculty member facing disciplinary charges files a grievance involving the same set of facts and circumstances as the disciplinary matter, the Committee has the discretion to consider both matters within a single hearing. When a single hearing is held, the Committee shall make separate reports of findings, conclusions, and recommendations for the grievance and for the disciplinary matter.

#### **7.11.8.b**

When a faculty member files a grievance that is based upon the same facts and incidents involved in a prior disciplinary procedure in which the same faculty member was accused of misconduct, the findings and conclusions of the prior disciplinary procedure shall be conclusive.

### **7.11.9 Hearing Procedures for Complaints of Alleged Violation of Policy Prohibiting Sexual Misconduct, Discrimination and Retaliation against Faculty When a Severe Sanction May Be Sought**

The University seeks to promote an environment that is free of Sexual Misconduct, Discrimination and Retaliation. Sexual Misconduct includes Sexual Violence, Stalking, Dating Violence, Domestic Violence and Gender-Based Harassment, terms that are defined in the University's Policy Prohibiting Sexual Misconduct. This Section provides the process guidance for handling complaints of Misconduct by the Faculty Grievance Committee when Complaints relate to Faculty. When a complaint is made against a Faculty member, it is presumed under this Section that a severe sanction is a possibility. For purposes of this section, a Faculty member is defined to include Faculty as that term is defined in the Bylaws of the Faculty Handbook, Article 2, Section 2.2.

#### **7.11.9.a Application of University Policy**

University of the Pacific's Policy Prohibiting Sexual Misconduct, Discrimination and Retaliation ("Policy") applies to all Faculty. The procedures described in this section apply when a Faculty member is named as a Respondent in a Complaint under the Policy.



### **7.11.9.b Interim Suspension**

In appropriate circumstances, as determined by the Provost, a Faculty member/Respondent may be suspended pending final resolution of a Complaint. An interim suspension is only appropriate if the Provost finds that the faculty member's continued assignment to regular duties is likely to be immediately and seriously harmful to the University community. A Faculty Member suspended pending resolution of a Complaint will ordinarily continue to receive full pay and benefits, but in extraordinary circumstances, as determined by the Provost in consultation with the Faculty Grievance Committee Chair ("FGCC"), an interim suspension without pay may be imposed. Extraordinary circumstances shall only exist where there is an immediate risk of potential harm to the University community.

### **7.11.10 Investigation of Misconduct Complaint**

The investigation and review hearing will generally be completed within sixty (60) days following receipt of the Complaint. However, this time period may be extended by the FGCC in consultation with the Title IX Coordinator and University counsel for good cause given the circumstances of the Complaint, investigation and/or Review Panel hearing process.

### **7.11.11 Investigation Report**

The investigation team designated under the Policy will prepare a report summarizing the information gathered. The report may include a description of the alleged incident, factual agreements and disputes, and supporting information. The investigation team will review all of the facts and determine the relevance of information necessary and appropriate for reaching a decision regarding whether the Policy was violated. The investigation team will come to one of two conclusions, by applying the preponderance of the evidence standard: (a) a Policy violation has occurred; or (b) there is insufficient evidence to conclude that Policy violation has occurred.

#### **7.11.11.a Informal Resolution**

In some situations, the University may seek to resolve Complaints through an informal resolution process. In compliance with Title IX, the Provost, the Title IX Coordinator, the Complainant, or the Respondent may propose informal resolution of the Complaint at any time. The FGCC shall make every effort to assess and determine whether informal resolution of a Complaint is possible.

If the University finds the proposed informal resolution acceptable under the faculty handbook, and Title IX, the University may propose an informal resolution to the other party. If both parties agree to the proposed informal resolution and this outcome satisfies the University's obligations under Title IX, the matter shall be considered closed. If either party disagrees with the proposed informal resolution, the Complaint Review Process will continue.

In some situations, mediation may be used to resolve a Complaint, but only with the consent of both the Complainant and Respondent. Mediation is not available in cases of Sexual Assault, Battery, Exploitation or other Sexual Violence. Mediation participants

may end their participation at any time and the Complaint Review Process will continue. If mediation successfully resolves the Complaint, the matter shall be considered closed.

#### **7.11.11.b Provision of Report to Faculty Grievance Committee Chair**

Upon completion of an investigation report, the investigation team will provide a copy of the report to the FGCC. This will occur at least ten (10) Business days prior to a hearing. If the investigation team determines there is insufficient evidence to find a Policy violation, the FGCC will work in conjunction with the Title IX Coordinator to determine future handling.

#### **7.11.12 Review Panel and Hearing**

If the FGCC, in conjunction with the Title IX Coordinator, determines the Complaint should move beyond the investigation stage, the FGCC will convene a 3-person Review Panel to conduct a review hearing. Based on the nature of the complaint, including who made the complaint (faculty, staff or student), the FGCC will determine who should sit on the hearing panel (e.g. two faculty, one student). The Review Panel will determine responsibility for each alleged policy violation by applying the preponderance of the evidence standard and make sanction recommendations. The Review Panel will not apply formal rules of evidence during the hearing.

The Review Panel, appointed by the FGCC in consultation with the Title IX Coordinator or his/her designee, will be composed of three persons from a pool of trained Faculty. The FGCC in consultation with the Title IX Coordinator will designate one of the three members to serve as the review-hearing chair. Panel members may be drawn from any of the three Pacific campuses. In some cases, the University may include in the panel retired judges, attorneys, or other individuals with relevant and/or specialized training or expertise.

Training of Review Panel members will include the hearing process, specialized training for the unique issues related to cases of Misconduct and sexual assault. The Complainant and Respondent will be provided with the names of the panel members in advance of the hearing process. The Complainant and Respondent may each request that one panel member be excused without stating a reason. A replacement will be drawn from the pool of qualified panelists. Additional challenges to the panel's membership require the challenger to explain the reason for disqualification. The reason provided will be evaluated by the FGCC in consultation with the Title IX Coordinator, and/or the Provost. Notice of the decision will be provided to both the Complainant and Respondent.

#### **7.11.13 Written Statements**

The Complainant and Respondent may provide a written response to the investigation report, as well as any additional information relevant to the case to the Review Panel. Both the Complainant and Respondent will have the opportunity to review all materials submitted to the Review Panel (subject to Family Educational Rights and Privacy Act "FERPA" limitations). The Review Panel may establish guidelines for written statements that will be communicated in writing to both the Complainant and Respondent.

#### **7.11.14 Hearing Procedures**

Generally, the Complainant and Respondent will have at least ten (10) Business Days' advance Notice of the scheduled hearing.

Hearings are closed proceeding. Participants who may be present during the hearing include:

- Review Panel Members
- Complainant (with Advisor and/or Process Guide only when Respondent not present)
- Respondent (with Advisor and/or Process Guide only when Complainant not present)
- Witnesses (only when called by Review Panel)
- Members of Investigation Team (only when called by Review Panel)

The review hearing will generally proceed in the following order (note that the Complainant and Respondent will not be in the same room at the same time and the investigator(s) may be present if one or both parties are unable to present):

- Complainant Statement
- Questions to the Complainant by the Review Panel
- Questions to the Complainant from the Respondent
- Respondent Statement
- Questions to the Respondent by the Review Panel
- Questions to the Respondent from the Complainant
- Witness statements and questioning by the Review Panel
- Questions to the Investigation Team by the Review Panel
- Closing statement by the Complainant
- Closing statement by the Respondent

Only the Review Panel may ask questions of the Complainant, Respondent, and witnesses. The Complainant and Respondent may submit questions to the Review Panel in writing. The Review Panel has the discretion to revise or decline to ask any or all questions submitted. If the Review Panel revises or declines questions submitted, the Review Panel will document the reasoning in writing at the time of the hearing.

The Review Panel may, at its discretion, alter the order of proceedings and establish reasonable limits on time allotted for any portion of the hearing process. The Review Panel may determine the relevance of, restrict or exclude any witnesses or information presented.

In the event that the Complainant or Respondent is unable to attend the review hearing, alternative means for participation will be identified.

The Complainant and Respondent, along with their advisors, when not before the Review Panel, will be able to listen to the proceedings via speaker-phone or other appropriate means (e.g., closed circuit TV, live streaming).

#### **7.11.14.a Hearing Recording**

An audio recording will be made of the hearing and transcribed for use by the Review Panel, appeal panel, and University administrators. The Complainant and Respondent may request to review the hearing transcript; however, no duplication or copy of the recording or transcript will be provided. No recording devices, including cell phones, will be permitted in the hearing rooms.

#### **7.11.14.b Standard of Proof**

The standard of proof used by the Review Panel is “preponderance of the evidence”. The Review Panel will use this standard to determine whether the Respondent(s) violated this Policy. A preponderance of the evidence requires that the Review Panel members believe, based upon the evidence available to them at the time of the hearing that the Respondent is more likely than not to have engaged in a violation of the policy.

#### **7.11.14.c Majority Vote**

A Policy violation finding will be based upon a majority vote of the Review Panel.

#### **7.11.14.d Sanctions**

If the Review Panel finds the Respondent responsible for a Policy violation, the Review Panel will recommend a sanction by a majority vote. In considering an appropriate sanction, the Review Panel shall consider all the evidence presented during the hearing and the following:

- Impact statements provided by the Complainant and Respondent to the Review Panel. Impact statements should not be part of the process of determining a Policy violation.
- What is reasonable, appropriate, and fair given the facts of the case and the determination of responsibility, including but not limited to:
- What were the specific acts involved? (e.g., touching over the clothes, penetration, etc.)
- What factors contributed to the absence of affirmative Consent? (coercion, force, incapacitation)
- What motivated the Respondent’s behavior? (negligence, intentional, reckless, biased)
- What is the impact on the Complainant?
- What is the Respondent’s disciplinary history regarding Misconduct?
- Is the proposed sanction consistent with sanctions imposed for similar offenses at the University?

Sanctions the Review Panel may recommend include but are not limited to the following:

- Disciplinary Warning
- Disciplinary Probation
- Restricted Access to University facilities, organizations or events
- Imposition or continuation of a “no contact” order

- Employment Discipline (e.g. verbal, written counseling)
- Suspension, reduction, or loss of compensation
- Demotion (employment)
- Termination of employment, contract, appointment and/or tenure.
- Suspension from educational program or campus access
- Delayed awarding of a degree or revocation of a degree for Faculty currently enrolled in Pacific degree program

The Review Panel will submit its decision to the Provost, who will review it in consultation with the Title IX Coordinator. The decision will generally be issued within ten (10) Business Days of the conclusion of the review hearing. The Review Panel decision will include an explanation of the reasoning for the decision and the basis for its recommended sanction(s).

### **7.11.15 Appeals**

Both the Respondent and Complainant may appeal the decision of the Review Panel and/or the recommended sanction(s). An appeal must be based on one or more of the following four reasons:

- Material deviation from the hearing procedures, resulting in significant prejudice
- New relevant evidence is available that could not have been produced at the time of the hearing, despite the exercise of reasonable diligence, that could affect the outcome
- The decision is not supported by a preponderance of the evidence
- The sanction is disproportionate to the offense

Disagreement with the findings or recommended sanction, in and of itself, is insufficient grounds for appeal.

The Complainant or Respondent must submit a written appeal within ten (10) Business Days of receipt of the Review Panel decision and/or sanction(s). The appeal shall be submitted to the Title IX Coordinator who will notify the FGCC. If either the Complainant or Respondent submits an appeal, the University will notify the other party of the appeal and the reason(s) cited. The non-appealing party may submit a written response within ten (10) business days of receiving notice of the appeal.

#### **7.11.15.a Appeal Committee**

An appeal committee will be constituted in the same manner as the Review Panel, but will not include any person serving on the original panel. The Complainant and Respondent will be provided with the names of the panel members in advance of the hearing process. The Complainant and Respondent may each request that one panel member be excused without stating a reason. A replacement will be drawn from the pool of qualified panelists. Additional challenges to the panel's membership require the challenger to explain the reason for disqualification. The reason provided will be evaluated by the FGCC in consultation with the Title IX Coordinator, and/or the Provost.

The appeal committee should re-evaluate the underlying proceedings and evidence to determine whether the Respondent violated this Policy. As with the first hearing, formal rules of evidence will not apply. The Review Panel's alleged deviation from procedures will not necessarily warrant reversing the decision of the Review Panel, unless there is significant prejudice to the Respondent, Complainant, or to the University (if the Complainant did not participate), and a different outcome would have been likely. The appeal committee will use the preponderance of the evidence standard and a majority vote in reaching a decision. The appeal committee will generally issue its written decision within five (5) Business Days of the conclusion of the appeal hearing. The appeal decision will include an explanation of the reasoning for the decision, including review of any sanction(s) recommended by the Review Panel. The appeal committee will submit its written decision to the Provost for evaluation and implementation in consultation with the Title IX Coordinator.

#### **7.11.15.b Final Appeal**

Following notice of the appeal committee's decision, either the Complainant or Respondent may engage in one final appeal of the process. A written notice of final appeal must be submitted within five (5) Business Days to the Title IX Coordinator for review. The Title IX Coordinator in conjunction with the Provost will review the appeal request for the limited purpose of correcting serious procedural defects. If the Provost is personally involved in the incident giving rise to a grievance or charge, the President shall carry out the responsibilities assigned to the Provost in these procedures. If the President's personal involvement in the events giving rise to a grievance or charge is substantial, or if the President is alleged to be biased with regard to a grievance or charge, the FGCC (if he/she agrees that the President is biased or personally involved) may appoint an alternative administrator for a final review.

#### **7.11.16 Sanction Implementation**

Sanction consideration and/or implementation will be conducted by the Provost.

#### **7.11.17 Timelines**

The FGCC in consultation with the Title IX Coordinator may modify the deadlines and procedures associated with the Complaint Review Process and/or appeal process as necessary for good cause and will communicate this information in a timely manner to both the Complainant and Respondent.

#### **7.11.18 Amendment**

To insure the ability to protect Faculty rights under state and federal law, Section 7.11.9-7.11.19 of the Faculty Handbook may be amended by a majority vote of the Academic Council. A proposed amendment to Section 7.11.9-7.11.19 may be proposed by a member of Academic Council, a member of the Professional Relations Committee or the Title IX Coordinator with a minimum of 15 calendar days' notice prior to a scheduled vote.

## **7.12 Notice of Separation from the University** Approved by Academic Council, Administration

### **7.12.1 Notice of Renewal or Nonrenewal of Appointments** Approved by Academic Council, Administration

If a faculty appointment is not to be renewed by the University, such notice is given in writing in accordance with the following schedule:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that academic year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that academic year; or if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve (12) months before the expiration of an appointment after two or more years at the University.

### **7.12.2 Notice of Resignation** Approved by Academic Council, Administration

A faculty member who plans to resign is encouraged to give notice as early as possible of the intention to resign the appointment.

### **7.12.3 Notice of Retirement** Approved by Academic Council, Administration

A faculty member is encouraged to give notice as early as possible of the intention to retire. The administration should be given written notice of the intended date of retirement at least nine months in advance. Retirement may begin at the close of any academic year at the option of the employee or at other times by mutual agreement of the faculty member and administration. Any employment at the University after retirement is at the discretion of the University.

### **7.12.4 Termination of Appointments by the University for Disciplinary Reasons** Approved by Academic Council, Administration

Academic appointments may be terminated for disciplinary reasons only in accordance with the procedures described in Section 7.10 and 7.11.

### **7.12.5 Termination of Appointments by the University for Substantial and Manifest Incompetence**

The Provost may propose to terminate a term, tenured or other appointment of a faculty member prior to the scheduled date of termination, due to substantial and manifest incompetence rather than misconduct. In the event the Hearing procedures set forth in Section 7.11 shall apply, except that the hearing panel shall be called a Termination Review Panel and no action shall be proposed by the Provost other than termination of appointment. In the event that the Termination Review Panel determines that the Provost has not established substantial and manifest incompetence, the Provost shall withdraw the proposal for termination. If the Panel determines that the Provost has established substantial and manifest incompetence, the Provost may terminate the appointment of the faculty member upon receiving written concurrence of the President.

### **7.12.6 Termination of Appointments by the University for Reasons of Disability**

With the concurrence of the President, the Provost may terminate a term, tenured or other appointment of a faculty member prior to the scheduled date of termination, due to disability of a faculty member resulting in a prolonged inability to perform one or more essential functions of the faculty member's position. The action shall conform to requirements of applicable law. The faculty member shall have the right to review such action pursuant to Section 7.14.

## **7.13 Option for Final and Binding Arbitration Concerning Termination of Appointments**

Approved by Academic Council, Administration

### **7.13.1 General**

In the case of disagreement with a final decision of the University to terminate the appointment of a faculty member before the expiration of the term of appointment or to terminate an appointment with tenure, the faculty member may file with the Provost, within 45 days of written notice of termination, a written request for neutral arbitration.

### **7.13.2 Procedures**

If the faculty member and the Provost execute a written agreement for final and binding arbitration of all their disputes pursuant to the Employment Dispute Rules of the American Arbitration Association, a neutral arbitrator shall be selected by mutual agreement of the faculty member and the Provost. If they cannot agree on an arbitrator, they shall jointly submit the matter to the American Arbitration Association for its selection from its employment panel of an arbitrator experienced in private higher education employment matters. All procedures shall be determined by the arbitrator in a manner to promote fair and regular dispute resolution.

### **7.13.3 Decision of the Arbitrator**

The arbitrator shall determine the issues the parties submit by written stipulation. The arbitrator shall have no power to add to, subtract from, change, alter, or ignore the



provisions of any University policy. The administrative fee and professional fees of the arbitrator shall be paid by the University unless otherwise provided for in the written agreement. Within 30 days of completion of hearings, the arbitrator shall issue a written decision, which shall be final, binding, and conclusive upon the parties and judgment thereon may be entered in any state or federal court having jurisdiction thereof.

## **7.14 Termination of Appointments Due to Financial Exigency**

Approved by Academic Council, Administration

### **7.14.1 Steps to Limit Terminations**

If the University decides to terminate faculty appointments, it will not at the same time renew term appointments or make new appointments which require the same qualifications of the appointments to be terminated. The appointment of a faculty member with tenure will not be terminated, in lieu of retaining a faculty member without tenure who has otherwise the same qualifications, except in extraordinary circumstances where in the judgment of the Provost, the termination of the latter faculty member would fundamentally compromise academic quality.

### **7.14.2 Selection**

The Provost has the authority to identify the positions to be terminated. Before making such identifications, the Provost shall first consult with a select committee within each school and the College of the Pacific, consisting of all members of the tenured faculty and the dean of the respective unit. The select committee will advise the Provost on appropriate identification criteria for the unit.

### **7.14.3 Post-Termination**

It is the intent of the University that faculty members who have been terminated, and those who have received notice of termination, will have the opportunity to request early review of their applications for appropriate vacancies in faculty positions for which the University thereafter searches. Accordingly, during the period of notice of termination, and for three years following date of termination, the University will mail the faculty member advance notice of University regular faculty vacancies within the faculty member's designated area of expertise. The faculty member may thereupon request the academic unit to conduct a preliminary review of the application before the vacancy is opened for external search.

### **7.14.4 Minimum Notice or Severance Pay**

Unless an offer of alternative University appointment is accepted by the faculty member, the faculty member to be terminated will receive notice, or the equivalent in salary as severance payment, or a combination thereof, in accordance with the following calendar:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that academic year; or, if a one year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that academic year; or, if an initial two year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve (12) months before the expiration of an appointment if the faculty member has tenure or has been continuously employed for two or more years.

## **7.15 Termination of Appointments Due to Termination of a Program**

Approved by Academic Council, Administration

### **7.15.1 General**

The provisions of 7.14 shall apply to appointments terminated due to closure of a University program, in addition to the following policies.

### **7.15.2 Reassignment Opportunities**

For tenured faculty members who have received notice of termination under this section, the University will make substantial, good faith efforts to find other suitable positions, at the University or external to the University.

As soon as possible after giving notice of termination of an appointment, the University will consider the faculty member for alternate University academic position for which the faculty member expresses interest and possesses the qualifications. If requested by the Provost, the academic unit in question will conduct an evaluation of the faculty member's qualifications and suitability for the alternate position. The unit's decision will be made using established appointment procedures, altered as necessary to expedite the evaluation.

### **7.15.3 Joint Appointments**

In the event of termination of a program, tenured faculty for whom that unit is the secondary unit of appointment shall automatically revert to a full-time appointment in the unit of primary appointment. For faculty whose primary unit of appointment is the unit terminated, the University shall make a good faith effort to find other suitable positions, in accordance with the principles and procedures for reassignment of tenured faculty.

### **7.15.4 Affiliation**

In the event of termination of a program, faculty holding a status of the affiliation in the unit shall revert to a full-time appointment in the unit in which they hold a regular appointment.

Faculty whose appointment is in the unit terminated shall be considered individually in accordance with the principles and procedures for reassignment of tenured faculty. The presence or absence of a status of affiliation with a continuing unit has no bearing on the procedures or the final outcome of these considerations.

## Chapter 8. Faculty Benefits

Approved by Academic Council on April 26, 2001, Administration on April 18, 2002, Revised on June 2007

- 8. Faculty Benefits** Unless otherwise noted, the policies in this chapter are approved by the Administration after notice to and appropriate consultation with the Academic Council.

The Department of Human Resources (DHR) publishes an annual summary of employee benefits. The following descriptions are meant to acquaint faculty with the available benefits. Each faculty member should obtain full descriptions from the DHR or the appropriate representative on each campus. Benefit packages may vary from campus to campus to maintain compliance with local laws and ordinances. In general, eligible dependents include spouse, domestic partner, and children including children of domestic partners or spouses. Domestic partner is defined by each campus.

### **8.1 Health and Major Medical Benefits**

Approved by Administration, Consultation: Academic Council

Faculty members who are scheduled to work at least 50% FTE per month and at least nine months per year are eligible along with their eligible dependents to participate in the Group Medical Insurance plans offered by the University. Eligibility commences on the first day of the month following commencement of employment or the first day of employment if that day is the first working day of the month. For further information refer to the complete Summary Plan Descriptions for all health plans, which are available at the DHR.

### **8.2 Dental Benefits**

Approved by Administration, Consultation: Academic Council

Faculty members who are scheduled to work at least 50% FTE per month and at least nine months per year are eligible along with their eligible dependents to participate in the Group Dental Insurance plan offered by the University. Eligibility commences on the first day of the month following commencement of employment or the first day of employment if that day is the first working day of the month. For further information, refer to the complete Summary Plan Descriptions for the dental plan, which are available at the DHR.

### **8.3 Employee Assistance Plan**

Approved by Administration, Consultation: Academic Council

An employee assistance plan offers short-term confidential outpatient counseling. Consultation on financial and legal issues is also available for faculty along with their eligible dependents.

These benefits are provided at no cost to the employee. For further information refer to the complete Summary Plan Descriptions, which are available at DHR.

#### **8.4 Group Life Insurance and AD&D**

Approved by Administration, Consultation: Academic Council

The University provides eligible faculty a life insurance benefit equal to one times their annual salary and Accidental Death and Dismemberment insurance also equal to one times their annual salary at no cost to the Faculty member. Additional Life Insurance options are available to eligible faculty members, spouses or domestic partners, and their eligible dependents. For further information, refer to the complete Summary Plan Descriptions which are available at the DHR.

#### **8.5 Flex Benefits**

Approved by Administration, Consultation: Academic Council

In accordance with federal guidelines, the University offers a Flexible Benefits Plan which allows employees to set aside pre-tax dollars for certain unreimbursed health related expenses, dependent care expenses and eligible transit or parking expenses. Health care and dependent care flexible spending accounts have annual limits of up to \$5,000 per year. Contact DHR for the monthly maximum for the Transit/Vanpooling plan or the Parking Spending Accounts. Expenses related to these categories may be paid with "tax free" dollars thereby resulting in savings to the employee.

Allowable health and dental premiums will be automatically processed by the Payroll Department as non-taxable under the Flexible Benefits Plan unless the employee signs a waiver declining this service. The University will pay administrative fees for medical and dependent reimbursement accounts. Further information on this plan is available from the DHR.

#### **8.6 Paid Absences**

Approved by Administration, Consultation: Academic Council

Faculty members are covered in the event of disability by three overlapping programs: Worker's Compensation Insurance, Voluntary State Disability Insurance and the Long Term Disability Plan.

##### **8.6.1 Worker's Compensation Insurance**

Pursuant to California State Law, the University provides Worker's Compensation benefits for all its employees. Any work-related accident must be reported immediately by the employee to the DHR so that proper forms can be completed and filed to process any claims and to comply with laws governing work-related illness or injury. Complete information regarding Worker's Compensation insurance is available from the DHR.

### **8.6.2 Voluntary State Disability Insurance**

Faculty members are required to participate in either the Voluntary State Disability Insurance Plan, or with written notification of declination of the Voluntary Plan, the State Disability Plan. A faculty member who is absent due to a non-work-related illness or injury is eligible, with proper certification, for disability benefits on the eighth day of illness or injury or the first day of a hospitalization.

### **8.6.3 Long Term Disability**

Revised June 2007

Regular full-time faculty (faculty who are scheduled to work at least 20 hours per week or 50% FTE) and at least 9 months per year are enrolled automatically in the long term disability program. Contributions are shared by the faculty member and the University. After a six month disability period, the plan provides a tax-free benefit of 60% of the faculty member's pre-disability earnings up to a monthly maximum. In addition, a contribution of 10% of pre-disability earnings will be contributed to the TIAA-CREF Retirement Plan, if the faculty member is enrolled.

### **8.6.4 Jury Duty**

Approved by Administration, Consultation: Academic Council

Full time faculty shall receive full compensation while on jury duty.

## **8.7 Faculty Administrative Leaves**

Approved by Administration, Consultation: Academic Council

### **8.7.1 Leaves without Pay**

The President has authorized the Provost to grant requests for leave without pay. The Provost approves leave requests of normally not longer than one year to members of the faculty upon the recommendation of the appropriate dean for purposes which will benefit the University as well as members of the faculty. Faculty are advised that employment benefits are not continued during a leave of absence without pay, except as noted in 8.8, but arrangements for self-paying benefits may be made through DHR.

Leaves without pay shall not constitute a break in continuity of service. However, such time is to be excluded in calculating length of service for promotion and/or the probationary period for tenure. Some leaves may run concurrently, based on eligibility criteria.

### **8.7.2 Pregnancy Disability Leave (PDL)**

Revised June 2007

In addition to being eligible for family and medical leaves, pregnant faculty members may take leave if they are disabled by the pregnancy, childbirth, or a related medical condition. Pregnancy disability leave begins on the first day that the employee's health care provider certifies she is unable to work and ends when her health care provider certifies she is able to return to work, up

to a total of four months of leave. Pregnancy disability leave may be taken intermittently or on a reduced work schedule when medically advisable. [Family leave (see section 8.7.4 below) to care for a newborn child may be available following pregnancy disability leave.] Faculty members are encouraged to consult with DHR to request leave, in writing, as far in advance as possible or in the event of an emergency as soon as possible. Refer to Leaves with Pay for salary continuance.

### **8.7.3 Compensation During Leave**

Revised June 2007

**Disability Leave** - A short-term illness lasting seven days or less shall be covered by other members of the department staff or a substitute hired by the University. The benefit eligible faculty member's salary shall continue. When a disability requires hospitalization or when an illness disability continues beyond seven days to a maximum of six months, the faculty member must apply for Short Term Disability. The University will pay a faculty member who qualifies for Short Term Disability Insurance (STD) 100% of their pre-disability wages less the STD benefit for a maximum period of up to six months. An employee may continue health and welfare benefit plans during an extended six-month period by paying the required premiums or contributions.

A faculty member may return to his or her faculty position any time within two years from the first day of illness or injury causing the disability unless the appointment has appropriately terminated under Chapter 7 of the Faculty Handbook. Medical clearance must be provided before returning to a position from disability.

The Provost may authorize an extension of the period within which a faculty member may return to his or her position provided such extension can be demonstrated to be of benefit to operations of the department, school, or college.

Disability benefits are processed through the DHR.

**Family Medical Leave Act (FMLA) and/or California Family Rights Act (CFRA) Leave –**  
The University does NOT provide salary replacement when on a FMLA/CFRA leave to bond with a new baby and/or care for a sick family member. (See section 8.7.4.)

Faculty members may be eligible for up to six weeks of Paid Family Leave (PFL) Insurance. Benefits are limited to 55% of pre-leave wages up to the plan's weekly maximum. Contact DHR for application and PFL provisions.

### **8.7.4 Family and Medical Leave**

Family Medical Leave Act (FMLA) and California Family Rights Act (CFRA) Revised June 2007

The University complies with the provisions of applicable federal and state laws. A faculty member may be entitled to:

1. Family care leave in connection with the birth or adoption of a child, or placement of a child for foster care.
2. Family care leave when the serious illness of a child, parent, spouse or domestic partner requires the faculty member's care.
3. Medical leave for the faculty member's own serious medical condition which prevents the faculty member from performing the functions of the job.

During the period of approved leave under FMLA/CFRA, the University continues all health benefit plans under the same conditions as for active faculty, including University payment for its customary share of the premiums. Due to the complexities of federal and state law and possible interrelationships with other leaves described herein, requests for Family Care Leave should be discussed with the DHR.

### **8.7.5 Assignment upon Return to Work from Authorized Leave**

Revised April 22, 2004; Revised June 2007

Normally the faculty member shall return to the position to which he or she was assigned prior to any authorized leave. An exception would result if the dean of the appropriate school or college, in the normal course of managing within the University, would have modified the position or assignment or if a reduction in staff were initiated. Any reassignment or position elimination shall take place in consultation with the Provost and deans and in accordance with the provisions of Section 7.16, if applicable.

Faculty members who have primary responsibility for a newborn child or a newly-adopted child under the age of five will have the option of returning to "active service/modified duties." Under a system of modified duties, the faculty member will maintain full-time status (and associated salary and benefits) during the portion of the affected semester not covered by disability or the employee's chosen unpaid FMLA or CFRA leave, while being released from classroom teaching responsibilities. While on modified duty, faculty will be expected to meet other professional obligations, such as committee work and advising, scholarship and professional development, and perhaps other teaching-related duties such as course development. The "active service/modified duties" period will be effective for one semester, and the eligibility period will extend from 3 months prior to 12 months following birth or placement of a child.

### **8.7.6 Benefits during Leaves**

Approved by Administration, Consultation: Academic Council; Revised June 2007

**FMLA/CFRA/PDL Leave and/or Paid Leaves:** The University continues all benefits while a faculty member is on paid leave and/or FMLA/CFRA/PDL Leave.

**Unpaid Development Leave:** The University shall continue to pay for employee benefits, limited to Health and Welfare Benefits, when a faculty member is on unpaid development leave. The Provost may also require a commitment for the faculty member to provide a year of service upon return from a period of unpaid leave. Failure to provide a year of service, if required, shall result in the faculty member being required to repay to the University the cost of carrying the benefits during the period of leave. The amount may be deducted from any salary due the faculty member



unless satisfactory arrangements for repayment are made at the time of resignation. The amount to be paid by the University shall be limited to the amount currently contributed to an active faculty member for the designated benefits.

Unpaid Personal Leave - Faculty member is not eligible for University benefits during this unpaid leave. They may continue benefits for a period of up to 18 months (COBRA continuation). Arrangements can be made through DHR. Eligibility for benefits resumes after return from leave.

### **8.7.7 Probationary Period Extension for Tenure Track Faculty**

Revised April 17, 2014

Extension Will Be Granted: A tenure track faculty member then serving within the first five years of the probationary period may request in writing for the extension of one year of the probationary period. The following requests will be granted when accompanied with satisfactory documentation:

- Because of a birth or adoption. Births or adoption of more than one child at one time will result in a single year of extension  
OR  
Because of an approved FMLA/CFRA/PDL, leave all of faculty duties in an amount up to or equal to 12 weeks within one or more academic year(s), if the period of absence is continuous.
- Extension May Be Granted: Requests for probationary period extensions for reasons other than listed above. This may include a faculty member who takes a leave for reasons other than listed above, has other family-related responsibilities or for other extenuating/extraordinary circumstances that could significantly impede progress toward tenure.

Extension approval is at the discretion of the Provost, however, input from the Department Chair and Dean will be taken into consideration. If the request is granted, the probationary period extension would be in the amount of one academic year. In the case of multiple leaves, there shall not be in excess of a total of two years' extension of the probationary period.

Leaves approved by Human Resources do not automatically result in a probationary period extension. A faculty member must still submit a written request and provide satisfactory documentation.

Faculty members who receive an extension to the probationary period will not be subject to any additional expectations of scholarly productivity or any other increase in expectations due to the granting of that extension.

### **8.7.8 Option for Reduced Teaching Load in Lieu of Full Leave for Faculty on FMLA/CFRA/PDL Leave**

Requests for reduced teaching load due to FMLA/CFRA/PDL leave should be made through the DHR. DHR makes eligibility determinations in regard to FMLA/CFRA/PDL. During a period of FMLA/PDL (where the qualifying factor is disability) the faculty member would be eligible for up to 12 weeks of full pay. CFRA leave (where the qualifying factor is baby bonding or care of a seriously ill family member) would be unpaid. The Provost reviews requests for intermittent or reduced work load, determines whether or not the University can accommodate such request, and may grant the request based on the needs of the academic operations. Should a reduced teaching load adversely affect academic operations, the Provost may instead make other provisions for reduced workload, or may grant a leave of absence from all duties for a period of up to 12 weeks with full salary continuation. In regard to such a full leave of absence of a probationary period faculty member who is within the first five years of the probationary period, the Provost may grant a request for tenure clock extension in the amount of one academic year as described in 8.7.7a. Reduction of teaching duties under this section will generally not be accompanied by extension of the probationary period; however, in discretion of the Provost, the Provost may grant such extension for the benefit of the University.

### **8.8 No Content – (8.8 changed to 8.7.6 leaving this numeral with no content)**

### **8.9 Faculty Travel Accident Insurance**

Approved by Administration, Consultation: Academic Council

In addition to all other insurance coverage applicable to faculty the University provides without cost to the faculty employee a special travel accident coverage with provides a \$150,000 death benefit at all times that a faculty member is traveling off campus on University sponsored business or activity. This coverage applies to all accidents and is not confined to accidents while riding in a conveyance.

### **8.10 Social Security**

Approved by Administration, Consultation: Academic Council

Faculty members are required to participate in Social Security (F.I.C.A). Equal contributions are made by the faculty employee and the University. A summary of current benefits is available at DHR, or full information may be obtained at any Federal Social Security Office.

### **8.11 Retirement Plan**

Approved by Administration, Consultation: Academic Council

The University requires all eligible faculty members to enroll in the tax deferred, defined contribution, group retirement annuity plan. If age 40 or over, mandatory participation will begin on the first day of the month following the date of employment. For faculty at least 26 but under age 40, participation begins after a preliminary service period of one year. The requirement can

be satisfied by a year of employment at another institution of higher education prior to employment at the University of the Pacific. The University determines contribution rates by both the faculty member and the University. Contributions are vested immediately and are tax-deferred. Current benefit rates are available at DHR.

### **8.11.1 Phased Retirement**

Approved by President on April 9, 1992, Consultation: Academic Council 1992

The University offers two alternatives for Phased Retirement. These are:

1. Phased reduced teaching program
2. Phased retirement teaching program

Faculty considering either program should consult with the DHR concerning the possible effect of entering into the program on such issues as dismissal for cause, death, disability, possible consequences of University financial exigency, and other contractual matters or concerns.

#### **1. Phased Reduced Teaching Program**

The Phased Reduced Teaching Program is designed to allow the Provost to offer an individual faculty member a basis for reducing their teaching load assignment prior to their eventual retirement.

The program is limited to tenured faculty members who are at least 60 years of age and who have had 15 years of full-time service at the University as of the beginning of the fiscal year in which the offer is made.

The voluntary phased reduced teaching program continues for a maximum of five years or until age 65, whichever comes first. Each phased reduction in teaching load has a corresponding reduction in salary. Increases in teaching work load assignments are not permitted once the phased reduced teaching load commences but further work load reductions are allowed.

#### **2. Phased Retirement Teaching Program**

The Phased Retirement Teaching Program consists of a full-time teaching period of N (2 to 6) years followed by a second period of N years during which the faculty member would teach 1/2-time. During the full-time teaching period, the faculty member should prepare for the period of reduced salary during the second 1/2-time teaching period.

The salary the faculty member will receive from the University during the 1/2-time teaching period will be 50% of annual salary plus an incentive salary increment of 1% of annual salary per month for a total of 62% of annual salary.

There are several options which are available from TIAA to provide additional sources of income during the second period.

1. The University may set up a deferred income account, during the full-time teaching period, which would be vested to the faculty member during the 1/2-time teaching period. For example the University would pay the faculty member 80% of annual salary and deposit 20% of annual salary in an interest bearing account with TIAA. (The percentage would be decided by the faculty member.)  
During the half-time teaching period, the faculty member would receive 62% of annual scheduled salary plus the percentage of his/her salary with interest which had been placed in the interest bearing account.
2. The faculty member contributes to a Supplemental Retirement Account during the full-time period which is available for the 1/2-time teaching period. The internal revenue code sets a limit of how much can be tax- sheltered under salary reduction. TIAA will evaluate individual faculty members for the maximum available salary reduction and set up a tax-sheltered salary reduction account.
3. The faculty member arranges with TIAA for the Interest Payment Retirement Option (IPRO) during the 1/2- time teaching period. Under the IPRO plan the faculty member dedicates a portion of his/her TIAA account to receive interest payments on this portion.

**Phased Retirement Teaching Program Specifics**

Period of Phased Retirement The starting date and period of the phased retirement program will be decided to the mutual satisfaction of the University and the faculty member.

The options for phased retirement are:

Faculty Age at Start of Program	Options (N – N)				
	6-6	5-5	4-4	3-3	2-2
55	X	X	X	X	X
56		X	X	X	X
57		X	X	X	X
58			X	X	X
59			X	X	X
60				X	X
61				X	X
62					X
63					X

**Teaching Responsibilities** The first N-year period is full- time, with a teaching responsibility based on the normal teaching load and teaching year for the unit, i.e., 9 or 11 months. The second N-year period is 1/2 time with a teaching responsibility equivalent to 1/2 the normal N-year load. The teaching assignments will be decided to the mutual satisfaction of the University and the faculty member.

**Eligibility** Faculty must be tenured and have fifteen years of full-time service at the time of starting phased retirement.

**Vesting of TIAA Fund** for faculty choosing a deferred income account a schedule for vesting of funds in the TIAA interest bearing account during the one-half time teaching period follows:

Beginning of Year	Funds Available to Participant from TIAA fund
N + 1	Contribution of year 1
N + 2	Contribution of year 2
N + 3	Contribution of year 3
•	
•	
N+N	Contribution of year N

### Phased Retirement Program Details

**Annual Salary Increases** During the period of phased retirement, the faculty member will receive annual salary increases based on annual salary evaluations, including merit. In making these evaluations, expectations with respect to professional contributions to the University other than teaching will be based upon and commensurate with the individual's teaching assignment.

**Benefits** The faculty member will receive full benefits based on actual salary for the total period of phased retirement. Upon retirement the participants in the program will receive similar retirement related benefits accorded to other University retirees such as bookstore discounts, reduced athletic ticket prices, and reduced campus parking tag fees.

**Older Workers Benefit Protection Compliance** At least 4 months before entering a phased retirement program each faculty member will comply with the Older Workers Benefit Protection Act by identifying a period of three weeks in which to consider the option and one additional week after signing the option to reconsider the decision. The faculty member must also be advised in writing by the University to consult with an attorney on the above matters. After adhering to the above conditions and time frames the decision becomes irrevocable unless under changed conditions, by mutual consent of the University and the faculty member.

**Replacement Faculty Funding** The "saved" portion of the budgeted salary and fringe benefits of the faculty member who accepts the phased retirement options will be calculated. The Provost may use these savings to hire adjunct faculty to teach on a part time basis in any school or department as needed. A new full time faculty member may be hired when the compensation savings are sufficient to fund the new salary and fringe benefits, with the concurrence of the President.

## **8.12 Tuition Remission and Exchange Policy**

Approved by Administration, Consultation: Academic Council

The purpose of this program is to enable an employee or the eligible dependents of an employee of the University to attend the University of the Pacific without the payment of normal tuition fees.

Employees and eligible dependents are entitled to tuition remission benefits. Specific policy rules on tuition remission are available from the DHR. Tuition remission is granted for up to 90% of eligible employee's full-time equivalency.

### **8.12.1 Tuition Exchange**

Tuition exchange programs are available for children of employees to attend colleges participating in the Tuition Exchange Plan. Details may be obtained from the Office of Financial Aid.

### **8.12.2 Tuition Remission after Faculty Retirement, Death or Disability**

In the event of death or disability of a tenured faculty member, the tuition remission program shall remain operative for the spouse, domestic partner or eligible dependents of the employee.

If a tenured faculty member retires after age fifty-five with twenty years of service or more, the tuition remission program shall remain operative for spouse, domestic partner or eligible dependents.

Detailed information may be obtained from the DHR document Tuition Remission and the Guide for Exchange Scholars and their Families.

## **8.13 Miscellaneous Benefits**

Approved by Administration, Consultation: Academic Council

### **8.13.1 Swimming Pool**

Faculty members and their immediate families (living at home) may use the swimming pool free of charge during recreational periods whenever it is not being used for class or team purposes. Information about its use may be obtained at the athletic department.

### **8.13.2 Tickets for Theater Productions**

Tickets for theater productions produced by the University are available at reduced rates for the faculty.

### **8.13.3 Tickets for Athletic Events**

Season or individual tickets for athletic events are sold at half price to the faculty for their use and that of the immediate family members only (living at home). Tickets must be obtained in advance of the game or event.

### **8.13.4 Bookstore**

The University Bookstore is operated to serve students and faculty by stocking the largest possible appropriate selection of books and merchandise. A ten-percent discount is given to faculty at the bookstore.

## **8.14 University Emeriti Society**

Approved by Academic Council and Administration on April 26, 2001, Revised and approved by Academic Council and Administration on May 13, 2010

The Relationship of Emeriti to the University of the Pacific

### **8.14.1 Preamble**

Retired University of the Pacific faculty members and administrators organized the University Emeriti Society in 1988. The objectives of the Society are:

1. To maintain a continuing relationship with the University;
2. To be of service to the University;
3. To remain in a collegial relationship with each other;
4. To continue scholarly activity;
5. To assist in providing recognition and benefits for future faculty retirees.

### **8.14.2 University Services of Benefit to Emeriti**

Revised and approved by Academic Council May 3, 2012 and Administration on May 4, 2012

1. Listing of Emeriti in the General Catalog, at the Office of the Provost and at Human Resources.
2. Listing in the University Telephone Directory.
3. Access to library and basic computer services.
4. Free parking on the Stockton campus.
5. Use of sports facilities and use of fitness facilities at a reduced rate.
6. Free admission for each Emeritus faculty member and one guest to athletic and cultural events which are produced solely by the University, with the exception of selected special events produced by the Conservatory of Music, when ticket price exceeds three times the normal ticket price. The Conservatory should inform the Emeriti Society of these events at the beginning of each academic year. In addition, discounts which are available to full-time faculty such as bookstore purchases, dental services at the Dental School and on the

Stockton Campus, and miscellaneous discounts available at the Office of Human Resources.

7. Professionally relevant mail forwarded to Emeriti professors by appropriate offices.
8. Mailing of University publications by the Office of University Relations and Marketing to Emeriti who request them.
9. Eligibility as paid replacements for professors on leave or temporarily incapacitated by illness or accident, or to fill temporary teaching vacancies. Emeriti professors may also offer, by arrangement with the appropriate dean, courses in the Lifelong Learning Program.
10. Access to office supplies and mailing privileges that are within reason and in keeping with the budgetary constraints of the department or school, and for the purpose of on-going professional and academic work.
11. Remission of tuition and fees for courses taken for academic credit on Stockton campus and reduction of fees for extension courses, as stated in the latest Tuition Remission and Exchange Policies.
12. Ability to continue medical and dental benefits on a self-pay basis, provided the Society member is 55 years of age or older with at least 10 years of University service. Individuals should confer with the Director of Human Resources. Should a member of the Society participating in the University health benefits program die, a spouse may self-pay for health benefits for an unlimited period if the survivor meets eligibility requirements other than COBRA. Children would be considered based on eligibility requirements.
13. Continued eligibility for the tuition remission program for eligible children, provided the Society member is 55 years of age or older, with at least 20 years of University service.
14. Inclusion in the University Bulletin and other University publications of notable activities and achievements by Emeriti.
15. Issuance of a University Photo Identification Card.
16. Recognition of new Emeriti at commencement exercises.
17. Notification to all University personnel as to the status of Emeriti by publication in the appropriate University manuals and bulletins.
18. Budgetary support for expenses of the Emeriti Society.

#### **8.14.3 Emeriti Activities of Benefit to the University**

1. Working with the Director of Human Resources and the Provost to provide pre and post-retirement guidance and seminars.
2. Continuing to give recognition to the University in their various publications, public addresses and professional meetings.
3. Serving as a reserve pool of teachers for temporary appointment in the University.
4. Eligibility to serve as a representative of the Emeriti Society on University committees, especially those on which the lengthy experience and perspective of the Society member might be of benefit.



5. Serving as mentors to students and younger faculty, or providing requested service in response to departmental needs.
6. Eligibility to present special seminars or lectures to alumni, parents, potential students as part of University programs.
7. Sponsoring of special University or Society Programs.
8. Remaining on the list of public lecturers maintained by the University Relations and Marketing Office.

#### **8.14.4 Scholarly Activities of Mutual Benefit**

1. Eligibility for clerical support, computer access, and duplication of materials for Emeriti engaged in research projects or professional activities on the same basis as for full-time faculty, subject to approval by the appropriate department chair or dean. Emeriti working on funded projects or as paid consultants should pay for these services from their project funds.
2. Eligibility to apply through the Research and Graduate Studies Office for grants for projects that will bring recognition to the University.
3. Eligibility to apply for travel funds when presenting papers, or as invitational speaker at professional conventions. Emeriti are urged to seek outside funding for this purpose.
4. Eligibility for office and laboratory space to continue research and publications. Emeriti should negotiate with appropriate department, dean, and the Provost for access to these facilities.

#### **8.14.5 University Services of Benefit to Spouses and Domestic Partners of Deceased Emeriti**

Revised February 14, 2013

1. Listing in the University Telephone directory
2. Library services on the Stockton campus the same as Emeriti
3. Complimentary parking on the Stockton campus
4. Use of sports and fitness facilities the same as Emeriti
5. Free admission to athletic and cultural events which are produced solely by the University. In addition, discounts which are available to Emeriti such as bookstore purchases, dental services at the Dental School and on the Stockton Campus, and miscellaneous discounts available at the Office of Human Resources.
6. Mailing of University Publications by the University Relations and Marketing Office on request.
7. Issuance of a *University* identification card labeled *Emeriti*.

### **8.14.6 University Services of Benefit to Spouses and Domestic Partners of Deceased Faculty and Administrators with Ten or More Years of Service**

Approved by Academic Council and Administration on May 13, 2010; Revised February 14, 2013

Spouses and domestic partners of deceased full time faculty and of deceased Deans and other senior administrative officers of the University, who have served for ten or more years, are eligible for benefits listed below. The Director of Human Resources is responsible for verifying eligibility.

1. Listing at the Office of the Provost
2. Listing in Human Resources
3. Free admission to athletic and cultural events, which are produced solely by the University.  
In addition, discounts which are available to Emeriti such as for bookstore purchases, dental services at the Dental School and on the Stockton Campus, and miscellaneous discounts available at the Office of Human Resources.
4. Access to library services
5. Use of sports facilities and use of fitness facilities at a reduced rate
6. Mailing of University publications by the Office of University Relations and Marketing to those who request them
7. Issuance of a University photo Identification Card
8. Ability to continue medical and dental benefits on a self-pay basis if survivor meets eligibility requirements other than COBRA
9. Remission of tuition and fees for courses taken for academic credit on Stockton campus and reduction of fees for extension courses, as stated in the latest Tuition and Exchange policies
10. Issuance of a University identification card labeled Emeriti

## Benefit Matrix

Benefit Type	Emeriti	Retired Faculty	Retired Staff	Surviving Spouse/DP of a Retired Staff or Faculty	Surviving Spouse/DP of a Faculty or Staff Member who deceased while employed with 10 or more Years of Service
Free Parking on Stockton Campus	X				
Free Admission to Athletic & Cultural Events	X				
Discounted Admission to Athletic & Cultural Events		X	X	X	X
Listing at the Office of the Provost	X	X	X	X	X
Listing in Human Resources	X	X	X	X	X
Access to Library Services	X	X	X	X	X
Use of sports facilities and use of fitness facilities at a reduced rate	X	X	X	X	X
Mailing of University publications by the Office of University Relations and Marketing to those who request them.	X	X	X	X	X
Issuance of a University photo Identification Card	X	X	X	X	X
Ability to continue medical and dental benefits on a self-pay basis if survivor meets eligibility requirements.	X	X	X	X	X
Remission of tuition and fees for courses taken for academic credit on Stockton campus & reduction of fees for extension courses, as stated in the latest Tuition Remission and Exchange policies.	X	X	X	X	X
Miscellaneous discounts such as Barnes & Noble*, See's Candy** A full list is available at the Office of Human resources.	X	X	X	X	X
*Barnes & Noble discount is good only at Stockton Weberstown Mall Store **See's Candy discount is available only at the Hammer Lane Store					

## **Chapter 9. Faculty Development**

### **9.1 University Resources for Professional Development**

Approved by Academic Council on February 14, 2002; Faculty on May 10, 2002;  
Administration on April 15, 2002

The continued development of the University is closely tied to the professional growth of the faculty. In order to promote such growth the University encourages faculty to attend professional meetings, offers grants to help faculty initiate scholarly activity and improve pedagogy, and provides support for faculty who seek funding from sources outside the University. Unless otherwise indicated, the Assistant Provost for Faculty Development, Diversity, and Special Programs oversees the programs described in this chapter.

#### **9.1.1 Travel to Professional Meetings**

Approved by Academic Council on February 14, 2002; Faculty on May 10, 2002;  
Administration on April 15, 2002

The University strongly encourages faculty to be active in professional circles. To this end, money to support travel to professional meetings is budgeted through the current fund and disbursed by the deans of the various schools and colleges or their designates.

Faculty may apply to their respective dean, or designate, for funding of professional travel. Approval will be based on policies established jointly by the dean and the appropriate school or college, and subject to availability of resources. Faculty should normally expect to be granted funding for travel to one meeting per year, with the understanding that preference will be given to faculty who are:

1. presenting papers at the meeting;
2. chairing a session or sessions;
3. serving as a panelist or resource person.

It is understood that if travel funding is requested as part of a Scholarly Activity Grant or Teaching Incentive Award proposal, that the proposer will first request funds from the dean, and that any such funds obtained will be deducted from the amount requested in the proposal.

### **9.1.2 Sponsored Programs**

Approved by Academic Council on February 14, 2002; Faculty on May 10, 2002; Administration on April 15, 2002

All applications and inquiries concerning grants, projects, institutes, or contracts made by individual faculty members or departments to federal or state funding agencies or to private foundations must be approved by the appropriate individuals. Approval is necessary in order to avoid conflict of interests within the University or with the funding agencies. The Office of Sponsored Programs in the Research and Graduate Studies office will review proposals prior to submission to assure the proposal meets appropriate regulatory and budgetary requirements; for example, compliance with federal and state regulations for animal care, human subjects, hazardous materials, as well as to budgetary requirements for cost allocations and indirect cost recoveries. The Office of Sponsored Programs will obtain final approval and signatures for submission.

## **9.2 University-wide Resources for Professional Development**

### **9.2.1 Scholarly/Artistic Activity Grants**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

Scholarly/Artistic Activity Grants are intended to assist faculty members in their pursuit of professional goals related to scholarship and artistic expression. These awards are given twice yearly by the Faculty Research Committee (FRC). Application forms, including information about the Scholarly/Artistic Activity Grant as well as guidelines for preparation of the grant proposal and budget are available at the Research and Graduate Studies Office.

Scholarly/Artistic Activity Grants are intended to assist faculty members in the pursuit of professional goals other than those funded through Teaching Incentive Awards.

#### **9.2.1.a Scope**

All scholarly and artistic activities are included within the scope of fundable activities. Some specific examples follow:

1. Research Initiation - Funds are granted to develop a research capability to help the grantee obtain a larger grant from a source outside the University.
2. Manuscript Preparation - The costs of typing, drawing figures, and duplicating a manuscript are usually paid. Page costs are generally not paid.

Examples of activities not normally funded by Scholarly/Artistic Activity Grants are:

1. Tuition or other costs incurred in finishing a Master or Doctoral program.
2. Acquisition of equipment which is used in departmental instruction programs.
3. Any activity, the primary purpose of which is retraining or updating teaching skills. Such activities are funded through Teaching Incentive Awards.

4. Travel costs to attend meetings to present research results are not funded, but travel costs to collect information or data for a research project may be paid.

### **9.2.1.b Eligibility**

All faculty who teach half time or more in one or more units of the University of the Pacific are eligible to receive a Scholarly/Artistic Activity Grant. Projects which include the participation of persons who have less than half-time appointments, teaching or research assistants, or students must be sponsored by an eligible faculty member who agrees to be accountable for the operation and evaluation of the project.

### **9.2.2 Teaching Incentive Awards**

Approved by Academic Council on February 14, 2002, Administration on April 24, 2002

The Teaching Incentive Awards are offered to assist faculty in gaining access to resources, training, and expertise that will have a direct impact on learning through increased teaching effectiveness.

The Committee for Academic Planning and Development (CAPD) selects recipients for teaching incentive awards twice yearly. Funds are awarded to University faculty and staff in the following areas:

1. Travel grants support participation in workshops and conferences that further the faculty member's professional development as a teacher. Applicant must show applicability of the travel for teaching purposes.
2. Small project grants support the development or acquisition of innovative materials for teaching in discipline-specific or interdisciplinary programs. This includes classroom or protocol based research on learning, using new or innovative techniques or materials to introduce class concepts, or training faculty on new material or methods.

#### **9.2.2.a Scope**

The list below is not designed to be exclusive and any proposal sponsored by a faculty member or a group of faculty which can be interpreted within the framework of the general purposes of the Teaching Incentive Award guidelines will receive consideration. Faculty are encouraged to submit proposals which may include the following categories.

1. Curricular development including:
  - i. Team-taught courses;
  - ii. Interdisciplinary courses;

- iii. Combinations of liberal learning and career studies;
  - iv. Curriculum planning within or between units;
  - v. New competencies in subject matter including work- shops and course work in other institutions, and self-study or research in new subject matter areas.
2. The examination or application of both traditional and innovative instructional methodologies in teaching/learning settings, including:
    - i. Research designed to test the effectiveness of teaching,
    - ii. Theoretical papers concerned with central issues in teaching/learning,
    - iii. The incorporation of students in the teaching process or in instructional research projects.
  3. Implementation of faculty teaching exchanges within the institution or with other professional settings.
  4. Development of proposals for funding teaching/learning projects for submission to outside sources, including funds to supplement University sponsored projects and programs and new teaching or instructional research projects.

### **9.2.2.b Eligibility**

All faculty who teach half time or more in one or more units of the University of the Pacific are eligible to receive a Teaching Incentive Award. Projects which include the participation of persons who have less than half-time appointments, teaching or research assistants, or students must be sponsored by an eligible faculty member who agrees to be accountable for the operation and evaluation of the project.

### **9.2.3 Eberhardt Priority Grants**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

Eberhardt priority grants are awarded four times each academic year by the Committee for Academic Planning and Development. These grants are for any project that addresses the University Planning Priorities. Examples include but are not limited to projects that: link liberal arts and sciences with professional programs, improve the quality and delivery of services to students, increase alumni involvement, extend learning experiences beyond the classroom, and promote teaching, scholarship and learning excellence. Section 1.1.3 identifies current planning priorities.

### **9.2.4 The Center for Teaching and Learning**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

Formed in 1997, the Center for Teaching and Learning (CTL) is a faculty development organization whose goal is to provide expertise, resources, and programming to help faculty develop and improve their teaching skills and to enhance opportunities for students to learn. The CTL sponsors workshops and lectures by University faculty and invited speakers on topics relevant to pedagogy, student learning, and the incorporation of technology into teaching and learning. The CTL has a multimedia studio and permanent staff to assist faculty in developing course materials, using information technology resources, and in developing and implementing research and grant projects. An advisory group with members from diverse academic units meets several times each year to review and advise on programming goals and to assess faculty needs.

### **9.2.5 Hoefler Award for Student-Faculty Research**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

The purpose of the Hoefler Award for Student-Faculty Research is to encourage, recognize, and reward “the teacher scholar model for faculty which supports teaching and student learning as primary activities while recognizing scholarship and research as vital to that enterprise.” This award exemplifies Pacific’s commitment to teaching and learning in all of its academic endeavors. The award recognizes outstanding performance in a joint student-faculty research/creative project. The Faculty Research Committee gives this award in recognition of a completed collaborative research project involving both faculty and student participation.

### **9.2.6 Hoefler Award for Leadership in Experiential Learning**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

The purpose of the Hoefler Award for Leadership in Experiential Learning is to encourage, recognize and reward faculty members who have achieved a record of outstanding contributions to an undergraduate academic program through development and supervision of internships (or other extended experiential learning opportunities). The award selection is made by the Committee for Academic Planning and Development.

### **9.2.7 Holmok Cancer Research Grants**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

Holmok Cancer Research Grants provide funding for faculty-directed research in an area related to cancer. A wide variety of fields of study are eligible for these awards (e.g. origins and causes, diagnosis, treatment, epidemiology, psychosocial aspects of cancer) as long as they relate to cancer. Award selection is made by the Faculty Research Committee.



### **9.2.8 Rupley-Church Grants for International Understanding**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

The purpose of the Rupley-Church Grants for International Understanding is to support faculty development projects that increase understanding of international issues across the University. Funds are awarded by the Committee for Academic Planning and Development for projects that promote a faculty member's understanding of international issues including curricular enhancement, professional activities or travel. Priority will be given to projects which promise to have the widest impact on the University community.

### **9.2.9 Eberhardt Research Fellowships**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

Eberhardt Research Fellowships provide financial support for faculty summer research projects. Funded projects should be conducted over a period of at least five uninterrupted weeks during the summer (other time periods will be considered). Selection of up to eight recipients each year is made by the Faculty Research Committee.

## **9.3 Faculty Development Leaves for Faculty on the Stockton Campus**

Approved by Academic Council on February 14, 2002; Faculty on May 10, 2002; Administration on April 15, 2002

The primary objective of this Faculty Development Leave Program (herein referred to as the Program) is to maintain and improve the quality of teaching and scholarship at the University of the Pacific. The Program is intended to have a direct impact on both.

Good teaching requires substantive scholarship and, in applied areas, experience based learning. It is in these tasks that the faculty member is expected to be primarily engaged while on leave. The scholarly endeavor of the faculty member may take the form of advanced research and lead to publication, but it must also contribute meaningfully to the quality of one's teaching.

In addition, the Program is intended to assist faculty in preparing to meet changing curricular and institutional needs. This might mean taking the leave to develop a new area of teaching competence or to contribute to the development of a new curriculum or a new mode of teaching and learning. It is assumed that personal renewal, professional development, and the maintenance of institutional vitality are complementary processes and can be accomplished through careful planning and implementation of a Faculty Development Leave (herein referred to as a Leave).

### **9.3.1 Eligibility**

All tenured faculty members are eligible to apply for a Leave which may be granted and taken once after every five full years of active service with the University. All University approved faculty development leaves are considered active service.

Faculty who have been employed by the University with five or more years of active service with the University and have been appointed with tenure are eligible for a Leave within the first academic year after appointment with tenure is effective. These faculty may apply for a Leave in the year prior to the first effective year of appointment with tenure. Faculty who are tenured before the completion of five full academic years of active service with the University become eligible for a Leave following the fifth year of such service.

Exercise of the Leave privilege shall be contingent upon agreement on a Leave proposal and the Leave schedule by the faculty member, the faculty member's department or a standing faculty committee within a school or college, the dean, and the Provost.

### **9.3.2 Length of Leave and Remuneration**

This Program provides for full salary and benefits for one semester or half salary and full benefits for an academic year. Alternate arrangements for Leaves may be negotiated and must be approved by the Provost. (See section 7.13.2 for the policy relating to resignation.)

### **9.3.3 Scheduling of Leaves**

The scheduling of Leaves for eligible faculty members shall be the responsibility of the dean of the school or college within which the faculty member has primary teaching responsibility. These Leaves shall be scheduled on the basis of five-year plans developed by departments, schools, and colleges. The five-year plans should be approved by the Provost and should be updated each year, so that the five-year projections are current. Because of the unique teaching assignments and the special needs within individual academic units, some variation from the five-year plans is to be expected. Whenever possible, changes in the leave schedule should be made at least two years prior to the actual Leave period.

### **9.3.4 Faculty Development Leave Proposals**

Planning for a Leave should begin at least two years before the scheduled Leave date. Specific deadlines for the steps in this process are established each year by the Office of the Provost. The individual faculty member assumes the responsibility for planning the details of the individual Leave in a manner that is consistent with the objectives of the Program. In addition, a written Leave proposal must be submitted on a standard form which is aimed toward the evaluation of the outcomes of the Leave and is available from the Office of the Provost. That proposal must provide a rationale relating the individual faculty member's goals and objectives during the leave to course offerings and academic responsibilities. The proposal should also illustrate leave activities that are intended to meet the Leave objectives. Proposals involving extensive travel should clearly indicate the direct effect that the travel activities will have on teaching and

scholarship. Finally, the proposal must include a clear statement of the criteria by which the leave is to be evaluated.

A formal Leave proposal should be submitted for peer review in the fall of the year preceding the academic year in which the Leave is to be taken. Faculty interested in applying for external funding to support Leave activities are reminded that an eighteen to thirty-month lead-time is often required for proposals to be reviewed and for awards to be announced. This lead-time should be considered as one plans the timing of peer review of a proposal.

### **9.3.5 Approval of Leave Proposals**

The proposal must be submitted for approval by the Provost upon the recommendations of a faculty peer group and the dean of the school or college. Initial peer review is usually made by a department or a standing committee. Peer input is intended to stimulate the development of good proposals through collaborative discussion and encouragement.

Review of the Leave proposal should be based on at least the following criteria:

1. Appropriateness of the rationale given for the goals and needs of the academic program of the school or college;
2. Evidence of creative or scholarly work that will enhance both the teaching and professional status of the individual faculty member;
3. Appropriateness of the proposed activities to meet the stated objectives of the Leave;
4. If extensive travel is proposed, a rationale for the necessity of such travel in accomplishing the leave objectives;
5. Clarity and practicality in the statement of the criteria by which the Leave is to be evaluated;
6. Inclusion of plans for disseminating the results of the Leave, particularly among the faculty and students at the University.

Recommendations by the faculty peer group are made to the dean by the end of the fall semester. The dean forwards recommendations, along with a copy of the Leave proposal and the peer recommendations, to the Office of the Provost. A copy of the recommendations of both the peer group and the dean is sent to the faculty member when the dean's recommendation is forwarded. The Provost notifies the faculty member regarding the approval or rejection of the Leave proposal normally by April 1.

Revision of a proposal after approval should be approved through the same review process used for the original leave proposal.

### **9.3.6 Leave Reports, Evaluation and Dissemination**

The criteria by which the Leave is to be assessed are to be stated in the proposal and agreed upon by the individual faculty member, the peer review group, and the dean as part of the approval process.

Within one year following the completion of the Leave, the returning faculty member shall submit a written report to the dean. The submission of a Leave report is required before a subsequent Leave can be approved. Such a report must include reconciliation with the Leave proposal. Within a semester following its submission, the report shall be responded to in writing by a representative of a peer review group and the dean.

Responses to the Leave report should address both the strengths and weaknesses of the Leave activities and should describe the potential benefits of the Leave for the individual, the department or program, and the school or college.

Copies of the proposal, Leave report, and the responses shall become part of the permanent record of a faculty member in the personnel files in the Office of the Provost. The Leave reports are to be made accessible to all faculty.

The evaluation of a Leave, its results and the faculty member's dissemination of those results shall become part of the regular periodic evaluation of each faculty member.

### **9.3.7 Staffing and Leaves**

Faculty members usually will not be replaced while on Leave. In cases where replacements are essential, for example the replacement of those faculty members whose courses must be offered during every semester and/or when the remaining faculty cannot assume teaching or program responsibilities of the faculty member on leave, the Provost or dean will allocate funds to pay the cost of employment for replacement faculty.

## **9.4 Resources for Professional Development on the San Francisco Campus**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

The School of Dentistry has a program for Professional Development Leaves for dental school faculty. Complete information is contained in the school's operations manual. Specific questions on faculty Leaves can be directed to the Office of Academic Affairs on the San Francisco campus.

## **9.5 Resources for Professional Development on the Sacramento Campus**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

The Faculty of the School of Law has adopted an Academic Sabbatical Leave Policy to encourage and support development by full-time members of the faculty.

Requests for support for travel to professional meetings are handled by the Office of the Associate Dean for Academic Affairs.

Publication by the faculty is supported by a variety of resources, including summer research projects and student research assistants.

## **9.6 Policies Related to Intellectual Property and Research**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

### **9.6.1 Intellectual Properties Policy**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002;  
Revised December 2, 2011

#### **PREAMBLE**

University of the Pacific seeks to support its faculty members in their scholarly and artistic activities. The University seeks to foster an academic environment that promotes the creation and distribution of scholarly and artistic work. The University's infrastructure, resources, and other support of those activities enhances its educational programs, attracts high achieving students and faculty, and can develop supplemental revenue.

#### **DEFINITIONS**

- A. "Materials" or "Copyrightable Materials" include any original work of authorship that is subject to copyright law. "Copyright" is the ownership and control of the intellectual property in the original works of authorship, which are subject to copyright law.
- B. "Institutional Works" includes Materials that are 1) created at the specific direction or request of the University for a specific University purpose, 2) created as part of a project involving a grant or contract sponsor or 3) created as part of a project involving other third parties with whom the University has entered agreements concerning copyright ownership. Institutional works also includes a work that has been created by a direct allocation of University funds or is created using significant University resources, e.g., non-faculty employees working within the scope of their employment with the University.
- C. "Academic Works" includes artistic, scholarly, and learned materials, whether traditionally, electronically or otherwise published, created by faculty and/or by students in the course of their educational endeavors that are not patentable. This also includes "like-kind" works such as papers, reviews, articles, theses, dissertations, scholarly papers, abstracts, monographs, treatises, in-person presentations made at scholarly meetings, non-fiction and fiction books and writings, textbooks, musical and other artistic compositions, software, and all other works of artistic or scholarly creation which are not institutional works or were not created using significant University resources.
- D. "Significant University Resources" includes a direct allocation of University funds or use of specialized equipment either of which is significantly greater than or

different from that ordinarily available for creation of academic works. The term also includes substantial contribution by non-faculty employees working within the scope of their University employment. Significant University Resources in connection with academic works do not include the incidental use (as defined in unit-based protocols approved by the University) of University facilities, support staff and related resources, to the extent that in the school or college at issue, those resources are customarily available for the use of regular faculty members' academic activities, such as:

- use of University computers and other standard equipment and facilities of the unit
- use of clerical and other support staff and related resources
- faculty development leaves or research stipends; and,
- use of student research assistants working for compensation.

E. For this policy, "Course" is defined as an organized body of information used for educational instruction and includes the expression in reproducible form of all instructional materials and presentations made by faculty member(s) or other instructors responsible for delivering the instructional material. A "Course" includes any on-site or distance-learning course, a course delivered synchronously or asynchronously by traditional or electronic means, and courseware that is a combination thereof.

### **9.6.1a Copyright Policy**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002; Revised December 2, 2011. Revised and approved by Academic Council on November 12, 2015 and Administration on June 1, 2017, revised by Academic Council on December 14, 2017, and Administration on August 28, 2018.

#### **A. Articles, Artistic Works, Scholarly Books and "Like Kind" Works**

The University will not claim copyright in academic works unless specifically provided otherwise in this Policy.

Faculty who create academic works shall have the right to claim copyright therein and are encouraged to do so by notice as provided in this policy.

The University shall have, as a condition of its award of academic degrees, the royalty-free right to retain, use and distribute a limited number of copies of theses, dissertations, and related material, together with the right to require its publication for archival use or for educational-related purposes.

#### **B. Institutional Works**

The copyright to Institutional Works remains with the University.

#### **C. Courses**

The University holds the copyright of course catalog descriptions, including the course title and the course number. The University also retains the right to store, access, publish, and reproduce the Basic Syllabus (as defined in Handbook section 11.7) of each course offered.

The faculty holds the copyright to the components of courses (lecture notes, slides, handouts, electronic presentations, demonstrations, case books, etc.) that are the product of a faculty member's efforts and are used to fulfill the educational objectives of courses.

#### D. Visiting Scholars and Faculty

Unless specified otherwise and approved in writing by the appropriate dean of the school or college in advance, visiting scholars and faculty will be subject to the same provisions of this policy and unit protocols as regular University personnel during the period they are associated with the University.

#### E. University Obligations to External Entities

This Policy does not restrict the University in satisfying its contract obligations to grant or contract sponsors or other third parties to whom the University has entered into agreements for research, software, and licenses.

This continues the University's policy that its resources are to be used to further the University's purposes.

#### F. Academic Unit Protocols

Each academic unit (i.e., school or college) will develop and approve through its governance structure a protocol to describe how it will implement this University-wide policy. The unit-based protocol must define the following:

- how the academic unit will make decisions on the unit's determination of property rights.
- what constitutes customary support and "incidental use" for faculty and staff in the unit,
- **what academic works require further definition, and**
- **other unit-specific implementation issues of the University-wide policy.**

The Provost reviews each unit-based protocol to ensure conformity to the University-wide policy of intellectual property, and forwards the protocol to the President for final approval.

- G. The University grievance procedures (Section 7.10 of the Faculty Handbook) are to be used to resolve conflicts arising from Intellectual Property rights of the Faculty or University.

### **9.6.1.b Patent Policy**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002;  
Revised December 2, 2011

#### **A. General**

All patented inventions, and all potentially patentable inventions, which have been for the first time reduced to practice or conceived in whole or in part by members of the University faculty or staff (including student-employees) of the University in the course of their University responsibilities, or with more than incidental use of University resources, shall be disclosed in writing to the University Vice President for Business and Finance. Title to such inventions shall be assigned to the University, regardless of the source of funding, if any.

The University shall share royalties from inventions assigned to the University with the inventor(s) according to the University royalty policy.

The inventors, acting collectively where there is more than one, are free to place their inventions in the public domain if they believe that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any third-party agreements that supported or are related to the work.

If the University cannot, or decides not to, proceed in a timely manner to patent and/or license an invention, it may in writing executed by the Vice President for Business and Finance reassign ownership to the inventors upon request, to the extent it may lawfully do so under the terms of any third party agreements that supported the work.

The University may issue supplemental policies regarding ownership of potentially patentable inventions created or discovered with more than incidental use of University resources by students when not working as employees of the University, by visiting scholars and by others not in the University's employ. In addition to faculty and staff (including student-employees), the provisions of the University's patent policy will extend to all students and postdoctoral students/fellows, all non-employees who participate in research projects, all of whom must execute a University of the Pacific Copyright and Patent Agreement as a condition of the relationship with the University.

This policy shall apply to all inventions conceived or first reduced to practice on or after July 1, 2002.

#### **B. Disclosures of Inventions**



An invention disclosure is a document that provides information about inventor(s), what was invented, circumstances leading to the invention, and facts concerning subsequent activities. It provides the basis for a determination of patentability and the technical information for drafting a patent application. An invention disclosure is also used to report technology that may not be patented but is protected by other means such as copyrights, such as certain software.

Inventors must prepare and submit to the University on a timely basis an invention disclosure for each potentially patentable invention that has been conceived or first actually reduced to practice in whole or in part in the course of their University responsibilities or with more than incidental use of University resources. Individuals covered by this policy should reasonably consider whether an invention has potential for commercial marketing. If such commercial potential exists, the invention should be considered "potentially patentable," and disclosed to the University.

"Incidental use" is defined by the school or college protocol. "More than incidental use of University resources" for purposes of this Policy includes specialized, research-related facilities, equipment or supplies, provided by the University for academic purposes. It also includes significant use of "on-the-job" time. However, "more than incidental use of University resources" does not include routinely available, office-type equipment, including desktop computers and commercially available software; reference materials or other resources collected at the University.

Licensing: The University encourages the development by industry for public use and benefit of inventions and technology resulting from University research. It recognizes that protection of proprietary rights in the form of a patent or copyright are appropriate to induce a company to risk the investment of its personnel and financial resources to develop the invention. In some cases an exclusive license may be necessary to provide an incentive for a company to undertake commercial development and production. Nonexclusive licenses allow several companies to exploit an invention.

The research and teaching missions of the University always take precedence over patent considerations. While the University recognizes the benefits of patent development, it is most important that patent considerations or personal financial interests not substantially determine the direction of University research.

C. Definitions of Terms:

University policy utilizes the definition in law for patents and inventions and other related terms. For example, the law defines a patent as a novel and useful idea relating to processes, machines, manufactures, and compositions of matter. A patent may purport to cover new or improved devices, systems, circuits, etc. It is probable that an invention is made when something new and useful is conceived or developed, or when unusual, unexpected, or non-obvious results are acquired.

### **9.6.1.c Royalties**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002;  
Revised December 2, 2011

Royalty income for works for which the University holds the copyright or patent will be distributed as follows:

- A. Cash royalties:  
A deduction of 15% to cover the administrative overhead is taken from gross royalty income, followed by a deduction for any directly assignable expenses, typically patent filing fees. After deductions, royalty income is divided by 50% to the faculty member / author / inventor and 50% to the University. Disagreements involving royalty distribution will be reviewed and resolved by the Provost.
- B. Equity:  
If the University obtains equity as part of a license issue fee, the value of the equity after the deduction set forth in V.A., above, will be divided in the same way.

### **9.6.1.d Administrative Matters**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002;  
Revised December 2, 2011

- A. All faculty, staff, student employees, students and post-doctoral fellows, volunteer and other employees or non-University employees are covered by the Policy. They are required to execute the University of the Pacific Copyright and Patent Agreement.
- B. This Policy applies to them whether or not a signed agreement is on file with the University.
- C. This University Policy does not establish University policy in respect to University faculty members in respect to consulting, non-University professional, and business activities.
- D. Works of non- University employees, including independent contractors and consultants, are considered institutional works, either commissioned by the University or supported by direct allocation of funds. University departments are expected to obtain a written agreement from the non-employees of the University that ownership of institutional works is assigned to the University.
- E. Copyright Notice: The University's copyright notice should appear on all materials owned by the University, e.g.: "Copyright@2001, The Board of Regents of University of the Pacific. All rights reserved." College, school or other unit names or identities may not be used in the copyright notice. The copyright notice of individual faculty member or members should appear on all materials owned by the faculty, e.g., "Copyright@2002, Alena P. Jones. All rights reserved." The year in which the work is initially published

should be used.

- F. Copyright and Patent Agreement: A University of the Pacific Copyright and Patent Agreement must be signed by all individuals prior to their start date with the University and, if not, at any other time requested by the University.

### **9.6.2 Policy on Human Subjects Research**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

In order to comply with state and federal regulations, any activity that involves human subjects at or sponsored by the University of the Pacific must be reviewed by an Institutional Review Board (IRB) prior to implementation. This Board reviews protocols for activities that require the use of human subjects to ensure that the procedures are appropriate and in compliance with federal, state, and institutional regulations.

The process for this review is set forth in the Investigator's Manual on Research with Human Subjects. Copies of this manual, the required forms, the deadlines for submission of research protocols and meeting dates of the IRB are available in the Research and Graduate Studies office. The Stockton and San Francisco campuses maintain separate Institutional Review Boards.

### **9.6.3 Policy on Animal Subjects Research**

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

Any use of animal subjects at or sponsored by the University of the Pacific must be reviewed by the Institutional Animal Care and Use Committee (IACUC). This Committee reviews research protocols that require the use of animals to ensure that the methods of animal care and welfare are appropriate and in compliance with federal, state, and institutional regulations.

The University regulations are described in the manual Program for Care and Use of Laboratory Animals at the University of The Pacific Stockton Campus. Copies of this manual, the required forms, the deadlines for submission of research protocols and meeting dates of the IACUC are available in the Research and Graduate Studies office.

### **9.6.4 Policy on Integrity in Research and Scholarship**

Approved by Faculty Research Committee on November 15, 1990; Academic Council on December 13, 1990; Revised by Faculty Research Committee on September 14, 1998; Academic Council on October 8, 1998

Every member of the University community on any of the three campuses is responsible for maintaining integrity in scholarship and investigative research. Specifically, faculty, staff, and students who conduct or are employed in research are subject to this policy. Faculty and staff who are identified as principal investigators are held responsible for the integrity of their research results and for supervising the scientific and scholarly conduct of colleagues, staff and

students engaged in their projects. Publications which embody research results should list only those authors who have contributed to the research, who have reviewed the findings and manuscripts, and who are prepared to stand behind and defend their contributions.

The University of the Pacific is committed to maintaining the integrity of its scholarship and investigative research and to fostering a climate conducive to integrity in its scientific investigations. One feature of this commitment is the establishment of policies and procedures for responding to allegations of scientific and/or scholarly misconduct which will apply to all members of the University community. This policy does not supplant, but does reinforce existing University policies relating to the codes of conduct and discipline for faculty, students and staff of the University. The procedures outlined in this policy relate to the investigation and findings for establishing whether or not scientific and or scholarly misconduct has occurred. Appropriate sanction, discipline, corrective action or other University response following a finding of misconduct shall follow normal faculty, administrative and student personnel procedures.

A complete statement of this policy and procedures may be obtained from the Research and Graduate Studies office.

### **9.6.5 Policy on Disclosure of Financial Interest**

Approved by Academic Affairs Committee on Graduate Studies on May 8, 1995; Academic Council on April 11, 1996; Administration 1996

#### **University of the Pacific Policy Disclosure of Financial Interests for Projects Sponsored by the National Science Foundation and the Public Health Service**

##### **I. INTRODUCTION**

As advances in the fields of science and medicine continue at an unprecedented pace, academic institutions and their faculty, are increasingly encouraged to enter into collaborative arrangements with industry to foster development of research programs. Over the past decade, there have been significant legislation and federal funding initiatives aimed at stimulating such collaborative arrangements in an effort to bolster the national economy and to promote international competitiveness.

These developments have generally been mutually beneficial, with industry drawing from the collective intellectual and creative talents of University faculty, and academia benefiting from additional resources. Technology developed with government funding at universities further stimulates interactions to facilitate the transition of basic research findings into commercially viable products. However, this climate also gives rise to a concern that the results of research not be compromised.

Acknowledging that research and commercial activities will continue to expand, and in an effort to ensure that publicly funded research will be conducted with objectivity and freedom from bias, this policy is directed to identify one potential source of bias— investigator financial interests. This policy also sets forth the University's responsibilities to review disclosed financial

interests, and when it determines that any disclosed interest might reasonably appear to be directly and significantly affected by a sponsored project, its responsibilities to manage or eliminate the financial interest.

## **II. POLICY**

It is the University's policy that investigators responsible for the design, conduct, or reporting of a sponsored project must disclose financial interests that could be affected by the project at the time a proposal is submitted to the National Science Foundation or the Public Health Service. Further, such investigators are also required to disclose any new financial interest related to that project, acquired during the period of the award.

Employees with disclosure responsibility include the Principle Investigator and Co-Principle Investigators, and any other Investigators deemed appropriate by the Principle Investigator. When the University determines that a disclosed financial interest or the entity in which it is held, might reasonably appear to be directly and significantly affected by the sponsored project, the University will take steps either to manage or to eliminate the financial interest.

## **III. DEFINITION OF FINANCIAL INTEREST**

The term "financial interest" as used in the policy means the following when aggregated for an investigator and the investigator's spouse and dependent children:

- Income from a single business entity, including salary, consulting payments, honoraria, reimbursement of expenses, royalty payments, dividends, loans from the entity, or any other payments or consideration with value, including payments made to a University Medical Compensation Plan, during the prior twelve months or anticipated in the next twelve months of \$10,000 or more;
- Income from a single public or nonprofit entity, including salary, consulting payments, honoraria, reimbursement of expenses, royalty payments, dividends, or any other payments or consideration with value, including payments made to the University Medical Compensation Plan, during the prior twelve months or anticipated in the next twelve months, of \$10,000 or more, excluding income from seminars, lectures, teaching engagements, or service on advisory committees or review panels; and,
- Equity in the form of stock, stock options, real estate, loans to the entity, or any other investment or ownership interest exceeding either \$10,000 (current market value if publicly traded; otherwise amount of investment) or a 5% ownership interest, for one enterprise.

The term also includes the following for an investigator and spouse:

- A management position, such as board member, director, officer, partner, or trustee, held in any business entity; or

- Interest on a patent, patent application or a copyright assigned or licensed to a party other than the University.

A “financial interest” does not include payments made by the University, including salary, stipends, royalty payments, honoraria, reimbursement of expenses, or any other remuneration from the University.

## **IV. REVIEW OF INVESTIGATOR’S STATEMENT OF FINANCIAL INTERESTS**

### **A. Reviewing Officials**

All positive Statements of Financial Interests will be reviewed by the designated administrator from the Provost’s office and Chair of the Independent Substantive Review Committee (ISRC) to determine if the disclosed financial interest in an entity, or the entity, could reasonably appear to be directly and significantly affected by the research or educational activities funded, or proposed for funding by the agency.

An entity would be directly and significantly affected, for example, if the project results would be relevant to the development, manufacturing, sales, or improvement of products or services of the entity, or the value of the entity’s stock. A financial interest would be directly and significantly affected, for example, if the monetary value of the interest would increase depending upon the result of the project.

If the Reviewing Officials determine there could be such a direct or significant impact, the Statement of Financial Interest is referred to the ISRC for review. If it is determined that the project will not reasonably have a direct and significant impact on the financial interest of the Investigator, or the entity, the Reviewing Officials may determine that no further review is required. In making the determination, the Reviewing Officials may consult with Deans, Department Chairs, administrators or others.

### **B. Independent Substantive Review Committee (ISRC)**

The ISRC is composed of five members of the faculty, representing a range of disciplines, one of whom chairs the Committee. The ISRC is appointed by the Dean of the Graduate School in consultation with the Faculty Research Committee. The ISRC is chartered with reviews of all positive Investigator Statements of Financial Interests referred to it by the Reviewing Officials, together with a review of the proposal, or award documents if applicable. The ISRC may request any additional information deemed necessary from an investigator to complete a thorough review of cases submitted to it.

When the ISRC determines that a disclosed financial interest, or the entity in which the interest is held, would be directly and significantly affected by the sponsored project, the ISRC must determine if the extant conflict of interest is manageable or not. Based on its review, the ISRC recommends actions to manage or eliminate the conflict of interest to the Dean of the Graduate School (or Provost’s designate).

Recommended actions to eliminate conflicts may include, but are not limited to: Withdrawal of a proposal, divestment of the investigator's interest, and severance of relationships creating or contributing to the conflict of interest. Recommended actions to manage conflicts may include, but are not limited to: Modification of a pending proposal; monitoring of the project by independent reviewers; disqualification of the investigator from participation in all or some project activities; and identification of the financial interest on all publications resulting from the project.

## V. SANCTIONS

An individual's failure to file a complete and truthful Statement of Financial Interest for pending proposals, or when a new interest is obtained, or failure to comply with any conditions or restrictions directed or imposed, including failure to cooperate with appointed project monitoring bodies, will be grounds for discipline by the Provost.

### 9.6.6 General Policy Statement on Contracted Research Programs

Approved by Academic Council on February 14, 2002; Administration on April 24, 2002

It is the desire and intent of the University of the Pacific to attract research programs from private industry, thereby sharing with the private sector the business, scholarly and research resources of the University.

Contract research projects are generally conducted in an open, academic forum of faculty and qualified students. Our threefold purposes are client benefit, student education and faculty scholarship. We believe these are best attained under the most realistic team-client relationships possible.

**Policy on Confidentiality** The atmosphere of this University is one of an open exchange of ideas between all sectors of the faculty and students within a context of the sharing of the benefits of academic excellence. It is inherent in such free exchange of the results of scholarship that true confidentiality, in the industrial sense, becomes extremely difficult within this University environment where the learning process involves the free and open exchange of ideas and results.

However, the University recognizes that there exists within industry, a hierarchy of "company private" formulations, product performance data, research and design data, manufacturing costs and similar information.

The University is a center of learning and the client must bear in mind that the educational value of the experience is paramount to the student. Indeed the educational value of the experience is enhanced by the overtones of confidentiality because all professional practice requires judgment in dealing with client confidences. In particular, students need to learn the distinction between client-generated data and project-generated data. The contract research program can provide a supportive climate for teaching students how to handle these judgments even though strict

confidentiality cannot be assured. The faculty will endeavor to extend to these students opportunities to develop professional attitudes on the rights of the respective parties.

Accordingly, University policy prohibits knowingly and/or intentionally revealing any such aforementioned confidential information to any third party without specific authorization of the client. A model contract for contracted research is on file in the Office of the Dean of the Graduate School.

**Client Awareness** Therefore, in keeping with the foregoing, our clients are asked to acknowledge that the University engages in the following educational practices:

1. Throughout the academic year project teams give weekly presentations describing the progress of their work. All faculty and students are invited to these presentations, and attendance by sponsor representatives is an occasional occurrence.
2. The faculty and students involved in project work reserve the right to timely publication of novel results generated by project teams while working on client's project. Project related work may be submitted for publication not earlier than one year after delivery of the final report without the client's approval. Following that year, the client will be given an opportunity to review and comment on any proposed publication. The year's delay allows the client to initiate patent defense or any innovation arising in the work. In most instances the project team and the University agree to assign patent rights to clients, subject to the University's right to a continuing royalty from the exploitation of such rights.
3. Specific applications of project work naturally belong to the client who paid for the work, but abstract models and/or data generated during the term of the project can form the basis of publishable work by faculty and students.
4. It is usual University policy to decline "CLASSIFIED" projects of the United States Government because of the difficulty of maintaining requisite security procedures.

## **9.7 Policy on Establishment and Review of Centers, Institutes, Clinics**

Adopted Spring 2001; Revised and Approved by Academic Council October 12, 2018, Approved by Provost October 20, 2018

### **Purposes**

To effectively address specific societal needs in education, research, or service, it is sometimes necessary to establish thought or service entities (generally known as centers, institutes or clinics) within the University to serve external constituencies. The University encourages the formation of organized research and public service units embedded within the University when such formal designation will address University priorities, enhance the University's ability to fulfill its mission, permit a more effective allocation of University resources, and expand



educational opportunities for our students. This policy defines the process for their orderly establishment and provides direction for periodic reviews of their continuing operation.

Organized research and public service units offer a means for faculty, staff, and students to participate in interdisciplinary activities, or to work with other groups to address local, regional or national needs that are aligned to University mission and priorities. These units serve to foster communication and interchange within the University community and between the University community and external groups. They may also provide leadership and focus to the University's research and public service efforts in selected areas of recognized importance.

### **Definitions**

**Centers:** A center exists within a school or college and serves the mission, goals, and strategic vision of the unit. A Dean is responsible for the operations of centers within the unit and for assuring each center's purpose and operations remain in alignment with the school's or college's mission, goals, and strategic vision.

**Institutes:** An institute is a multi-disciplinary cross-unit organizational structure that serves the University's mission, goals, and/or strategic vision. Institute directors report to the Provost or designee and hold responsibility to ensure the purpose and operations of an institute remains aligned with the institution's mission, goals, and strategic vision.

**Clinics:** Clinics are units that carry out part of the educational mission of the schools or college, serve as integral parts of a school's or college's curricula, and generate revenue through services for external constituents. Deans are responsible for the budgets and operations of clinics, as well as for the clinics' compliance, quality, and alignment with the educational outcomes of the programs they serve. As educational experiences integral to obtaining credentials (certificates, degrees, etc.), clinics are included in periodic academic reviews, such as program reviews and/or specialized accreditations, of the programs or units of which they are a part. As such, they are not subject to the periodic evaluation process required of centers and institutes. Clinics may be formed only after approvals are gained through (a) the "establishment" process herein and (b) any and all academic/shared governance structures required based on their educational component.

Entities called "centers" or "institutes" whose purpose is to provide service almost exclusively to the University campus community (such as the Center for Teaching and Learning) shall not be considered centers, institutes, or clinics for the purposes of this policy.

Existing units carrying names inconsistent with the preceding definitions must (a) revise the name to employ the correct title [Center, Institute, or Clinic] or (b) request and receive approval from the Provost for an exception to this policy within one year from the effective date of this policy. Proposed units that wish to use names inconsistent with the preceding definitions must show cause as to why their variation should be approved and such request must be proposed in writing to the Provost, who maintains final authority to grant such a variance.

### **Establishment**

The establishment of a center, institute, or clinic requires the review and approval of the appropriate department chairs, dean(s) and (if the proposal involves graduate programs) the Dean of the Graduate School. For externally funded entities, a plan for the establishment of the center, institute, or clinic will be developed as required by the sponsoring agency, in conformance to University policies. If appropriate, for curricular review, the Academic Affairs Committee on Undergraduate Studies or the Academic Affairs Committee on Graduate Studies will review and submit a recommendation. Centers and Clinics may then be recommended to the Provost, who will approve or deny the proposal. Institutes will then be recommended by the Provost who will then make a recommendation to the President for final approval. Approval by the Board of Regents may be required, and shall be sought through the Secretary to the Board of Regents.

A request for the establishment of a center, institute, or clinic will be in the form of a prospectus that addresses the following items:

1. A statement specifying the name of the unit, the purpose, services to be offered and the particular objectives to be accomplished.
2. A statement of need, the constituencies that are to be served, and the anticipated geographic service areas.
3. A description of the manner in which the center or institute will effectively meet this need in a way that existing units cannot, including representative activities and any anticipated effects of the proposed unit on existing instructional programs.
4. The unique value of the program to the University and its relevance to the mission of the University, school or college.
5. Identification of personnel and departments to be involved initially and a projection for such involvement over a six-year period.
6. (a) Estimated fiscal resources required (b) sources and anticipated amounts of funding for a six-year period including indirect contributions and sharing of net revenues (c) anticipated expenses for a six-year period including indirect contributions and sharing of net revenues.
7. Concise descriptions of space and equipment needs and how they will be met.
8. Descriptions of administrative operation and oversight for the center or institute including an organization chart.
9. Descriptions of advisory boards with identification of the role, charge, membership affiliations, and selection processes.

### **Governance**

An operating unit should report to the lowest organizational level which can make those decisions required for the on-going activities of the unit. Where center, institute, or clinic activities are conducted entirely within one department, the director could report to a department chair. Where all center, institute, or clinic activities exist within a single school/college, the dean of that unit will be the accountable individual, and where more than one school/college is involved, the deans (director in the case of institutes) of those units will be jointly accountable. Where more than one school or college is involved, disputes will be decided by the Provost or designee with the advice and counsel of the Deans of the involved colleges. Every center, institute, or clinic shall file an annual report with the Provost or the designee summarizing activities during the fiscal year just completed. Reports shall describe projects undertaken,

project outcomes, numbers of individuals served, detailed revenues and expenses from the completed fiscal year, and anticipated revenue and expenses for the upcoming fiscal year.

### **Budget Policies**

Allocation of revenue will be determined prior to the start of a proposed unit. Direct and indirect costs will be calculated for each unit, based on requirements. Direct costs include all salaries, fringes, operations, information technology, equipment, and expansion space. Indirect costs include reallocated space use, utilities, administrative support, and university contributions, etc. Direct costs will be formulated by the dean and leaders of the proposed unit, to be reviewed by the Academic Budget Officer and a representative of the Finance Center, and approved by the Provost. University indirect costs will be calculated by the Finance Center, reviewed by the Academic Budget Officer and the Dean and Directors of the proposed center, and approved by the VP for Business and Finance. All center, institute, or clinic employees of the University of the Pacific and must be paid through University payroll and will be subject to all applicable University policies and procedures.

Centers, institutes, and clinics in the Schools of Dentistry and Law will be budgeted according to existing University policies on administrative overhead and indirect income, or as may be deemed necessary by the Provost and the Vice President for Business and Finance.

Any gift assessment for the University Advancement Office will be applied to gifts designated for a center, institute, or clinic prior to the allocation of the gift funds to the unit's budget. Gifts so assessed, and endowment earnings from such gifts, will not be calculated as net revenue for indirect cost charges.

### **Evaluation of Centers and Institutes**

Centers and institutes are temporary in nature and reviewed at least every six years to determine viability and need for continuation. The evaluation will consider costs and quality of performance in relation to stated objectives, as well as benefits to the University and its clientele in light of the University's priorities and resources. A decision as to the continuation, elimination, or alteration of the unit in question will be made by the President upon completion of the evaluation and the recommendation of the Provost. Currently existing research and public service units are to be evaluated in accordance with these procedures and in a sequence to be determined by the Provost.

### **Process of Periodic Review of Centers and Institutes:**

**Step One:** During the fifth or sixth year of operation or the fifth or sixth year of the six-year approved operational period, the Dean (Director in case of institutes) will request reports from two internal units: (1) The Office of Internal Audit and Compliance and (2) Enterprise Risk Management. These two reports should be requested in sufficient time to receive them by the beginning of year six.

**Step Two:** During year six or seven, the center/institute director prepares a concise report plus appendices as indicated below. The center or institute director after thorough review of data, finances, and input from internal and external stakeholders, produces the report and forwards it

to the appropriate dean(s) (Provost or designee in the case of institutes). Their periodic review report includes the following elements.

1. *Purpose*- A concise description of the purpose/mission and history of the center/institute. A copy of the center/institute approval documentation including its stated goals/objectives at the point of adoption or from its last review should be placed in the appendix.
2. *Changes to Objectives*- A list of goals and objectives and changes to goals and objectives since inception or since the latest review, including a list of corresponding approvals from the changes.
3. *Effectiveness*- A summary of evidence of the effectiveness of the center or institute in meeting the stated goals/objectives. Supporting evidence of achievements may appear in the appendix.
4. *Impact/Outcomes*- Evidence of the ways the center/institute has benefitted (a) students' learning, (b) quality and productivity of scholarship or creative activity, (c) the academic reputation of the University, University clientele, and/or our local communities. Supporting evidence of benefits may appear in the appendix.
5. *Support of Unit/University Mission*- Statement describing how the center/institute supports the mission/goals/strategic plan of the unit and/or university.
6. *Internal Interactions*- A description of how faculty, students, and academic units participate in, interact with, and/or benefit from the center/institute.
7. *Reporting Lines*- A description of existing reporting lines and/or an up-to-date organizational chart.
8. *Resources*- A summary of resources addressing the following: (a) Specify the portion of a full-time appointment assigned to the director and to each additional administrative staff member. (b) Adequacy of the prior years' annual budgets with a copy of the latest annual budget in the appendix. (c) Discussion of the funding received from external sources across the preceding five years with a copy of the list placed in the appendix. (d) Anticipated needs over the next five-six years for space, equipment, and staff. (e) For revenue-generating units, append annual income statements prepared since inception or since the latest review illustrating financial performance of the unit.
9. *Continuity Plan*- Describe the succession plan, business continuity plan, and/or sunset plan in case of potential loss of key personnel, contracts, and/or funding sources.
10. *Regulatory Environment*- A summary self-assessment of the regulatory environment (HIPAA, FERPA, accreditation, etc.) within which the unit operates and the unit's level of compliance.
11. *Continuation*- In the context of the university's current priorities and resources, provide a rationale for continuation (or closure) of the center or institute. Address return on investment, changes in administration, changes in mission/focus, changes in participation, changes in organization, etc., recommended for the next six years. Identify goals for the next six to seven years with metrics to be used to evaluate the center/institute's success at its next review.

**Step Three:** After evaluating the document and any external input sought from an advisory board or other constituency identified during the establishment process, and review with appropriate unit level governing bodies, the dean(s) (director in case of institutes) provide a one-

or two-page written evaluation to the Provost with recommendations regarding the strengths, weaknesses, and if relevant, new opportunities for the center/institute within the context of the university's current priorities and resources. The dean's evaluation shall also address budgetary and operational issues. The evaluation will recommend one of the following:

1. Approve for another six year term.
2. Approve with conditions. In this case, any deficiencies must be rectified in the prescribed time period or else the center/institute will be discontinued.
3. Merge with another center/institute that has a similar mission.
4. Discontinue.

**Step Four:** After evaluating the documents and any external input, the Provost will make one of the above four recommendations and submit the materials and recommendations to the president for a final decision on renewal of institutes, or shall render a decision herself for centers. In either case, the decision will be in the form of an "action plan" or "memorandum of understanding", ensuring clear and unambiguous direction for the future operations of the center or institute.

## **Chapter 10. General University Academic Policies and Procedures**

### **10.1 University Catalogs**

Approved by Provost on February 8, 2001

The University of the Pacific publishes four catalogs: the General Catalog, the Graduate Studies Catalog, the School of Dentistry Catalog and the McGeorge School of Law Catalog. Each catalog contains a description of the academic programs and curricular offerings of the schools and colleges which are covered by the catalog, the admissions requirements, tuition and fees, programs for financial aid, academic regulations, requirements for graduation, University programs and services for students, the academic calendar, and the membership of the Board of Regents, the Administration and the Faculty. These catalogs are revised periodically to reflect changes.

On the Stockton Campus, the Registrar edits the General Catalog. The Dean of the Graduate School edits the Graduate Studies Catalog. The Office of Marketing and Public Relations publishes these catalogs.

On the San Francisco Campus, the Director of the Office of Academic Affairs edits the School of Dentistry Catalog.

On the Sacramento Campus, the Publications Editor, under the direction of the Dean, edits the McGeorge School of Law Catalog.

### **10.2 Review of Academic Programs**

Revision approved by Academic Council on May 8, 2008 and by Cabinet on August 19, 2008.

Academic program planning is an on-going process of self-study and improvement which is aimed at increasing academic quality, implementing the University's Mission and Vision, enacting University priorities and managing University resources effectively. Subject to the approval of the Academic Council, the Academic Affairs Committee on Undergraduate Studies works collaboratively with the Office of the Provost to articulate the specific goals of program planning, to establish procedures and schedules, and to oversee the integrity of the process.

After assuring that each departmental self-study has followed appropriate procedures, the Evaluation Committee of the Academic Affairs Committee on Undergraduate Studies forwards the reports and recommendations of the dean along with its recommendations to the Academic Council and the Provost. In the case of a graduate program, the Academic Affairs Committee on Graduate Studies on each campus certifies the process and submits its recommendations on the self-study report to the Academic Affairs Committee on Undergraduate Studies. The Academic Council submits its recommendation to the Provost, who then submits a final report to the President.

The Guide for Annual and Periodic Program Planning & Self-Study, approved by the Academic Council and the Provost, is available in the Office of the Provost and online.

### **10.3 Commencements**

Approved by Academic Council and Provost on February 8, 2001, Revised Spring 2005, Revised and approved by Academic Council and Administration on February 11, 2010

Commencement exercises include an all University Commencement Ceremony and separate Diploma and Hooding Ceremonies for each Stockton Campus school and college. McGeorge School of Law and the Arthur A. Dugoni School of Dentistry conduct their annual commencement ceremonies in Sacramento and San Francisco, respectively. The Provost has responsibility for the University Commencement. The Dean of each school and college has responsibility for the ceremony of that school or college, subject to the approval of the Provost. The Center for Professional and Continuing Education coordinates the organization of the University Commencement and the Diploma and Hooding Ceremonies.

Faculty members are expected to attend commencement exercises and to participate in the academic processions. Academic regalia appropriate to one's highest degree is required.

### **10.4 University Marshal and Associate University Marshal**

Approved by Academic Council, Provost on February 11, 1999; Revised February 8, 2001

**Position Descriptions:** The University Marshal and Associate University Marshal are tenured faculty members who collaborate with the Office of the Provost and the Office of Conference Services in planning, organizing, preparing and directing University Convocations and Commencements. The list of specific responsibilities the positions is maintained at the Office of the Provost.

**Selection:** The Associate University Marshal is nominated by the Executive Board of the Academic Council in consultation with the Provost and approved by the Academic Council. Selection occurs every other year early in the spring semester.

**Term of Office:** The Faculty member will serve for four years, the first two years in a support role as the Associate University Marshal, followed by two years as the University Marshal.

### **10.5 Honorary Degrees**

Approved by Academic Council on February 8, 2001, President Spring 2001; Revised and approved by Academic Council and Administration on April 9, 2009

Persons nominated for honorary degrees should have made outstanding contributions to this University or society at large.

The University Awards Committee solicits nominations for honorary degrees from the University community and recommends candidates for honorary degrees to the Academic Council. Nominees may not be current employees of the university; nominees must not be informed of their nomination. The Academic Council reviews these candidates and advises the President concerning the awarding of the proposed degree. The President recommends candidates to the Board of Regents who award honorary degrees.

Nominations are confidential throughout the process. The President informs persons who have been selected to receive an honorary degree.

## **10.6 University Awards**

Approved by Academic Council and Provost on February 8, 2001.

Nominations for the following awards may come from any member of the University community. The process for nomination and selection differs for each award as specified below.

### **10.6.1 Order of Pacific**

Approved by Academic Council on February 8, 2001; President Spring 2001; revised April 18, 2014

This award was established by the Board of Regents in 1952. It is the highest award the University can give. It is intended to honor members of the University regents, faculty, administration and staff who have given distinguished service and made outstanding contributions to the University over a significant number of years. It is awarded to express the University's esteem and appreciation for the recipient's dedication to the University.

Within each person's area of responsibility, individual recipients shall have made contributions which significantly extend beyond the expectations of the person's position and have the impact of enriching the life of the University. The award recognizes an individual's career of achievements and is awarded at the termination of a person's direct connection to the University. To be considered for this award nominees normally have a minimum of 15 years of service to the University. Awards may be given posthumously.

The University Awards Committee reviews the nominations and submits its recommendation to the President. The President and the Academic Affairs Committee of the Regents must approve the awards. Awards are made at University Commencement.

### **10.6.2 University Distinguished Faculty Award**

Approved by Academic Council and Provost on February 8, 2001.



This award was established by the President on the recommendation of the Academic Council in 1974. The award is given for outstanding accomplishment by a tenured faculty member in any or all of the following areas: teaching, research, creative endeavors and service to the University. The nomination form states the specific criteria for each of these categories. One award is made each year at University Convocation. The award includes an unrestricted monetary award. The University Awards Committee selects the recipient of the award.

### **10.6.3 Faculty Research Lecturer**

Approved by Academic Council and Provost on February 8, 2001

This award was established by the Faculty Research Committee to recognize faculty with a record of meritorious research or artistic contributions during their service at the University. Nominations are open to all tenured faculty with a minimum of seven years of service at the Stockton campus. The Faculty Research Committee selects the recipient of the award and forwards the name to the President who will notify the faculty member. The recipient will give a lecture or presentation in the spring semester. An honorarium accompanies the award.

### **10.6.4 Eberhardt Teacher-Scholar Award**

Approved by Academic Council and Provost on February 8, 2001; Revised 2004.

Up to five Eberhardt Teacher-Scholar Awards are awarded each year to recognize both exemplary teaching and scholarship. Stipends are restricted to professional expenses. Faculty who have completed four years of service to the University are eligible. Nominees are reviewed by the Eberhardt Teacher/Scholar Award Committee consisting of members from both the Committee on Academic Planning and Development (CAPD) and the Faculty Research Committee (FRC). The four members are chair of the CAPD, chair of FRC, and one member from each committee. The Committee reviews nomination documents and recommends to Academic Council for their approval. A letter from the Academic Council chair is sent to the award recipients(s).

## **Chapter 11. Academic Policies and Procedures for Undergraduate Students**

### **11.1 Undergraduate Admissions Policy**

Approved by Academic Council on April 26, 2001; Provost on April 24, 2002

The Admission and Financial Aid Committee reviews and recommends admissions policies for undergraduate programs to the Academic Council for approval. Current policies are on file at the Office of the Associate Provost for Enrollment.

The current policies regarding freshmen admissions were approved by the Academic Council on May 13, 1993 and May 31, 1994.

The current policy regarding the admission of transfer students was approved by the Academic Council on October 12, 1995.

### **11.2 Undergraduate Financial Aid Policy**

Approved by Academic Council on April 26, 2001, Provost on April 24, 2002

The Admission and Financial Aid Committee reviews financial aid policy for undergraduate programs. Current policies are on file at the Office of the Associate Provost for Enrollment.

### **11.3 Academic Calendar and Class Schedule**

Approved by Academic Council on April 26, 2001; Provost on April 24, 2002

The University Registrar prepares the annual academic calendar in consultation with the Academic Affairs Committee on Undergraduate Studies. The Academic Council reviews and approves the annual academic calendar.

The dean of each school or college is responsible for establishing the list of courses to be offered in each semester and for submitting a suggested time schedule for all courses. The University Registrar has final responsibility for room assignments and the scheduling of times of class meetings. The University Registrar edits, duplicates and distributes the class schedule. Only courses listed in the schedule or officially added to it may be offered. The University Registrar establishes the schedule for the production of the class schedule and the calendar for student advising.

### **11.4 Curriculum Changes**

Approved by Academic Council on April 26, 2001

All undergraduate courses offered by the University of the Pacific for credit must be approved by the Academic Affairs Committee on Undergraduate Studies and the appropriate curriculum committee of the school or college through which the course is offered. Special Topics courses may be offered with the approval of the dean of the school or college through which the course is offered. If a Special Topics course is offered more than twice, such a course requires the approval of the appropriate committees listed above. Seminars and research earning University credit must have the approval of the dean of the school or college in which the credit is offered.

### **11.5 Class Size**

Approved by Academic Council on April 9, 1998; Administration on April 24, 2002

Class size should reflect the University's commitment to a superior, student centered learning experience. The faculty, department chairs and deans of individual schools and colleges are responsible for providing course offerings and class size consistent with superior pedagogy as well as efficient and effective use of faculty.

At the end of the preregistration period for each term, the University Registrar will distribute to the dean of each school or college a list of courses whose preregistrants are ten or fewer students in an undergraduate course or six or fewer students in a graduate course.

The dean and department chair will review reasons for maintaining or canceling each course. If the dean or department chair determines that a scheduled course will be canceled, students preregistered for the course will be notified in a timely fashion and provided assistance in finding an appropriate substitute course.

### **11.6 Independent Study**

Approved by Academic Council on April 26, 2001

Independent Study may not normally cover the same material covered by a simultaneously scheduled class nor may Independent Study be offered to increase the number of units the student may earn in a regularly scheduled course. Each school or college must establish and publish policies and procedures for enrollment in Independent Study consistent with University policies. The dean of each school or college is responsible for administering these policies and procedures.

### **11.7 Course Syllabus**

Approved by Academic Council; Revised October 11, 2012, Revised October 13, 2016

At the beginning of each semester, each faculty member will provide a course syllabus in writing to students. The course syllabus constitutes an agreement between the instructor and the student.

The course syllabus must include the following:

1. Course subject code, course number and course name, number of units, course location(s)
2. Course description with reference to the catalog copy
3. Course learning objectives and goals
4. All major assignments and examinations
5. Any other additional student responsibilities, if applicable
6. List of anticipated course topics or course schedule
7. A clear statement of attendance policies
8. A clear statement of the grading policy and determination of final grade
9. A statement that copies of student work may be retained to assess how the learning objectives of the course are being met

10. Description of violations of the honor code and a statement of procedures for handling such violations ( See 11.24)
11. Course instructors and their means of contact
12. Statement on Americans with Disability Act (ADA) accommodations
13. List of the program, and where applicable, the undergraduate core competencies, and general education (GE), learning objectives/outcomes that are met by this course in a meaningful manner

### **11.8 Attendance Policies**

Approved by Academic Council on April 26, 2001, Revised on February 16, 2017

Students are expected to attend classes regularly. Specific attendance policies are, however, determined by individual instructors who will provide students with a written statement of such policies at the beginning of the semester in their course syllabus.

The student is responsible for notifying instructors of absences due to illness, University related activities, military duty or veteran status, including service-related medical appointments where failure to appear might result in loss of benefits, or other conditions beyond the control of the student.

### **11.9 Office Hours**

Approved by Academic Council on April 26, 2001

Each instructor is expected to be available for consultation with students through means such as established office hours, appointments and electronic means of communication. Instructors are expected to make these policies readily accessible to all students in the class and to include them in their course syllabus. Instructors who are also advisers will need to schedule adequate office hours to meet advisees' needs.

### **11.10 Contact Hours in Relation to Hours of Credit**

Approved by Academic Council on April 26, 2001, Administration on April 24, 2002

Courses will be scheduled to allow 15 hours of lecture or equivalent per semester unit of credit.

### **11.11 Final Examination Policy**

Approved by Academic Council on April 26, 2001

Matters of grading and testing procedures are the responsibility of individual instructors. If the instructor chooses to give a final examination, it must be scheduled during the time specified by the University Registrar for the final examination for that course.

### **11.12 Student Assistants**

Approved by Academic Council on April 26, 2001

The use of students to assist in laboratory instruction, paper grading, and caring for materials in connection with the instructional program may be authorized whenever classes are large or require special services. If such needs arise, provision should be made for the required funds when budget requests are submitted.

It is the policy of the University not to place an undergraduate in full charge of a class or any activity of a class. Such a student should be used only as an assistant. Students who are enrolled in a course may not serve as an assistant in that course. If an assistant is used in checking tests, the checking ought to be of only a routine nature and not to involve evaluative judgments; the latter are the responsibility of the instructor.

It is the responsibility of the instructor to whom an assistant is assigned to supervise the assistant's activities and evaluate the assistant's performance.

### **11.13 Academic Advising**

Approved by Academic Council on April 26, 2001, Administration on April 24, 2002

Academic advising is an essential component of teaching and is a faculty responsibility. Advising new students serves to introduce them to the intellectual nature of the University and assists them in making a successful transition to collegiate life and in selecting programs and courses which integrate individual needs with academic objectives. Advising majors and students in professional schools and programs serves to introduce them to the nature of the disciplines and professional life and assists them in the design of their academic programs and the selection of and transition to professional careers. Accomplishing these goals is the joint responsibility of the students, faculty, staff and administrators of the University.

The Director of the Student Advising Center is responsible for administration of the University program of faculty and student advisers for new students. Departments and professional schools and programs are responsible for administration of the program of faculty advising for students who have selected a major.

#### **11.13.1 Responsibilities of Administration**

The Division of Student Life and the Office of the Provost provide direct academic advising services through the following centers: Student Advising Center, Education Resources Center,

Mathematics Resource Center, International Programs and Services, Career and Internship Center, and the Counseling Center.

### **11.13.2 Student Responsibilities**

Each student is responsible for:

1. becoming aware of the academic rules and regulations, registration, procedures, deadlines, general education and graduation requirements;
2. monitoring progress towards completion of graduation requirements;
3. consulting the student's faculty adviser on a regular basis;
4. obtaining correct information before making a decision;
5. making final decisions regarding program and course selection.

### **11.13.3 Faculty Adviser Responsibilities**

Faculty, as advisers, are responsible for providing:

1. appropriate opportunities for individual consultation with advisees;
2. assistance in exploration of education alternatives;
3. correct information concerning academic rules, regulations and graduation requirements;
4. guidance in and evaluation of work toward degree requirements (e.g. general education, major and unit requirements);
5. informed referral to University services and programs available to assist students in their academic, career and personal development.

### **11.13.4 Advising Process**

The Academic Advising process involves the ongoing interaction among a variety of objectives. The primary aspects of the dynamic advising process are:

1. defining and developing realistic educational goals and exploring educational alternatives through course work;
2. exploring career alternatives and the linkage between academic preparation and career entry;
3. matching student needs and abilities to University resources;
4. planning a program of study consistent with objectives;
5. selecting specific classes, sections, times;
6. fulfilling general education requirements, graduation and major requirements.

### **11.14 Grade Policy**

Approved by Academic Council on April 26, 2001. Revised and Approved April 26, 2019

## 11.14.1 Symbols and Definitions

### Grading Policies

Symbols and Definitions: Undergraduate and first professional level students are assigned grades in keeping with the following provisions.

Symbol	GPA	Definition
A	4.0	Outstanding work, highly meritorious
A-	3.7	
B+	3.3	
B	3.0	Very good but not outstanding
B-	2.7	
C+	2.3	
C	2.0	Satisfactory
C-	1.7	
D+	1.3	
D	1.0	Barely passing but counts toward graduation
F	0.0	Failure. Will count in the grade point average. Must be repeated with a satisfactory grade to receive credit toward graduation.
FW	0.0	Failure withdrawal. Will count in the grade point average. Must be repeated with a satisfactory grade to receive credit toward graduation. FW is assigned when a student does not complete a course, usually for lack of attendance. The instructor will need to indicate the student's final date of attendance when assigning this grade.
AU/AW		Audit/Audit Withdrawal
I		Incomplete work due to extenuating circumstances which prevent the completion of the work assigned within the regular time of the term. Each incomplete grade must be accompanied with a contract statement agreed to by both instructor and student as to: <ol style="list-style-type: none"> <li>what work remains to be completed</li> <li>how it is to be evaluated.</li> <li>a time indicated for completion within but no later than the following deadlines:               <ul style="list-style-type: none"> <li>for fall semester, by July 1 following;</li> <li>for spring semester by November 1 following;</li> <li>for summer term by January 1 following.</li> </ul> </li> </ol> If work is not completed within these stipulated times, the instructor may wish to indicate a grade in lieu of the "F" or "NC" which automatically would be imposed with failure to complete the work. All Incompletes must be made up before graduation if the student intends to complete the course.
N		Deferred grading

**Symbol GPA Definition**

NC	No credit recognition. Represents unsatisfactory work under “Pass/No Credit” grading option.
NCW	No credit withdrawal. No credit recognition. Assigned when student does not complete a course with a ‘Pass/No Credit’ grading option, usually for lack of attendance. The instructor will need to indicate the student’s final date of attendance when assigning this grade.
NG	No grade reported. No credit recognition. An NG is a default grade given when an instructor does not report a grade.
P	Passing work on the pass/no credit system. P grade is approved only for certain courses and programs of a college or school. A minimum of C- or better is required to pass a course with a ‘Pass/No Credit’ grading option.
W	Authorized withdrawal from courses after the prescribed period.

**11.14.2 Pass/No Credit Grading System**

Depending upon the regulation of a particular college or school, students may request to receive pass or no credit grades rather than the traditional letter grades. This is available to encourage enrollments in courses outside the student's area of major or specialization and thus to help broaden the student's general education.

Normally this freedom is limited to one course per term and does not include courses within a student's major field. Forms are available in the office of the University Registrar and must be submitted prior to the deadline for adding classes.

A minimum of a C- or better is required to pass a course with a “Pass/No Credit” grading option.

**11.14.3 Repetition of a Course/Grade Replacement Policy**

Approved by Academic Council on March 11, 1999, revised January 28, 2016, revised April 14, 2016

In order to repeat a course at the undergraduate or first professional level, students must have received a C- or lower the first time the class was taken. Once a course is completed (with a grade of C or higher) the student may not repeat any prerequisites for that course. The grading option, when repeating a course, must be the same as the one used originally. Any given course can be repeated one time only. Fundamental Skills courses are exempt from the one time repeat rule.

Students must have both a 2.00 cumulative Pacific GPA and a 2.00 major/minor/program Pacific GPA to graduate. Prior to Fall Semester 2015, the grades received for courses repeated were averaged. Beginning Fall Semester 2015, the best institutional grade attempted when repeating a course is used to calculate the cumulative Pacific GPA and the major/minor/program GPA. Both the initial and subsequent repeat grade will remain on the academic record.



Students may exercise their grade replacement rights up to a maximum of three times while enrolled in undergraduate and first professional degree programs at Pacific, with subsequent repeated courses being grade averaged. Basic skills are exempt from the three times rule.

### **11.15 Student Programs of Study**

Approved by Academic Council on April 26, 2001

Every student, in order to receive credit for coursework taken during a particular term, must be properly registered during that term. It is the student's responsibility to comply with this regulation. The registration procedures are indicated in the Schedule of Classes which is available from the Office of the University Registrar prior to the beginning of each term.

#### **11.15.1 Full-Time Course Load**

Approved by Academic Council on April 26, 2001

Twelve units constitute a minimum full-time program of studies during a semester for the regular undergraduate and first professional level student and is the minimum required for participation in intercollegiate activities. If a student registers for less than 12 units or drops below 12 units, financial aid may be reduced. Students who are less than half-time, 6 units, are not eligible for financial aid.

The maximum study load during a semester for undergraduates without special permission is 18 units and 19 units for first professional level students. Students who wish to enroll for units in excess of the maximum study load must petition their school or college and receive approval in advance. Approval is based to a great extent upon the student's past academic record and will result in additional tuition charges.

#### **11.15.2 Limitations on Credit**

Approved by Academic Council on April 26, 2001

The maximum number of units accepted from a community college or similar institution is limited to 70 units. However, no college credit from such institutions will be accepted after a student has completed 70 units from all institutions attended.

Customarily a total of no more than eight units of activity classes such as dance, physical education, theater activity courses, club sports and intercollegiate athletic courses may be applied toward a degree unless specified by the degree program.

A total of no more than 20 units may be applied toward a degree from any or all of the following: courses taken in accredited correspondence schools, extension correspondence schools, extension courses, and/or courses taken by examination. None of these credits, except extension

courses taken at the University, will be accepted during the session in which the student is completing requirements for graduation in this University.

A total of no more than 30 units of coursework in business administration may be applied toward a degree, except in the case of students majoring in business administration who may apply up to 64 units of business courses toward the degree.

### **11.15.3 Bachelor's Degrees**

Approved by Academic Council on April 26, 2001

To be eligible for graduation, candidates must have:

1. completed the major requirements specified by the school/college/department with a minimum grade point average of 2.0. At least 16 units of the major requirements must be completed at Pacific with a minimum grade point average of 2.0;
2. completed a minimum of 30 units in general education including Mentor Seminars I, II and III and a path of six or nine courses as specified by the school or college (transfer students should refer to the General Education section for GE requirements);
3. met entrance skills requirements;
4. achieved a grade point average of at least 2.0 on all letter-graded work completed at the University of the Pacific. On non-letter-graded work, the faculty will determine the equivalency;
5. fulfilled the minimum residence requirement of 32 out of the last 40 semester units of registration with Pacific just prior to receiving the degree;
6. accumulated the appropriate number of units specified by the particular school or college.

Any candidate for a bachelor's degree who has not completed work within seven years must reapply and be subject to any new requirements in effect at that time.

### **11.15.4 Second Degrees**

Approved by Academic Council on April 2, 1999

A student may earn concurrent baccalaureate degrees from different schools or in different specialties within a school or college by simultaneously completing all requirements for the specific degrees. When two different specialties fall under the same degree (such as a B.A.) the two specialties will be considered as two majors. If a student holds a baccalaureate degree from University of the Pacific and wishes to pursue a second bachelor's degree in a different specialty, a minimum of thirty-two (32) semester units of work must be completed between receipt of the first and second degree. A student may earn concurrent baccalaureate degrees from different schools or in different specialties within a school by simultaneously completing all requirements for the specific degrees.

### **11.15.5 Policy on Academic Minors**

Approved by Academic Council on March 8, 2018

In 1986, the Academic Affairs Committee authorized the establishment of academic minors. Beginning in the fall of 2018, minors are subject to the following conditions:

1. A minor represents a prescribed group of courses in a subject area other than the major.
2. Minors are voluntary. A school, department, or program is under no obligation to offer a minor unless the faculty and administration of the unit desire to do so.
3. Minors will consist of a minimum of five courses and will include a minimum of 20 semester units. The curriculum must represent a coherent set of related courses and where possible will include advanced level courses.
4. A school, department, or program wishing to offer a minor must gain approval through the standard curriculum review procedure.
5. At least 10 units in a minor must be taken at the University of the Pacific.
6. Students must have at least a 2.0 GPA within the minor to receive credit for the minor.
7. Students pursuing a minor must have a minor adviser from the unit offering the program. Decisions concerning waivers, substitutions, and transfer equivalents of minor requirements must be made by the minor adviser and must conform to the requirements listed above.
8. These are minimum standards regarding minors at Pacific. Individual schools may adopt stricter provisions (to be approved through the standard curriculum review process).

#### **11.15.6 Posthumous Degrees**

Approved by Academic Council on May 9, 2002

Degrees can be awarded posthumously if all but a minor portion of the degree requirements have been fulfilled and there is reasonable expectation that the degree requirements would have been completed. Posthumous degrees are to be approved by the Provost, based on recommendation(s) from the student's advisor, department chair, school/college dean and Dean of the Graduate School (if appropriate).

#### **11.15.7 Acquisition of Graduate Credit as an Undergraduate**

Approved by Academic Council on April 26, 2001

Undergraduate students seeking to open a graduate transcript (i.e., earn graduate credit) are subject to the conditions described in Section 12.6 of Chapter 12 on policies and procedures for graduate students.

#### **11.15.8 Withdrawals from a Course**

Approved by Academic Council on April 26, 2001

An official withdrawal is normally granted to students who complete the withdrawal petition properly and turn it in to the Student Advising Center prior to the last day for dropping classes for the term. Students who withdraw without filing such a petition may incur academic penalties. If a student wishes to withdraw from a term after the deadline for dropping classes, the withdrawal must be approved by the Academic Regulations Committee. If approved, the courses the student was registered for will appear on the student's transcript with the notation "W" but will not count in the units earned nor in calculation of the grade point average.

#### **11.15.9 Changes in the Study Program**

Approval Academic Council, Provost on April 24, 2002

If the student desires to drop or add a course after filing registration material, a drop/add form must be completed, approved by the adviser and instructor, and processed by the office of the University Registrar. Deadlines for dropping or adding courses are announced in the class schedule each term. After the deadline dates have passed, requests to add or drop courses must be made by special petition and normally will be approved only if it can be shown that the request is warranted due to some special situation or hardship. Courses which a student is allowed to drop after the deadline will appear on the student's transcript with the notation "W" but will not count in the units earned nor in the calculation of the grade point average.

Any petitions approved after the deadline dates will be subject to a clerical service fee. The date on which the petition is filed with the University Registrar is the effective date for financial and academic adjustments.

#### **11.15.10 Course Audit**

Approved by Academic Council on April 26, 2001

Auditing of courses is an option that allows exposure to a course with no course credit or grade given. To audit a course, approval must be granted by both the instructor and the chair of the department in which the course is offered. Auditing is not available in participation courses such as applied music, physical education, art courses of an applied nature, etc. Students auditing a course must pay both an auditing fee and any material or laboratory fees that are required. Courses taken through auditing may not subsequently be converted to course credit or grade. The student must indicate a desire to audit the course at the time of registration.

#### **11.15.11 Enrollment in Graduate Level Courses**

Approved by Academic Council on April 26, 2001

Qualified undergraduate students may take graduate classes (course numbers 200 or above) only under exceptional circumstances. Students must meet conditions described in Section 12.6 of Chapter 12 on policies and procedures for graduate students.

#### **11.15.12 Credit by Examination**

Approved by Academic Council on April 26, 2001

An undergraduate student in good standing and currently enrolled for four or more units may “challenge” by examination certain courses offered in the current term by the University. Departments have the right to designate which of their courses are appropriate for credit by examination. This policy is subject to the following restrictions.

1. A student may challenge a course covering material in which, because of independent study since high school graduation or because of work at another college or University which was not accepted for transfer credit, the student feels prepared. It is the responsibility of the student to explain how the material was mastered.
2. A student wishing to challenge a course should not expect the instructor of the course to provide assistance beyond an explanation of the scope of the examination.
3. A student wishing to challenge a course may not attend the class meetings of the course.
4. A student may not receive credit by examination in the semester in which the student intends to receive his or her baccalaureate degree.
5. A student may not get credit by examination for a course which the student has already audited or received a grade of F or NC.
6. A student may not get credit by examination for a course in a structured sequence if the student has received credit for a higher level course in the sequence.
7. Credit earned by a challenge examination may not be used to meet the University residency requirement.

A student wishing to pursue the credit by examination option must:

1. complete the appropriate form from the office of the University Registrar;
2. obtain approval from his or her adviser, the instructor offering the course, and the dean of the school or college offering the course;
3. pay the scheduled service fee.

Successful completion of the examination will be recorded on the transcript with a grade of pass and will be made a part of the student’s academic record in the term in which the examination is requested. Appropriate tuition fees will be assessed.

#### **11.15.13 Change of Degree Objective**

Approved by Academic Council on April 26, 2001

A student who has been admitted to one degree program and who later desires to change the objective to another degree or to another college or school of the University must submit the appropriate request to the office of the University Registrar.

#### **11.15.14 Change of Major**

Approved by Academic Council on April 26, 2001

A student who decides to change a major or to declare one must submit the appropriate form, available from the office of the University Registrar, to the office of the appropriate dean.

Requests for these changes are routinely approved and are needed to assure the assignment of an adviser.

### **11.15.15 Withdrawal from the University**

## **11.16 Scholastic Honors**

### **11.16.1 Dean's Honor Roll**

Approved by Academic Council on April 26, 2001

Each undergraduate student currently enrolled in the University of the Pacific who achieves a 3.5 grade point average at the close of a term in which twelve or more units of letter-graded (A through F) work have been completed will be declared as being on the Dean's Honor Roll for that term. A notation of this achievement will be indicated on the student's academic record.

### **11.16.2 Graduation Honors**

Approved by Academic Council on April 26, 2001

The determination of Honors at Graduation (Cum Laude, Magna Cum Laude, Summa Cum Laude) will be made by each college or school in conjunction with the approval of the Committee on Academic Affairs.

## **11.17 Academic Standing**

Approved by Academic Council on April 26, 2001

At the end of each semester, a student's academic standing will be determined to be one of the following: good standing, good standing with warning, probation, or subject to disqualification. The criteria for these academic standings are based upon a combination of cumulative University GPA and the term GPA and vary according to a student's classification. Students who are subject to disqualification are reviewed by an appropriate committee and are either disqualified from further enrollment at the University or are allowed to continue for the next semester on probation. Criteria for the different academic standings are outlined below:

### **11.17.1 Good Standing**

Unless admitted on probation, a student is in good standing during the first semester of attendance. After the first semester a student must have a term GPA of 2.00 or higher and a cumulative University GPA of 2.00 or higher.

### **11.17.2 Good Standing with Warning**

A student must have a term GPA below 2.00 and a cumulative University GPA of 2.00 or higher.

### **11.17.3 Probation**

After a semester in Good Standing, Freshmen through Juniors: a term GPA below 2.00 and a cumulative University GPA below 2.00.

After a semester in Good Standing with Warning or Probation:

Freshmen: a term GPA below 2.00 and a cumulative University GPA between 1.50 and 1.99;

Sophomores: a term GPA below 2.00 and a cumulative University GPA between 1.80 and 1.99;

Juniors: a term GPA below 2.00 and a cumulative University GPA between 1.95 and 1.99.

All undergraduates: a term GPA of 2.00 or higher and a cumulative University GPA below 2.00.

A student on academic probation may not register for independent study.

### **11.17.4 Subject to Disqualification**

After a semester in Good Standing.

Seniors: a term GPA below 2.00 and a cumulative University GPA below 2.00.

After a semester in Good Standing with Warning or Probation.

Freshmen: a term GPA below 2.00 and a cumulative University GPA below 1.50.

Sophomores: a term GPA below 2.00 and a cumulative University GPA below 1.80.

Juniors: a term GPA below 2.00 and a cumulative University GPA below 1.95.

Seniors: a term GPA below 2.00 and a cumulative University GPA below 2.00.

### **11.17.5 Disqualified**

The Academic Regulations Committee determines whether a student subject to disqualification is disqualified. If not disqualified, a student subject to disqualification will be on probation for the following term. If disqualified a student will not be allowed to register for further study at the University during a regular term while disqualified, but may attend the “open enrollment” summer sessions.

A student who has been disqualified may appeal immediately for reconsideration and possible reinstatement on probation within the same school or college or in another school or college of the University. A disqualified student who has been out of the University for one semester or more may apply for readmission to the University through the Admissions Office. If readmitted, such a student would enter on probation and would need to make up the earlier deficiency in order to attain good academic standing.

### **11.18 Residence Requirement**

Approved by Academic Council on April 26, 2001

The minimum residence requirement for a bachelor's degree program is 32 out of the last 40 units of registration in the University of the Pacific just prior to receiving the degree. Normally these 32 units must be taken on the Stockton campus, but study in University-affiliated programs elsewhere in the United States or abroad may count toward the residency requirement if the student has taken at least 32 units on the Stockton campus at the time of graduation. The school or college from which the student is to graduate may stipulate that the units in residence must include certain specific requirements in the major program and/or a certain minimum of units within the school or department of the major.

### **11.19 Application for Graduation**

Approved by Academic Council on April 26, 2001

An application for graduation filed with the office of the University Registrar is an indication of an intent to graduate at a specific time. It should be filed with the office of the University Registrar in the spring semester by any student expecting to fulfill degree requirements during the next academic year. This allows time for a review of studies completed and to enable the students to enroll for any requirements not yet completed. Certification for actual graduation will be by the adviser and the faculty of the college or school.

Students may graduate at the end of the fall semester, end of the spring semester, or end of the summer sessions, but graduation ceremonies are held only once a year in May. Students who will complete their bachelor degree requirements during the following summer may request by petition to participate in the May commencement ceremonies.

### **11.20 Records and Transcripts**

Approved by Academic Council on April 26, 2001, Provost April 24, 2002

An academic record for each student is maintained in the office of the University Registrar. This official record is considered to be both private and confidential. It is used in the conduct of the student's personal and academic affairs.

Upon written request by the student, an official transcript of his or her academic record is issued to whomever he or she designates provided that all of the student's financial obligations to the University are in order. A service fee per transcript is charged for processing the record.

Official transcripts of credit earned at other institutions which have been presented for admission or evaluation of credit become the property of the University and are not reissued or copied for distribution to other institutions. Copies of transcripts of work completed at other institutions must be obtained from the originating institution.



### **11.21 Class Standing**

Approved by Academic Council on April 26, 2001, Provost April 24, 2002

Undergraduate students will be designated freshmen, sophomores, juniors or seniors by the number of units which have been completed toward graduation as follows:

1 - 27.5 units	Freshman
28 - 55.5 units	Sophomore
56 – 91.5 units	Junior
92 or more units	Senior

### **11.22 General Education Program**

Approved by Academic Council and the Faculty on October 26, 1990.

The Faculty approved a general education with the following components:

1. A core experience consisting of a two semester sequence of freshman Mentor Seminars and a third capstone Mentor Seminar during junior or senior year.
2. Alternative liberal education sequences of courses whose goal is breadth of understanding and a mature command of communication skills.
3. A set of basic skills requirements

The General Education Committee is responsible for the continued development and implementation of the general education program subject to the availability of resources. The General Education Committee in cooperation with the Director of General Education is responsible for overseeing the implementation of the program.

A current statement describing the general education program and its requirements within each college and school can be obtained from the Associate Dean for General Education through the Office of the Dean at the College. Please visit the [General Education Program Webpage](#).

### **11.23 Experiential Learning Program**

Approved by Academic Council on Nov. 11, 1999

The University is committed to making available to every qualified student at least one Experiential Learning Opportunity (ELO) appropriate to the student's program of study.

The rationale behind a policy that guarantees the availability of experiential learning opportunities for all eligible students is based on an assumption that University graduates should be competent for both work and life. Gaining competence involves not only the acquisition of knowledge, but also learning to effectively utilize that knowledge.

Experiential learning opportunities provide potential for learning to occur, and for skills to develop through direct, physical interaction with the environment; appropriate practical experiences help students relate theory to practice, and make connections between education and the world in which they will live and be active. Experiential learning opportunities focus on the contextual aspects of knowledge and learning occurs through induction rather than deduction. Experiential learning is learning by doing, learning by interactions with others, and learning by exposure and immersion.

The nature of experiential learning is such that it requires sufficient time in the learning environment for knowledge and skills to develop and sufficient time to critically evaluate what has been learned. Experiential learning opportunities involve hands-on experience and encourage both reflection and analysis.

1. Policies related to experiential learning are developed by the Experiential Learning Oversight Committee (ELOC) and approved by the Academic Council. These policies include:
2. Guidelines for Experiential Learning Opportunities
3. Procedures to assist units in developing and maintaining ELOs in accord with the Guidelines
4. Policies for compensating faculty for supervising the academic component of every Experiential Learning Opportunity

Information about these policies is available from the Chair of the Experiential Learning Oversight Committee, through the Office of the Provost.

### **11.24 Honor Code**

Approved by the Faculty in 1958; Revised and approved by Academic Council November 7, 2013; revised April 16, 2014; revised September 24, 2014; revised September 10, 2015; revised September 14, 2017

#### **Honor Code**

The Honor Code at the University of the Pacific calls upon each student to exhibit a high degree of maturity, responsibility, and personal integrity. Students are expected to:

- Act honestly in all matters;
- Actively encourage academic integrity;
- Discourage any form of cheating or dishonesty by others;
- Inform the instructor and appropriate university administrator if the student has a reasonable and good faith belief and substantial evidence that a violation of the Honor Code has occurred.

1. Conduct in conflict with the Honor Code includes, but is not limited to:

#### **1.1. Cheating**

Cheating is the willful giving or receiving of an unauthorized or dishonest advantage to/from another. Cheating may be accomplished by any means whatsoever, including, but not limited to, the following: fraud, duress, deception, theft, talking, signs, and gestures.

Attempted cheating is also considered cheating. Examples of cheating include, but are not limited to, the following:

**1.1.1.** Copying graded assignments from another student or giving one's work to be copied or used by another student for credit.

**1.1.2.** Working together on a take-home assignment when not specifically permitted by the instructor.

**1.1.3.** Looking at another student's paper during an examination or allowing a student to look at one's paper or giving answers to another during an examination.

**1.1.4.** Looking at text or notes during an examination when not specifically permitted by the instructor.

**1.1.5.** Doing homework, taking an exam, writing a paper, or doing any other coursework for another student when not specifically permitted by the instructor.

**1.1.6.** Using any technological/communication tool not authorized by the instructor during an exam.

## **1.2. Plagiarism**

Plagiarism involves presenting as one's own, the work, or the opinions of someone else without proper acknowledgement. Plagiarism includes, but is not limited to:

**1.2.1.** Failing to give credit for ideas, statements of facts, or conclusions derived by another author; failure to use quotation marks when quoting directly from another, whether it is a paragraph, a sentence, or part thereof; failure to properly cite the work of another person.

**1.2.2.** Submitting an assignment purchased or obtained from a "research" or term paper service.

**1.2.3.** Submitting an assignment, whole or in part, obtained from an internet resource.

**1.2.4.** Giving a speech or oral presentation written by another and claiming it as one's own work.

## **1.3. Other Academic Dishonesty**

Other forms of academic dishonesty include but are not limited to:

**1.3.1.** Planning with one or more students to commit any form of academic dishonesty.

**1.3.2.** Having another student take one's examination or do one's computer data or lab experiment.

**1.3.3.** Lying to an instructor or providing any misrepresentation of information, in order to receive any academic advantage or accommodation.

**1.3.4.** Submitting papers or speeches for credit that are substantially the same in two or more classes without prior written approval of the instructors involved.

**1.3.5.** Removing tests from the classroom without approval of the instructor, or misappropriating any portion of a test, either physically or electronically.

**1.3.6.** Altering answers on a scored test or any graded work and submitting it for a higher grade without explicitly articulating the alterations made.

#### **1.4. Honor Code Jurisdiction & Sanctioning**

**1.4.1.** The faculty and the office of Student Conduct and Community Standard has jurisdiction over Honor Code violations committed by all Pacific undergraduate students, including Pacific students attending study abroad programs. Instructors should refer all suspected Honor Code violations to the Office of Student Conduct and Community Standards for adjudication and sanctioning.

**1.4.2.** Instructors may impose academic penalties (e.g., failing grade for the exam, assignment, or course) based on penalties described in the Honor Code statement of the course syllabus. Additional sanctions may be imposed by the Office of Student Conduct and Community Standards and outlined in *Tiger Lore Student Handbook*.

**1.4.3.** A student found responsible for a violation of the Honor Code resulting in suspension or dismissal from the University will receive a grade determined by the instructor of the course in which the violation occurred and be withdrawn from all other courses.

**1.4.4.** A sanction of suspension or dismissal will appear on the student's transcript.

#### **Approval Process**

Changes to this policy may be proposed by the Director of Student Conduct and Community Standards or members of the Faculty. Proposed changes should be submitted to the Academic Affairs Committee on Undergraduate Studies. If approved by the Academic Affairs Committee on Undergraduate Studies, the proposed changes will be forwarded to the Academic Council.

## **11.25 Policy on Computer Security for Students** Approved by Vice President for Student Life and ASUOP.

For the purposes of this policy, a student is defined as any person enrolled, auditing, or visiting any class, laboratory, or life-long learning center.

Students at the University of the Pacific have access to computer resources in many places across the three campuses. Some students are issued computers as part of their lab equipment and are used regularly in their studies. Many of the computers at the University are networked to share common resources such as servers, software, databases and the Internet. These policies define acceptable behavior expected of the University's students with regard to computer use.

### **11.25.1 Compliance**

Compliance with this policy is mandatory. It is the responsibility of each student to understand his/her role and responsibilities regarding information security issues, and to protect the University's information assets.

### **11.25.2 Enforcement**

Failure to comply with these policies may result in disciplinary action against the student as defined in the Pacific Guide, and/or charges may be brought against the student. The University reserves the right to deny any student access to computer resources without prior notice if the student violates this policy.

### **11.25.3 Information Security Policy**

Students are issued a unique User identifier (UserID) when they register for accessing their electronic mail (e-mail) account. A password is issued at the same time as the UserID. This password is used to authenticate the student when he/she signs onto the e-mail system. Students must create passwords that cannot be easily guessed. Under normal circumstances, a student's password should not be shared with anyone. Passwords should be considered confidential information, and must be changed periodically to help prevent someone from gaining unauthorized access to the student's account.

Information created or used by students in the normal course of academic studies must be protected from unauthorized access and use. Students must access only those systems and data to which they are specifically authorized, and only for the authorized purposes of that access.

While the University attempts to keep all student created files stored on its systems private, its ability to do so is limited. Students are advised to avoid using University systems to store highly sensitive information.

### **11.25.4 Physical Security Policy**

The University may issue some students a portable computer. It is the responsibility of the student to take all reasonable and prudent measures to protect the computer from theft or damage. Students will be held financially liable for missing computers and for damage to computers beyond ordinary wear and tear. A few protective measures include but are not limited to:

Keep the computer locked up when not in use. Portable computers are small, lightweight and tend to disappear when left unattended. Students must take all precautions against theft.

If traveling with the computer, never check the computer in baggage. Always carry the computer on board the aircraft, train or whatever means of transportation is being used.

Do not leave the computer out in plain sight in an unattended automobile. Theft of portable computers from automobiles is very common and the likelihood of recovery is slim. Always lock the computer in trunk or otherwise hide from view.

### **11.25.5 Internet and Network Security**

Students are expected to comply with all California, federal, and other laws, as well as the University of the Pacific's policies and guidelines with regard to computer usage. The University views abuse of computer facilities and usage as a serious offense which will be adjudicated as specified in Pacific Guide - under Judicial System page 18 through 21.

Students should not use University computer resources for personal gain or commercial purposes. Also, students must not engage in any activity that interferes with another student's use of the University's computer systems, or in any way impedes or restricts access of a University employee's use of, or access to, University computer resources.

Students should also be aware that their use of the University computing resources may be monitored. Although the University does not normally or routinely monitor individual use of the computers or the network, certain computing processes require backup of data and/or communications. The University may monitor, and/or interrupt network activity if one or more of the following occurs:

1. The student has made confidential information publicly available by posting in a chat room, public bulletin board or web site.
2. The University deems it necessary to protect the security and/or integrity of the network, its data, or other resources or to protect the University from some liability.
3. The University believes an account may be involved in illegal activity or activity that is in violation of this policy.
4. A User account is using excessive computer/network resources.
5. Knowingly performing an act, which will interfere with the normal operation of computers, terminals, peripheral, or networks.

The use of the Internet can be a valuable tool in conducting research, communication with family and friends, etc. However, there is a significant risk to the student as well as the University when

using the Internet. Students should use “common sense” when accessing the Internet and follow some basic “etiquette”. The following rules are intended as a guide in the proper use of the Internet and the University's network. It is not intended to be an all-inclusive list.

1. Students should access only the systems to which they have explicit authority. In other words, students must not attempt to “hack” into other systems, either over the Internet or University-owned systems.
2. Do not attempt to speak on behalf of the University or use University trademarks, logos, etc. without official permission from the University communications office.
3. Students should not attempt to sign onto a University system as someone else or attempt to guess someone else's password.
4. When accessing the Internet or school systems, students should never represent themselves as someone else (spoofing).
5. Students should not send sensitive data across the Internet. The Internet is basically an insecure environment and should be treated as such.
6. Students should refrain from participating in e-mail chain letters
7. Students should not download or upload information whose content could cause the University legal ramifications or negatively reflect on the reputation of the University - including material with derogatory racial, sexual, or religious statements, materials with offensive language, graphics, or images, or other material that is prohibited by law.
8. Using electronic mail to harass others.

### **11.26 Student Academic Grievance Policy and Procedures**

Approved by Academic Council on May 21, 1970; Revised October 14, 2004; Revised November 10, 2011; Revised February 14, 2013

#### **Informal Grievance Process for Academic Matters**

Prior to submitting a formal grievance, the student shall:

1. Consult the instructor whose action is being appealed. This consultation generally must take place within 14 calendar days of the start of classes after the grading period in question. The instructor is expected to meet with the student and respond to his/her grievance in writing within 10 calendar days.
2. If the student and the instructor are unable to reach agreement, or if the instructor is unwilling or unable to meet with the student, the student shall meet with the chair of the instructor's department. If the instructor involved is the Department Chair or if there is no Department Chair, the student shall meet with the appropriate Assistant or Associate Dean of the school involved. The Department Chair/Assistant or Associate Dean will meet with the student and with the instructor and recommend a solution to both the instructor and the student in writing within 10 calendar days.

#### **Formal Grievance Process for Academic Matters**

1. If the student and instructor are still unable to reach agreement, the student may file a grievance with the Office of Student Conduct and Community Standards (Student Conduct) generally within the 42 calendar days (6 weeks) of the start of classes after the grading period in question.
2. The Office of Student Conduct shall immediately notify a Student and Faculty Advocate. The Student and Faculty Advocates will meet with the aggrieved student within 14 calendar days (2 weeks) and advise the student in the preparation of evidence necessary to support his/her complaints.
3. Once a grievance has been forwarded, the Student Academic Grievance Board shall be convened to conduct a hearing within 21 calendar days (3 weeks). The Office of Student Conduct shall postpone the Student Academic Grievance Board Hearing in the event that the student is currently a party to an academic dishonesty case. The Board shall review all evidence, including the course syllabus, grading policy, exams, homework assignments, papers and other appropriate documents. Hearings are closed to all but the parties to the complaint, any witnesses, and the Student and Faculty Advocates. The student may be advised by the Student and Faculty Advocates during the hearing, but the Advocates may not testify. The Board will deliberate in executive session.
4. The decision of the Board is final, and the Board has the authority to change a grade or determine a remedy if it deems such action necessary. The decision will be provided in writing to the student, the instructor, the Student and Faculty Advocates, the Dean of the school or college involved, and, when a grade is changed, the University Registrar who shall amend the student's transcript. All written copies of the complaint, evidence, and decision, and the content of the hearings will be treated as confidential and will not be released other than as mentioned above.

All timelines for this process are suggested and may be extended for just cause.

### **11.27 Student Handbook**

Approved by Vice President for Student Life

The Office of the Vice President for Student Life publishes a student handbook containing a statement of policies and procedures affecting student life at the University of the Pacific on the Stockton Campus. Copies of this handbook are available from the Office for Student Life. The annual bulletin of the University of the Pacific contains information about academic regulations, tuition and fees, and other matters of importance to students and faculty.

### **11.28 Summer Sessions**

Approved by Academic Council on April 26, 2001, and Provost; revised by Academic Council on September 14, 2017 and the Provost on August 28, 2018

Overall administration of Summer Sessions is determined by the following units: College of the Pacific, Conservatory of Music, Eberhardt School of Business, the Benerd School of Education,



the School of Engineering and Computer Science, and the McGeorge School of Law. In addition, the Vice Provost for Undergraduate Education and College/schools strive to see that courses in these units are available for students from the Thomas J. Long School of Pharmacy and Health Sciences. For planning and policy matters, the Vice Provost for Undergraduate Education consults with Deans from the Colleges/schools.

### **11.28.1 Contact Hours in Relation to Hours of Credit and Scheduling**

Summer courses will be scheduled to allow the same number of student contact hours per unit as are required during the academic year: 15 hours per (semester) unit of credit. Details of time scheduling, maximum student course loads and other specific information are found in the Summer Sessions Policy Guidelines recommended by the Summer Sessions Advisory Board and approved through the Office of Summer Sessions.

### **11.28.2 Allocation of Courses**

Each school or college will determine the number of units of credit it will offer and the internal distribution of units across disciplines based on enrollment, cost, revenue, marketing data and recommendations provided by the Office of Summer Sessions and the Summer Sessions Advisory Board. Each dean will work to ensure that course offerings address the needs and interests of students while addressing minimum course enrollment issues.

All decisions regarding number of units offered, extra courses, contingency courses, and outside-funded courses are subject to review and approval by the Office of Summer Sessions and the Provost.

### **11.28.3 Approval of Courses**

Most courses taught during the summer should be identical to those which are offered during the regular year. No special approval is required to offer these courses. The faculty must submit descriptions of special topics or new courses which they propose to teach through their chairperson, where appropriate, and then to the dean of their school or college. The dean shall employ the same curriculum review procedures used during the regular academic year to determine the appropriateness of courses and their academic acceptability.

### **11.28.4 Personnel and Salary Policies**

(edit note - NOT Approved by Academic Council, April 26, 2001)

A full teaching load per instructor will average about a unit per week up to seven units in a five week session and four units in a four week session. No faculty member may teach more than a full load or be paid for more without the specific approval of the dean of the unit and the Assistant/Associate Provost. Administrators with twelve-month appointments may not receive additional compensation for summer session work without the approval of the Provost. Summer Session salaries per credit by academic rank will be approved by the Provost and the Vice President for Finance upon the recommendation of the Summer Sessions Advisory Board.

Approved salaries for the current year will be included in the Summer Sessions Policy Guidelines. A faculty member will receive the salary indicated on his/her contract with the following exceptions: Courses with less than the minimum enrollment by the third day are subject to cancellation. The faculty member will not receive compensation for the canceled course unless an appropriate alternative assignment is available and approved by the dean of the college or school and the Assistant/Associate Provost. With the approval of the Assistant/Associate Provost, faculty salaries will be prorated for the course approved to be taught with less than minimum enrollments.

Independent Study instructors' salaries will be determined by the above process. Enrollment for thesis, dissertation, or research credit is not to be construed as Independent Study and does not produce additional salary for the instructor.

Neither a faculty member who is already teaching a full load nor an administrator on a twelve-month contract may receive compensation for Independent Study, nor may the total salary of any combination of course teaching or Independent Study exceed full course load compensation without the specific approval of the Office of Summer Sessions and the Provost.

### **11.28.5 Independent Study**

All Independent Study must be described fully in a contract signed by the student and the instructor, approved by the dean of the instructor's school or college, and given to the University Registrar with the registration forms. A student on academic probation may not register for Independent Study.

### **11.28.6 Incompletes**

An instructor may assign an Incomplete for a course or an Independent Study only after a contract has been drawn up between the student and the instructor for the completion of the work. All Incompletes incurred in the summer sessions must be completed by January 1 following the summer session. For details on procedures and deadlines for Incomplete grades, see 11.14.1.

## **11.29 Policy for Online and Blended/Hybrid Courses and Programs**

### **11.29.1 Definitions of Courses**

Courses are classified by the following delivery modes:

- Traditional course: A course that is delivered primarily with face-to-face instruction, i.e. where teaching activities occur in real time and in the same location. A learning management system may be used to post the syllabus and assignments and web-based instructional tools may be used to supplement learning, but scheduled class sessions are not normally replaced with web-enhanced learning. The percentage of course instruction delivered online is 0 - 33% in traditional courses.
- Blended/Hybrid course: A course where content is delivered with both face-to-face instruction and online instruction, i.e. where teaching activities occur using the internet to

enable access at off-campus locations and can occur either synchronously or asynchronously. A substantial portion of the content is web-enhanced learning, typically using a learning management system or other tool that supports regular and substantive interaction between students and faculty. The percentage of course content delivered online is 34 - 79% in blended/hybrid courses.

- Online: A course where most or all of the content is delivered online, typically with no face-to-face instruction. The web-enhanced learning typically takes place using a learning management system to support regular and substantive interaction between students and faculty, and can include synchronous and/or asynchronous components. The percentage of course content delivered online is 80 - 100% in online courses.

### **11.29.2 Definitions of Online and Blended/Hybrid Programs**

Online and Blended/Hybrid programs are defined as follows:

- Fully Online program: A program where 0% of the units require face-to-face instruction.
- Online program: A program where up to 20% of the units require face-to-face instruction. These will include a combination of online and blended/hybrid courses, but no traditional courses.
- Blended/Hybrid program: A program where at least 51% of the units require face-to-face instruction. These will include a combination of online, blended/hybrid courses, and/or traditional courses.

### **11.29.3 Policy for Online and Blended/Hybrid Courses**

#### **11.29.3a. Online and Blended/Hybrid Course Approval**

All online and blended/hybrid undergraduate courses must be approved by the Academic Affairs Committee on Undergraduate Studies and the appropriate curriculum committee of the school or college through which the course is offered. Previously approved traditional courses being transitioned to online or blended/hybrid must be approved in the new delivery mode by the Academic Affairs Committee on Undergraduate Studies and the appropriate curriculum committee of the school or college through which the course is offered.

#### **11.29.3b. Adherence to Credit Hour Policy**

For every credit awarded, online and blended/hybrid courses are required to ensure the equivalent of one hour of regular and substantive interaction between faculty-students and students-students, plus two hours of out of class work, as a per-week average over a 15-week semester (following the Carnegie definition). Each course will include sufficient interactive tools and course design elements that allow faculty and students interactive opportunities that equal or exceed the interaction found in a traditional classroom setting. Faculty must document calculations for interactive and out of class work, and keep these records, as directed by their academic unit.

#### **11.29.3c. Attendance and Identity Verification**

All syllabi for online and blended/hybrid courses must include an attendance policy that informs students that to earn full course credit, students are required to regularly and substantively participate in course activities and meet deadlines. Syllabi must also include a link to the University of the Pacific Code of Student Responsibility and any academic unit-specific policies. Faculty must adopt a method or methods for evaluating a student's regular and substantive in course activities and meeting deadlines. These methods may include, but are not limited to, monitoring students to ensure they access the course platform during the first week and at regular intervals, requiring students to complete earlier material before accessing later material, and sending students timely notices for failure to attend or participate adequately. To demonstrate substantive participation specifically at the first week of the course, students must complete an assignment or assessment.

Online and blended/hybrid courses must utilize an identity verification method, to establish that each registered student is the same student who participates in and completes the course and receives the academic credit. Academic units must employ at least one of the following methods: (1) a secure log-in and pass code, (2) proctored examinations, or (3) new or other technologies or practices that are effective in verifying student identity.

#### **11.29.3d. Accessibility for All Students**

Pacific is committed to providing equal educational opportunities for qualified persons with disabilities in a manner consistent with the University's obligations under law. This commitment and obligation applies not just to the Office of Services for Students with Disabilities (SSD) but to all faculty members as well. Traditional course offered with face-to-face instruction may be presented in an accessible format through the use of interpreters, transcription services, note taker services, and other assistive technologies. The wide range of technologies used in blended/hybrid or online courses, however, can either significantly ease or hinder the goal of creating courses that are universally accessible to all students. Faculty teaching courses offered in a blended/hybrid or online format must consider accessibility for all students from the design phase onward. Training resources shall be provided by the university to inform faculty on best practices for common online content such as video, audio, document files, images, synchronous webcasts, lecture capture, and other technologies.

#### **11.29.3e. Student Rights and Responsibilities**

Students enrolled in online and blended/hybrid course will have the same rights (access to advising, grievances, and all other academic rights) and have the same responsibilities expected of all students.

#### **11.29.3f. Copyright Compliance**

Faculty members are responsible for ensuring that the materials included in all courses, whether traditional, blended/hybrid, or online, comply with copyright law. This verification and compliance checking shall be done by the academic unit during the course development, approval process, and periodic curriculum review. Training resources shall be provided by the university to inform faculty on best practices.

### **11.29.3g Course Development, Workload, and Intellectual Property**

Ownership of materials, faculty compensation, copyright issues and the use of revenue derived from the creation and production of blended/hybrid and online courses, including software, or other media products shall be in accordance with the Intellectual Property Policy (Section 9.6.1 and 9.6.1a of the Faculty Handbook). The Policy defines “course” to include “any on-site or distance-learning course, a course delivered synchronously or asynchronously by traditional or electronic means, and courseware that is a combination thereof.” Under the Policy, the University retains rights to Institutional Works and faculty retain rights they may hold to their Academic Works. For blended/hybrid and online courses, video and audio recordings produced with Significant University Resources shall be considered Institutional Works, but faculty shall retain any rights they may hold to the underlying content and the ideas of their disciplines that they have contributed to those video and audio recordings.

Academic units shall adopt a workload policy that accounts for the time investment for course development of online or hybrid/blended courses and for the regular and substantive interaction between faculty and students in course delivery.

Online course development requires a significant time investment that may exceed the time needed to prepare a traditional course. In developing a workload policy, academic units shall consider industry best practices such as compensation of faculty through release of course time, stipends, and similar approaches.

Teaching an online or hybrid course requires a weekly investment of faculty time that is at least equivalent to teaching a traditional course. For online teaching faculty, academic units should consider teaching an online course to be at least the equivalent of teaching a traditional course of similar class size, and subject to the same faculty workload policies and practices.

### **11.29.3h. Faculty Training**

Faculty training on teaching blended/hybrid or online courses is highly recommended. Academic units may determine whether training within their unit is mandatory.

An online training certification course can be completed through the university which covers the following topics:

- Selection and design of content, learning activities, and instructional strategies that are appropriate for an online learning environment
- Evaluating an online course for quality and compliance
- Identification of tools and best practices to support compliance in online courses

### **11.29.3i. Compliance Review**

All blended/hybrid and online courses must be reviewed for all compliance issues before they are offered. The compliance review can be performed by a university designee or by an experienced reviewer of online courses designated by the academic unit.

## **11.29.4 New Online Programs**

Programs in which 50% or more of the units are delivered online must be approved by WSCUC.

## **Chapter 12. Academic Policies & Procedures For Graduate and First Professional Students**

Approved by Graduate Studies Committee on October 18, 2001, Academic Council on April 25, 2002, Provost on April 24, 2002

This section describes academic policies and procedures specific to graduate students. Where a specific policy does not exist for a graduate-student-only issue, the appropriate undergraduate policy applies. These policies apply for students in M.S., M.A., M.M., M.Ed., Ed.S., Ed.D. and Ph.D. programs on the Stockton campus. Graduate programs on the San Francisco at the School of Dentistry and McGeorge School of Law are administered by the deans and faculty of the respective schools. Policies for students enrolled in first-professional doctorate programs (i.e., Pharm.D., J.D., and D.D.S.) are developed and maintained by the schools of Thomas J. Long School of Pharmacy and Health Sciences, McGeorge School of Law, and the School of Dentistry. (See Sections 12.18 -12.20).

### **12.1 Graduate Admissions Policy**

The Academic Affairs Committee on Graduate Studies (AACG) reviews and recommends admissions policy for graduate programs to the Academic Council for approval. Current policies are on file in the Graduate School.

### **12.2 Programs of Study**

Every graduate student must file with the Graduate School, a Program of Study designed by the student's advisor, graduate committee and/or program director (and dean of the school or college, where appropriate) that constitutes the courses required to earn the degree from the program to which the student was admitted. Graduate program directors or department chairs are responsible for submitting approved Programs of Study to the Graduate School no later than the end of the first semester of enrollment for master's students. Doctoral programs of study are submitted in accordance with timelines established for the program.

Only courses that are on an approved Program of Study and have been completed with grade of "C" or better will count toward a graduate degree. Changes in the Program of Study must be approved by the student's advisor, graduate committee chair and/or the program director or department chair (and unit dean, where appropriate), with final approval by Dean of Research and Graduate Studies.

#### **12.2.1 Credit-by-Examination for Graduate Courses**

A graduate student in good standing, or a student who has been accepted into one of University of Pacific's graduate programs, may request, or be offered, to take an exam in order to receive "Credit by Examination" (CbE) for one or more courses offered by a graduate program.

Departments have the right to designate which of their courses are appropriate for CbE. This policy is subject to the following restrictions.

1. A student may request CbE for a course covering material in which, through independent study, work experience, or work at another institution which was not accepted for transfer credit, the student feels prepared. It is the responsibility of the student to explain how the material was mastered.
2. Students wishing to pursue CbE should not expect preparation support (tutoring, office hours, etc.) beyond a statement of the scope of topic coverage and expectations for passing the exam(s).
3. A student wishing CbE for a course may not attend the class meetings of the course.
4. A student may not receive CbE in the semester in which the student intends to receive his or her graduate degree.
5. A student cannot receive CbE for a course which they have previously taken or audited.
6. A student may not get CbE for a course in a structured sequence if the student has received credit for a higher level course in the sequence.
7. A maximum of 9 units total may be earned by a student via CbE and/or transfer credit.

A student wishing to pursue the credit by examination option must:

1. complete the appropriate form from the office of the University Registrar;
2. obtain approval from his or her adviser, the instructor offering the course, and the dean of the school or college offering the course;
3. pay the scheduled service fee.

Successful completion of the examination will be recorded on the transcript with a grade of Pass and will be made a part of the student's academic record. This will occur in the semester in which the exam is taken, or in a subsequent semester as directed by the student's graduate program, especially in the case where a candidate takes the exam before being a full-time graduate student.

Pending credit for having successfully passed the exam, can be used as justification for prerequisite overrides for courses which require the course to which CbE was earned. Appropriate tuition fees will be assessed.



### **12.3 Course Syllabus**

Revised by Academic Council on October 10, 2013 and approved by the Provost on October 23, 2013.

For each graduate course, a syllabus approved by the AACG should be made available to students. This syllabus constitutes an agreement between the student and the instructor. The course syllabus must include the following:

1. Course subject code, course number and course name, number of units, and course locations(s)
2. Course instructor(s) information (office location, office hours, contact information)
3. Course description (consistent with catalog copy)
4. Course learning objectives/outcomes
5. List of major assignments and examinations
6. Other student responsibilities, if applicable
7. Clear statement of attendance policies
8. Clear statement of grading policies and determination of final grade
9. Statement on Americans with Disability Act (ADA) accommodations
10. Honor code statement (description of violations and procedures for handling violations)
11. Assessment statement (retention of copies of student work for assessment purposes)
12. List of anticipated course topics or course schedule
13. List of program learning outcomes and university-wide learning objectives met by course

To be consistent with practice, we highly encourage graduate faculty to utilize the [Graduate Course Syllabus Template](#).

### **12.4 Availability to Students**

Graduate instructors are expected to establish methods to communicate with students. Instructors are expected to post preferred ways of communication, a schedule of classes each semester, and the rooms in which they meet. Instructors who are also advisors are expected to provide adequate office hours or other means of contact to meet advisees' needs.

## 12.5 Grading Policies

### 12.5.1 Letter grades

Approved by AACG on December 2000

Graduate students receive letter grades as follows:

A	Exemplary - Exemplary achievement of course objectives clearly and significantly above the requirements.
B	Satisfactory - Satisfactory achievement of the course objectives. Adequate performance on stated requirements.
C	Marginal - Minimal achievement of course objectives.
D	Unsatisfactory
F	Failing
	To be counted toward an approved Program of Study, courses that receive a letter grade of C- or lower must be repeated.

The use of a plus/minus letter grade scale is at the discretion of the instructor in charge of the graduate course.

Other letter grades include:

- “I”: Incomplete work from extenuating circumstances that prevent completion of the work assigned. This is a temporary grade that automatically reverts to a grade of "F" after six months. Petitions to extend incomplete grades beyond this time must be approved by the Graduate School office.
- “P”: Passing work for a course completed on a pass/fail basis.
- “N”: Deferred grading for thesis, dissertation or research work, for courses numbered 297, 299, 397, and 399. Advisors change this grade upon the successful completion of the thesis or dissertation defense by submitting the Thesis Grade form with the Graduate School.

### 12.5.2 Grade Point calculations

Grade point averages (GPAs) are calculated on the following point equivalents: A, 4.0; A-, 3.7; B+, 3.3; B, 3.0; B-, 2.7; C+, 2.3; C, 2.0; C-, 1.7; D+, 1.3; D, 1.0; F, 0.0.

### 12.5.3. Repeating of Courses and Grade Replacement Policy

Only courses with grades of “C-“ or lower can be repeated. Once a course is completed with a grade of C or higher, the graduate student cannot repeat that course or any prerequisites for the

course. When a course is repeated, grades from both the original and repeated attempts appear in the official records and transcripts. Contrary to the undergraduate policy, all attempts of a course will be used to calculate the GPA.

#### **12.5.4 Credit for Dated Courses**

Only graduate courses completed in the previous six years may be applied toward the advancement to candidacy. Individuals who are advanced to candidacy must complete degree requirements within four years of advancing to candidacy. Students can ask for a waiver of these time limits by written petition of the major department or program of the graduate degree. The department chair or director of the graduate degree program informs the Graduate School of any old coursework that should remain on the approved Program of Study.

#### **12.5.5 Independent Study Courses**

Independent study courses (those numbered 191, 291, and 391) require the completion of a written contract that specifies the nature of the work to be undertaken and the method of evaluation. Forms for Graduate Independent Study Contracts can be obtained from the Research and Graduate Studies office and most program directors. Contracts must be approved by the instructor for the independent study course, the student's advisor, and the Dean of Research and Graduate Studies.

#### **12.5.6 Grades of Incomplete (I)**

A grade of incomplete can be awarded to provide additional time to complete course requirements when extenuating circumstances merit the extension. This is a temporary grade that automatically reverts to a grade of "F" after six months. Petitions to extend incomplete grades beyond this time must be approved by the Dean of Research and Graduate Studies.

#### **12.5.7 Undergraduate Courses on Graduate Programs of Study**

Graduate students must receive a letter grade in any undergraduate course that is part of the approved Program of Study. Exceptions to this policy are to be requested in writing by the student's advisor and approved by the Dean of Research and Graduate Studies.

#### **12.5.8 Pass/No Credit**

Letter grades are to be used in graduate courses listed on a student's Program of Study. Written requests to use pass/no credit grading systems must be approved in writing by department chairs, program directors, and the Dean of Research and Graduate Studies.

#### **12.5.9 Research, thesis, and dissertation credits**

Graduate students must be registered for at least one dissertation or thesis credit during the final semester when the graduate degree is granted. The total number of research, thesis, or

dissertation credits required for the degree is dependent upon the degree program as specified in the approved Program of Study.

## **12.6 Registration Policies**

### **12.6.1 Graduate Student Status**

- **Full Status:** Individuals who are admitted into the Graduate School without conditions receive full academic status. Only students with full status are admitted to degree candidacy.
- **Provisional Status:** Individuals are occasionally admitted with provisional status, particularly if an applicant's academic record is marginally substandard but shows strong potential for graduate study. Students with provisional status must be advanced to full status before being eligible for degree candidacy.
- **Credential Status:** Individuals who are admitted to post-baccalaureate work to earn an initial teaching credential, specialist instruction credential, or services credential have credential status. Credential status does not make an individual eligible for a graduate degree.
- **Unclassified Status:** Individuals wishing to earn graduate credits for appropriate courses, but not work toward an advanced degree have unclassified status. Up to 12 units can be earned as an unclassified student. Only 12 units of coursework can be transferred into a degree program if the student subsequently is admitted into a graduate degree program. Non-resident alien students are not eligible for unclassified status. Individuals cannot take first professional courses with unclassified status.

### **12.6.2 Degree Candidacy**

Students admitted into the Graduate School are considered candidates for the degree as follows:

- **Master's Degree:** Successful completion of 12 units with a cumulative GPA of 3.0 or better.
- **Doctoral Degree:** Successful completion of approved candidacy requirements as defined by the degree program (e.g., Qualifying Scholarly Activities or Preliminary Examinations). Doctoral degree program directors are responsible for written requests of advancement to candidacy when requirements are met, and final approval is a responsibility of the Dean of Research and Graduate Studies.

### **12.6.3 Full time definition**

A graduate student is considered to be full-time student when registered for 9 or more units (IPEDS definition). A student is considered part-time when registered for less than this minimum.

### **12.6.4 Course loads for graduate students**

Ordinarily a full-time course load is 12 units for a master's degree student and 9 units for a doctoral student. Normally, the maximum course load is 16 units for master's students and 12 units for doctoral students. Exceptions are to be requested in writing by the student's advisor and approved by the Dean of Research and Graduate Studies prior to enrollment for the semester.

### **12.6.5 Course loads of study for students with assistantships or other service appointments**

Students with teaching or research assistantships or other service appointments may carry a maximum of 9 units and a minimum of 6 units per semester to be considered in full time graduate study. Advanced students with full-time service appointments may enroll for fewer than the minimum number of units, and still be considered full-time.

Students holding service appointments less than full-time will have maximum and minimum unit loads set by their graduate committees and in accordance with the practice described above and approved by the Dean of Research and Graduate Studies. Exceptions to these maximum and minimum course loads for students with service appointments must be requested in writing by graduate advisors and approved by the Dean of Research and Graduate Studies prior to enrollment for the semester.

### **12.6.6 Application of courses toward a degree**

- A course can be applied toward only one degree objective, unless an exception is approved in writing by the Academic Affairs Committee on Graduate Studies and the Dean of Research and Graduate Studies.
- Only graduate degree courses (numbered 200 or higher) or, where allowable, advanced undergraduate courses (100 level) may be used for credit in a graduate degree programs.
- The following courses do not apply for credit toward a graduate degree, but do count in a course load determination and calculation of the cumulative grade point averages:
  1. lower-division undergraduate courses (numbered 0-99 at Pacific)
  2. extension courses
  3. English competency courses for international students.

### **12.6.7 Changes of majors or degree objectives**

Changes in a student's major or degree objective must be approved in writing by the student's advisor or graduate committee chair and the program director or department chair (and unit dean, where appropriate) of the proposed new major. The Dean of Research and Graduate Studies grants final approval.

### **12.6.8 Transfer credit policies**

Up to 6 semester credits (or equivalent) can be transferred from another institution and applied toward a graduate degree program at the University of the Pacific. The student's Program of Study must clearly indicate what courses have been accepted by the graduate committee for transfer, with final approval by the Dean of Research and Graduate Studies.

### **12.6.9 Unclassified students**

Students are permitted to complete a maximum of 12 credit hours while having an unclassified status. Only 12 credit hours that were completed while holding an unclassified status at Pacific can be applied toward a degree program.

### **12.6.10 Continuing registration students**

Students on Continuing Registration, which are those enrolled in good standing in a degree program, but not registered for degree-credit coursework, will be considered half time for purposes of "progress toward degree" as required by some student loan and other agencies. Students who are on Continuing Registration, but working full-time on their thesis or dissertation may petition for full-time status to the Graduate School if approved and documented by the advisor.

Continuing Registration (CR) students will be charged a CR fee of \$25 for the first semester, and each consecutive semester fee doubles, to a maximum of \$400 per semester. If coursework is completed in a regular school term or in a summer session, the fee returns to \$25 for the next semester. Students who do not pay the CR fee are considered to have withdrawn from the program and must complete the reinstatement process to be eligible to continue in the degree program or receive a graduate degree.

### **12.6.11 Independent study courses**

Independent study courses (those numbered 191, 291, and 391) require the completion of a written contract that specifies the nature of the work to be undertaken and the method of evaluation. Forms for Graduate Independent Study Contracts are available from the Research and Graduate Studies office.

## **12.6.12 Graduate level courses**

Only courses numbered 100 and higher can be applied toward a graduate degree. Advanced undergraduate/professional courses (numbered 100 to 199) are applicable to graduate degrees if part of an approved Program of Study. Graduate level courses (numbered 200 and higher) are reserved for students who have been admitted into the Graduate School unless approval has been granted in writing in advance of registration. Such permissions must include written approvals of the student's advisor, the student's School or College Dean, and the Dean of Research and Graduate Studies. Doctoral courses, numbered 300 and higher, are reserved for those students formally admitted into a doctoral (Ph.D. or Ed.D.) degree program.

## **12.7 Assistantships**

### **12.7.1 Eligibility for assistantship awards**

Students who are in good academic standing (not on probation) are eligible to receive financial aid in the form of a graduate, teaching, or research assistantship. Individual degree programs are responsible for the recommendation of the award of assistantships, with final approval from the Dean of Research and Graduate Studies. Students who earn a semester GPA of less than a 3.0 may renew or continue an assistantship in subsequent semesters only if their cumulative GPA is more than 3.0. Graduate students on probation (see 10.3.7.b.) are ineligible to hold an assistantship.

### **12.7.2 Termination of assistantships**

Students who resign or are terminated from an assistantship will forgo any additional stipend payments and will lose the tuition remission for the current award period. Tuition for the courses in which the students are registered will be billed to the student's account.

## **12.8 Academic Standing**

### **12.8.1 Good Academic Standing**

All master's and doctoral degree students are expected to make satisfactory progress toward the specific degree to which they were admitted.

Students who conform to the following guidelines are considered in good academic standing:

1. For degree students, an cumulative grade point average (GPA) of 3.0 or higher in all courses listed on the approved Program of Study and in all courses taken as a graduate student

2. Students in a credential-only (non-degree) program must maintain a cumulative GPA of 2.5 and have a cumulative average GPA of 2.5 or higher to clear their credential. Students in a basic teacher education credential-only program who wish to do directed teaching in an internship must maintain a 3.0 GPA.

### **12.8.2 Academic Probation and Disqualification**

An enrolled graduate student who has a cumulative GPA lower than 3.0 will be placed on academic probation for the next semester. Students on academic probation who fail to raise their cumulative GPA to 3.0 at the end of the probationary semester will be subject to academic disqualification from the Graduate School. Students receiving more than one grade of C+ or lower will be reviewed by the department and the Graduate School and will be subject to academic disqualification from the Graduate School. Students on academic probation are ineligible to receive financial aid in the form of a teaching, graduate, or research assistant. A student's advisor may submit a written request for a one-semester waiver of ineligibility, to be approved by the department chair or program director and by the Dean of Research and Graduate Studies.

### **12.8.3 Dismissal**

Students may be dismissed from the Graduate School for just cause, as described in current academic and student policies. Dismissed students are ineligible to receive a graduate degree (M.A., M.S., Ed.S., Ed.D., or Ph.D.).

### **12.8.4 Appeal**

Students who have been disqualified or dismissed from a graduate program for any cause can appeal with a written petition to the Academic Affairs Committee on Graduate Studies. Questions and appeals should be directed to the Committee through the Office of Research and Graduate Studies.

## **12.9 Satisfactory Progress**

Students enrolled in advanced degree programs are expected to make satisfactory progress toward completing their degree program by making satisfactory advancement in completing the required research, qualifying examinations, thesis or dissertation, and other University or departmental requirements. Advisors and program directors are responsible for informing students of unsatisfactory progress. Advisors may request dismissal of students who do not meet expectations after students have been given adequate opportunity to improve. Dismissal from the Graduate School is determined by the Dean of Research and Graduate Studies.



### **12.10 Leaves of Absence**

A formal leave of absence will be granted by the Dean of the Graduate School only to those in military service or for those needing medical leave. Continuing Registration fees are waived.

### **12.11 Withdrawals**

An official withdrawal is granted to students who complete the withdrawal petition and submit it to the Registrar's Office. Students who leave without filing a petition will jeopardize prospects for receiving a refund and may incur academic penalties. Petitions approved after deadline dates will be subject to a clerical service fee. The date when the petition is filed with the Registrar is the effective date for financial and academic considerations.

### **12.12 Reinstatement**

Students in good academic standing who withdraw from a program may be reinstated by the Dean of Research and Graduate Studies within twelve months of the official withdrawal date. The student must request reinstatement in writing, which must be accompanied with a \$50 reinstatement application fee and appropriate documentation. Reinstatement is contingent upon the approval of the original degree program and the Dean of Research and Graduate Studies. Upon reinstatement, a new Program of Study must be submitted to the Graduate School by the new advisor, with explicit indication of what previous courses will count toward the degree.

### **12.13 Course Audits**

Graduate courses may be audited only by students admitted to the Graduate School who have the approval of the student's advisor and of the instructor and dean (or designate) of the academic department where the course is offered. Audits are not available for courses in first-professional programs, unless by written permission of the program's dean. Students auditing a course must pay an audit fee and any special fees associated with the course. Audited courses cannot be retroactively converted to course credit unless officially changed to credit before the "Add Classes" deadline of the semester.

### **12.14 Thesis and Dissertations**

Many master's degree programs and all doctoral programs in the Graduate School require the completion of a thesis (master's degrees) or dissertation (doctoral degrees). All theses and dissertations submitted as partial fulfillment of an advanced degree are subject to University-wide guidelines, which are described in the Thesis and Dissertation Guidelines, available in the Research and Graduate Studies (RGS) office. Information regarding submission deadlines and other requirements is available from the RGS office.

### **12.15 Period of Residence**

The period of residence shall involve students in a total commitment to their graduate program. The determination of the amount of part-time employment permissible during academic residence is the responsibility of the student's department or school.

### **12.16 Posthumous Degrees**

Degrees can be awarded posthumously if all but a minor portion of the degree requirements have been fulfilled and there is reasonable expectation that the degree requirements would have been completed. Posthumous degrees are to be approved by the Provost, based on recommendation(s) from the student's advisor, department chair, school/college dean and Dean of the Graduate School (if appropriate).

### **12.17 Graduate Credit as an Undergraduate**

Revised by Academic Council on October 10, 2013 and approved by the Provost on October 23, 2013.

Undergraduate students meeting all the following requirements may petition to the Dean of Research and Graduate Studies to open a graduate transcript (i.e., to receive credit in graduate-level courses toward a graduate degree):

1. The student is within 9 units of completing the bachelor's degree,
2. The student is in the last two semesters of the bachelor's degree,
3. An *Evaluation of Degree Requirements* form has been submitted by the student's academic advisor to the Registrar's Office prior to the last day to add classes,
4. The student has been accepted into a graduate or credential program AND receives approval of the [\*Application to Receive Graduate Credit as an Undergraduate Student\*](#) by the Dean of Research and Graduate Studies before the last day to add classes of the last semester as an undergraduate.

Graduate credit can be received under the following guidelines:

1. The total number of graduate credits for the semester, including coursework taken at other schools, cannot exceed the maximum graduate course load for the department providing the graduate coursework.
2. The tuition rate for the entire semester is at the undergraduate rate.
3. Graduate credit will only be granted for upper division (100 numbered) courses and above.
4. Units cannot be retroactively transferred from an undergraduate transcript to a graduate program. Approvals for graduate credit must be obtained prior to the last day to add classes of the student's last semester.
5. Coursework will not count toward graduate credit if the student fails to complete the bachelor's degree by the second semester of taking graduate credit.

6. Graduate courses completed under this agreement will not be recorded by the Registrar as graduate coursework until the baccalaureate degree has been completed and matriculation into the graduate program has commenced. Grades from these courses will not be accounted in the undergraduate grade point average, unless the bachelor's degree is not completed.
7. No more than 12 units (16 units for student teachers), no matter when they are earned, can be transferred from an "Unclassified" transcript to a graduate degree program transcript.
8. Students who do not complete the bachelor's degree by the second semester when graduate courses are taken will not be admitted into the Graduate School and cannot take additional graduate coursework until the bachelor's degree has been awarded.
9. Students bear the responsibility of assuring graduate credits earned as an undergraduate student will transfer to or be counted as post baccalaureate units by other universities or school districts.
10. Students are not classified as graduate students until they register for courses and complete a term that begins after receiving the bachelor's degree.

## **12.18 Graduate School Grievance Policy**

### Introduction

This document describes the grievance procedures available to students of the University of the Pacific who are enrolled in graduate-level degree programs and post-doctoral scholars. These procedures do not apply to students of the McGeorge School of Law, the School of Dentistry, or of the Doctor of Pharmacy degree program in the Thomas J. Long School of Pharmacy and Health Sciences.

These procedures are intended to address issues that arise from, are related to, or have direct impact on the academic activities of the student, such as assignment and evaluation of academic work in the course of attempting to fulfill the requirements of a particular course or degree. These procedures are intended to afford students and the University an opportunity to resolve grievances in an equitable manner.

### Definition of a Grievance

Any graduate student or post-doctoral scholar who believes that he or she has been subjected to an improper decision on an academic matter is entitled to file a grievance.

A grievance is a complaint in writing filed with the Dean of Graduate Studies concerning a decision, made by a person or group of persons acting in an official University capacity, that directly and adversely affects the student or postdoctoral fellow as an individual in his or her academic capacity. A grievance does not properly challenge dissatisfaction with a University policy of general application on the grounds that the policy is unfair or inadvisable, nor should a grievance challenge individual school, department, or program academic policies, as long as those policies are not in contravention of general University policy.

A grievance regarding an academic matter usually falls into one of three general categories:

1. Those that derive from application of or decisions that are affected by a University policy, which may apply to students in addition to University graduate students. Examples are grades and attendance.
2. Those that derive from matters addressed by policies of the Office of Research and Graduate Studies which apply specifically to graduate students.
3. Those that derive from matters addressed by policies, procedures or practices of a department or comparable University administrative unit.

NOTE: If a graduate student believes that behavior in violation of the University's Policy against Sexual and Other Unlawful Harassment has occurred, the student should notify, in writing if possible, either the Director of Human Resources of the University or the Dean of Graduate Studies. Additionally, there are grievance procedures to resolve alleged acts of discrimination outlined in the University's policy statement on Prohibited Discrimination. Any person having a complaint of violation of this policy statement should contact the Director of Human Resources. The University's Policy against Sexual and Other Unlawful Harassment is annually distributed to each graduate student and is available in the Department of Human Resources.

#### Right to Participate in Grievances without Retaliation

No graduate student, graduate student's representative, or other member of the University community who assists or participates in these procedures shall be subject to adverse action by the University, based on their activity in good faith in the course of filing or participating in the grievance procedure.

#### Time Limits to File a Grievance

It is the responsibility of the grieving graduate student to initiate any grievance within 60 days of the end of the academic term in which notice to the student of the adverse decision occurred, or when the decision should reasonably have been discovered. A delay in filing a grievance may constitute grounds for denial of the grievance in consideration of the matter as a whole by the University.

#### Informal Resolution Efforts Prior to Filing a Grievance

It is preferable that before a grievance is filed, a problem be resolved on an informal basis (that is, without the filing of a grievance). Candid and informal discussions are recommended between the aggrieved graduate student and the instructor, major professor, graduate committee, department chair, or graduate program director.

The level at which the informal discussion begins will depend upon the nature of the complaint. A course grade complaint must start with the instructor involved. Informal resolution of a problem dealing with research expectations, qualifying exams, or work assignments, should start

with the major professor (or academic advisor) and should include discussion with the student's graduate committee where such a committee has been formed.

Resolution of a complaint regarding departmental policy must be initiated with the department chair with the individual at the next administrative level, for example, the chair or director of the relevant department or program. Where possible, resolution by informal efforts should be confirmed in writing signed by a department chair or above.

#### Step 1 – Initiation of a Grievance by Filing with the Dean of Graduate Studies

A grievance is initiated by filing a concise written statement, identifying the specific actions complained of, the persons responsible for such actions, the harm to the grievant, and the information that the grievant believes is relevant to the grievance. The statement should also include a description of the remedy sought and the informal efforts taken to date to resolve the matter. The grievance shall be filed with the Office of the Dean of Graduate Studies.

The Dean of Graduate Studies will determine the appropriate method by which the grievance will be resolved. The Dean will proceed in one of the following ways:

1. resolve the matter by written determination of the Dean, which may but need not be preceded by the Dean's conferring with the grievant, faculty member(s) and/or other individuals;
- or
2. refer the matter to other University resources for preliminary fact gathering (for example, where the matter concerns an issue addressed by the University's Policy Against Sexual and Other Unlawful Harassment), following which the Dean will resolve the matter by written determination.

The Dean's determination will be based on the following issues:

1. Were the proper facts and criteria relied upon in reaching the decision being grieved?
2. Were improper or irrelevant facts or criteria relied upon in reaching the decision being grieved? If so, was there any significant adverse effect upon the grievant?
3. Were there any procedural irregularities that substantially affected the outcome of the matters, with significant adverse effect upon the grievant?
4. If proper facts, criteria, and procedures were utilized, was the decision one that a person in the position of the decision-maker might reasonably have made?

Normally, no more than 60 days should elapse between the filing of a grievance and the determination of the Dean. The determination of the Dean shall be considered final and binding, unless timely written notice of appeal is filed with the Dean within 20 days of issuance of the determination of the Dean, with a copy to the Office of the Provost. If an appeal is filed, the grievance resolution continues with Step 2.

## Step 2 – Appeal of Resolution by the Dean of Graduate Studies

If an appeal is filed as described above, the Graduate Dean requests that the Chair of the AACG convene within 30 calendar days, a graduate student grievance advisory panel (“panel”). The panel will consist of two full-time Pacific faculty members and a graduate student enrolled at Pacific, none of which are interested parties based on prior involvement with the matters or persons involved. For good cause shown to the Chair, the grievant may timely request replacement of a panel member, including the replacement of the student member of the panel with another impartial faculty member if the grievant feels a student member is inappropriate for the circumstances. The panel will gather information in a manner that it determines appropriate to achieve an informed recommendation to the Dean. The same issues listed for the Dean’s determination in

Step 1 will be the basis for the panel’s recommendation. The panel can either confirm the original grievance resolution from Dean of Graduate Studies, or recommend an alternative. The AACG Chair and Dean of Graduate Studies shall review the recommendations of the panel and promptly thereafter issue a written determination to the grievant. The determination of the appeal will be considered final and binding unless an appeal is filed with the Office of the Provost within 20 days after receiving the final determination of the grievance. If an appeal is filed, the grievance continues with Step 3.

## Step 3 – Final Appeal to the Office of the Provost

An appeal of the determination in Step 2 is initiated by filing a concise written statement of appeal, identifying the specific grounds for appeal. The statement of appeal should identify grounds upon which the grievant believes that the determination failed to conform to University policy.

The Provost may determine the appeal, or the Provost may delegate to an assistant or associate provost the determination of the appeal. In either event, the determination of the appeal shall be final and binding on the grievant. Normally no more than 45 days should elapse between the filing of the appeal and its determination. The determination of appeal will resolve the issue whether resolution of the grievance did or did not conform to University policy.

### **12.19 Policies and Procedures for Students in the Doctor of Pharmacy Program**

The student and academic policies in effect for the Pharm.D. program can be found in the Office of Student and Professional Affairs, Thomas J. Long School of Pharmacy and Health Sciences.

### **12.20 Policies and Procedures for students at the School of Dentistry**

The student and academic policies in effect at the School of Dentistry can be found in the School’s Operations Manual and current School of Dentistry catalogue, which can be obtained from Office of Academic Affairs, School of Dentistry.

## **12.21 Policies and Procedures for students at McGeorge School of Law**

The student and academic policies in effect at McGeorge School of Law can be obtained in the Office of the Associate Dean for Academic Affairs, McGeorge School of Law.

## **12.22 Policy for Online and Blended/Hybrid Courses and Programs**

### **12.22.1 Definitions of Courses**

Courses are classified by the following delivery modes:

- **Traditional course:** A Course that is delivered primarily with face-to-face instruction, i.e. where teaching activities occur in real time and in the same location. A learning management system may be used to post the syllabus and assignments and web-based instructional tools may be used to supplement learning, but scheduled class sessions are not normally replaced with web-enhanced learning. The percentage of course instruction delivered online is 0-33% in traditional courses.
- **Blended/Hybrid course:** A course where content is delivered with both face-to-face instruction and online instruction, i.e. where teaching activities occur using the internet to enable access at off-campus locations and can occur either synchronously or asynchronously. A substantial portion of the content is web-enhanced learning, typically using a learning management system or other tool that supports regular and substantive interaction between students and faculty. The percentage of course content delivered online is 34-79% in blended/hybrid courses.
- **Online:** A course where most or all of the content is delivered online, typically with no face-to-face instruction. The web-enhanced learning typically takes place using a learning management system to support regular and substantive interaction between students and faculty, and can include synchronous and/or asynchronous components. The percentage of course content delivered online is 80-100% in online courses.

### **12.22.2 Definitions of Online and Blended/Hybrid Programs**

Online and Blended/Hybrid Programs are defined as follows:

- **Fully Online program:** A program where 0% of the units require face-face instruction.
- **Online program:** A program where up to 20% of the units require face-toface instruction. These will include a combination of online and blended/hybrid courses, but no traditional courses.
- **Blended/Hybrid program:** A program where at least 51% of the units require face-to-face instruction. These will include a combination of online, blended/hybrid courses, and/or traditional courses.

### **12.22.3 Policy for Online and Blended/Hybrid Courses**

#### **12.22.3a Online and Blended/Hybrid Course Approval**

All online and blended/hybrid graduate courses must be approved by the Academic Affairs Committee on Graduate Studies and the appropriate curriculum committee of the school or college through which the course is offered. Previously approved traditional courses being transitioned to online or blended/hybrid must be approved in the new delivery mode by the

Academic Affairs Committee on Graduate Studies and the appropriate curriculum committee of the school or college through which the course is offered.

### **12.22.3b Adherence to Credit Hour Policy**

For every credit awarded, online and blended/hybrid courses are required to ensure the equivalent of one hour of regular and substantive interaction between faculty-students and students-students, plus two hours of out of class work, as a per-week average over a 15-week semester (following the Carnegie definition). Each course will include sufficient interactive tools and course design elements that allow faculty and students interactive opportunities that equal or exceed the interaction found in a traditional classroom setting. Faculty must document calculations for interactive and out of class work, and keep these records, as directed by their academic unit.

### **12.22.3c. Attendance and Identity Verification**

All syllabi for online and blended/hybrid courses must include an attendance policy that informs students that to earn full course credit, students are required to regularly and substantively participate in course activities and meet deadlines. Syllabi must also include a link to the University of the Pacific Code of Student Responsibility and any academic unit-specific policies. Faculty must adopt a method or methods for evaluating a student's regular and substantive in course activities and meeting deadlines. These methods may include, but are not limited to, monitoring students to ensure they access the course platform during the first week and at regular intervals, requiring students to complete earlier material before accessing later material, and sending students timely notices for failure to attend or participate adequately. To demonstrate substantive participation specifically at the first week of the course, students must complete an assignment or assessment.

Online and blended/hybrid courses must utilize an identity verification method, to establish that each registered student is the same student who participates in and completes the course and receives the academic credit. Academic units must employ at least one of the following methods: (1) a secure log-in and pass code, (2) proctored examinations, or (3) new or other technologies or practices that are effective in verifying student identity.

### **12.22.3d. Accessibility for All Students**

Pacific is committed to providing equal educational opportunities for qualified persons with disabilities in a manner consistent with the University's obligations under law. This commitment and obligation applies not just to the Office of Services for Students with Disabilities (SSD) but to all faculty members as well. Traditional course offered with face-to-face instruction may be presented in an accessible format through the use of interpreters, transcription services, note taker services, and other assistive technologies. The wide range of technologies used in blended/hybrid or online courses, however, can either significantly ease or hinder the goal of creating courses that are universally accessible to all students. Faculty teaching courses offered in a blended/hybrid or online format must consider accessibility for all students from the design phase onward. Training resources shall be provided by the university to inform faculty on best practices for common online content such as video, audio, document files, images, synchronous webcasts, lecture capture, and other technologies.



### **12.22.3e. Student Rights and Responsibilities**

Students enrolled in online and blended/hybrid course will have the same rights (access to advising, grievances, and all other academic rights) and have the same responsibilities expected of all students.

### **12.22.3f Copyright Compliance**

Faculty members are responsible for ensuring that the materials included in all courses, whether traditional, blended/hybrid, or online, comply with copyright law. This verification and compliance checking shall be done by the academic unit during the course development, approval process, and periodic curriculum review. Training resources shall be provided by the university to inform faculty on best practices.

### **12.22.3g Course Development, Workload, and Intellectual Property**

Ownership of materials, faculty compensation, copyright issues and the use of revenue derived from the creation and production of blended/hybrid and online courses, including software, or other media products shall be in accordance with the Intellectual Property Policy (Section 9.6.1 and 9.6.1a of the Faculty Handbook). The Policy defines “course” to include “any on-site or distance-learning course, a course delivered synchronously or asynchronously by traditional or electronic means, and courseware that is a combination thereof.” Under the Policy, the University retains rights to Institutional Works and faculty retain rights they may hold to their Academic Works. For blended/hybrid and online courses, video and audio recordings produced with Significant University Resources shall be considered Institutional Works, but faculty shall retain any rights they may hold to the underlying content and the ideas of their disciplines that they have contributed to those video and audio recordings.

Academic units shall adopt a workload policy that accounts for the time investment for course development of online or hybrid/blended courses and for the regular and substantive interaction between faculty and students in course delivery.

Online course development requires a significant time investment that may exceed the time needed to prepare a traditional course. In developing a workload policy, academic units shall consider industry best practices such as compensation of faculty through release of course time, stipends, and similar approaches.

Teaching an online or hybrid course requires a weekly investment of faculty time that is at least equivalent to teaching a traditional course. For online teaching faculty, academic units should consider teaching an online course to be at least the equivalent of teaching a traditional course of similar class size, and subject to the same faculty workload policies and practices.

### **12.22.3h Faculty Training**

Faculty training on teaching blended/hybrid or online courses is highly recommended. Academic units may determine whether training within their unit is mandatory.

An online training certification course can be completed through the university which covers the following topics:

- Selection and design of content, learning activities, and instructional strategies that are appropriate for an online learning environment
- Evaluating an online course for quality and compliance
- Identification of tools and best practices to support compliance in online courses

#### **12.22.3i. Compliance Review**

All blended/hybrid and online courses must be reviewed for all compliance issues before they are offered. The compliance review can be performed by a university designee or by an experienced reviewer of online courses designated by the academic unit.

#### **12.22.4 New Online Programs**

Programs in which 50% or more of the units are delivered online must be approved by WSCUC.