

Section Six

Faculty Personnel Policies and Procedures

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I. Appointments and Rank

A. Appointments

1. A tenure appointment for continuous service may be made to a faculty member in the rank of Associate Professor or Professor in the initial appointment, or to a faculty member in either of the foregoing ranks after a probationary period. The appointment of a faculty member to the rank of Associate Professor or Professor which is made as a promotion from Assistant Professor or Associate Professor shall normally be a tenure appointment. A tenure appointment is not given in the rank of Instructor or Assistant Professor.
2. A non-tenure appointment will be for a stated term.
 - a. A regular-term appointment is a full-time tenure-track appointment and is probationary in nature. Such an appointment may be made in any rank for not less than one year nor for more than three years. Normally, only an individual who has attained a Ph.D. or equivalent degree will be appointed to a tenure-track position. If the College elects to appoint to a position which has been designated tenure-track an individual who has not attained the Ph.D. or equivalent degree, the initial contract will promise employment only until the end of the academic year in which the degree is to be attained. Employment at the College will not be extended beyond that academic year unless the degree is completed as specified in the original contract. An extensive review of the quality and direction of the individual's performance will be conducted prior to promotion and/or reappointment to a subsequent probationary term as an assistant professor. No succession of regular-term appointments may be made for a longer combined period than seven years.
 - b. A temporary-term appointment is a non-tenure track appointment. All temporary term appointments are for specified lengths of time, as described in the letter of appointment. The number of faculty who may hold a full-time, temporary term appointment for more than seven consecutive years, or for more than six years in any ten-year period may not exceed ten percent of the number of tenure-track positions at Macalester.

B. Rank

1. Adjunct Faculty
 - a. Appointments at this rank are non-tenure eligible. To be appointed as an Adjunct faculty member, the individual must normally have taught at least one course at Macalester in each of six consecutive years, with some allowance made for previous teaching experience.
 - b. Adjunct faculty will be given the title of Adjunct Professor.
 - c. Members of the Adjunct Faculty are retained to teach courses for which there is a demand or need to sustain a particular program, but not enough demand or need

to justify adding a new tenure-track position in the department or program in which they teach. They are expected to be excellent classroom teachers and accomplished in their discipline.

Adjunct Faculty may expect to be considered for a contract whenever the College has need for someone to teach a course for which they are qualified and before any new visiting faculty would be hired in the department. Adjunct Faculty will not be issued multi-year contracts.

- d. The usual FTE for Adjunct Faculty is less than or equal to .67 FTE. To maintain status, each Adjunct faculty member must receive a positive periodic review. Such periodic reviews will be conducted every three years by the Department Chair and Provost.
 - e. Temporary-term, non-tenure-track faculty who wish to continue to teach full time after six consecutive years must apply for status as Senior Lecturer during their sixth year of teaching. Full-time, non-tenure track faculty who apply for and are denied Senior Lecturer status will receive at most a one-year, nonrenewable contract. Faculty members who currently have the title of “Adjunct Professor” will have the option to retain that title or change it to “Senior Lecturer”, subject in both cases to periodic review.
2. Visiting Faculty
- a. Appointments to this rank are non-tenure eligible and for a specified period.
 - b. Titles for Visiting Faculty will be determined by the Provost in consultation with the faculty member. Consideration will be given to the title most recently held by the faculty member. All titles will be preceded by Visiting.
 - c. Visiting Faculty may be faculty in the early stages of becoming Adjunct Faculty. More often they will be people hired for one or more semesters to fill in for leaves in a department. Sometimes they will be distinguished visitors brought to the campus for their experience, their contacts, or the visibility they bring to the College. Visiting Faculty may be offered multi-year contracts, if their period of service is expected to be more than one year.
 - d. Visiting Faculty appointments may be full-time or part-time. Visiting Faculty teaching full-time are paid on an academic year basis and may have some expectations of service beyond teaching. Part-time Visiting Faculty are paid on a per-course basis and have no service expectations.
3. Instructor

Appointments at the rank of Instructor will normally be reserved for those faculty who have yet to complete the Ph.D. (or equivalent) degree. For instructors who have been recruited to a tenure track position, appointments to this rank are for one year and are renewable only under extraordinary circumstances. Upon completion of the Ph.D. (or equivalent), a faculty member holding the rank of Instructor will automatically be appointed to the rank of Assistant Professor in the following

academic year.

4. Assistant Professor

- a. Normally appointment to this rank requires completion of a Ph.D. (or equivalent), evidence of teaching effectiveness, and evidence of intellectual promise.
- b. Initial appointments to this rank are for a specified probationary period, normally not to exceed three years. Individuals will be reappointed to an additional probationary period following a positive pre-tenure review.

5. Associate Professor

- a. A College faculty member holding an appointment at the rank of Assistant Professor will be appointed to the rank of Associate Professor at the beginning of the academic year following the awarding of tenure.
- b. A faculty member initially appointed to the College at the rank of Associate Professor may hold this rank without tenure for a specific probationary period, not to exceed three years, as described in the letter of appointment.

6. Professor

- a. A faculty member holding an appointment at the rank of Associate Professor will be appointed to the rank of Professor at the beginning of the academic year following a successful application for promotion.
- b. A faculty member initially appointed to the College at the rank of Professor may hold this rank without tenure for a specific probationary period, not to exceed three years, as described in the letter of appointment.

7. Emeritus Status

A member of the faculty who has held a tenured appointment at the College for at least ten years will upon retirement automatically be granted Emeritus status.

II. Policies and Procedures Governing Initial Faculty Appointments

A. Affirmative Action

Macalester College is an equal opportunity/ affirmative action employer and is committed to providing equal access to its programs, facilities, and employment opportunities without regard to age, race, sex, national origin, religion, marital status, sexual orientation or disability.

It shall be the duty of the Provost, as the chief academic officer of the College, to implement Macalester's commitment to multiculturalism and diversity as described in the Mission Statement of the College through the following actions:

- administer and disseminate the Macalester College Affirmative Action Policy Statement for Faculty Hiring (Section 12.11 of the Employee Handbook)
- appoint, in consultation with the Educational Policy and Governance Committee, a Faculty Affirmative Action Officer who shall

- appoint, in consultation with the Provost, a Faculty Affirmative Action Committee, one of whose members shall serve on each tenure-track search committee and help design and implement active strategies of advertising and recruitment.
 - serve as the representative of the Affirmative Action committee on the Allocations Committee.
 - disseminate, in consultation with the Associate Provost, available statistics on women and on women and men of African American, Asian or Pacific Islander, Latina/o and Hispanic, and Native American descent, as defined by Federal agencies, in the various academic disciplines.
 - develop, in consultation with the Provost, guidelines to be used by search committees.
 - be available as consultant to all search committees.
 - advise the Provost on matters of equal opportunity and affirmative action in hiring of tenure-track faculty.
 - report, in consultation with the Provost, early in the fall semester to department chairs and to the Allocations Committee the extent to which affirmative action procedures were effective the previous year and outlining objectives for the year to come.
- ensure that the College's multicultural and curricular goals are considered in the earliest stages of the position allocation process.
 - work with search committees on how positions shall be described in the advertising.
 - require that search committees, before they meet with the Provost to determine finalists, submit a satisfactory affirmative action report to the Provost showing steps they have taken to follow the hiring guidelines as defined in Sections 6.I.A.2.a and 12.11 of the Employee Handbook and submit a short list and files of six candidates, including information about their gender and ancestry, as defined by Federal agencies.

B. Procedures for Initial Faculty Appointments

1. Tenure-track Faculty Appointments and Search Procedures

- a. In consultation with the department chair and the Educational Policy and Governance Committee, an academic rank, and time-frame for the search will be determined by the Provost. In developing the job description, the department chair and the Provost will consult with at least the chair of each department whose subject matter relates to the position being filled. At that time the departments should provide a written rationale for how the description has been crafted in a manner most likely to attract women and minority candidates. The Affirmative Action Officer in consultation with the Provost will review and approve the job description and rationale before the search process is initiated.

Similarly, the department should provide a second rationale for how the new hire will best meet the needs of the College-wide curriculum, especially in terms of the College's commitments to academic excellence, multiculturalism, internationalism, and service. The Educational Policy and Governance Committee

will review and approve the job description and the second rationale in this regard before the search begins.

- b. Advertisements will be placed in appropriate national and international publications, with the Provost's office taking comprehensive advertisements in the Chronicle of Higher Education and other publications such as Black Issues in Higher Education and Hispanic Outlook that might be effective in helping to recruit diverse application pools. Appropriate additional means of publicizing the position will be employed as well. The final affirmative action report will specify how the search committee assured publicity to a wide and diverse pool of potential candidates.
- c. The Provost will assemble a search committee and appoint a chair, normally the chair of the department. It will consist of the following persons:
 1. All full-time continuing faculty members in the department, and the coordinator(s) of any related departments or interdisciplinary programs.
 2. Two department majors.
 3. Two faculty chosen from outside the department or program, including a representative from the Affirmative Action Committee selected by the Affirmative Action Officer in consultation with the department chair.
 4. If both a female and a person from a minority background are not represented among the faculty or student membership of the search committee, the Provost will appoint such persons.
 5. Faculty members who are participating in the Macalester Senior Faculty Employment Option (MSFEO) will normally be invited to participate as non-voting members of the search committee. If a department has fewer than three full-time continuing faculty members, the Provost may in consultation with the department ask faculty on MSFEO to participate as voting members of a search committee.
- d. The search committee will consult with the Affirmative Action Committee representative at the outset of the search for the purpose of insuring that qualified female and minority group candidates are identified and considered.
- e. The search committee will meet with the Provost to come to a consensus decision on the final candidates (normally three) who will be invited to campus for interviews. Departments with either no women or no members of any of the minority groups specified above on tenure track will normally be allowed to bring in four candidates. All candidates must be fully qualified. If the program or department has no women and/or minority group members on tenure track, then it is expected that at least two candidates must be women and/or members of any of the minority groups specified above. The Provost will determine if any department authorized to search is in a division whose faculty on tenure track contain a manifest imbalance regarding either women or members of the minority groups specified above, when compared to national pools. Any department in a division so designated will also normally be allowed to bring in four candidates, provided that at least two candidates, in addition to being fully qualified, would

help correct that imbalance.

- f. While on campus, the candidates will be interviewed by members of the search committee, other students, and the Provost.
- g. The Provost may consult with the Faculty Personnel Committee regarding the relative merits of the finalists and thereafter with the President before offering a contract to one of them. The candidate hired will be the one who best fulfills the criteria for the position and advances the mission of the college. In cases of initial appointments to the rank of Associate Professor or Professor, the Provost will determine the timing of the tenure review process. The Provost and the Faculty Personnel Committee will determine the contents of the tenure file before an offer is made and accepted.
- h. Within sixty days after a contract has been offered and accepted, the chair of the search committee will provide both the Provost and Affirmative Action Officer a final copy of the approved Affirmative Action Report plus an appendix, cosigned by the Affirmative Action Committee representative on the search committee, that analyzes the EEO/AA success of the search, mentions any problems in the process, and includes recommendations for improving future searches.
- i. The contract offered to a new full-time tenure-track faculty member will specify the conditions of service and indicate whether the appointment is with tenure or a probationary term. Probationary periods, for those faculty who have not been previously tenured elsewhere, may include credit for up to three years of previous full-time service at the rank of Assistant Professor or higher at another institution of higher learning provided an agreement between the concerned individual and the College on this matter is specified in the initial contract. Should the appointment include credit for such prior service, documentation of the quality of previous performance will be required in any subsequent tenure or pre-tenure reappointment reviews.
- j. It is important that all proposals for tenure-track hires that do not require national searches be dealt with in accord with the same procedures. These procedures must ensure that department proposals receive serious consideration and that candidates receive a fair and thorough evaluation. Detailed information on how to conduct such a search is outlined in a document entitled "[Procedures for Tenure Track Appointments Without a National Search](#)", available in the Office of the Provost. Department Chairs should consult this document before initiating a request.

2. Visiting Faculty Appointments

Procedures for appointing Visiting Faculty will be agreed on by the department chair and the Provost.

3. Adjunct Faculty Appointments

- a. To become an Adjunct Professor, a faculty member, normally in his or her sixth year of a temporary-term appointment, will be evaluated as a joint effort of the Provost and the tenured faculty of the appropriate departments and/or programs.

- b. The review will be conducted following the process below:
 1. The department chair, in consultation with the candidate and members of the department, will prepare a file and submit it to the Provost. The candidate will be furnished with a copy of the chair's recommendation to the Provost. The file must include student evaluations solicited by the Associate Provost using the same method of solicitation as for candidates being reviewed for tenure or promotion.
 - a. CV, initial letter of appointment, all annual personnel addenda, all chair's evaluations and current recommendation;
 - b. Confidential letters of recommendations from department colleagues;
 - c. Evidence of professional activity and growth, which must include evidence of accomplishment in teaching and may also include evidence of scholarly achievement and evidence of community service;
 - d. Professional development plan
 2. The Provost will review the file, and inform the candidate and department chair of his/her decision.
 3. Should the Provost's recommendation differ from that of the department, the Provost and Department Chair will discuss the case with the Faculty Personnel Committee, and the parties will attempt to come to an agreement.
 4. The supplementary materials and written recommendations of the department chair, Provost, and (where relevant) Faculty Personnel Committee, will be placed in the candidate's permanent personnel file.

III. Faculty Personnel Files

At the time of initial appointment to the College faculty, a personnel file will be created for every faculty member. This file is to be updated annually and will provide a permanent record of individual service. This file is open to the faculty member (save for Sections 11 and 12), department chair, Faculty Personnel Committee, Provost and President. All faculty personnel files are located in and maintained by the Provost's office.

Files of tenure-track and tenured faculty will be divided by sections and will contain:

1. Current c.v. and professional development plan (PDP)
2. Hiring file, including initial letter of appointment
3. Contracts since appointment
4. Annual addenda
5. Chair evaluations
6. Sabbatical applications and reports
7. Pre-tenure review materials
8. Tenure review materials
9. Promotion materials

10. General correspondence

11. Materials solicited with the knowledge of the faculty member and with the promise of confidentiality

IV. General Review Criteria

An individual's qualifications must be judged as a whole and each person's contributions will be greater in some areas than in others. Individual faculty can serve the College, their students, and their profession in a variety of ways. For pre-tenure reappointment, tenure, and promotion, all three of the criteria below are regarded as important, but it is not always desirable or necessary that they be given equal weight. Exceptional achievement in any one of them deserves recognition and should be regarded seriously in reaching any determination. It is also the case that these criteria are weighted differently during the pre-tenure reappointment, tenure, and promotion decisions (see Section VI).

Rules cannot be substituted for good judgment on the part of persons responsible for appointments, promotions, tenure and salary determinations. However, certain criteria are considered to be of primary importance. These are:

A. Effectiveness in teaching. This will include command of one's subject, skill in communication, and ability to create interest in one's subject and to relate it to other aspects of knowledge. Evidence of excellence in teaching can come from several sources, including student and peer evaluations, as well as a personal statement from the candidate. All major reviews shall include such evidence. Letters solicited by the chair of the Candidate Review Committee from present and former students are also welcome, especially if the students have had several courses from the professor, if the students have additional professional knowledge of the professor's field, or if the students have worked especially closely with the professor (e.g. on independent study projects or honors projects). The faculty member should suggest the names of current and former students who fit this description. We suggest the inclusion of ten to twenty student and alumni responses in major reviews. The importance of student letters is enhanced if students are provided with specific instructions about the kinds of information to be used in evaluating teaching. The Associate Provost's Office will also solicit teaching evaluations from former students at the time of all major personnel reviews. These letters will be requested from currently enrolled former students and former students who have graduated within the past five years. Peer evaluation should also come in many forms. Peer letters are useful when they come from colleagues who have some experience with the professor's teaching such as team teaching, guest-lecturing, attending, or auditing a class offered by the professor, or having taught a course that has the professor's course as prerequisite. Colleagues also can review and evaluate the textbooks, syllabi, examinations, action research and service-learning projects, and course materials of the professor. A colleague may comment on the quality of independent work or program development supervised by the professor. Another form of peer evaluation may be for the department chair to send a portfolio of course materials, program development activities, and the like to a faculty member at another liberal arts college for evaluation. Often the candidate can provide evidence of teaching effectiveness in ways that may not be entirely apparent to students and peers. Under these or other circumstances, one may wish to

supply a statement relating to his or her teaching philosophy, preparation, strategies, results, etc. Among other possibilities, the candidate may also find it important to list the specific steps taken toward the improvement of teaching. See section VI.B for types of evidence which must be included.

- B. Professional competence and intellectual growth, as indicated, e.g., by publication of books and articles and through professional productions, participation in professional organizations, and participation in the intellectual life of the campus.

Macalester College faculty members are expected to be professionally involved in their respective disciplines in appropriate ways and at a level commensurate with that characteristic of other first-rank liberal arts colleges. While the opportunities of Macalester faculty to be in the vanguard of scholarship (particularly in terms of quantity of output) are limited by the absence of graduate students and advanced research facilities, by a heavier teaching load, and by generally greater involvement in the life of the institution and its students than is true of faculty at large universities, it is nevertheless their responsibility to keep up to date on developments in their field and to contribute at a high qualitative level to the scholarly dialogue. Good teaching is the first responsibility of Macalester faculty, and it is generally believed that the best teaching is informed with current knowledge of the discipline and conducted with the enthusiasm of discovery and of dialogue with others whose knowledge is first hand. The dissemination of knowledge follows its creation and may require a great variety of skills, many of which are more valuable to a liberal arts college than those required by research alone; it may even require intellectual breadth and distinction which not every successful researcher has attained. The balance among the kinds of intellectual achievement will vary from person to person on the Macalester faculty. Nevertheless, participation as a peer with one's colleagues across the discipline is essential to the career advancement of virtually every Macalester College faculty member. Effective teaching or community service will not compensate for a total absence of professional contribution.

We do not wish to rank inflexibly kinds of scholarly or intellectual activity in recommending criteria for evaluation to the Faculty Personnel Committee. We are disposed to appreciate intellectual distinction in all its manifestations. We note, however, that an article published in a refereed journal has met the standards of the journal's editorial board and that, while journals vary in quality, there is relatively more qualitative variety among papers delivered at conventions or in public forums. Thus the mere fact that someone has given a paper may be less conclusive proof of intellectual achievement than publication in a journal of distinction. To appropriately evaluate the significance and quality of unrefereed contributions requires the judgment of internal or external peers. This comparison is mentioned only as an example of facts of scholarly life that are known to all scholars and that should be taken into account. In general, we are on the look-out for evidence that an individual faculty member's scholarly work is indeed on a level that will enable it to elevate his or her teaching and, in the best case, enable him or her to teach other professionals in the field as well as Macalester College students.

The suggested list of evidence that follows is by no means all-inclusive or exclusive, nor is it ranked in any particular order of implied importance. In every instance, we are concerned with the quality of the activity and involvement. Evaluation by colleagues and

peers, both external and internal, is appropriate in all cases.

1. Published or Publicly Performed Scholarly and Creative Work
 1. Research papers and review articles published in professional journals
 2. Poetry, short stories, novels
 3. Articles published in popular journals and newspapers
 4. Books written or edited
 5. Chapters in books and articles in anthologies
 6. Translations
 7. Book reviews
 8. Published or performed music
 9. Programs, concerts or dramatic productions
 10. Catalogs or notices of exhibits or commissions of works of art
 11. Publicly disseminated reports from action research and/or service-learning projects
 12. Technical reports from consulting projects
 13. Copies of papers presented at professional meetings and/or abstracts
 14. Proposals and grant requests
 15. Recordings of Performances or Compositions
2. Other Evidence of Professional Activity
 1. Unpublished manuscripts
 2. Titles of public lectures (with information about sponsoring organization, audience, etc.)
 3. Descriptions of radio and television interviews and presentations
 4. Offices, committee memberships, and other activities in professional societies
 5. Professional meetings attended
 6. Consulting activities and commissions
 7. List of reviews prepared for professional journals or publishers
 8. Evidence of involvement in civic and other organizations using professional expertise
3. Evaluating Commentary on the Professional Work of Faculty
 1. Book reviews
 2. Comments by reviewers of manuscripts, action research and/or service learning projects, consulting projects, proposals, and other work
 3. Reviews of compositions, exhibits, performances
 4. Data on frequency of citation of work

5. Evaluation and appraisal of professional work by colleagues and peers--both within and without Macalester
 6. Grants, prizes, awards, commissions, acquisitions of artwork, and citations
 7. Invitations to present, perform, or exhibit work
 8. Self-evaluation and justification of professional work
- C. Service to the College and the wider community, including committee work, student advising, and other collegiate duties, and service to the community. Faculty members can serve the College and the community in a number of ways: on elected and/or appointed committees; as academic advisors; as department chairs, library representatives or admissions liaisons; in alumni and admissions activities; as coordinators or participants in interdisciplinary or other special programs; as formal or informal Macalester representatives; and as participants in the collegial, artistic, and intellectual life of the institution. The quality of that service must be considered in any deliberations regarding salary, tenure, and promotion. The absence of evidence of quality service must also be considered.

Service means not only becoming a member of one or more of the many committees on campus, but taking part in the activities in a significant way. It means contributing not only time, but significant output toward the improvement of conditions on campus. We encourage evaluation of a faculty member's committee service by appropriate committee chairs. Comments on the effectiveness of advising or other institutional service are also appropriate.

We recognize that good citizenship carries the responsibility of civic and social participation beyond the campus, for example in political, religious, cultural, community, or service organizations. Nevertheless, we will not require such participation of a faculty member and will credit it only when the service clearly draws upon the professional expertise of the individual and/or directly benefits Macalester College.

Special attention must be paid to untenured faculty members in regard to service. For these faculty members, development as effective teachers and professional growth often must take precedence when that service to the college and the community would compromise their effectiveness as teachers and scholars. Service to the College and wider community is encouraged; however, the service criteria must not be weighted as heavily as they are in the case of more experienced and established faculty members. The "veterans" have the experience, knowledge, and relative safety of tenure. A position of such advantage demands that they lead.

The evaluation of one's service to the College and the community can take a number of forms, including the following:

1. Evaluation by the department chair, committee chairs and other people in supervisory capacities to the candidate.
2. Statements prepared by College colleagues, professional associates and others in a position to evaluate one's contributions.
3. Self-evaluation which takes into account the appropriateness, the value, and the effect

of one's service to the College and the community.

V. Specific Review Criteria

A. Pre-tenure Reappointment

1. Teaching

The faculty member should be demonstrating effective teaching and advising (as outlined in section IV.A.) and a strong commitment to the learning experiences of Macalester students.

The faculty member should be showing an openness and responsiveness to suggestions and constructive feedback from students and colleagues regarding his/her teaching, mentoring, and advising.

2. Scholarship

By the time of the pre-tenure review, the faculty member should have brought to closure the primary research/scholarship/creative efforts undertaken during graduate school and any post-doctoral position. This closure should be demonstrated through scholarly activities as described in section IV.B.

The faculty member should be demonstrating increasing intellectual originality and independence in his/her scholarship.

3. Service

Prior to pre-tenure reappointment, the faculty member should be devoting most of his/her time and energy to teaching and scholarship. Devoting substantial time to service at this point may impede one's development as a teacher and scholar and is likely not to be in the faculty member's long-term best interest. Nevertheless, it is expected that the faculty member is contributing service at the department level.

B. Tenure

Candidates must demonstrate a level of excellence in the three areas discussed below that is consistent with the college's standing as one of the elite liberal arts colleges in the nation. The following criteria will guide the review process for tenure.

1. Teaching

The faculty member must be recognized by students and colleagues alike as an excellent teacher and advisor, based on the criteria outlined in IV.A.

2. Scholarship

There must be clear evidence that the faculty member has demonstrated intellectual originality and independence in his/her scholarship. Scholarship should be demonstrated as described in section IV.B.

The faculty member must be making high quality contributions to his/her field as

assessed by colleagues.

The faculty member must have demonstrated that s/he can maintain his/her scholarship successfully while teaching at Macalester.

The faculty member must show how his/her scholarly activities have enhanced the learning experience of Macalester students.

The faculty member must have demonstrated a level of interest and commitment to scholarly activities sufficient for the College to expect that the faculty member will sustain these activities throughout his/her tenured appointment at the College.

3. Service

The faculty member must have demonstrated a sustained interest and commitment to service within the College in ways as described in section IV.C.

All candidates for tenure who hold the rank of Assistant Professor at Macalester College will be promoted to the rank of Associate Professor upon a successful tenure review.

C. Promotion to Professor

Promotion requires a demonstrated record of performance in the areas discussed below that is distinguished among College faculty who have already demonstrated the excellence required for tenure. Promotion is not granted on the basis of seniority.

Professors distinguish themselves as productive and respected scholars in their field, as accomplished teachers admired and respected by their students, and as outstanding college citizens who provide vital service to our intellectual community, in ways as described in sections IV.A, IV.B, and IV.C.

In addition, the faculty member must have made sustained leadership contributions. This leadership may be in the form of service to the College, e.g., consistently assuming prominent campus leadership roles. Leadership may also be exhibited through one's contributions to society-at-large when one applies scholarly expertise to pressing societal issues. Or, leadership may be in the context of the individual's scholarly discipline, e.g., demonstrating recognized intellectual leadership in the field, serving on editorial boards and national advisory committees, holding offices in professional societies. Finally, leadership may be demonstrated in the area of teaching, e.g., by being recognized as a leader in education through one's contributions as a textbook writer, or developer of new curricular materials, teaching methods, and/or approaches.

VI. Pre-Tenure Reappointment, Tenure, and Promotion Reviews Procedures

A. Eligibility for Review

Faculty hired on a tenure-track contract are typically reviewed for their pre-tenure reappointment during their third year and reviewed for tenure during their sixth year. This schedule may be modified if the faculty member has served as a faculty member at Macalester or another institution prior to being hired in the tenure-track position. Faculty

are eligible to be promoted to professor five or more years after being promoted to associate professor and/or being granted tenure. This means an individual may be considered for promotion to professor during his/her fifth year as an associate professor and tenured faculty member. If promotion is granted in this case, it would take effect at the beginning of the individual's sixth year post-tenure. Requests for earlier promotion will be considered only under exceptional circumstances, as determined by the Provost and the Faculty Personnel Committee. Faculty who are denied promotion to professor may reapply in the future.

B. Organization of the Review File

Files of candidates requesting review shall contain the following materials:

1. Relevant material from the personnel file to date i.e. current vita, current PDP, final reports of all previous personnel reviews, all annual personnel addenda, all annual chair's evaluations, initial tenure-track appointment letter.
2. Personal statement requesting-review for reappointment, tenure and/or promotion.
3. Consensus recommendation from the Candidate Review Committee.
4. Confidential recommendations from tenured department colleagues and CRC members from other departments
5. Solicited letters of assessment from other Macalester colleagues
6. Confidential peer reviews from individuals solicited by the Provost
7. Copies of reviews, panel comments on grant proposals, client comments from consulting projects, including action research and service learning projects, and other evidence of peer judgment
8. Evidence of scholarly achievement
9. Confidential student letters solicited by the Associate Provost
10. Solicited letters from students
11. Evidence of accomplishment in teaching which may include class observations, course evaluations, and evidence of outcomes from teaching
12. Evidence of campus and community service

C. General Review Procedures

The review process will be conducted in four stages. The first stage is an informational stage where the candidate and the chair of the Candidate Review Committee (normally the department chair) are informed of the procedures to be used in evaluating the candidate's file. The second stage consists of the consensus evaluation of the candidate by a Candidate Review Committee (CRC). In the third stage, the candidate, his/her CRC chair, the Provost, and a representative from the Faculty Personnel Committee (FPC) will meet to hear the candidate's reactions to the consensus letter from the CRC. In the fourth

stage, the FPC, the Provost and President, together will review this evaluation and the candidate's file and make a final decision by consensus. A decision by consensus is one where all members of the review group consent to the final decision. For tenure cases, this decision constitutes a recommendation to the College's Board of Trustees. The specific procedures for the review process are given below.

D. Specific Review Procedures

1. Informational Meeting

An informational meeting will be held, generally in the Spring semester, for candidates coming up for pre-tenure review during the next academic year. A similar meeting will be held for candidates coming up for tenure review. At these meetings, the Provost, the current FPC chair, candidates for review, and the chairs of their CRCs will meet to discuss the review process and the information needed in the candidate's file. Individual informational meetings will be scheduled for faculty requesting promotion to the rank of Professor. These meetings will be attended by the candidate, his or her CRC chair, the current chair of the FPC, and the Provost.

2. Review and Evaluation by a Candidate Review Committee

- a. A Candidate Review Committee (CRC) with a minimum of three members will be established. Normally this committee will consist of all members of the candidate's department who have received tenure at the College. In cases where there are fewer than three tenured members of the candidate's department or where appointments have significant interdisciplinary components, and after consultation with the candidate's chair and the candidate, tenured members from closely related fields may be asked by the Provost to serve on the CRC. Faculty members who are participating in the Macalester Senior Faculty Employment Option (MSFEO) program will normally be invited to participate as non-voting members of the CRC. Under exceptional circumstances (e.g., departments with fewer than three full-time tenured faculty members) the Provost may, with input from the Faculty Personnel Committee, ask faculty on MSFEO to participate as voting members of a review committee. Participation by MSFEO faculty on Candidate Review Committees will be explained by the Provost in a letter to be included in the candidate's review file.
- b. CRC members will read and evaluate the candidate's file. After discussion, the CRC will come to a decision by consensus. A written evaluation and recommendation from the Candidate Review Committee will then be given to the candidate and to the Provost.

3. Candidate Response Meeting

Once the Provost has received and read the consensus letter from the CRC, but before the candidate's file is discussed by the FPC, a meeting will be held with the candidate, the chair of the candidate's review committee, a representative of the FPC and the Provost. The purpose of the meeting will be to confirm that the candidate has read his/her review committee's consensus letter, and ask if s/he has any corrections or additions to make before the letter is discussed further. While information shared at

this meeting may be conveyed orally to the FPC by its representative, candidates are urged to convey any substantial responses, including additions and corrections of fact, directly in writing to the FPC for inclusion in the candidate's file. The meeting will also be open to discussion of any other issues concerning the candidate's role in the department or the College that the candidate wishes to raise.

Following this meeting, the CRC consensus letter, together with the candidate's written response, if any, will be added to the candidate's review file.

4. Review by the Faculty Personnel Committee, Provost, and President
 - a. After the Candidate Response Meeting, the FPC, Provost and President (hereafter termed the "review group") will review and discuss the candidate's file and come to a decision by consensus. Cases involving promotion to the rank of Professor will be reviewed by members of FPC who hold the rank of Professor. For these cases, FPC members who do not hold the rank of Professor will be replaced by a faculty members at the Professor rank who have served on FPC in the past.
 - b. The review group will prepare a description of the candidate's strengths and weaknesses illuminated by the file and the factors that led to the final decision. This decision letter will include an anonymous summary of the confidential peer reviews and will be provided to the candidate and to the chair of the Candidate Review Committee.
 - c. A member of the FPC, a member of the Candidate Review Committee (usually the department chair or program director), and the Provost will meet to review the final decision with all candidates undergoing a pretenure review. The Provost will offer other candidates being reviewed for tenure or promotion the option to meet with an FPC member, a CRC member, (usually the department chair or program director) and the Provost.
 - d. The supplementary materials, the recommendation of the Candidate Review Committee and the review group's decision letter will become a part of the candidate's permanent personnel file.
5. The decision arrived at by the FPC, Provost, and President will be the final decision, although appeals may be forwarded to the Faculty Appeals Committee based on the following process.
 - a. The Appeal Process
 1. Grounds For Appeal. Appeals may be based upon: a) a material violation of the procedures described in Section 6.VI.D. of the Handbook; or b) a violation of the right to academic freedom (collectively "Appealable Matters"). A "material violation of the procedures" is a procedural violation that the Faculty Appeals Committee believes may have had an impact on the final decision. "Academic freedom" refers to the freedom in research and

publications, and in discussion of his or her subject in the classroom, as described in Section 6.VIII.

2. Notice of Intent to Appeal. A candidate must notify the Chair of the Educational Policy and Governance Committee of his or her intent to appeal within two weeks of the date of the letter notifying the candidate of a negative reappointment or promotion decision. At that time, the Chair of EPAG will convene the Faculty Appeals Committee (“FAC”) as outlined in Section II.C.4. of the Faculty By-laws.
 3. Form of Appeal. The appeal must be in writing and must specify the ground(s) for the appeal.
 4. Time Limit. The candidate must file the appeal with the Chair of the FAC within three months of the date the intent to appeal was filed. The date of filing shall be the date of hand-delivery or mailing, whichever occurs first.
 5. Information and Advice. A faculty member considering appeal may seek advice from Macalester faculty members, subject to the following exceptions: the President, the Provost, the sitting members of the Faculty Personnel Committee (“FPC”), and any former member of the FPC party to the decision under appeal. Any faculty member consulted regarding the appeal will be recused from the FAC.
- b. The Appeals Committee Procedures.
1. Role of the FAC Chair. The Chair of the FAC shall call a meeting of the FAC.
 2. Initial Review. The FAC shall conduct an initial review of the appeal to ensure that it is timely and asserts grounds that may be the basis for an appeal. If the appeal is untimely or does not regard an Appealable Matter, the FAC shall recommend to the President that the appeal be dismissed.
 3. Fact Gathering by FAC. If the FAC determines that the appeal is timely and regards an Appealable Matter, it shall gather the information needed, consistent with College policies and procedures, to make its recommendation. The information gathered by the FAC can include documents found within the candidate’s review file, but it is not the role of the FAC to re-evaluate the candidate’s file. It may gather information from the Appellant, his or her Department, the Administration, the

Candidate Review Committee, the FPC, and others as appropriate to conduct a thorough and even-handed review. All persons contacted by the FAC are encouraged to cooperate fully in providing relevant information. Every attempt shall be made to address and resolve tenure and promotion appeals in the most expeditious manner. The faculty appeals committee will not normally meet during the months of January, June, July or August.

4. Right to Personal Presentation of Appeal. Appellants shall have the right to discuss their appeal in person before the FAC. The Appellant may be accompanied by either a Macalester colleague or a non-lawyer representative of the AAUP.
5. Scope of Authority of FAC. The FAC shall have authority only to consider the issues that are stated in the written appeal and are Appealable Matters. The FAC shall not question, or attempt to set or revise, College or Departmental policies or procedures, nor shall the FAC review the substantive decision made by the FPC or Candidate Review Committees on cases under appeal, including the evaluation of the primary factors of effectiveness in teaching, scholarship and service. Rather, the FAC shall solely investigate whether there has been a violation regarding an Appealable Matter as stated in the written appeal.
6. Confidentiality. The deliberations of the FAC are confidential and held in closed session. The FAC shall protect the privacy of the appellant and other parties during hearings and deliberations and thereafter. The FAC shall also protect the privacy of all documents and information produced by the appeals process.

c). Recommendation of the FAC.

After considering the information presented, the FAC may:

1. find that the claim of a material violation of an Appealable Matter is unsubstantiated and recommend that the appeal be denied; or
2. find that the claim has merit. If so, the FAC shall recommend that the case be returned to the level at which it considers a material violation of an Appealable Matter to have occurred, and shall explain the basis for its findings.

The FAC shall forward to the President both the original appeals document, its recommendation, and supporting rationale.

d. Final Decision by the President.

The President shall consider the recommendation of the FAC, and may take any action he/she deems appropriate, including, but not limited to, accepting the recommendation in whole or in part, rejecting the recommendation, investigating the matter, or returning the matter to the FAC for further consideration. The President's decision should, if possible, be made within two weeks of receipt of the recommendation from the FAC.

The President shall: 1) deliver the decision, as well as a copy of the FAC's full report to the appellant; and 2) deliver the decision to the Chair of the FAC, who shall then communicate the decision to the other members of the FAC.

VII. Annual Salary Review Procedures

The Provost will consult annually with the Resources and Planning Committee regarding the general practices and policies of faculty salary distribution.

A. Tenure-track and Tenured Faculty

1. Individual salary is determined basically by rank. There shall be a clear minimum at each level, faithfully observed. The College will seek to avoid any significant overlap in the salary scales of the respective ranks and to assure equitable treatment of all faculty.
2. Assuming the availability of funds, all tenure-track and tenured faculty will receive an across the board salary adjustment.
3. Assuming the availability of funds, all tenure-track and tenured faculty may also receive a merit pay increase. The amount of merit pay increase for any individual faculty member will be determined on the basis of normal professional growth, achievement, and experience in terms of the general criteria indicated as well as on the basis of notable achievements in terms of one or more of these criteria.
4. Faculty promoted to the Associate Professor or Professor ranks may receive an additional adjustment in recognition of their change in rank.
5. Special adjustments shall be made in exceptional cases, but always with due regard to the general criteria and to equity with respect to the entire faculty.
6. Every tenure-track and tenured faculty member will prepare a personnel addendum each year, describing professional activity in the areas of teaching, research/creative activity and service accomplished during the preceding calendar year. He or she will give this addendum to the department chair who will write a brief statement assessing performance during same time period. All untenured,

tenure track faculty members will be given the opportunity to discuss their agenda with the department chair as part of this review process. The chair will provide a copy of this statement to the faculty member and to the Provost.

7. The Provost will review the annual addenda and the statements from the department chairs before making annual salary decisions.
 8. The Provost will consult with department chairs prior to final determination of individual salaries.
 9. The Provost will issue annual letters of continuing appointment for all eligible tenure-track and tenured faculty members. These letters will serve as salary notification letters for the following academic year.
 10. The Provost will prepare a report on salary, tenure decisions, and promotions for distribution to the faculty within one week after appointment letters are sent. The report shall include the following: (1) a list of faculty members promoted; (2) a list of faculty members granted tenure; and (3) a list of salaries in each rank without identification by name or department.
 11. Any faculty member desiring information regarding the basis for his or her salary determination for the next academic year may request this information from the Provost after the faculty member receives his or her letter of continuing appointment. The faculty member may also request a reconsideration of the decision made by the Provost at that time.
 12. A faculty member may appeal decisions on salary to the Faculty Personnel Committee in writing with copies to his or her chair and the Provost. The Faculty Personnel Committee will pass its recommendation to the Provost, with a copy given to the faculty member.
- B. Continuing non-tenure track faculty
1. Assuming the availability of funds, all full-time and part-time continuing non-tenure track faculty (including Adjunct Faculty) will receive an annual across the board salary increase.
 2. Assuming the availability of funds, all faculty participating in the Macalester Senior Faculty Employment Option will receive an annual salary increase equivalent to the average increase for their rank. Such an increase will consist of that year's across the board increase for their rank, plus that year's average merit increase.
 3. The Provost will issue annual letters of appointment for all continuing non-tenure track faculty. These letters will serve as salary notification letters for the following academic year.
- C. Faculty Salary Audit

It shall be the responsibility of the Resources and Planning Committee to conduct a faculty salary audit in the Spring of odd-numbered years, prior to the issuance of annual letters of continuing appointment. The results of this audit will be presented at a faculty meeting during the Spring semester of the year the audit is conducted.

The purpose of the audit will be to determine whether statistically significant salary inequities exist among tenure-track and tenured faculty from the perspective of rank, gender and racial differences. After the audit the committee will advise the Provost on any perceived problems.

Resources for conducting the salary audit will be provided by the Associate Provost for Institutional Research and will include:

- a. List and graph of nominal faculty salary and real faculty salary for the past ten years.
 - Average
 - Average Professor
 - Average Associate Professor
 - Average Assistant Professor
 - Average Instructor
- b. Comparison with nominal faculty salary of nationally ranked liberal arts colleges for the past ten years
 - Average
 - Average Professor
 - Average Associate Professor
 - Average Assistant Professor
 - Average Instructor
- c. The Provost's annual report on promotion, tenure and salary.

VIII. Tenure and Academic Freedom

The awarding of tenure is the most enduring decision made in the entire evaluation history of any faculty member and must be approached with special care. Reappointment to further terms beyond the first term of probationary service carries the hope but not the presumption that tenure will be awarded. The tenure decision involves the active participation and support of several individuals and groups including the individual concerned, the department, the Faculty Personnel Committee, the Provost, the President, and the Board of Trustees. Faculty members who have been denied tenure may not reapply for tenure.

We endorse the 1940 AAUP statement of principles on academic freedom and tenure, and endeavor to guarantee the principles they embody by observing the following tenure policies:

- The granting of tenure will be considered by the College when it is recommended by the Faculty Personnel Committee according to the criteria stated above in Section V.B. and with the presentation of evidence supporting reasonable expectation of continuing excellence over future years to the College.

- Persons in their first full-time post-doctoral (or equivalent) teaching position normally will not be eligible for tenure status before the expiration of a five-year probationary period at Macalester College.
- A nominee for tenure with experience elsewhere should have earned a Ph.D. degree or achieved professional distinction equivalent to that associated with this degree and normally will be expected to have had at least five years full-time post-doctoral teaching experience.
- The precise terms and conditions of every appointment will be stated in writing and will be in the possession of both Macalester College and the faculty member before the appointment commences.
- Beginning with appointment to the rank of full-time Instructor or a higher rank, the probationary period will not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of full-time probationary service of more than three years in one or more institutions, a faculty member is appointed to the faculty of Macalester College it may be agreed in writing that the new appointment at Macalester College is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. Notice will be given at least one year prior to the expiration of the probationary period if the faculty member is not to be continued in service after the expiration of that period.
- During the probationary period a faculty member shall have the academic freedom that all other members the faculty have.

IX. Termination of a Tenured or Probationary Appointment

- A. Under normal circumstances if a regular term appointment is not to be renewed, notice will be given in advance according to the following schedule: February 15, if the appointment is to expire at the end of the first year of service at Macalester; December 1, of the second academic year of service if the appointment is to expire at the end of that year; at least twelve months prior to expiration of any appointment which extends into the third academic year or beyond.
- B. The service of faculty members holding a probationary or tenured appointment at the College will be terminated only for adequate cause based on clear and documented evidence or for cases of financial exigency that are demonstrably bona fide.
- C. When termination of appointment is based on financial exigency, discontinuance of a program or department of instruction, or on reasons of health, appropriate procedures as described in the most recent AAUP Recommended Institutional Regulations on Academic Freedom and Tenure shall be followed, with the Faculty Personnel Committee serving as a review committee.
- D. When cause for termination of a tenure appointment, or of a term appointment before the end of the specified term, is related to the fitness of the faculty member in his or her professional capacity as teacher or researcher, procedures as described in the most recent AAUP Recommended Institutional Regulations on Academic Freedom and Tenure shall

be followed. The preliminary informal inquiry shall be carried out by the Faculty Personnel Committee and the formal hearing committee shall be the Faculty members of the Educational Policy and Governance Committee.

X. Professional Ethics

As affirmed above, Macalester College faculty members are entitled to full freedom in research and publication, subject to the adequate performance of their other academic duties. Faculty members are entitled to freedom in the classroom in discussing their subject. When speaking and writing as citizens they should be free from institutional censorship. Faculty members in turn have a responsibility to their profession, their students, and Macalester College. In consideration of this the faculty endorses the 1966 AAUP Statement on Professional Ethics. That statement reads as follows:

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

(Quoted directly from the statement approved by the Council of the American Association of University Professors in April, 1966, and endorsed by the Seventy-third Annual Meeting as Association Policy in June 1987.) [moved from above]

XI. Faculty Grievance Procedure

Any employment related grievance of a faculty member not covered by another grievance procedure should be taken to the Faculty Personnel Committee who will determine the validity of the complaint and recommend appropriate action to the Provost.

XII. Faculty Workload and Responsibilities

The responsibilities of a faculty member are multi-faceted and no simple definition of the faculty work-load is possible to articulate fully. A full work-load normally includes teaching courses, supervising independents and honors projects, service to the community, committee service, and professional development activities. When in a full-time appointment, any faculty member considering extensive consulting work or off-campus employment must discuss such arrangements in advance with the Provost.

A. Teaching

Full-time tenured or tenure-track faculty members normally teach five four-credit courses per year plus engage in other non-classroom instructional activities such as the direction of honors and independent study projects. These courses may be taught 2-3 or 3-2 at the preference of the faculty member subject to the approval of the department chair. There will be variances from this norm for such reasons as absence of the expectation of other instructional duties, sabbatical leaves, service as chairs of departments or of major committees, a disproportionate number of students either in regularly scheduled classes or independent instruction courses, and alternative teaching responsibilities such as the supervision of laboratories or co-curricular activities such as debate or artistic performances. In no case is a variance to be granted or renewed automatically. Variations are to be proposed by the department chair in consultation with the concerned faculty member and expressly approved by the Provost. Department chairs will indicate any proposed variances in their annual proposals for class schedules.

All faculty will observe office hours that are sufficient and varied enough for reasonable access by their students and advisees. Office hours should be clearly posted. All tenured or tenure-track faculty after their first year of appointment are expected to serve as advisors.

Full-time faculty members not on tenure or tenure-track normally teach six four-credit courses per year without expectation of other instructional duties. Variances from this norm follow the same approval process as for tenured and tenure-track faculty.

The FTE of the Visiting Faculty is figured on the basis of six courses being a full-time load. Exceptions will be based on written agreements that specify additional duties that are to be undertaken in lieu of a sixth course.

The FTE of the Adjunct Faculty is figured on the basis of six courses being a full-time load. The usual FTE Adjunct Faculty is less than or equal to .67.

B. Professional Development

Macalester faculty members are expected to conduct an active program of personal professional development. Appropriate activities include scholarly research contributing to the advancement of knowledge, study related to the development of new courses and pedagogical innovations, and participation in scholarly and professional associations. No specific expectations can be devised to meet the differing circumstances of all faculty members, but the occasion of the annual report to one's department chair and the Provost could provide opportunity to determine the suitability of professional development programs in each individual case.

C. Service

Macalester faculty members are expected to be actively involved in college and professional service.

All tenured or tenure-track faculty after their first year of appointment are expected to accept nomination for or appointment to faculty and college-wide committees. Only tenured faculty are eligible for nomination to the Faculty Personnel Committee. Typically, nomination to the Educational Policy and Governance Committee or the Resources and Planning Committee is not recommended until after faculty have undergone a successful pre-tenure review at the College. Faculty who complete full terms on one of the standing committees or a term as presiding officer or secretary of the faculty will not be expected to assume standing committee responsibilities for the year following that service.

Revision proposals are drafted by the Educational Policy and Governance Committee with the President and Provost in consultation with the Faculty Personnel Committee. They become effective only when formally accepted by the President and formally adopted by faculty vote.