

REPORT OF THE FACULTY SENATE *AD HOC* COMMITTEE
TO DEFINE MEMBERSHIP IN THE
CASE WESTERN RESERVE UNIVERSITY FACULTY

CHARGE TO THE *AD HOC* COMMITTEE

The Executive Committee of the Faculty Senate commissioned an *ad hoc* Committee to Define Membership in the Case Western Reserve University Faculty. Particular objectives were to: (1) clarify the criteria for issuing appointments to the regular (full-time) faculty, (2) clarify the obligations of the faculty to the University, and (3) clarify the obligations of the University to the faculty.

In response to the charge from the Executive Committee, the *ad hoc* Committee has prepared a proposal to the Faculty Senate that includes definitions for faculty appointments, obligations of the University to the faculty, obligations of the faculty to the University, a statement reinforcing the importance of academic tenure at CWRU, a recommendation relating tenure to salary compensation, and a reaffirmation that tenure resides at the University level.

The *ad hoc* Committee examined and was appreciative of the work of other CWRU committees that had explored this issue in the past:

Report of the 1999 Faculty Senate Personnel Committee on the Relationship between the Award of Tenure and Compensation at CWRU

2000-2001 Faculty Senate *ad hoc* Tenure Review Committee

AAUP guidelines relative to Tenure, Academic Freedom and Compensation

Next, the *ad hoc* Committee examined models from other universities. Each proposed faculty model was evaluated according to the following:

1. Does the proposal support the academic and research missions of the University?
2. Does the proposal clarify the definitions of faculty status, the obligations of the faculty to the University, the obligations of the University to the faculty, and the meaning and location of tenure?
3. Does the proposal create a culture, environment and system that recognizes, supports and facilitates the development of faculty as appropriate to their contribution to the University's mission?

SUMMARY OF MAJOR CLARIFICATIONS, CHANGES
AND RECOMMENDATIONS TO
CURRENT PROCEDURES AND POLICIES

1. There are three categories of faculty appointments: Tenure/Tenure Track; Non-Tenure Track and Special (clinical, research, for the practice of, adjunct, visiting, part-time, and a number of other titles). There is now a clearer distinction between tenure/tenure track and non-tenure track faculty. The term “regular faculty” has been dropped.
2. Faculty categories will be determined by academic activities (teaching, scholarship, and service) rather than by source of income. In certain schools, this provision will result in some non-tenure track faculty being moved into Special category; i.e. clinical, research, for the practice of, adjunct, visiting, etc.
3. The proportion of tenure track to non-tenure track faculty shall be such that a majority of the faculty in a school are tenure track except under special circumstances that are approved by the Provost and reviewed by the Faculty Senate.
4. Obligations of the University to the faculty and of the faculty to the University are clearly articulated.
5. Tenure is located at the University level.
6. The University guarantees substantial salary compensation to tenured faculty. The Provost will monitor and approve available tenure track positions in all schools.
7. Implementation is essential, and has been delegated to the faculty and deans, with monitoring and approval by the Provost and oversight by the Faculty Senate.

PREAMBLE

The University's mission is to facilitate learning and to create, preserve, and disseminate knowledge for the betterment of humankind; to pursue the truth. The faculty fulfills this mission through scholarly activities, including intellectual inquiry, teaching, and mentoring.

The relationship of the University to its faculty is fundamental to the success of each. The faculty is a necessary and essential constituent of the University; the two are inextricably bound to one another by shared values, responsibility, respect, loyalty, and mission.

Membership in the University affords faculty with admittance to a broad and diverse scholarly community, access to resources, the opportunity to teach and to learn from gifted students, and prestige. The faculty contributes to the University's mission by participating effectively in teaching, research, administration, and service. The University recognizes and supports these contributions by providing to each faculty member an appointment and resources, by securing and sustaining freedom of inquiry and expression, and by maintaining an environment that facilitates academic productivity and the pursuit of excellence. The ability of the University to realize its goals depends upon the honesty and integrity of the faculty and the quality of their work. To that end, each faculty member shall uphold and follow the University's code of conduct, strive to maintain the highest ethical standards, and endeavor to achieve the utmost quality in all scholarly activities.

It is fitting and proper that the relationship between the University and its Faculty and the terms that govern and nurture that Union be set forth clearly. Hence, the following principles define the responsibilities of both parties to one another.

FACULTY DEFINITIONS

There are three categories of faculty appointments:

Tenure / Tenure Track:

Tenure and tenure-track faculty are those full-time faculty who contribute to all three missions of the university (teaching, scholarship, and service). Tenured faculty have appointments that are indefinite in duration, or continuous until retirement, while tenure track (pre-tenure) faculty have contracts of a finite duration (e.g. 1 – 5 years).

Non-tenure Track:

Non-tenure track faculty are full-time faculty who consistently contribute to at least two of the University’s missions (teaching, scholarship, service). Non-tenure track faculty have contracts of a finite length.

Special: Clinical, Research, Adjunct, Visiting, Part-time, etc. Faculty:

This category includes faculty who are employed by the University on a part-time (<50%) basis or full-time faculty who have specific, limited responsibilities (e.g. for one semester, for teaching one course, for clinical supervision only, for the duration of a specific project conducted outside of the university, etc).

CATEGORY	CONTRACT DURATION	UNIVERSITY VOTE	SCHOOL VOTE	TIME COMMITMENT	TEACHING, SCHOLARSHIP AND SERVICE
<u>Tenure</u> Tenure Track	<u>Indefinite</u> Finite	Yes Yes	Yes Yes	Full Full	3 OF 3
Non-tenure track	Finite	Yes	Yes	Full	2 OF 3
Special: Clinical, Research, for the practice of, Adjunct, Visiting, Part-time, etc.	Finite	No	TBD*	TBD (Full or Part)	1 OF 3

*TBD means to be determined by the school. In the case of time commitment the school may determine whether title category is full or part time or whether individual faculty with a particular title category may be full or part time.

POLICIES

1. The proportion of tenure/tenure track : non-tenure faculty will be decided for each School through negotiations between the Dean of the School and the Provost, with review by the Faculty Senate and approval by the Provost. No School shall have less than a majority of its faculty tenured/ tenure-track except under special circumstances.
2. Schools and departments develop criteria for tenure as appropriate to their own academic endeavors within the guidelines of the University. The general guidelines for Tenure include at least a documented national or international reputation for sustained scholarship, as appropriate to faculty rank.
3. Schools develop criteria for the appointment of non-tenure track, adjunct/part-time faculty within the guidelines of the University. There may be separate criteria for those granted voting rights in the School. All criteria and appointments are subject to approval by the Provost.
4. Titles in the tenure/tenure track are discipline-based, and include:

Professor of XXX, CWRU
Associate Professor of XXX, CWRU
Assistant Professor of XXX, CWRU
5. Titles in the non-tenure track are the same for the ranks of Assistant Professor and above. In addition, the non-tenure track may include the ranks of Instructor and Senior Instructor.
6. Titles used for faculty with “Special” status (clinical, research, for the practice of, adjunct, visiting, part-time, etc.) shall be selected by each School, with review by the faculty senate and the approval of the Provost, using a modifier to traditional ranks that reflects the nature of the appointment. These may include, for example, Clinical Instructor of xxx, CWRU; Adjunct Assistant Professor of xxx, CWRU; Visiting Professor of xxx, CWRU, etc.
7. The award of tenure assures continuing appointment with unlimited duration, with the exceptions noted in the Faculty Handbook. Compensation, a substantial amount guaranteed for tenure/tenure track faculty, is generally drawn from educational revenue (tuition, fees, and other student-generated funds), endowment and other long-term assets of the University or Schools. This does not negate the expectation in some Schools that faculty seek and obtain external funding.
8. Compensation for University faculty who are non-tenure track, part-time, or adjunct is assured for the term of the appointment and also is generally drawn from educational revenue. In some cases, appointments may be dependent on an income source external to the University (e.g. grants, contracts, practice plans, etc.). The terms of such contracts must be consonant with University policies regarding notice (termination), benefits, and other faculty rights and responsibilities.

9. Faculty time commitments are negotiated individually by the faculty member and the appropriate School or College (Management Center).

MUTUAL OBLIGATIONS

I. Obligations of the University to the Faculty

A. *Tenure/Tenure Track and Non-Tenure Track Faculty* (See Faculty Definitions above)

1. Protect the right of each faculty member to academic freedom; that is, the right to pursue knowledge and to write and speak freely without institutionally imposed restrictions.
2. Judge a faculty member as a scholar, teacher, clinician, and/or administrator based solely on legitimate intellectual and professional criteria and without regard to race, color, religion, gender, age, national or ethnic origin, veteran status, political views, sexual orientation, handicap, or any other legally impermissible criteria.
3. Clarify, in writing, for the faculty member, at the time of initial employment and annually thereafter, the criteria by which his/her performance will be judged.
4. Clarify, in writing, for the faculty member the teaching, research, and service required for renewal of appointment, promotion, and/or tenure, as applicable.
5. Provide, as a component of the faculty member's employment structure, an opportunity for academic advancement and/or professional development.
6. Provide an intellectual environment, workspace, and resources consistent with available facilities and financial support and an appropriate amount of time for scholarly growth and achievement
7. Provide appropriate compensation for the services of each faculty member over specific periods of employment.
8. Establish explicit and clear definitions of the accomplishments necessary for the award of tenure, and delineate the commitment of resources, which accompany the award of tenure.

B. Special Faculty (See Faculty Definitions Above)

1. Protect the right of each faculty member to academic freedom; that is, the right to pursue knowledge and to write and speak freely without institutionally imposed restrictions.
2. Judge a faculty member as a scholar, teacher, clinician, or administrator based solely on legitimate intellectual and professional criteria and without regard to race, color, religion, gender, age, national or ethnic origin, veteran status, political views, sexual orientation, handicap, or any other legally impermissible criteria.
3. Clarify for the faculty member, at the time of initial appointment and at the time of reappointment, the extent of teaching, research, and/or service obligations required of the faculty member in order to maintain faculty status.
4. Clarify the criteria by which his/her performance will be judged and the teaching, research, and/or service requirements necessary to be considered for academic promotion.
5. Provide access to a broad range of academic resources and continuing education programs within the University.
6. Work with the faculty member to identify appropriate opportunities for professional growth and development.

II. Obligations of the Faculty to the University

A. *Tenure/Tenure Track and Non-Tenure Track Faculty (See Faculty Definitions Above)*

1. Conduct all professional activities, including teaching, research, and service to the University with competence, with intellectual honesty, and in accordance with high ethical standards.
2. Carry out teaching, research, and service obligations.
3. Continue to develop and improve his/her professional abilities throughout the course of employment.
4. Contribute to the governance of the school with which he/she is affiliated and the University in general, including but not limited to the following:
 - a) Development of academic programs and curricula
 - b) Compliance with committee assignments
 - c) Advising and mentoring of students and colleagues
5. Devote professional energies to activities that further the goals and the reputation of the University and share in the responsibilities of the faculty to the University, the local community, and society at large.
6. Disclose fully and promptly any potential conflicts or commitment or interest in accordance with the policies of conflict of Commitment/Interest Guidelines.

B. *Special Faculty (See Faculty Definitions Above)*

1. Conduct professional activities, including teaching, research, and/or service to the University with competence, with intellectual honesty, and in accordance with high ethical standards.
2. Carry out teaching, research, and service obligations.
3. Disclose fully and promptly any potential conflicts or commitment or interest in accordance with the policies of conflict of Commitment/Interest Guidelines.

TENURE

Academic tenure is an essential component of the development and delivery of quality educational and research programs at Case Western Reserve University. The tenured faculty provide the necessary commitment and continuity, and are the foundation of the University's commitment to excellence. It is essential that there be substantial salary compensation that is guaranteed by the University for each tenured faculty member that is consistent with the goal of the University to attract and retain excellent faculty.

Tenure is granted only by the University's Board of Trustees, and represents the commitment of the University to the tenured faculty member for appointment without term until retirement. In the event that a school, department or other University unit is closed or reduced in size, the University's obligation to the tenured faculty of that unit remains in effect unless exigent circumstances exist (as outlined in the faculty handbook).

IMPLEMENTATION

In order for these policies and procedures to be effective, it is essential that each school prepare clear criteria for each of the three faculty categories, and clear and comprehensive descriptions of the rights and responsibilities associated with each category. The Faculty Senate shall review these criteria periodically. The Provost shall insure that these standards are developed by the faculty and deans, and followed by each school.

The faculty and dean of each school shall monitor and implement the extent to which mutual obligations are met. The Provost shall be charged with insuring that policies and procedures pertaining to obligations are in place. The Faculty Senate shall oversee this process.

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