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UNIVERSITY MISSION

Baker University is an intentional community dedicated to excellence in liberal and professional education, to the integration of learning with faith and values and to the personal development of each community member. As a community of learning, the University is committed to freedom of inquiry and expression, breadth of understanding, excellence in scholarship, and genuine dialogue in which both students and faculty are active participants. As a community of faith and learning, the University affirms its Judeo-Christian heritage and its relationship to the Kansas East Conference of the United Methodist Church, is committed to the exploration and celebration of religious life, and in an ecumenical spirit welcomes people of all faiths and world views. As a community dedicated to personal growth and to career preparation, the University seeks to develop the abilities of its members in the interest of service to the wider community and the world.

Because of the commitments, Baker University conserves the values of its educational tradition while meeting the changing needs of students and society by providing excellent liberal arts education and sound professional education based in the liberal arts tradition. While affirming its primary calling to educate recent high school graduates, the University also accepts the challenge of providing innovative educational programs to meet the life-long learning needs of adults in its service region.

College of Arts and Sciences
Mission

The College of Arts and Sciences prepares students for a lifetime of continued intellectual, professional, and personal development. Graduates will be responsible global citizens who think critically, communicate effectively, act ethically, serve generously, and live fully.
Core Values

Student Learning, Development and Success
We are passionate about student learning, development and success. We will provide a challenging, yet supportive, learning-centered educational experience that reflects a concern for academic excellence, sensitivity to changing and emerging student, stakeholder, and market requirements, and attention to the factors that influence student learning, development, fulfillment, and success. We will build a living-learning environment that promotes student engagement and ignites in our students a passion for life-long learning. To do so, will require focus on organizational learning and agility.

Community
Our commitment to community represents the essence of our campus culture. We will adopt policies, procedures, and practices that promote attention to individual needs and aspirations, as well as those that strengthen our University and the broader community which we serve. We value diverse perspectives and promote actions that demonstrate mutual respect among all members of our local community, and the global community of which we are a part. We will actively engage students, faculty, and staff in integrated learning communities that foster synergistic connections among and within academic disciplines, task groups, and social clusters. We will seek ways to partner with our extended community to promote mutual enrichment, professional progress, and the greater good.

Character
We understand that virtuous character development is a life-long pursuit. Therefore, we encourage continued character development for students, faculty, and staff. We will seek and develop faculty and staff who will model ethical behavior, principled decision making, and personal integrity in ways that will inspire these characteristics in our students. We will integrate ethics and analytical thinking throughout our curriculum and adopt an ethos of ethical character development in our approach to athletics, co-curricular activities, student discipline, and employee relations.

Civic and Social Responsibility
We are committed to the traditional United Methodist concerns for social justice and service to others, and we will seek faculty, staff, and students who share this concern, regardless of their faith tradition. We will encourage a sense of social responsibility among members of our community by integrating academics, student development, co-curricular activities, university governance, and community-service programs in ways that promote understanding of public policy and encourage activism, service to others, leadership development, and a life-long commitment to civic and social engagement.
The Baker University College of Arts and Sciences (CAS) Faculty Handbook, contained in this cover, is one of several internal documents that provide important information for the faculty of Baker University. The CAS Faculty Handbook functions as an employment handbook. It contains information about the responsibilities of the faculty member to the University and the responsibilities of the University to the faculty member. The Handbook is written for the members of the faculty. Chapters of the handbook are reviewed annually by the Faculty Grievance Committee (FG) and are subject to amendment as indicated in the Faculty Constitution. Appendices to the handbook contain material that is generally provided by the administrative bodies of the university.

Other documents of interest to the Baker University Faculty are The Baker University Faculty Constitution, the Baker University Faculty Constitution Bylaws, and the Student Handbook.

The Baker University Faculty Constitution and Bylaws outlines the University faculty governance structure. Each part of the structure is described and its powers and authority defined. It also includes those rules that are so important that they should not be changed except by a lengthy amendment process which includes approval by the Board of Trustees. The intended audience for the Faculty Constitution is the Board of Trustees, University administrators, and members of the faculty.

The Bylaws section includes rules and procedures that guide the faculty in carrying out its governance responsibilities in its assemblies and committees. The Bylaws apply to the faculty governance structures of the University Academic Council, the College of Arts and Sciences, the School of Professional and Graduate Studies and the Baker University School of Nursing. Within the College of Arts and Sciences, the Bylaws apply to the Faculty Town Meeting, Faculty Senate, committees and other appointed bodies.

The Student Handbook (www.bakeru.edu) contains University policies, procedures, and standards of conduct that apply to all University students. Faculty are expected to be aware of the policies, procedures, and practices so that they can guide students to act within these parameters.
CHAPTER I: THE EMPLOYMENT PROCESS

FACULTY APPOINTMENTS

Faculty Searches

The Vice President and Dean of the College of Arts and Sciences (hereinafter called the Vice President and Dean), in consultation with the President, is responsible for making any additions to or deletions from the number of faculty positions. Whenever an adjustment in the number of faculty positions within any academic department is contemplated, the chair of the department is expected to provide information to the Vice President and Dean.

The search for a new faculty member is led by the chair of the department in which the vacancy exists with assistance from the Vice President and Dean. The department chair is expected to work in collaboration with the Associate Dean to develop a job description of the position to be filled. The department chair works with the Dean to combine a search committee which is responsible for reviewing the credentials of all candidates for the position.

The following criteria are used in the selection of new faculty members:

1. Evidence of teaching ability and performance, or evidence of the potential to be an effective teacher;

2. Commitment to college mission, core values, and educational goals;

3. Educational preparation and qualifications, including degrees earned and relevant experience;

4. Evidence or promise of professional scholarship, production, performance or other activity relevant to the field of expertise;

5. An understanding of and commitment to effective academic advising;

6. Professional responsibility and integrity;

7. Commitment to the University’s general education program;

8. Promise of continued professional development.

The Vice President and Dean, in consultation with the department chair, will make appointment recommendations to the President.

Contracts can be offered only by the President, or this authority can be delegated to the Vice President and Dean by the President.

The rank associated with an initial faculty appointment, except in unusual cases, shall be consistent with Baker University academic rank qualifications.
TERMS OF EMPLOYMENT

Academic Ranks

Instructor. Appropriate for individuals who do not possess the terminal degree appropriate for their discipline and who do not hold a tenure-track position.

Assistant Professor. Appropriate for individuals who have fewer than four years of full-time college teaching experience and who have either the terminal degree or are in a tenure-track position. Promotion to this rank is also appropriate for instructors who have demonstrated teaching effectiveness and conscientious academic advising at Baker.

Associate Professor. Appointment or promotion to the rank of Associate Professor is appropriate for those members of the faculty who have demonstrated excellence in teaching and/or learning support, who provide conscientious academic advising, who show evidence of other professional service and achievement, and who hold the appropriate terminal degree.

Professor. Appointment or promotion to the rank of Professor is appropriate for individuals who provide distinction to the University as teachers, who have demonstrated research or creative activities consistent with high standards of their academic discipline, who provide conscientious academic advising, serve as a mentor to junior faculty, and who are recognized as leaders in the academic community. Generally, a minimum of ten years of full-time teaching experience is required prior to consideration for the rank of Professor.

Learning Resource Faculty. The title Learning Resource faculty member is appropriate for (a) librarians who hold at least a master’s degree in an appropriate field or (b) Learning Resource Center personnel who hold at least a master’s degree in an appropriate field.

Adjunct Faculty. This designation is for those contracted to teach or serve on an individual course or comparable assignment basis on a non-tenure track appointment.

Distinguished Visiting Professor. This designation is for individuals with appointments of short-term service to the University and a national reputation for scholarship, artistic creativity, religious leadership or public distinction.

Senior Professor. The assigned rank for former full-time tenured faculty members teaching under the Senior Professor program as specified in the Handbook.

Professor Emeritus. Designated by the Board of Trustees to faculty who have provided distinguished service to Baker University over an extended period of time.

Administrative Faculty. The title of Administrative Faculty Member is appropriate to full-time administrative personnel who have University appointments designating rank, discipline, and academically-related administrative responsibilities. Administrative
Faculty Members include the President, Vice President and CAS Dean, Special Assistant to the President, Assistant Dean for Student Engagement and Success and the Assistant Dean of Liberal Studies.

Contracts

On or before March 15 each year, contracts will be offered to all tenured faculty and those non-tenured faculty who have been recommended for contract renewal.

The contract shall stipulate the period of service, the salary offered, the teaching load for the period stipulated, specific duties of the position, and any other special provisions as required (such as the year of tenure review for tenure-track appointments, or the term of appointment for non tenure-track appointments).

Signed contracts are due in the Office of the Vice President and Dean on or before March 31 following their issuance. Failure to return a signed contract by April 15 shall be regarded as resignation. The Vice President and Dean, after consulting with the department chairs, may grant an extension of the notification date of April 15 for contract acceptance or resignation.

Teaching Loads

Teaching loads at Baker University are established after due consideration of teaching effectiveness and faculty responsibilities outside the classroom. Partial reassignment of teaching load for administrative duties or special university service is not automatic and must be negotiated on a case-by-case basis.

The standard teaching load for a full-time academic faculty member shall be twenty-four credit hours per academic year. Adjustments may be made when the responsibility for a course is shared, where course enrollments are unusually large or small, or where a significant portion of the faculty member's time is devoted to small group or individual instruction. Such adjustments must be negotiated between the Vice President and Dean and the faculty member, in consultation with the appropriate department chair or division director.

Teaching activities of Learning Resource and Administrative faculty may differ in nature and quantity from those of Teaching Faculty. Individual contracts emphasize the unique responsibilities of each position.

Teaching Overloads

Under extraordinary circumstances, the necessity for a faculty member to exceed the normal teaching load may arise. When such a need arises, any additional teaching responsibilities will be negotiated by the faculty member and the administration.

The responsibility for offering independent courses of study is at the discretion of the faculty member with the approval of the appropriate department chair and the Vice President and Dean, and is generally not considered to be an overload.
Faculty Salaries

Baker University proposes to maintain an equitable compensation schedule for the faculty. Factors including length of service, professorial rank, performance of assigned duties, quality of teaching or scholarship, and unique contributions to the University and to the community at large will be considered in determining salaries.

Recognizing that equitable salary structures are essential to the good of the University, the Education Committee of the Board of Trustees in consultation with the Vice President and Dean and the President, are charged with moving compensation schedules toward equity as rapidly as possible. The President shall report annually to the faculty and the Board of Trustees on salary and compensation.

Supplemental Compensation

Stipends are provided to faculty members assuming responsibilities beyond the terms of the contract for the academic year. These arrangements are by mutual agreement between the faculty member and the administration.

1. Department Chair. A stipend is provided to chairpersons, and a reduction in teaching load may be provided chairpersons with extensive administrative duties.

2. Associate Department Chair. A stipend or reduction in teaching load may be provided to an Associate Department Chair.

3. Interterm. A faculty member may propose an Interterm course to the Educational Programs and Curriculum. If the course is approved by E.P.C. and receives sufficient enrollment, the faculty member will receive an additional stipend for teaching the course.

4. Teaching Overload. Compensation is normally a set fee per hour of overload.

5. Summer School. Stipends are standardized, by rank. The right to cancel classes with very low enrollment is reserved by the University.

6. School of Professional and Graduate Studies. Participation in these programs provides a standard stipend established by the administration. Faculty members may teach in these programs only if participation does not adversely affect their primary responsibilities at the College of Arts and Sciences. Written permission of the Vice President and Dean is required prior to signing a teaching contract with SPGS.

Change in Duty Assignments

All contracts issued to faculty members (part-time and full-time, tenured and non-tenured) contain a statement that specifies the teaching load and other unique responsibilities for which the faculty member will be held responsible during the period of the contract.

Occasionally, due to unforeseen circumstances after a contract has been signed, it may be necessary for the University to seek changes in the teaching load or special duty assignments.
associated with a contract.

When the new agreement is reached between the faculty member and the Vice President and Dean, a new statement of assignments and duties is prepared by the Vice President and Dean. It is assumed that these changes will be made in consultation with the appropriate department chair.
CHAPTER II: PROFESSIONAL RESPONSIBILITIES

The basic responsibilities of Baker University Faculty include teaching, student advising, professional development, university and community service, and appropriate professional conduct. Further information regarding these responsibilities is detailed in this chapter.

In addition, faculty members are expected to involve themselves in other important activities of the University. Faculty are expected to attend faculty and departmental meetings on a regular basis. They are also expected to attend commencement and convocation ceremonies in appropriate academic regalia. Further, faculty are expected to assist the university in its recruiting efforts by participating in campus visits and off-campus events when possible as well as attending major student recruitment events. Faculty are expected to maintain a familiarity with the library and its holdings, making appropriate recommendations for addition and expansion.

The University intends no constraints on the non-professional activities of the individual but acknowledges that such activities should not, in any way, interfere with the faculty member's obligations at the University which constitute the faculty member's primary employment.

INSTRUCTION

Basic Duties

Faculty are expected to focus a major portion of their academic efforts on the scholarship of teaching and instructional activities including course preparation, classroom teaching, and evaluation of students. The following are specific responsibilities in this area.

1. Course preparation: Teaching Faculty are expected to invest heavily in their own professional development and to maintain current knowledge of advances in their academic discipline, integrating new knowledge and approaches where appropriate. In addition, faculty are expected to keep abreast of changes in teaching methodologies that may be appropriate to the subject matter. Faculty should prepare syllabi that are consistent with institutional and departmental learning outcome goals. Course syllabi must list course-specific learning objectives and a plan of study.

2. Classroom teaching: Teaching Faculty are expected to hold and attend class as indicated in the academic calendar. Further, faculty are expected to provide students in a timely fashion with appropriate syllabi, assignments, and information regarding course evaluation and completion. In addition, faculty should provide students with appropriate information regarding their progress in the course, including timely return of tests and written assignments.

3. Evaluation of students: Faculty must evaluate the accomplishment of each student and report the evaluation to the office of the Records & Registration when requested.

4. Faculty will provide students with an opportunity to assess teaching effectiveness and the quality of the course. Except in unusual circumstances, the faculty member shall administer course evaluation materials as approved by the Vice President and Dean and the Faculty Development and Evaluation Committee.
5. Office hours: Teaching Faculty shall set and observe regular office hours of at least four hours per week.

Student Academic Misconduct

It is the responsibility of the faculty member to comply with academic misconduct policies and procedures, as set out in the **Student Handbook**.

Student Attendance

The faculty member shall report students who have irregular attendance or cease to attend classes to the Office of Student Development and the Office of Records and Registration.

Administrative withdrawal procedures may be initiated by the faculty member when the continued enrollment of a student will have a detrimental effect on the progress of the course. Appropriate attempts must have been made by the faculty member to resolve difficulties, with adequate adjustment time for the student, before withdrawal procedures are initiated.

ADVISING

The responsibility of the advisor in the advising program includes but is not restricted to the following:

1. Helping students to understand the nature and purpose of a liberal arts education and the College of Arts and Sciences general educational learning outcome goals.

2. Helping students to clarify values and goals.

3. Identifying special needs of students and helping them use the services of the college to meet those needs.

4. Helping students plan a degree program that is consistent with University policies and the student’s goals, interests, and abilities.

5. Assisting students in monitoring and evaluating their educational progress.

6. Maintaining adequate records of the individual student's progress.

7. Holding a student's communication in confidence, except that an advisor may discuss a Confidential communication of a student with another University official whom the University has determined to have a legitimate educational interest.
PROFESSIONAL ACTIVITY

All faculty members are expected to be active participants in their disciplines and in their professional community. Professional growth is a requirement for promotion and tenure. The type and level of scholarly activities that define professional development vary with the discipline, but may include research and publication, conference presentation, juried creative work, applied projects, or active research, musical or theatrical performance.

PROFESSIONAL DEVELOPMENT

All faculty members are expected to invest in their own professional development within each of the key areas of faculty work: Teaching, Advising, Professional Activities and Service. The College’s Comprehensive Faculty Development Plan is designed to support faculty development and success. (See Appendix B for the Comprehensive Faculty Development Plan.)

PROFESSIONAL CONDUCT

Members of the faculty are expected to conduct themselves in a manner consistent with the institution’s core values and abide by all university policies, including the policies specified in the appendices of this document (e.g., policy on drug and alcohol use, Harassment policy and technology use policies).

SERVICE

Faculty are encouraged to take advantage of opportunities to serve the University and the community in non-classroom circumstances. Service may include, but is not limited to, faculty participation on College and University committees, the Faculty Senate, professional organizations and community organizations, especially when the service is related to the faculty member’s expertise. Faculty members should also incorporate service-learning into their course designs where appropriate. It is the responsibility of both the faculty and the administration to limit the amount of involvement in these activities, so as not to interfere with the primary responsibility of effective teaching, advising, and professional activity.
CHAPTER III: EMPLOYEE BENEFITS, LEAVES AND RETIREMENT

SECTION I: GENERAL EMPLOYEE BENEFITS

Benefits described in this section are managed by the Human Resources Office. These benefits apply to full-time members of the faculty as a result of employment at Baker University and cease when employment is terminated unless otherwise noted. Additional information and specific details regarding benefits, including eligibility and qualification criteria, may be obtained from the Human Resources Office.

The University provides various benefits to faculty including: health and welfare, tuition waivers and remission, retirement benefits and death benefits.

HEALTH AND WELFARE

The University health and welfare benefits, including health and dental insurance, life insurance, short-term disability, long-term disability, retirement and deferred compensation plans are available to employees who are otherwise eligible and qualified to participate under the terms of the specific benefit plan. Summary plan descriptions explaining these benefit plans are available from the Director of Human Resources upon request.

TUITION REMISSION

Spouses of full-time University Faculty and their legally dependent children under 23 years of age are entitled to tuition remission in Baker University programs except for special fee-bearing educational activities. Tuition remission is based upon the availability of openings for non-tuition paying students as outlined in Human Resources policies. Tuition remission for dependent children applies to undergraduate work only. Tuition remission benefits used for graduate study by spouses are taxable and may be taxable for employees depending on how closely related the academic program is to the family member’s job.

The University has also negotiated tuition exchange plans for dependents of faculty and administrative staff allowing matriculation on a limited basis among a number of participating institutions. Additional information may be obtained from the Human Resource Office.

RETIREMENT BENEFITS

1. For all full-time faculty members, Baker University will contribute to a 403B Retirement Plan selected by the employee from among those plans made available by the University according to the following schedule:

   0% of Base Salary          First and second years of employment
   5% of Base Salary          Third and each succeeding year of employment

Credit may be given for prior service in other similar educational organizations.
2. For employees who have worked at Baker University in excess of ten years, the University will match their voluntary contributions to an approved 403B retirement fund according to the following schedule:

- 10 – 14 years of service: 2.25% of salary
- 15 – 19 years of service: 3.25% of salary
- 20 – 24 years of service: 4.25% of salary
- Over 25 years of service: 5.25% of salary

3. Retiring faculty employees may elect to participate in the University’s health coverage plan for retirees at their own expense, through the month prior to their 65th birthday.

4. At the University’s discretion, Baker University may make available the following perquisites for retired faculty members: free admission to University functions and use of office space as available.

**DEATH BENEFITS**

In the event of the death of a faculty member during a period in which the individual is under contract at Baker University, the estate of the individual shall be paid the total accrued earnings, plus the amount of the next two regularly scheduled salary payments.
SECTION II: LEAVES AND RETIREMENT

LEAVES

A faculty member granted a Leave of Necessity, Leave of Absence or Sabbatical Leave from the University does not have reduced opportunities for receiving an increase in salary or a promotion in rank. Leave of absence requests must be made in writing to the Vice President and Dean.

Leaves of Necessity

Absences from regular faculty duties may be necessitated by a variety of conditions including temporary disability due to illness or injury; a serious health condition requiring the faculty to care for a spouse, parents, or child; and pregnancy and childbirth. Leaves of necessity anticipated to take no more than three weeks shall be understood as "short term." Longer leaves shall be understood as "extended." For further information related to disability benefits, the faculty member should consult with the Human Resources Office.

In cases of leaves of necessity, the faculty member and the department chair, with the approval of the Vice President and Dean, shall make arrangements for meeting the member's obligations.

Leaves of Absence

Leaves of Absence are granted primarily for purposes of professional development, but may also be granted for other personal reasons. In all cases, the Vice President and Dean, the department chair and the President shall consult prior to the granting of such a leave.

Leaves of absence may not exceed an academic year in length, plus contiguous summers except under unusual circumstances. No more than two such leaves may be granted during three successive academic years.

During a leave of absence, the University pays no salary and provides no retirement benefits to the faculty member.

Sabbatical Leaves

Eligibility

Sabbatical leaves promote professional growth and development through study, research, writing, contact with faculty outside the Baker community, and other forms of professional activity. Sabbatical leaves may be granted to tenured members of the faculty who have completed at least six continuous years of service. After an individual has completed a sabbatical, six additional years of continuous service are required before the individual is again eligible. Preference in granting a sabbatical is given to those members who have not been granted a previous sabbatical leave.
Compensation

Funding of a sabbatical leave provides the faculty member with one-half salary for an entire academic year or full salary for one semester. Fringe benefits normally granted the faculty member remain in force during sabbatical leave. Prior to sabbatical leave, the faculty member must contact the Human Resource Director regarding continuation of benefits.

Application Procedures

1) The applicant, in consultation with his or her department chair, shall develop a detailed sabbatical proposal which includes: a) a description of the work to be undertaken; b) a summary of the professional benefits; c) assurance that the leave is of mutual benefit to both the faculty member and the institution; d) an estimation of the effect the applicant’s absence is likely to have on the academic program and e) a letter of endorsement from department chair. The applicant shall submit the proposal to the Office of the Vice President and Dean by December 1 prior to the contract year for which the sabbatical is requested.

2) By January 15, the Faculty Growth and Enrichment Committee will consider each application and make a written recommendation to the Vice President and Dean. By February 1, the Vice President and Dean will make a recommendation to the President who, in turn, will forward a recommendation to the Education Committee of the Board of Trustees. In the absence of concurring opinions, the vote of the Faculty Growth and Enrichment Committee will accompany the President’s recommendation to the Education Committee. After the February meeting of the Board’s Education Committee, prior to the contract year for which the sabbatical is requested, the faculty member will be notified by the Vice President and Dean in writing of the action taken on the application for a sabbatical leave.

3) A written report summarizing professional activity associated with the sabbatical leave will be provided by the faculty member to the Office of the Vice President and Dean at the conclusion of the sabbatical leave.

The number of sabbatical leaves granted varies from year to year, subject to the quality of the proposals and the funding levels as determined through the annual budget process. Individuals granted a sabbatical leave are obligated to return to the service of the University for at least one academic year following the sabbatical. If the faculty member does not return to Baker for one academic year, he or she may be required to reimburse the University for funding received during the sabbatical.

RETIREMENT

Any faculty member considering retirement should confer with the Vice President and Dean as far in advance as feasible to facilitate the transition, to allow adequate time to search for replacement faculty, and to allow for adequate budget planning.

Senior and Emeritus Positions

Senior Professor

A full-time faculty member may request Senior Professor status at any time after his or her sixty-second birthday. Implementation of the Senior Professor status shall be by contract between an individual member of the faculty and the University, and may not be
claimed as a right by a faculty member, nor imposed by the University upon a faculty member. These requests are considered annually on an individual basis and must be mutually agreed upon by the President and the faculty member following consultation with the Vice President and Dean and the Department Chair. Senior Professors are employed on an annual basis without any obligation by the institution for renewal beyond the contract period.

Eligible faculty members may be granted Senior Professor status by action of the Board of Trustees upon recommendation of the President. The following guidelines for employment and benefits shall be in effect for Senior Professors:

A Senior Professor shall normally teach less than a full load each academic year. Also, he or she may serve on faculty committees and provide other University service, as negotiated.

Compensation shall be negotiated between the Senior Professor and the University.

Senior Professors may elect to remain within the University's health coverage plan at their own expense, and shall have the same family education benefits specified in the Faculty Handbook for regular, full-time faculty members.

Senior Professors relinquish all other benefits not specified above, including tenure.

Emeritus Faculty

A tenured faculty member who has completed ten or more years of continuous full-time service to the University shall, upon retirement or afterwards, be eligible for election to emeritus status. Leave time authorized by the Board of Trustees shall be counted as continuous service. Emeritus status is conferred by the Board of Trustees on recommendation of the President.

Insofar as it can, the University will extend to emeritus faculty the same privileges enjoyed by the active faculty in community affairs under University sponsorship.
CHAPTER IV: PROMOTION, TENURE, AND EVALUATION

PROMOTION

Application Procedures

Applications for tenure and promotion are considered separately. The qualifications for faculty ranks, including length of service, appear on page 2, "Academic Ranks." The Faculty Development and Evaluation Committee has stipulated the following procedural steps as part of the application for promotion process.

1) A faculty member seeking promotion must submit a letter of application to the Office of the Vice President and Dean by September 1 in the year proceeding the year in which the promotion is desired.

2) By October 1, the candidate will prepare a portfolio of supporting materials and will submit it to the Office of the Vice President and Dean. This portfolio should include: a) an updated resume; b) a compilation of annual faculty self-evaluation reports; c) a compilation of annual department chair evaluations; d) evidence of teaching effectiveness; e) evidence of scholarly and/or professional activity; f) a summary of service to Baker University and the community; and g) evidence of effective academic advising. In addition, the Dean may solicit evaluations from faculty colleagues and students who have worked closely with the applicant, as well as from chairs of committees on which the applicant has served.

3) By December 20, the Faculty Development and Evaluation Committee will consider each application, make a written recommendation to the Vice President and Dean, and provide a copy of this recommendation to the candidate. When promotion is not recommended by the Faculty Development and Evaluation Committee, the candidate may provide a written response to the committee letter addressed to the Vice President and Dean by January 25th.

4) By February 1, the Vice President and Dean will make a recommendation to the President and provide a copy of this recommendation to the candidate. The President will, in turn, forward a recommendation to the Board of Trustees along with a copy of the recommendation from the Faculty Development and Evaluation Committee and the Vice President and Dean.

5) Upon the Board of Trustee’s decision, the Vice President and Dean will notify the applicant of the Board’s action and publicly inform the University community regarding promotions.

Terminal Degree Completion.

The terminal degree generally will be required for promotion to the rank of Associate Professor or higher. Normally, the doctorate is considered the terminal degree but other degrees or licensures may be considered terminal for some disciplines. In exceptional cases, promotion in rank may be extended to an individual who lacks the terminal degree but who brings to the faculty great skills and high abilities as shown by a distinguished career.

TENURE AND REAPPOINTMENT

Definition

In general, tenure is an assurance of continuous faculty appointment at Baker University until retirement. A tenured appointment may be terminated only by voluntary resignation, retirement, dismissal due to financial exigency or dismissal for cause, as specified in the Faculty Handbook.
sections on "Dismissal" and "Reduction or Reallocation of Faculty Positions." The University supports the institution of tenure as a protection of academic freedom in teaching and research, and to retain faculty who show promise of continued excellence.

Criteria

Tenure is awarded to full-time faculty members who have: (1) demonstrated excellence in teaching and advising of students; (2) shown a commitment to the University and its mission through institutional service; and (3) given evidence of professional scholarship, production, and the likelihood of continued professional growth appropriate to their disciplines. Tenure is granted to faculty members based on both their past performance as well as their promise of continued excellence in each of these areas.

Eligibility

Faculty members who are appointed to tenure-track positions are eligible to apply for tenure after a probationary period. The annual letter of appointment will specify the date when the faculty member may apply for tenure. Persons holding part-time faculty positions will not be eligible for tenure. In addition, faculty members holding full-time, term appointments are not eligible to apply for tenure. The nature of the appointment, tenure-track or fixed-term, will be specified in the initial letter of appointment and subsequent reappointments.

Probationary Period

The probationary period is a time during which students, faculty, the department chair, the Vice President and Dean, and the President can observe the performance and professional development of a tenure-track faculty member. During the probationary period, the faculty member has an opportunity to assemble a portfolio of materials to support his or her candidacy for tenure. The probationary period normally is six years for new faculty appointed at the instructor or assistant professor rank. Faculty members, however, may receive up to three years' credit for previous academic experience to be specified in the initial contract.

Annual Evaluation

Faculty members with tenure-track appointments who have not attained tenure will be evaluated by their department chairs each year. The purpose of the annual evaluation is to promote improvement in teaching and professional growth, and to provide feedback to each faculty member regarding his or her progress toward a favorable tenure decision. The Faculty Development and Evaluation Committee has stipulated the following procedural steps as part of the annual review process.

1) By September 15 of each fall semester, each non-tenured tenure-track faculty member shall submit to the department chair a self-evaluation report consisting of an updated resume and a summary of all professional activities during the previous twelve months. This report should include: a) a self-assessment of teaching effectiveness; b) a description of professional growth and accomplishments; c) a description of service to Baker University and the community; d) a summary of academic advising activities and responsibilities; and e) goals and objectives for the coming year. (See Appendix C for Annual Self Evaluation Report Guidelines.)
2) By December 1, the department chair will visit one or more of the faculty member’s classes, prepare an annual evaluation report and submit it to the Office of the Vice President and Dean. (Exceptions: Chair evaluation reports for faculty members undergoing preliminary tenure evaluation must be submitted to the Office of the Vice President and Dean no later than October 1, as described below. Chair evaluation reports for faculty members undergoing final tenure evaluation must be submitted to the Office of the Vice President and Dean no later than October 15, as described below.) A copy of the chair’s evaluation report will be provided to the faculty member.

3) By December 1, the Vice President and Dean will visit one or more of the faculty member’s classes, and by December 15, prepare an annual evaluation report. (Exceptions: For faculty members undergoing preliminary tenure review, evaluation reports from the Vice President and Dean must be submitted no later than October 1 as described below. For faculty members undergoing final tenure evaluation, evaluation reports from the Vice President and Dean must be submitted no later than October 15, as described below.) A copy of the report will be provided to the faculty member.

4) The Vice President and Dean will subsequently confer with the faculty member regarding the evaluation reports. Strengths will be indicated, areas in need of improvement will be identified, and progress toward a favorable tenure decision will be discussed. The faculty member will have an opportunity to provide a written response that will be added to his or her evaluation file.

5) In the event that non-reappointment is recommended, the Vice President and Dean will notify the faculty member in writing. Letters of non-reappointment will be issued by February 1 to first-year appointees, by December 15 to second- or third-year appointees, and by November 1 to probationary faculty in the year of their preliminary review and thereafter until the final tenure evaluation.

**Preliminary Tenure Evaluation**

Probationary faculty members who are appointed with fewer than three years of service credit will participate in a formal preliminary tenure review coordinated by the Faculty Development and Evaluation Committee according to the schedule outlined below. The primary purpose of this review is to provide early feedback that will assist the faculty member in achieving a favorable tenure decision. In some cases, the preliminary review may reveal that the faculty will be unlikely to meet standards for attainment of tenure, and the Committee recommendation will be non-reappointment.

Preliminary tenure reviews shall be conducted according to the following schedule:

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<th>Years of Service Credit at Initial Appointment</th>
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The annual review procedure outlined above for untenured faculty has been modified for those who are in their preliminary tenure review year. The Faculty Development and Evaluation Committee has stipulated the following procedural steps as part of the preliminary tenure evaluation process.
1) By September 15 of the scheduled year, the candidate to be reviewed will prepare a portfolio of supporting materials and will submit it to the Office of the Vice President and Dean. This portfolio should include: a) an updated resume; b) a compilation of annual faculty self-evaluation reports including the current year’s report; c) a compilation of annual department chair evaluations; d) evidence of teaching effectiveness; e) evidence of scholarly and/or professional activity; f) a summary of service to Baker University and the community; and g) evidence of effective academic advising. The FDE Chair will advise the candidate in this process and the Office of Vice President and Dean will assemble any additional relevant information for the Committee.

2) By October 1, the department chair, and at least two members of the Faculty Development and Evaluation Committee shall visit one or more of the faculty member’s classes.

3) By October 1, the department chair will submit the annual evaluation report to the Office of the Vice President and Dean. For departments housed within divisions, the chair will forward the evaluation report along with the faculty member’s annual self-evaluation report to the division director who, upon review, will forward copies of both reports to the Office of the Vice President and Dean. A copy of the report will be provided to the faculty member. By October 1, the Vice President and Dean will provide a letter of evaluation for the candidate’s file. A copy of this letter will be provided to the candidate.

4) By October 15, the Faculty Development and Evaluation Committee will send a preliminary tenure review letter to the Office of the Vice President and Dean and to the faculty member. When reappointment is not recommended by the Faculty Development and Evaluation Committee, the candidate may provide a written response to the committee letter addressed to the Vice President and Dean by October 25th.

5) The Vice President and Dean will consider the evaluation reports, make a recommendation to the President, and send a letter of response to the faculty member. If non-reappointment is recommended, the faculty member will be notified by November 1.

Final Tenure Evaluation

The Vice President and Dean will notify faculty members at the beginning of the academic years in which they are eligible to apply for tenure. Qualified faculty members are also welcome to apply for promotion at this time. This normally will be the sixth probationary year (inclusive of credit for prior service). The Faculty Development and Evaluation Committee has stipulated the following procedural steps as part of the final tenure evaluation process.

1) The faculty member initiates the final tenure evaluation process by submitting a letter of application to the Office of the Vice President and Dean by September 1 of the final probationary year. Probationary faculty members who fail to submit an application letter by September 1 will be issued a one-year terminal contract.

2) By October 1, the faculty candidate will submit a portfolio of supporting materials to the Office of the Vice President and Dean. This portfolio must include: a) an updated resume; b) a compilation of annual faculty reports; c) a compilation of annual department chair evaluations; d) evidence of teaching effectiveness; e) evidence of scholarly and/or professional activity; f) evidence of effective academic advising; and g) a summary of service to Baker University and the community.

3) By October 15, the department chair will visit one or more of the tenure candidate’s classes and will submit a tenure evaluation letter to the Office of the Vice President and Dean. For departments housed within divisions, the chair will forward the evaluation report along with
the faculty member’s annual self-evaluation report to the division director who, upon review, will forward copies of both reports to the Office of the Vice President and Dean. A copy of the letter will be provided to the faculty member.

4) By November 15, at least two members of the Faculty Development and Evaluation Committee shall visit one or more of the faculty member’s classes. By December 20, the Faculty Development and Evaluation Committee will review all relevant materials, make a written recommendation to the Vice President and Dean, and provide a copy of this recommendation to the candidate. When tenure is not recommended by the Faculty Development and Evaluation Committee, the candidate may provide a written response to the committee letter addressed to the Vice President and Dean by January 25th.

5) By February 1, the Vice President and Dean will make a recommendation to the President and provide a copy of this recommendation to the candidate. The President will, in turn, forward a recommendation to the Board of Trustees, along with a copy of the recommendation from the Faculty Development and Evaluation Committee and the Vice President and Dean. If the administrative recommendations and the Committee do not agree, the vote of the Faculty Development and Evaluation Committee will accompany the administrative recommendation to the Board of Trustees.

6) The Vice President and Dean will notify the candidate of the Board’s action in writing and publicly inform the University community regarding positive tenure decisions. Denial of tenure during the final probationary year requires that a terminal contract be offered by March 1. Denial of tenure prior to the final year of the probationary period does not prejudice a subsequent application.

EVALUATION AND REVIEW OF TENURED FACULTY

Annual Self-Evaluation

Faculty members with tenured appointments will conduct annual self-evaluations. The purpose of the annual evaluation is to promote improvement in teaching and professional growth. The annual evaluation process includes the following procedural steps:

By September 15 of each fall semester, each tenured faculty member shall submit to the department chair a self-evaluation report consisting of 1) an updated resume that includes a summary of all professional activities during the previous twelve months and 2) a review of the courses he or she taught during the year. This review should include an analysis of the student feedback about the course as documented in the IDEA reports, information about changes made to the course and how these changes affected the course, and ideas for changes that may be implemented in the future. Department chairs will also document the activities of the department each year and submit this to the VP and Dean of the College of Arts and Sciences. This may include strategic planning, assessment, and curricular changes. The intent is to document the administrative work of the department chairs. (see Appendix C for Annual Self-Evaluation Report Guidelines.)

Post-tenure Review

Tenured faculty will be reviewed formally every six years. One sixth of the tenured faculty shall be reviewed each year. All tenured faculty members shall be assigned to one of six groups by the
Faculty Development and Evaluation Committee as determined by the year in which tenure was granted. After receiving promotion, the review clock will restart. Hence, the next post-tenure review would take place six years thereafter. The Faculty Development and Evaluation Committee shall assume overall responsibility for the review of tenured faculty as follows:

Tenured faculty will participate in a post-tenure review every six (6) years. The faculty member being reviewed will submit a letter no longer than two (2) pages to the Chair of the Faculty Development and Evaluation (FDE) Committee by February 1, summarizing accomplishments and goals for the future. The Dean of the College will collect teaching evaluations from the six year period, annual self-evaluations submitted to the Dean, and a review from the Department Chair made in the year where the faculty member applies for promotion or for post-tenure review. The Department Chair letter is due no later than March 15. The Faculty Development and Evaluation (FDE) Committee and the Dean will review these collected materials and by May 1 will submit a letter to the faculty member that reviews the work of the faculty member and identifies areas for development.

The review process shall not be used as a means of withdrawing tenure and terminating employment. These actions are taken only in accordance with the procedures set forth in the Handbook section on Dismissal.

EVALUATION OF TERM (NON-TENURE TRACK) FACULTY

Annual Evaluation

Faculty members with term (non-tenure track) appointments will be evaluated by their department chairs each year. The purpose of the annual evaluation is to promote improvement in teaching and professional growth. The Faculty Development and Evaluation Committee has stipulated the following procedural steps as part of the annual review process.

1) By September 15 of each fall semester, each term-appointed faculty member shall submit to the department chair a self-evaluation report consisting of an updated resume and a summary of all professional activities during the previous twelve months. This report should include: a) a self-assessment of teaching effectiveness; b) a description of professional growth and accomplishments; c) goals and objectives for the coming year.

2) By December 1, the department chair will visit one or more of the faculty member’s classes, prepare an annual evaluation report and submit it to the Office of the Vice President and Dean. A copy of the chair’s evaluation report will be provided to the faculty member.

3) In the event that non-reappointment is recommended, the Vice President and Dean will notify the faculty member in writing no later than February 1.
CHAPTER V: EMPLOYMENT TERMINATION

RESIGNATION

Appointments, including tenure appointments, may be terminated by the faculty member, effective at the conclusion of any contract period. A faculty member intending to resign shall tender a resignation to the President and the Vice President and Dean no later than March 31 of the year in which he or she intends to resign.

Extensions

The President and the Vice President and Dean\(^1\), after consulting with the department chair, may grant an extension of the notification date of March 31 for resignation. The conditions agreed upon must insure that, should the faculty member resign, a satisfactory successor can be found or suitable adjustments made.

Resignation During a Contract Period

Resignation may become effective at any time during a contract period, or prior to the start of a new contract period, provided that the individual obtains the written agreement of the President.

DISMISSAL

Dismissal is the termination of the faculty appointment at Baker University. Absent extraordinary circumstances, employment may be terminated and tenure removed only at the end of the contract period, while assigned duties may be withdrawn at any time.

Dismissal of a tenured faculty member may be effected only for adequate cause. Adequate cause shall be related directly and substantially to the fitness of faculty members in their professional capacity. Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

Preliminary Dismissal Proceedings

When possible cause for dismissal exists, the Vice President and Dean will meet with the faculty member in an attempt to reach a mutually agreeable settlement. If such a settlement cannot be achieved at this conference, the Vice President and Dean will refer the matter to the Faculty Grievance Committee. The Committee will meet to offer options for immediate resolution, or to consider the need for formal proceedings to dismiss. If the Committee or the President of the University recommends formal dismissal proceedings, the following procedures will be followed.

Suspension

Until the final decision concerning termination of an appointment has been reached, the faculty member will not be suspended or assigned to other duties in lieu of suspension, unless immediate

\(^1\) In the event that one or more individuals other than the one designated throughout as “Vice President and Dean” is assigned the duties of the person with that designation, then the individual assigned such duties shall be the one referred to by “Vice President and Dean” throughout this chapter.
harm to the faculty member or others is threatened by continuance. Suspension is appropriate only pending a hearing. Salary will continue during the period of suspension.

Statement of Grounds

The Vice President and Dean shall prepare a statement which sets forth the grounds for adequate cause for dismissal and cites reasons for concluding that these grounds will be substantiated. The only grounds that are admissible are those relating to professional competence, or to unlawful conduct or conduct that significantly compromises the university or its ability to meet its mission. This statement shall be reviewed by the President and the Faculty Grievance Committee. The President shall determine whether the case for dismissal continues to a hearing.

At least twenty days prior to the hearing, copies of this statement shall be transmitted to the faculty member being charged and to the chair of the Faculty Hearing Committee convened by the Faculty Grievance Committee. The committee will initiate formal proceedings to determine if an adequate cause for dismissal exists.

Dismissal Hearing

The Faculty Hearing Committee is composed of three members and a panel of three alternates, all of whom are chosen from the teaching faculty by the Faculty Grievance Committee. Should a committee member have a conflict of interest, one of the alternates will be empanelled for the duration of the hearing. The President and the faculty member can each challenge the seating of one Faculty Hearing Committee member without having to state a reason. At its first meeting, the Committee shall determine its own rules and procedures not specified in this document or the Baker University Constitution and Bylaws.

The hearing shall take place between 20 and 30 days from receipt by the Chair of the Faculty Hearing Committee of a statement of grounds for dismissal, and at a time and place convenient for the faculty member under investigation, the President, and the Committee.

The faculty member and the President will both be consulted about who may be present during the hearing. The faculty member may be accompanied by an advisor, who will be present for advice and support but will not be permitted to present evidence or make a statement on behalf of the faculty member unless called as a witness. The faculty member will be afforded an opportunity to obtain necessary witnesses and other evidence. Upon request of the faculty member, the President, or the Committee, a representative of a responsible educational association will be permitted to attend the hearing.

The university will provide assistance in transcribing the proceedings, and a transcript of the hearing will be made available to the faculty member at no cost.

After consideration of all relevant information the Committee shall submit its written recommendation to the President, with a copy to the charged faculty member. The decision of the President shall be final. Until the final determination of the matter, the faculty member will in general not be suspended or reassigned except where, in the judgment of the President, there will be immediate harm to students or staff by the continuance of the faculty member in assigned duties.
Publicity

Except for such simple announcements as may be required, public statements will be avoided.

Final determination

If the Faculty Hearing Committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President rejects the report, the President will state the reasons for doing so, in writing, to the Faculty Hearing Committee and to the faculty member, and provide an opportunity for response. If the Faculty Hearing Committee concludes that adequate cause for a dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend with supporting reasons.

REDUCTION OR REALLOCATION OF FACULTY POSITIONS

The policy of reduction or reallocation of faculty positions is intended to provide maximum feasible notice to faculty members whose employment at Baker is terminated in connection with financial exigencies or circumstances necessitating program discontinuance or restructuring; to provide members of the University faculty with an opportunity to participate in decisions relating to position reduction or reallocation; and to establish and maintain orderly procedures for reduction or reallocation of faculty positions. These procedures do not pertain to annual evaluation and review of probationary non-tenured positions but may impact upon these positions.

(A) Termination of individual appointment due to financial exigency

(1) Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency. Financial exigency shall be defined as an imminent financial crisis that threatens the survival of the institution as measured by objective, external indicia including but not limited to U.S. Department of education financial viability ratios and university financial obligation debt covenants.

(2) Faculty should be informed as early as possible of possible financial difficulties. Within fourteen days thereafter, faculty action should be effected through the establishment and utilization of the Faculty Joint Committee on Reduction or Reallocation (FJCRR or “Joint Faculty Committee”).

(3) FJCRR shall be composed of three members of the Faculty Development and Evaluation Committee and three voting faculty members of the Educational Programs Committee acting in concert and electing their own members to this joint committee. FJCRR will elect its own chair from among its members.

(4) Judgments determining where within the overall academic program termination of appointments may occur shall involve considerations of educational policy and are therefore the primary responsibility of the FJCRR which shall also exercise primary responsibility in determining the criteria for identifying the individuals whose appointments are to be terminated. These criteria may appropriately include considerations for length of service.
(5) If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, then within seven working days after such notice is issued, the faculty member will have the right to a full hearing before a Faculty Grievance Committee. The case of a faculty member given notice of proposed termination of appointment will be governed by the following:

(a) The existence and extent of financial exigency: The burden will rest on the administration to prove the existence and extent of the financial exigency. The findings of a faculty committee in a previous proceeding involving the same issue may be introduced.

(b) The validity of the educational judgments and the criteria for identification of termination; the recommendations of a faculty body on these matters will be considered presumptively valid.

(c) Whether the criteria are being properly applied in the individual case.

(6) If the institution, because of financial exigency, terminates appointments, it will not at the same time make new appointments except in extraordinary circumstances where a serious distortion in the academic program would otherwise result. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

(7) Before terminating an appointment because of financial exigency, the institution, with faculty participation, will make every effort to place the faculty member concerned in another suitable position within the institution.

(8) In all cases of termination of appointment because of financial exigency, the faculty member concerned will be given severance salary, if appropriate, in accordance with a schedule to be mutually determined by FJRR and the administration.

(9) In all cases of termination of appointment because of financial exigency, the place of the faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline.

(B) Termination of appointments due to discontinuance of academic unit

Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur as a result of bona fide formal discontinuance of a program or department of instruction. The following standards and procedures shall apply:

(1) Faculty should be informed as early as possible of any impending financial difficulties. Faculty action should be effected through the establishment and utilization of the Faculty Joint Committee on Reduction or Reallocation.

(2) When it has been determined that a reduction or reallocation may be necessary, the President, in consultation with the Vice President and Dean and the Faculty Joint Committee, will designate programs to be reviewed for the purpose of reallocation or reduction of full-time faculty positions. The Chair of each designated department or program shall develop a proposal utilizing the criteria
outlined herein along with other materials deemed appropriate and submit it in writing to the Faculty Joint Committee. The Faculty Joint Committee shall work in consultation with the Vice President and Dean. Its recommendations, along with those of the Vice President and Dean, shall be forwarded to the President along with department or program chair proposals and all accompanying reviews and recommendations.

(3) After considering these materials and any other available information, the President shall prepare a written recommendation identifying tenured faculty positions proposed for restructure or reallocation to the Board of Trustees. In any case in which the President's recommendation differs from those of a department or program chair, the Vice President and Dean, or the Faculty Joint Committee, documentation of these differences shall be attached to the President's recommendation to the Trustees. Copies of the President's recommendation to the Trustees shall be made available to affected faculty and program chair.

(4) The Board of Trustees, exercising its authority, will review the recommendation of the President and all accompanying materials. At the conclusion of its review, the board will determine an appropriate course of action and communicate its views to the President.

(C) Criteria for Termination of Faculty Positions

(1) Retention Priority Criteria

The following criteria shall be used in determining the relative retention priority of faculty members within a program:

(a) Tenured faculty shall have priority over all non-tenured faculty members, provided they meet the needs of the College to continue to offer quality academic programs.

(b) Among tenured faculty, faculty members chosen by the President in consultation with the Vice President and Dean and Faculty Joint Committee as most essential to the academic programs of the College shall have greatest retention priority.

Exceptions

If exceptions to the above procedures are needed, the President, upon advice, may take such action as necessary. It is expected that the President will consult with and request a recommendation from the Vice President and Dean and the Faculty Joint Committee.

(2) Reassignment

The College will consider transferring tenured faculty members whose positions have been eliminated to other departments or programs. The qualifications of faculty members who have been terminated from positions in their original academic units to teach in other academic units of the University shall be determined by the Vice President and Dean in consultation with the chair or program director and the faculty of those academic units to which the faculty member might be transferred. Where such a move can be effected, the rights of the faculty member would be preserved.

(3) Non-academic Positions
A tenured faculty member who applies for a vacant non-teaching position and who has the basic qualifications required for the position will be given employment preference over non-University applicants with similar qualifications. However, the faculty member will be paid at the salary level and work under the employment policies of other positions at that level.

(D) Criteria for Reduction or Reallocation of Programs and Departments

(1) The Vice President and Dean, in consultation with the FJCRR, will designate the faculty positions, departments or programs to be reviewed. Primary consideration will be given to the contribution of the department or program of study to the mission of the University, the quality of the department or program, and its market viability. Included among questions to be addressed during this review are the following:

(a) Contribution to Mission

In what way does the department or program fit into the College’s educational goals? How does the presence of students studying in this discipline and faculty teaching in it enhance the mission and intellectual milieu of the college? How do the competencies acquired through this program relate to the stated purpose of the College? Does the department or program make an important contribution to the College’s general education program?

(b) Quality

Is the department or program academically sound? Do adequate facilities and equipment exist to offer the program? Is the curriculum consistent with the philosophy and objectives of the department or program? Are the faculty good teachers and professionally active? Would the reduction result in staffing below the minimum number necessary to offer a quality department or program?

(c) Market Viability

Does the program attract quality students to the College? What is the net financial contribution, including indirect costs, of the program? What is the number of majors in the department or program? How do upper-division course enrollments compare with those of other departments or programs? Does the program stand alone or does it serve students from other disciplines? What are the projected enrollments? Do graduates have a good placement record?

(2) Once the review is completed, the FJCRR will make recommendations to the Vice President and Dean. The Vice President and Dean will meet with the appropriate department chair. Together they will identify and evaluate job functions within the department or program, and the chair will recommend to the Vice President and Dean an appropriate course of action. The Vice President and Dean will submit a written evaluation and recommendation to the President. A
copy of this document will be sent to the department or program chair at the same time.

HEARING AND APPEAL PROCEDURES

The Faculty Grievance Committee

a) A tenured faculty member who feels aggrieved by a notice of termination under these procedures shall be entitled to a hearing before the CAS Faculty Grievance Committee. The request for a hearing must be made within 30 days after the receipt of notice of termination. The hearing shall take place within 30 days of the request. The issues in this hearing include an analysis of the criteria by which the person was selected for a reduction or reallocation in force.

b) The Faculty Grievance Committee, working with the Vice President and Dean, shall report its findings and make recommendation to the President within 15 days after completion of the hearing.

The President

The President shall review the findings of the Faculty Grievance Committee and, after discussing the material with the aggrieved faculty member, shall recommend action to the Board of Trustees.

The Board of Trustees

After receiving the President's recommendation, the Trustees will discuss the termination with the aggrieved faculty member should the faculty member request it. The Trustees will then review the President's recommendation with the President and will either uphold the previous decision or approve a revision.

Rehiring Policy

a) Should conditions permit the filling of positions vacated because of reduction or reallocation within two years following termination, former tenured faculty members who are qualified for the position shall first be offered re-employment. For a period of two years non-tenured faculty members who have been terminated in connection with reduction or reallocation described above shall be offered employment before other persons of equal qualifications.

b) If the University, in the course of reduction or reallocation, terminates tenured appointments in certain areas it will not, at the same time or within two years, make new appointments in those or other substantially related areas without having offered the positions to the faculty members terminated by these procedures.2

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2 The document above has been substantially revised numerous times by different individuals. While we cannot be certain what all of the sources are for the language, it is clear that some if not most of it has been taken verbatim from the Web site of the American Association of University Professors, either standing alone or contained in close paraphrasing of language or other material from that site. To the extent that such references are known, they can be made available on request.
CHAPTER VI: AWARDS AND RECOGNITION

School of Education (SOE) faculty members shall be eligible for Baker University faculty awards listed below if they meet the University faculty award guidelines. Should a SOE faculty member be nominated for any University faculty award, the SOE Dean will appoint one SOE faculty member to sit on the joint College of Arts and Sciences (CAS) Faculty Growth and Enrichment and Faculty Development and Evaluation Committees when the nominations are reviewed and selected. The selection process shall follow the guidelines established and monitored by the College of Arts and Sciences.

DISTINGUISHED FACULTY AWARD

Eligibility

Full-time faculty members who have served at Baker for a minimum of three years, and who have not won the award at any time during the previous five years.

Criteria

The following criteria will be used as guidelines in reviewing nominations. The review process will be guided by the degree to which nominees exhibit strength in each of the categories identified below.

Disciplinary Knowledge: Exhibits content mastery, breadth and depth, and keeps abreast of the discipline.

Instructional Pedagogy: Exhibits clear signs of planning, organization, and effective methodology with efficient use of classroom time.

Instructor/Student Rapport: Demonstrates fair and equitable treatment of all students, encourages student involvement, appears receptive to student suggestions.

Academic Advising: Demonstrates an interest in monitoring student progress toward academic and career goals by being available to advisees, encouraging contact with advisees, and mastering institutional academic policies and procedures to enable informal and appropriate counsel to students.

Enthusiastic Teaching: Enjoys teaching the subject and the students; exhibits a high level of enthusiasm for the subject and communicates this enthusiasm to the students.

Concern for Teaching: Shows a willingness for professional growth by trying new techniques and actively engaging the student in the learning process.

Award selection process

Nominations: Nominations, accompanied by a brief rationale, may be made by alumni, faculty, staff and/or student honorary organizations. Nominations must be received by the Office of the Vice President and Dean by February 15 of each academic year.

Review Process: At a joint meeting to take place no later than March 1, the Faculty
Growth and Enrichment and Faculty Development and Evaluation committees will review the nominations, select the award recipient, and inform the CAS Vice President and Dean. (Nominees concurrently serving on either committee will be excluded from participating in the review process).

Presentation of the Distinguished Faculty Award

Announcement of the award recipient will be made by the Office of the Vice President and at the annual Faculty Recognition Celebration.

DISTINGUISHED SCHOLARSHIP AWARD

Eligibility

Full-time faculty members who have served at Baker for a minimum of three years, and who have not won the award at any time during the previous five years.

Criteria

Excellence and productivity in scholarship are the primary criteria that are considered in determining the recipient of the Distinguished Scholarship Award. Excellence and productivity may be evaluated through the consideration of any of the following professional activities:

1) Publication of a book
2) Publication of an article in a scholarly journal
3) Service as editor of a scholarly journal
4) Presentation of a paper or participation in a symposium or seminar at a professional meeting
5) Receipt of an externally funded grant
6) Presentation of an invited speech at another college or university
7) Participation in and leadership of a seminar or symposium at another college or university
8) Completion of a scholarly research project
9) Professional performance or exhibition of a work of music, art or theatre

Award selection process

Nominations: Nominations, accompanied by a brief rationale, may be made by alumni, faculty, staff and/or student honorary organizations. Nominations must be received by the Office of the Vice President and Dean by February 15 of each academic year.

Review Process: At a joint meeting to take place no later than March 1, the Faculty Growth and Enrichment and Faculty Development and Evaluation committees will review the nominations, select the award recipient, and inform the CAS Vice President and Dean. (Nominees concurrently serving on either committee will be excluded from participating in the review process).
Presentation of the Distinguished Scholarship Award

Announcement of the award recipient will be made by the Office of the Vice President and Dean at the annual Faculty Recognition Celebration. The award recipient may be asked to participate in a University Forum relating to his or her scholarship activities.

THE UNITED METHODIST CHURCH EXEMPLARY TEACHER AWARD

Eligibility

Full time Baker University faculty members are eligible.

Criteria

The Exemplary Teacher Award recognizes a faculty member who has provided excellent teaching, along with significant service to his or her church and community.

Award selection process

Nominations: Nominations accompanied by a brief rationale, may be made by alumni, faculty, staff and/or student honorary organizations. Nominations must be received by the Office of the Vice President and Dean by February 15 of each academic year.

Review process: At a joint meeting to take place no later than March 1, the Faculty Growth and Enrichment and Faculty Development and Evaluation committees will review the nominations, select the award recipient, and inform the CAS Vice President and Dean. (Nominees concurrently serving on either committee will be excluded from participating in the review process).

Presentation of the United Methodist Church Exemplary Teacher Award

The Exemplary Teacher Award is presented at the annual Faculty Recognition Celebration. The recipient of the award is then a candidate for the United Methodist Church Board of Higher Education's National Teacher Award.

THE KOPKE AWARD FOR DISTINGUISHED TEACHING

Eligibility

Full-time Baker University faculty members are eligible. Prospective recipients shall be considered without regard to:

- gender of the faculty member
- academic rank/position within their department
- tenure
- publishing efforts
- previous honors or awards
- number or type of degree(s) held
- length of service to the University
Criteria

Faculty members considered for this award should:

- be effective in the classroom
- bring unusual honors to the University
- succeed in creating scholars out of their students
- have good moral character

Award selection process

Kopke Award recipients are selected by the President of the University.

Presentation of the Kopke Award for Distinguished Teaching

The award will be presented to the recipient at Spring Commencement. A $5,000 prize is issued to the recipient of the Kopke Award.

FACULTY INCENTIVE PROGRAM AWARDS (FIP)

Eligibility

Full-time faculty members who have taught at Baker in the College of Arts and Sciences for three or more years with at least a half-time teaching appointment or the equivalent, and who have not won a FIP Award in the previous three years are eligible. Eligible faculty members are welcome to apply for more than one FIP Award in the same year (although they can only receive one award).

Members of the Faculty Development and Evaluation committee (FDE) are eligible for these awards, although they must recuse themselves from the entire review process for the specific award for which they have applied. An FDE member also cannot evaluate anybody with whom they themselves are competing, even if it is for another award category. When possible, an alternate FDE member will substitute for the nominated FDE member.

Criteria

Up to three FIP Awards will be awarded annually (provided there are qualified applicants): one for Teaching & Advising, one for Teaching Scholarship/Professional Activity, and one for Teaching and Service. Excellence in advising scholarship/professional activity, or service is necessary, but not sufficient for consideration for a FIP Award. All FIP applicants, regardless of the specific FIP Award sought, must meet a minimum level of teaching excellence. In other words, regardless of the level of excellence within the area of advising, scholarship/professional activity, or service, individual faculty members who do not have a record of teaching excellence will not be considered as eligible candidates for any FIP Award. This determination will be made by the CAS Dean.
The categories of Advising, Scholarship/Professional Activity, and Service are defined for each FIP Award in the same way that they are defined for annual evaluations, tenure, and promotion. In other words, what counts as Advising, Scholarship/Professional Activity, and Service activities for annual evaluations, tenure, and promotion are what counts for purposes of determining FIP Awards.

Additional guidelines for the individual FIP Awards are:

**Teaching and Advising:** Advising activities include such things as regular academic advising, freshmen advising, recommendation writing, assisting with student placement in post-graduation positions, and the like.

**Teaching and Scholarship/Professional Activity:** Each department should have on file with the Dean’s office its departmental definition of scholarship and professional development activities. The FDE committee can use these to help guide the evaluation process for the Teaching & Scholarship/Professional Activity Award.

**Teaching and Service:** Service can include activities related to an individual’s professional associations, university, college, and departmental service activities, and community service activities.

### Award Selection Process

**Nominations:** Individuals may indicate their interest in seeking a FIP Award simply by informing the CAS Vice President and Dean of their intent to apply by February 15 of each academic year. Additionally, CAS faculty members may nominate other eligible CAS faculty members. Those so nominated must accept the nomination by informing the CAS VP and Dean’s Office of their willingness to apply.

**Application:** All eligible faculty members seeking a FIP Award must submit an application to the Office of the Vice President and Dean by the Friday immediately preceding the commencement of spring break in order to be considered for a FIP Award.

Applications should consist of:

- a cover letter written by the nominee, not to exceed two-pages
  (This represents a brief opportunity for an applicant to set her/his record into focus for the FDE Committee. This might involve highlighting certain accomplishments, articulating a personal philosophy, explaining or clarifying various aspects of the candidate’s work, etc. The two-page limit is designed to minimize the amount of time and energy spent in putting together applications, to facilitate comparability among applications, and to limit the workload associated with the review process. **Strict adherence to the two-page limit is therefore essential.**)

- the previous three years’ annual self-evaluations
- the previous three years’ annual evaluations by the faculty member’s Chair/Dean

- an updated vita

Individuals who did not write and submit the previous three years’ annual self-evaluations are not eligible for FIP Awards.

Individuals may not solicit letters of support from current or former faculty members, or from current or former Baker University students.

Review Process: The review of FIP Award applications will be a two-stage process. Initially, the CAS Vice President and Dean will review applications for each award and will make a preliminary determination regarding eligibility and competitiveness for each award. The top applicants for each award will then be forwarded to the FDE committee for further review. The FDE committee will not be informed by the CAS Dean as to the identity of individuals that have not been advanced to them. At least two applicants will be forwarded to the CAS Vice President and Dean for each FIP Award (except in cases where fewer than two candidates have applied or where no candidates meet the minimum required level of teaching excellence). There is no upper limit on the number of applicants that the CAS Dean can forward to the FDE committee for further review.

The FDE committee will first recuse any committee members who have been nominated and advanced for a FIP award, replacing themselves with an alternate when possible. The FDE committee then will review applications and will select the FIP Award recipient in each category. The FDE committee will utilize personnel files in the Dean’s office to assist in the review and selection process. Individuals having been advanced as candidate by the CAS Dean will be evaluated by the FDE committee, with equal weight being given to candidates’ teaching records as well as candidates’ records in Advising, Scholarship/Professional Activity, or Service, as appropriate for the award being sought. That is, each candidate’s record of teaching will be assessed, and, independently, each candidate’s record in Advising, Scholarship/Professional Activity, or Service will be assessed. These two assessments will be combined into an overall evaluation, with equal weight going to each. The candidate with the highest combined evaluation will be selected as the FIP Award recipient. In cases where two or more applicants are judged to be of equal merit, preference will go to individuals who have not previously received a FIP Award in that category, and to those who have not received a FIP Award in any category. Otherwise, prior receipt of a FIP Award will not factor into the review process.

Presentation of the Faculty Incentive Program Awards

Announcement of the FIP Awards recipients will be made by the Office of the Vice President and Dean prior to the end of the academic year.
CRITERIA FOR SELECTION OF CAS FACULTY TO THE BAKER FACULTY HALL OF FAME

Purpose

The purpose of the Faculty Hall of Fame Committee is to identify and honor those faculty members who have maintained Baker’s distinguished tradition of academic excellence through rigorous training and careful scholarship; who have represented the highest values of the teaching profession; who have moved the hearts and minds of their students; and who continue to serve as models for excellence in teaching.

Selection for the Faculty Hall of Fame will be made based on the following criteria:

1. The candidate shall have served as a full-time faculty member at Baker University for at least fifteen years.

2. As a general rule, candidates should have the terminal degree for their discipline. In truly exceptional cases, a candidate without the terminal degree may be considered.

3. There shall be evidence of off-campus recognition, such as service in professional organizations, publication, research, lecturing to the general public, recitals, exhibitions, etc.

4. There shall be well-grounded documentation of teaching excellence as well as the willingness to advise, carry out committee assignments, or serve as a faculty sponsor.

5. There shall be evidence of a willingness to serve as a constructive citizen in their community.

6. Above all, there shall be evidence of those qualities of personality, character, and professional ability which touch and enrich the lives of students, including but not limited to the following:

   a. the ability to bridge the ground between the subject matter and the student, while at the same time maintaining high academic standards.

   b. the ability to infuse enthusiasm for learning, abstract reasoning, intellectual accomplishment and pride.

   c. the ability to convey the highest ethical responsibility toward fellow human beings.
APPENDIX A

CHARTER OF BAKER UNIVERSITY

(Revised October 1984)

Be it enacted by the Governor and Legislative Assembly of the Territory of Kansas

Section 1. That L. B. Dennis, Ira Blackford, Charles H. Lovejoy, Walter Oakley, N. Taylor, Homer H. Moore, James Snow, Curtis Graham and William Butt of the Kansas and Nebraska Conference of the Methodist Episcopal Church, and such other persons as shall, or may hereafter be appointed by the Kansas Conference, or subdivisions of said Kansas Conference, of the said Methodist Episcopal Church to succeed them, be, and they are hereby created and constituted a body politic, and corporate, under the name and style of the Trustees of the Baker University, and henceforth shall be styled and known by that name, and, by the name and style, to remain and have perpetual succession, with power to sue and be sued, to plead and be impleaded; to acquire, hold and convey property, real, personal or mixed, in lawful ways; to have and use a common seal, and to alter the same at pleasure; to make and alter from time to time such by-laws as they may deem necessary for the government of said institution, its officers and servants; Provided, such by-laws are not inconsistent with the constitution of the United States and the Organic Act; and to confer on such persons as may be considered worthy of such academical or honorary degrees as are usually conferred by similar institutions, colleges and universities.

Section 2. That the term of office of said Trustees shall be four years, but they shall hereafter, at the regular Annual Conference aforesaid, in 1859, so arrange by lot that the term of office of one-fourth of their number shall expire annually; and said board shall, in the manner above specified, have perpetual succession and shall hold the property of said institution solely for the purposes of education, and not as stock for the individual benefit of themselves, or any contributor to the endowment of the same. No particular religious faith shall be required by those who become students of the institution. Nine members shall constitute a quorum for the transaction of any business of the Board, except the election of President or Professor, or the establishment of Chairs in said institution, and the enactment of by-laws for its government, for which the presence of a majority of the Board shall be necessary; Provided, that the Trustees hereafter selected, shall not exceed thirty-two in number, who shall be fairly apportioned among the respective Conferences having the selection thereof, as hereinbefore provided.

Section 3. That the said Annual Conference of the Methodist Episcopal Church under whose patronage said University is placed, shall each also have the right to appoint annually, two suitable persons, members of their own body, visitors to said University, who shall attend the examination of students, and be entitled to participate in the deliberations of the Board of Trustees, and enjoy all the privileges of members of said Board, except the right to vote.

Section 4. That the said institution shall be, and hereby is, permanently located at Baldwin City in the Territory of Kansas, and the corporators and their successors shall be competent, in law or equity, to take to themselves, in their said corporate name, real, personal or mixed estate, by gift, grant, bargain and sale, conveyance, will, demise, or bequest, of any person whatsoever; and the same estate, whether real, personal or mixed, to grant, bargain sell, convey, demise, let, place out at interest, or otherwise dispose of the same, for the use of said institution, in such manner as to them shall seem most beneficial.
to said institution. Said corporators shall faithfully apply all the funds collected, as the proceeds of the property belonging to the said institution, according to their best judgment in erecting and completing suitable buildings, supporting necessary officers, instructors, servants and agents, and procuring books, maps, charts, globes and philosophical, chemical, and all other apparatus necessary to the success of the institution and do all other acts usually performed by similar institutions that may be deemed necessary to the success of said institution under the restrictions imposed; Provided, nevertheless, That, in case any donation, demise or bequest shall be made for particular purposes, accordant with the design of the institution, and the corporation shall accept the same, every such donation, demise or bequest, shall be applied in conformity with the express conditions of the donors or devisors:

Provided, further, that said corporation shall not be allowed to hold more than two thousand acres of land at any one time, unless the said corporation shall have received the same by gift, grant or demise; and in such case they shall be required to sell or dispose of the same within ten years from the time they shall acquire such title, and in failure to do so, such land, over and above the before named two thousand acres, shall revert to the original donor, grantor, devisors or their heirs.

Section 5. That the treasurer of the institution, and all other agents, when required, before entering upon the duties of their appointment shall give bond for the security of the corporation, in such penal sum and with such securities as the corporation shall approve; and all processes against the corporation shall be by summons, and the services of the same shall be by leaving an attested copy thereof, with the treasurer at least sixty days before the return day thereof.

Section 6. That the corporation shall have power to employ and appoint a President or Principal for said institution, and all such Professors or Teachers and all such agents or servants as may be necessary, and shall have power to displace any, or such of them as the interest of the institution may require; to fill vacancies which may happen by death, resignation or otherwise, among said officers and servants; and to prescribe and direct the course of studies to be pursued in said institution, by and with the advice and consent of the President and Professors thereof.

Section 7. That the Corporation shall have power to establish Departments for the study of any and all the learned and liberal professions in the same, to confer the degrees of Doctor in the learned arts and sciences and belles-lettres, and to confer such other academical degrees as are usually conferred by the most learned institutions, colleges and universities.

Section 8. That the said corporation shall have power to institute a Board of competent persons, always including the Faculty, who shall examine such individuals as may apply, and, if such applicants are found to possess such knowledge pursued in said institution as, in the judgment of said Board, renders them worthy, they may be considered graduates in course, and shall be entitled to diplomas accordingly on paying such fees as the corporation shall affix; which fee, however, shall in no case exceed the tuition bills of the full course of studies in said institution. Such examining Board may not exceed the number of ten, three of whom may transact business provided one be of the Faculty.

Section 9. That, should the corporation at any time act contrary to the provisions of this charter, or fail to comply with the same, upon complaint being made to the proper court of the county in which said University is situated, a scire facias shall issue, and the proper attorney shall prosecute in behalf of the people of the Territory for forfeiture of this charter. This act shall be a public act, and shall be construed liberally in all courts, for the purpose herein expressed.
(Signed)                        
G. W. Deitzler 
Speaker of the House of Representatives

C. W. Babcock 
President of the Council

Approved February 12, 1858 
J. W. Denver 
Acting Governor

NOTE: Words underlined in Sections 1 and 7, above, are added as amendments to the Charter by action of the Board of Trustees on the 18th day of March, 1978 for good and sufficient cause, and approved by the Kansas State Board of Education on May 9, 1978.
A COMPREHENSIVE PLAN FOR FACULTY DEVELOPMENT AT BAKER UNIVERSITY’S COLLEGE OF ARTS AND SCIENCES

Revised August, 2007

PROGRAM MISSION

Faculty development is essential to the energy and growth of not only the faculty, but of the students and the institution as a whole. In order to provide the highest standard of excellence in a learning-centered liberal arts education, Baker University’s College of Arts and Sciences is dedicated to the selection and development of the best qualified and most effective faculty possible. Our faculty development program provides a range of opportunities designed to enhance faculty effectiveness in teaching and scholarship. We strive to create an environment which fosters both professional and personal satisfaction, and in turn promotes retention of an exemplary faculty. Responsive to the expressed professional needs and interests of faculty members at varying stages of their careers, the faculty development program offers support for innovative and effective teaching, professional travel, scholarship and creative activity, as well as support for community forums for both the formal and informal sharing of ideas.

THE SUPPORT STRUCTURE

The faculty development plan is intended to reflect an administrative commitment to the various types of support that enable faculty members to address diverse professional and personal needs throughout the duration of their careers at Baker. In turn, we expect that this investment in faculty success will translate into organizational success and serve as the cornerstone of the learning experience of Baker students.
The professional development and the associated evaluation of faculty at the College focus on four dimensions: 1) teaching effectiveness, 2) professional activity, 3) effective student advising, and 4) service to one’s discipline, the institution, and the greater community. These four dimensions are inextricably linked. Teachers who are passionate scholars, perhaps even active participants in the extension of knowledge in their academic disciplines, bring a contagious enthusiasm to the classroom that helps to facilitate a lifelong love of learning among students. That same scholarship and familiarity with current opportunities in the various academic fields enhances the “one-on-one” teaching that characterizes Baker’s extensive student advising program. An expectation of additional contributions to the greater learning community on campus and beyond not only ensures the most effective delivery of both curricular and co-curricular programs to students, but provides a valuable service-learning model as well. By meeting faculty needs associated with each of these four dimensions through the faculty development program, we are able to demonstrate our commitment to excellence in serving our students via a community of teacher-scholars.

A high quality faculty development program provides the necessary resources to meet the needs of its faculty. The position of Associate Dean of the College of Arts and Sciences was created to serve the faculty in this regard. Under the leadership of the Associate Dean, the comprehensive faculty development plan of the College is implemented, enabling faculty members to maximize their growth in the areas of teaching, advising, scholarship, and community service.

The faculty development program at Baker University’s College of Arts and Sciences provides support in four specific areas:

1. **Support for Teaching and Learning** – Because teaching is the primary responsibility of our faculty, the faculty development program prioritizes initiatives that serve to enhance the teaching-learning relationship between faculty and students.

   We take pride in the fact that Baker is recognized as an institution where teaching is the primary responsibility of our faculty. Opportunities that enhance faculty expertise in pedagogy necessarily comprise the heart of the faculty development initiative at Baker. We believe that the development of teaching expertise must be guided by a learning-centered approach to education. Such an approach focuses on meeting students’ educational needs in anticipation of an ever-changing technological and economic world. In order for students to be successful in such an environment, active learning and the development of problem solving skills are essential. It is important that teachers be sensitive to this dynamic environment, be prepared to provide students with these important skills, and be aware of the factors that motivate student learning, enhance satisfaction, and contribute to persistence. In addition, it is extremely important that teachers recognize that students learn in different ways at different rates. Further, student learning styles and rates may change over time and vary with subject matter. Faculty members at a learning-centered educational institution must
continually seek alternative ways to enhance student learning. The faculty development program at Baker serves as a mechanism for connecting faculty to the necessary resources that would enable them to accomplish this work.

2. **Support for Faculty Scholarship, Research, and Creative Activity** – Because faculty scholarship, broadly defined, is a major contributor to the quality of the content of what students learn as well as a contributor to the overall intellectual climate of the College community, the faculty development program supports initiatives that enable faculty members to grow professionally in their respective disciplines.

While we, at Baker, generally acknowledge that teaching is the primary responsibility of the faculty, we also recognized that faculty members need to expand their own knowledge and expertise in their respective disciplines in order to provide students with the highest quality education possible. Support which enables individuals to actively contribute to the knowledge base of their respective fields of expertise is an important element of the faculty development program. Further, we highly value scholarly activities that involve students, such as faculty-sponsored research and creative endeavors, and experiential and service learning projects. Fostering a campus-wide culture of scholarship is central to the growth of the College’s intellectual community. Consequently, the faculty development program offers diverse forms of support for: 1) faculty scholarship as it is broadly defined; 2) individual and collaborative research; and 3) professional creative activities.

3. **Support for Academic Programs** – Because the quality of relevant student learning is determined by the effectiveness of both the content and delivery of the curriculum, the faculty development program supports initiatives that promote the innovative design, renewal, and assessment of its educational offerings at both the course and program level.

Faculty development means building not only teaching skills and discipline knowledge, but facilitating teamwork and collaboration in the development, execution, and assessment of programs and curricula. Accordingly, the comprehensive faculty development plan contributes to the effectiveness and enrichment of the College curriculum through support of faculty initiatives in design, renewal, and assessment at both the course and program levels. We particularly encourage multidisciplinary and experiential program efforts.

4. **Support for Personal Growth and Satisfaction** – Because professional development is dependent upon an individual’s personal development, the faculty development program supports initiatives that contribute to the personal growth and well-being of its faculty.

At Baker, we understood that the development and success of the organization is dependent upon the professional development and success of its faculty. In turn, we also understand that the professional development and success of individual faculty members is intimately associated with the personal development and satisfaction of those individuals. Because the Baker organizational culture embodies a commitment to
community, it is recognized that policies and practices that enhance the quality of the
interrelationships among the members of that culture are equally important as the
policies and practices designed to enhance the individual professional development of
its members. In that personal development and satisfaction can be broadly defined and
the procedures for achieving each can be varied in scope, Baker offers a diverse set of
opportunities intended to enhance the personal well-being of its faculty. In the spirit of
the College’s mission and vision statement, these opportunities are intended to develop
the well-being of the whole person – characterized by the mind, body, and spirit.

In order to facilitate growth in these four areas, the faculty development program identifies
opportunities and provides specific initiatives to support a rich culture of faculty development at
Baker University’s College of Arts and Sciences.

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Development Program for New Faculty: A comprehensive program for new faculty is a critical
aspect of the faculty development program. The various components provide important
socialization to the Baker culture as well as support for effective teaching and learning.

- **New Faculty Orientation Workshop:** Before the start of each fall semester, the Associate
  Dean coordinates an orientation workshop to assist new faculty members in their assimilation
to the Baker learning community. In addition to meeting their mentors, the College’s newest
colleagues are introduced to the institution’s history and mission, the strategic planning
process, the governance system, the faculty development program, the evaluation process,
the student life and academic support system, and to the technological processes necessary to
work and teach effectively at Baker.

  **Areas of Support:** Teaching and Learning, Personal Growth and Satisfaction

- **New Faculty Mentoring Program:** Under the leadership of the Associate Dean of the
  College, the faculty mentoring program is designed to help new faculty members adapt more
efficiently and effectively to the Baker culture. Each new full-time faculty member is
matched in a partnership with an established (generally tenured) Baker faculty member.
Feedback from this program has demonstrated the mutual benefit of these cross-disciplinary
pairings. The new faculty member is able to benefit from the opportunity to ask questions
about the culture and processes of the university, and the mentor gains insight into the
workings of other disciplines as well as an opportunity to be of service to a colleague who is
“learning the ropes”. Mentors and their new faculty “mentees” are encouraged to directly
observe each other’s classrooms and to meet regularly and informally to discuss issues or just
interact socially.

  **Areas of Support:** Teaching and Learning, Personal Growth and Satisfaction

- **First Baker Year Teaching Experience (1st BYTE):** As a means of augmenting the
  traditional faculty orientation, and to add a formal piece to the interactions between new
faculty members and their mentors, the 1st BYTE seminar series provides continuing
opportunities to help new faculty members learn about the organization and culture of Baker
University. Specific seminar topics (e.g., faculty governance, interpreting student
evaluations of teaching) are intermingled with opportunities to share experiences and problems with other faculty (both new and experienced). Formal feedback on the 1st BYTE program from both new faculty and mentors has been strongly supportive of the seminar series.

**Areas of Support:**  Teaching and Learning, Personal Growth and Satisfaction

- **Low-stakes Classroom Observation and Feedback:** As an introduction to the support and consultation services provided by the Associate Dean’s office, the Associate Dean schedules a developmental classroom observation visit with each new faculty member. Faculty are provided with written feedback and an opportunity to visit with the Associate Dean. The feedback is provided in a strictly developmental capacity, and is not entered into the faculty member’s personnel file.

**Areas of Support:**  Teaching and Learning, Personal Growth and Satisfaction

- **Workshop, Seminar and Conference Opportunities:** The faculty development program encourages faculty participation in a variety of workshop, seminar and conference opportunities. Some of these opportunities are specifically created for Baker faculty, while others are offered by external agencies and consortia.

- **Fall Full-Faculty Opening Workshop:** Planned and offered by the CAS Faculty Growth and Enrichment (FGE) Committee, this professional development opportunity is available to all full-time and part-time faculty members. Based on an assessment of faculty needs, the themes and/or topics vary from year to year, but generally flow from the 4 key areas of faculty performance: teaching, advising, scholarship and service. Recent program themes have included teaching effectiveness, instructional technology and assessment of student learning. Experts from both on and off campus have served as workshop speakers and facilitators.

**Areas of Support:**  Teaching and Learning, Academic Programs, Personal Growth and Satisfaction

- **Enhancing Teaching and Learning Conference:** Through Baker’s membership in the Kansas City Professional Development Council (KCPDC) consortium, all full-time and part-time faculty members are eligible to participate in this annual one-day conference. Designed as a forum for sharing teaching ideas with teachers from other colleges and universities in the greater Kansas City area, the conference offers an excellent opportunity for Baker faculty to learn new teaching strategies or to share their own innovations with colleagues from other institutions.

**Areas of Support:**  Teaching and Learning, Scholarship/Research/Creative Activity

- **KCPDC Faculty Development Program:** The KCPDC consortium of Kansas City area colleges and universities offers a series of professional development seminars for faculty focusing on effective teaching. The program includes eight three-hour seminars each academic year offered at no cost to full and part-time faculty at all member institutions.

**Areas of Support:**  Teaching and Learning, Personal Growth and Satisfaction
KICA Workshop Opportunities: The Kansas Independent Colleges Association (KICA), a state division of the Council of Independent Colleges (CIC), offers a variety of faculty development opportunities throughout the academic year at no cost to faculty from member institutions. These include workshops on teaching and technology, shared delivery of curriculum, and discipline-based sharing and networking.

Areas of Support: Teaching and Learning, Personal Growth and Satisfaction

KCPDC Supervisory and Leadership Development Seminars: In addition to its Faculty Development Program that specifically addresses teaching and learning issues, KCPDC offers two additional seminar series: the Supervisor Development Program and the Leadership Issues seminar series. These professional development seminars provide additional development opportunities to KCPDC member schools’ faculties and staffs. All full-time and part-time Baker faculty members are eligible to participate.

Areas of Support: Teaching and Learning, Academic Programs, Personal Growth and Satisfaction

Department Chair Development Program: The faculty development program prioritizes professional development opportunities specific to faculty members serving in the role department chair. In addition to an annual fall workshop for department chairs, other on-campus and off-campus opportunities are routinely identified or created for the purpose of providing program leaders with the knowledge and skills necessary to develop and assess their departmental programs and the faculty who serve them. When necessary, funding through individual contractual arrangements, the professional development grant program, the individual department budgets, or other sources, is used to support such opportunities.

Areas of Support: Academic Programs, Personal Growth and Satisfaction

Student Advising Workshops: The student advising process is recognized as a special one-on-one teaching/learning opportunity that occurs outside of the formal classroom. In adherence to the learning-centered education approach, a set of skills related to student academic and career counseling are necessary to facilitate student success. Under the direction of the Assistant Dean for Student Academic Services, a series of workshops is offered each year. The workshops vary in their target audiences with some workshops targeting veteran advisors (updating advising processes and information) while others focus on those newer to advising or those involved in the First Year Experience program which includes freshman advising.

Areas of Support: Teaching and Learning, Academic Programs

Information Literacy Workshops: Offered monthly by Baker the library staff, this series of workshops focuses on databases, plagiarism checking, citation software and other information tools to assist faculty and students in their work.

Areas of Support: Teaching and Learning, Academic Programs, Scholarship/Research/Creative Activity

Technology Workshops: A variety of workshops are offered by the information technology staff on an as needed and requested basis. These workshops are designed primarily to train
faculty and staff on software applications and to enhance the effective use of classroom technologies.

*Areas of Support:  Teaching and Learning, Academic Programs, Scholarship/Research/Creative Activity*

**Financial Resource Support:** A central aspect of the faculty development program is a focus on providing resources to enable faculty to participate in developmental activities. These resources provide faculty members the financial support to improve themselves as teachers and to pursue scholarly, research, and creative work that is central to the experience of academic life.

- **Contractual Development Funds for New Faculty:** As a matter of course, Baker’s administration incorporates a professional development funding agreement into the initial contractual arrangement of new full-time faculty. Typically specified for a 1-3 year period, these funds may be used for research, specialized training or licensure, conference presentations or attendance, professional travel, creative endeavors, or other professional activities. The program is designed to meet the special professional development needs of colleagues new to the field of higher education or new to Baker.

*Areas of Support:  Teaching and Learning, Scholarship/Research/Creative Activity*

- **Professional Development Grants:** A critical component of the overall faculty development plan, the Professional Development Grant Fund, provides financial support for individual developmental and professional activity. Under the direction of the Associate Dean of the College, the program provides up to $1000 annually to all full-time faculty members for travel to conferences, participation in workshops or seminars, and a variety of other professional development activities. A brief application process requires a report on the impact of previously funded development activity on the individual faculty member’s professional growth as a teacher and/or scholar.

*Areas of Support:  Teaching and Learning, Scholarship/Research/Creative Activity*

- **Support for Faculty/Student Collaboration:** Faculty research and creative activities often provide unique opportunities to engage interested students in active learning related to scholarship in a given discipline. Recognizing this, Baker supports planned faculty/student collaborative efforts by funding research and creative projects through the student Honors program and/or the various departmental budgets.

*Areas of Support:  Teaching and Learning, Academic Programs, Scholarship/Research/Creative Activity*

- **Travel-for-Learning Grants:** Supported by an endowed fund, the donor specifies that special opportunities be provided to Baker faculty members for teaching-related international travel. The CAS Faculty Growth and Enrichment (FGE) Committee, serving as the advisory body to the Vice President and Dean of the College of Arts and Sciences, recommends qualified recipients for one large ($5000) and several smaller ($1000-$1500) grants that enable faculty members to incorporate educational experiences resulting from extensive travel into their teaching activity in the classroom.
**Areas of Support:** Teaching and Learning, Scholarship/Research /Creative Activity, Personal Growth and Satisfaction

- **Professional Grant-writing Assistance:** The University employs a full-time Director of Grant programs who is charged with the responsibility to pursue avenues of external funding for the university through grants, corporate donors and foundation gifts. The Director is available to work with faculty to identify funding sources for innovative ideas in academic programming or to provide consultation on research grant applications.  
  *Areas of Support: Academic Programs, Scholarship/Research /Creative Activity*

- **Tuition Waiver for Baker Course Work:** As a benefit, all full-time faculty members who have served the institution for at least six months, are entitled to enroll in any Baker University classes for which they are qualified, free of tuition. Courses may be taken at the College of Arts and Sciences, the School of Education, the School of Professional and Graduate Studies, or the School of Nursing.  
  *Areas of Support: Teaching and Learning, Scholarship/Research /Creative Activity Personal Growth and Satisfaction*

- **Professional Reimbursements:** Through the departmental budgeting process, funding is made available to reimburse faculty members for a variety of professional costs (e.g., fees paid for memberships to professional organizations, subscriptions to scholarly journals, etc.).  
  *Areas of Support: Scholarship/Research /Creative Activity*

**Development Time Support:** One of the most precious commodities in academia is time. The faculty development program provides opportunities for experiences outside of the regular rhythm of teaching and grading that will enhance personal and professional growth.

- **Sabbatical Leave Program:** Faculty members who have served the University for at least six consecutive years are eligible for either a semester-long sabbatical leave at full salary or a year-long sabbatical leave at half salary. A wide variety of professional development opportunities are available to faculty members afforded this release time that would not be available under normal working conditions. A summary report of sabbatical leave professional activities is a requisite.  
  *Areas of Support: Teaching and Learning, Personal Growth and Satisfaction*

- **Faculty Whitespace Grants:** Faculty may apply for a release from a portion of their teaching obligations in a given semester in order to pursue a specific project that could benefit from the additional undedicated time (whitespace). Applications are reviewed by the FGE committee and recommended to the Dean. Projects can relate to the development of curricula and academic programs, or may focus on research and professional activity. A project report or other written product is required.  
  *Areas of Support: Teaching and Learning, Academic Programs, Scholarship/Research /Creative Activity*
• **Harlaxton Program:** Through a partnership with the University of Evansville, Baker faculty members are afforded an opportunity to travel to England in order to teach at the University of Evansville’s Harlaxton campus. One Baker faculty member accompanies a select group of Baker students each semester for a semester-long teaching-learning experience. Sharing ideas with students and faculty colleagues from other universities and colleges, as well as exposure to a travel-intensive active learning model help to broaden and enrich the teaching expertise of the Baker faculty member.

*Areas of Support:*  *Teaching and Learning, Personal Growth and Satisfaction*

• **Fall Semester In-Service Day – Focus on Departments:** An in-service day free of classroom obligations has been established at the approximate midpoint of the fall semester calendar for departmental colleagues to dedicate time toward academic program issues. A focus is placed on curriculum development and planning activities.

*Areas of Support:*  *Teaching and Learning, Academic Programs*

• **Spring Semester In-Service Day – Focus on Assessment:** An in-service day free of classroom obligations has been established at the approximate midpoint of the spring semester calendar for the faculty to dedicate time toward program assessment activities. Funds have been budgeted for the procurement of external experts to facilitate on-campus workshops on best practices in assessing student outcomes.

*Areas of Support:*  *Teaching and Learning, Academic Programs*

**Support for Collegiality and Community:** As a small community, Baker has many opportunities for the development of collaborative and collegial relationships with faculty and staff from all areas of the campus. The faculty development program identifies and supports a number of specific opportunities that help to build the close-knit sense of community and collaboration among our faculty.

• **University Forum Series:** In association with the University’s Artist and Lecture Series, select faculty members are provided with regular opportunities to make professional presentations to faculty colleagues and other interested staff and students. Often times, these individuals have been the recipients of recent professional development or travel-for-learning grant funds. Topics depend on the expertise of the presenter but are typically of interest to the broader intellectual community. Generally, a spirited informal exchange of ideas follows the formal presentation.

*Areas of Support:*  *Teaching and Learning, Scholarship/Research /Creative Activity, Personal Growth and Satisfaction*

• **Cafeteria Meals:** Baker provides 40 cafeteria meals annually to each employee free of charge in order to promote interaction and collegiality among members of the entire learning community. A reduced rate meal plan is available for employees to purchase additional cafeteria meals.

*Areas of Support:*  *Teaching and Learning, Scholarship/Research /Creative Activity, Personal Growth and Satisfaction*
- **Lunch Bunch**: Started in 1997 by several colleagues in the College’s Education Department, the charter group of participating faculty members informally approved the following mission statement: "The purpose of the Lunch Bunch is to promote excellence in teaching and learning." The monthly lunch meetings offer an informal opportunity for faculty to gather to share ideas with one another. Periodically, outside guest speakers are invited to share their expertise.

  **Areas of Support**: Teaching and Learning, Personal Growth and Satisfaction

- **Artist and Lecture Series**: On an annual basis, Baker offers a variety of cultural educational and entertainment opportunities to the entire University community at a modest cost.

  **Areas of Support**: Personal Growth and Satisfaction

- **Sporting Events**: Baker offers free admission to faculty, staff, and students to home athletic events.

  **Areas of Support**: Personal Growth and Satisfaction

- **University Worship**: Throughout the academic year, the 11:00 hour on Thursday has been set aside for the purpose of bringing interested University community members together for a dedicated (non-denominational) opportunity for spiritual growth.

  **Areas of Support**: Personal Growth and Satisfaction

**Faculty Recognition**: The College community is proud to recognize excellence among its faculty in many ways. Maintaining a strong and dedicated faculty is critical to the educational mission of the College and the faculty development program provides opportunities for the public recognition of the accomplishments and hard work of our best faculty.

- **Distinguished Faculty Award**: The Distinguished Faculty award focuses on excellence in teaching and advising. Candidates are nominated by their peers and winners are selected by a joint body of the Faculty Development and Evaluation (FDE) and Faculty Growth and Enrichment (FGE) committees. Each year, the name of the Distinguished Faculty member is engraved on a plaque in the Faculty Hall of Fame.

  **Areas of Support**: Teaching and Learning, Personal Growth and Satisfaction

- **The United Methodist Church Exemplary Teacher Award**: The UMC exemplary teacher award is sponsored by the United Methodist Church, and focuses on excellence in teaching combined with strong character and service to church and community. Candidates are nominated by their peers and winners are selected by a joint body of the Faculty Development and Evaluation (FDE) and Faculty Growth and Enrichment (FGE) committees. Each year, the name of the Exemplary Teacher is engraved on a plaque in the Faculty Hall of Fame.

  **Areas of Support**: Teaching and Learning, Personal Growth and Satisfaction
- **The Distinguished Scholar Award:** The Distinguished Scholar award focuses on excellence in scholarship, performance or creative activity. Candidates are nominated by their peers and winners are selected by a joint body of the Faculty Development and Evaluation (FDE) and Faculty Growth and Enrichment (FGE) committees. Each year the name of the Distinguished Scholar is engraved on a plaque in the Faculty Hall of Fame.

  **Areas of Support:** Scholarship/Research/Creative Activity, Personal Growth and Satisfaction

- **Faculty Incentive Program:** An initiative designed to regularly reward the strongest performers is the Faculty Incentive Program (FIP). The FIP provides permanent salary increases to three faculty members each year. These faculty are recognized for their excellence in teaching and an additional in strength in the area of advising, scholarship or service.

  **Areas of Support:** Teaching and Learning, Scholarship/Research/Creative Activity, Personal Growth and Satisfaction

- **The Kopke Award for Distinguished Teaching:** An additional recognition is the prestigious Kopke Award for Distinguished Teaching which is supported by a special endowed fund and conferred on a deserving teacher by the President of the University.

  **Areas of Support:** Teaching and Learning, Personal Growth and Satisfaction

- **Celebration of Service Recognition:** A reception and a special recognition award help to celebrate the contributions of faculty and staff members upon service on milestone years.

  **Areas of Support:** Personal Growth and Satisfaction

**Consultation and Feedback Services:** An integral component of the faculty development program revolves around the services of the Associate Dean’s office in providing consultation and feedback to faculty members at all stages of their professional careers. In addition to the specific services detailed below, a critical aspect of the Associate Dean’s responsibility involves the provision of as-needed consultation services to faculty members on a variety of issues. The Associate Dean maintains an “open door” policy for faculty seeking consultation or support.

- **Classroom Visitation and Consultation:** In addition to the scheduled classroom visits associated with the peer review process coordinated by the Faculty Development and Evaluation (FDE) committee, the Associate Dean schedules annual classroom visits with all non-tenured and select tenured (on a five-year rotation) faculty members. The primary purpose of these visits is to provide an additional source of feedback for instructors as they continue to enhance their teaching effectiveness. Each classroom visit is followed by a one-on-one consultation session.

  **Areas of Support:** Teaching and Learning, Personal Growth and Satisfaction

- **Regular Assessment of Student Opinion:** In order to provide constructive feedback to teaching faculty, student opinions are regularly assessed using standardized surveys of instructor and advisor effectiveness.


*Areas of Support:  Teaching and Learning, Personal Growth and Satisfaction*

- **Performance Evaluation Consultation:** Included among multiple measures of faculty performance evaluation are several standardized survey instruments used to assess teaching and student advising effectiveness. The faculty development program offers open consultation opportunities for faculty members to visit with the Associate Dean regarding the interpretation of these survey results and consequential strategies for continued development.

*Areas of Support:  Teaching and Learning, Personal Growth and Satisfaction*

- **Pre-Tenure and Tenure Review Consultation:** The Associate Dean serves in an advisory capacity to individuals preparing portfolio materials for pre-tenure review, tenure review, and review for promotion in rank.

*Areas of Support:  Teaching and Learning, Personal Growth and Satisfaction*

- **Regular Departmental Consultation:** The Associate Dean works closely with department and division chairs in an effort to meet the developmental needs of the academic programs and the faculty who serve them. Regularly scheduled visits with faculty members at designated departmental meetings are an important part of this process.

*Areas of Support:  Teaching and Learning, Personal Growth and Satisfaction*

*Life Support - Comprehensive University Benefits:* Because professional development is dependent upon an individual’s personal wellbeing, the faculty development program supports initiatives that contribute to the personal growth and well-being of its faculty. The University provides a number of benefits for full-time faculty that provide important support for personal health, growth and life satisfaction.

- **Health, Dental, Life, and Disability Insurance:** With the majority of premiums paid by the University, a variety of extended options are available for each, including family coverage.

*Areas of Support:  Personal Growth and Satisfaction*

- **Section 125 Flexible Benefit Plan:** This provision allows eligible participants to pay for group medical plan premiums, medical and dental expenses not covered by insurance, and/or adult and child dependent care expenses with “untaxed” dollars.

*Areas of Support:  Personal Growth and Satisfaction*

- **403(b) Retirement Account and Tax Sheltered Annuity:** Subsequent to two years of service, Baker contributes the equivalent of 5% of the employee’s base salary to his or her retirement account. Additional matching contributions are available for eligible employees with 10 or more years of full time service. Baker also provides eligible employees an opportunity to supplement retirement income through tax deferred payroll deductions.

*Areas of Support:  Personal Growth and Satisfaction*

- **Tuition Waivers and Exchange Programs for Dependents:** Full-time faculty members’ spouses and dependent children are eligible for tuition waivers at Baker University for up to
18 credit hours per semester. Additionally, spouses and dependent children who are eligible for Baker tuition waivers are also eligible to participate in the tuition waiver programs associated with Tuition Exchange and the Council of Independent Colleges (CIC). These programs identify colleges across the country that may be available for free or reduced tuition for dependents of Baker faculty members.

**Areas of Support: Personal Growth and Satisfaction**

- **Bookstore Discounts:** Faculty members are entitled to a discount on all items purchased at the Baker Bookstore.

**Areas of Support: Teaching and Learning, Scholarship/Research/Creative Activity, Personal Growth and Satisfaction**

**Support for Personal Wellness and Health:** In addition to the tangible benefit packages afforded all full-time faculty, the faculty development program enthusiastically supports the following opportunities to promote health and wellness among all faculty and staff.

- **Fitness Center:** Baker places a high priority on promoting physical health and well-being and consequently offers a variety of avenues for its faculty and staff to maintain a healthy lifestyle. Employees of the College are provided liberal access to a well-equipped on-site fitness center as well as frequent opportunities to participate in structured aerobic classes and other trainer-led fitness activities.

**Areas of Support: Personal Growth and Satisfaction**

- **Wellness Program:** In addition, Baker sponsors a well-structured health program that features three major components. In the Lunch ’n Learn series, invited speakers make presentations on a variety of health issues to faculty and staff during a lunch consisting of a menu of healthy food choices. During the annual Community Health Fair, faculty, staff, and students are provided with an opportunity to be tested at a variety of health “stations”, designed to promote health awareness and help identify individual health concerns. At the annual spring Fun ’n Fitness Day, faculty and staff gather for an afternoon of outdoor fun and games, also intended to promote health awareness.

**Areas of Support: Personal Growth and Satisfaction**

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**ENSURING CONTINUED IMPROVEMENT IN FACULTY DEVELOPMENT**

Baker is committed to frequent and ongoing evaluation of the effectiveness of the various components of the faculty development program in order to ensure the highest level of support
for the continued professional and personal growth of our faculty. The comprehensive plan for faculty development includes the following commitments on the part of the academic administration to practices and policies that will sustain and grow the culture of faculty development at the College of Arts and Sciences.

**Commitment to Best Practices in Professional Development:** An institutional commitment toward providing its faculty with high quality faculty development resources comes with a corresponding commitment toward keeping institutional leaders abreast of the best practices in faculty development in higher education. Associations such as the Professional Development Network (POD) and other similar organizations, offer administrators, chairs, and other faculty with unique opportunities to keep up to date with issues and practices in faculty development. By maintaining membership in such organizations, Baker is able to provide important workshop and conference opportunities to its faculty development leaders.

**Ongoing Professional Development of Faculty Development Personnel:** In order to provide the highest quality faculty development program possible, it is the responsibility of the appropriate University leadership to stay current with both the best practices in faculty development and the methodology necessary to assess the effectiveness of these practices. In addition, Baker is committed to maintaining an understanding of the relationship between faculty development and student learning.

**Faculty Development Needs Assessments:** Changes in discipline-related knowledge, in technology, in market and stakeholder demands, in best practices related to faculty development issues, as well as changes in personnel, all require that the needs of a faculty be frequently assessed in order for them to be best met by an administration. Baker is committed to implementing a formalized system for accurately assessing its faculty’s developmental needs. A set of program objectives will be clearly articulated and modified as needed throughout the ongoing needs assessment process.

**Assessment of the Faculty Development Program:** Identifying the success of any program depends upon the implementation of a valid and reliable set of methods for measuring any change in performance associated with the various dimensions of the program. For this reason, an important element of a comprehensive faculty development plan is the ongoing assessment of programming. Formative assessment provides information with which real-time improvements can be implemented. In addition, it is understood that a longitudinal analysis of program objective-related performance provides valuable feedback necessary for comprehensive program improvements. Both the Faculty Development and Evaluation (FDE) committee and the Program Evaluation and Outcomes Assessment (PEOA) committee serve as important resources in these efforts.
APPENDIX C

Baker University
College of Arts and Sciences
Faculty Annual Self-Evaluation Report Guidelines

Purpose
The annual report and evaluation process includes (a) faculty annual self-evaluation reports filed with department chairs, division chairs, or the V.P and CAS Dean as appropriate (see 2004 Faculty Handbook for details) and (b) annual evaluations written by department chairs, division chairs, or V.P. and CAS Dean. These annual self-evaluation reports and the accompanying administrator’s evaluation become part of the faculty member’s performance record and should be used primarily as a developmental tool, with the faculty member and appropriate administrators working closely together to promote faculty effectiveness and satisfaction.

The reports and evaluations become part of the portfolio of information used by committees and administrators when conducting pre-tenure, tenure, promotion, and post-tenure evaluations. They will also be used as a factor in determining salary increases, when funds for merit pay are available. When the faculty member also has administrative responsibility, the reports and evaluations also will be used to promote administrative effectiveness and leadership development.

These guidelines are designed to:

- Clearly describe the key areas of faculty work so that faculty can more easily determine how best to utilize their time and talents as they move toward tenure, promotion, merit raises, and other forms of faculty recognition.
- Provide faculty members with the opportunity to be recognized for their contributions and achievements in the key areas of faculty work: teaching effectiveness, advising, professional activities, and service.
- Promote the self-satisfaction and personal and professional growth that comes from serious reflection on one’s contributions, achievements, challenges, and goals.
- Provide administrators at the department, division, and dean level a solid foundation on which to approach individual faculty development needs.
- Standardize the format used for faculty self-evaluation reports so that administrators and committees can easily determine faculty contributions in the key areas of work.
- Standardize the criteria used for administrator evaluations, so that faculty across the campus are evaluated fairly using the same rubric. These criteria are non-prescriptive and allow for appropriate discipline-based definitions.

Preparing your annual self-evaluation report

Please organize your annual self-evaluation report so that you have an overview paragraph, followed by a report of your activities in the areas of: (1) Teaching Effectiveness; (2) Advising; (3) Professional Activities; (4) Service; and (5) Goals. Faculty with administrative appointments should also report on their Administrative Activities. The following template is designed to prompt your thinking and serve as a guide for the type of content to be included under each key area. You are not expected to have something to report on each item listed.
(1)  **TEACHING EFFECTIVENESS**

- **Productivity and Accessibility** *(Faculty report must include the following)*
  - Courses Taught
  - New Preparations
  - Major Revisions
  - Lab Components
  - Enrollments
  - Accessibility (office hours and work patterns)

- **Course organization and Planning** *(Faculty report should address the following, plus any additional relevant information.)*
  - Course syllabus is appropriate, learning-centered, current, and supportive of course goals and objectives, with learning objectives clearly articulated
  - Attention to writing, communication skills, critical thinking, and other College learning outcome goals, as appropriate
  - Student learning assessment methods allow student to demonstrate achievement of course objectives
  - Active learning incorporated into course projects and assignments
  - Expend effort to develop instructional support materials (study guides, case studies, problem solving sets, concepts map, annotated bibliographies, etc.)
  - Additional evidence of course preparation and planning

- **Communication and Delivery** *(Faculty report could contain self assessment and summary of student perceptions; administrator’s report will include classroom observation.)*
  - Classroom management techniques that promote effective use of class time
  - Effective use of instructional techniques and tools (including lecture, discussion, audio/visual, group activities, and technology)
  - Effectively facilitates active learning, service learning, or other innovations designed to stimulate interest, enrich learning, and promote active engagement

- **Knowledge of Subject Matter** *(Faculty report could contain self assessment and summary of student perceptions; administrator’s report will include classroom observation.)*
  - Activities that demonstrate contemporary knowledge of discipline and of interconnection among departmental/division offerings; ability to express this knowledge in class.
  - Evidence/demonstration of competence with course content that is relevant and thorough (e.g., truly competent and also appears competent to students and peers)

(2)  **STUDENT ADVISING**

- **Productivity** *(Faculty report should describe “advising load” using these and other meaningful data.)*
  - Office Hours/Time per week
  - Number of Advisees
  - Major/program Advisees
  - Freshman Advisees

- **Advising Effectiveness** *(Faculty report should describe the types of support they provide students and evidence of their advising effectiveness.)*
- Types of support could include: planning, scheduling, degree plan analysis, identifying and resolving difficulties, and any proactive steps taken to support student success
- Evidence of advising effectiveness should include any recent report of student perceptions of advising, trends in these reports, unsolicited student feedback, and descriptions of student success (e.g., graduation rates for advisees, acceptance into graduate programs, etc.)
- Additional evidence of advising effectiveness

- **Career Counseling** *(Faculty report could mention the following efforts:)*
  - Collaborative work with Career Counseling Center ensure that students are aware of and prepared for career opportunities in their field
  - Facilitate internships, practicum, service learning and other activities that connect students with employers and the world of work
  - Assist students’ Post-Grad Application Process
  - Additional evidence of effectiveness in career counseling

- **Personal Support and Engagement** *(Faculty report could mention the following as philosophy or with supporting evidence.)*
  - Availability
  - Approachability
  - Resourcefulness
  - Refer to others as appropriate

(3) **PROFESSIONAL ACTIVITIES**

- **Professional Involvement** *(Faculty report should include the following activities:)*
  - Membership in state, regional, national, or international professional organization
  - Attendance at state, regional, national, or international professional conference

- **Scholarly and/or Creative Activities** *(Faculty report could include the following activities:)*
  - University Forum Presentation
  - Competitively select presentation of paper at conference
  - Invited conference presentation
  - Roundtable/Panel Discussant
  - Article-length Scholarly Publications in state, regional, national, or international journal
  - Book-length scholarly publications
  - Editor or Referee for Scholarly Publication, Performance of Recital, Art Exhibition/Show, Stage Performance, Direction of Professional/Semi-Professional/Civic Performance Group
  - Additional Scholarship or Creative Activity, as appropriately defined by department

- **Awards, Grants, Artistic Commissions, and/or Fellowships** *(Faculty report could list the following awards)*
  - Internal awards for teaching, advising, research or service
  - Conference Top Paper Award
  - Grants Activity (mention proposals and awards)
  - Artistic Commissions
  - Scholarly or Artistic Fellowships
  - Other recognition of achievement
- **Continuing Education** *(Faculty report should include evidence of investment in continuing education.)*
  - Workshop attendance
  - Summer institutes
  - Short courses
  - Graduate courses
  - Review of external programs

(4) **SERVICE**

- **Service to Academic Discipline – External** *(Faculty report could include the following activities as appropriate:)*
  - Officer in state, regional, national or international organization
  - Committee chair for state, regional, national, or international organization
  - Committee member for state, regional, national, or international organization
  - Paper reader for conference submissions
  - Service as program evaluator for external program
  - Service on accreditation evaluation team
  - Additional service to academic discipline

- **Service to Division or Department – internal** *(Faculty report could include the following activities as appropriate:)*
  - Coordinator of Learning Outcomes Assessment effort
  - Leadership in new curriculum design or major modifications to existing program
  - Chair for or Membership on Department Standing Committee
  - Chair for or Membership on Department Ad Hoc committee or task force group
  - Internship coordinator
  - Faculty advisor to student group or organization
  - Additional departmental service activity

- **Service to the University** *(Faculty report could include the following activities as appropriate:)*
  - Chair for or member of University Standing Committee or Council
  - Chair for or Membership on College Standing Committee or Council
  - Chair for or membership on College/University Ad Hoc Committee or task force group
  - New Faculty Mentor
  - Member of or Officer for Faculty Senate
  - Leader of Campus-Wide Workshops or Presentations
  - Organizer of Lecture Series
  - Advisor to Campus-wide student organization (e.g. honor society)
  - Activities in support of student recruitment
  - Activities in support of University advancement
  - Additional University service activity

- **Service to the Community** *(Faculty report should include all community service activities, but should highlight those activities that involve application of expertise such as:)*
  - Participation in local government or civic projects involving faculty expertise
  - Sponsoring community events related to discipline (e.g. art openings, music performances, theatre performances, special athletic events, public forums, etc.)
  - Participation in College Sponsored Outreach Programs
Engaging students in service-learning projects
Additional community service activity

(5) **INDIVIDUAL GOALS** *(Faculty report must list goals for the upcoming year.)*

- **Professional development goals in the areas of:**
  - Teaching
  - Advising
  - Professional Activity
  - Service
- **Personal growth and development goals, for which support is desired**

**ADMINISTRATIVE ACTIVITIES** *(To be inserted before “Professional Goals” by Division Directors, Department Chairs, and Program Directors, as appropriate)*

- Leadership & shared governance
- Strategic planning activity
- Accreditation (where appropriate)
- Learning outcomes assessment
- Curriculum Enhancement and Program Improvement
- Support for Faculty Development
- Recruitment efforts
- Efforts to support Student Engagement and Retention
- Partnerships and other collaborative relationships
- Grant activity
- Challenges and Goals

**RATING SCALE**

The following Rating Scale will be used by administrators to make summative evaluations in each of the key areas of faculty work.

**EP (EXEMPLARY PERFORMANCE)**
Consistently exceeds accepted standards of professional performance

**HP (HIGH PERFORMANCE)**
Frequently exceeds accepted standards of professional performance

**SP (SATISFACTORY PERFORMANCE)**
Consistently meets accepted standards of professional performance

**MP (MINIMAL PERFORMANCE)**
Does not consistently meet accepted standards of professional performance

**UP (UNSATISFACTORY PERFORMANCE)**
Does not meet accepted standards of professional performance
Appendix D

Retirement Benefit Package

Component 1: Retirement Package for all Employees

At the beginning of employment faculty and staff may contribute to a 403(b) Retirement Plan. Baker University contributes the equivalent of 5% of the faculty’s base salary after 2 years of service – prior service at a similar institution may be accepted to waive 2-year requirement. Additional matching contributions are available after ten years of service. In addition to the 5% contribution, for employees with more than ten years of service, the University will match their voluntary contributions to an approved 403(b) retirement fund according to the following schedule:

i. 10-14 years of service 2.25% of salary
ii. 15-19 years of service 3.25% of salary
iii. 20-24 years of service 4.25% of salary
iv. Over 25 years of service 5.25% of salary

Component 2: University-wide Retirement Training Program for All Employees

To ensure that employees have an understanding of the importance of retirement planning, Human Resources will continue to notify faculty and staff members of when they are eligible for university funds for retirement. They will encourage faculty and staff members to contact their respective retirement and fund representatives to determine status and information about their funds. In addition, HR will provide information to individuals about the costs of delaying retirement planning. Finally, to ensure the information is disseminated, HR will develop and offer an open retirement workshop for faculty and staff at least once a year.

Component 3: Retirement Bridge Program for Faculty

A Bridge Program can be the financial incentive to allow faculty to retire prior to reaching the age of full Social Security.

To qualify for the Bridge Program, each of the following criteria would need to be met:

1. A full-time faculty member for a minimum of 20 years of service
2. Between the age of 62 and eligibility for full Social Security (currently 66 years of age)
3. The full-time faculty member must give the University notice one full year prior to pending retirement.

The incentive is based on years of service (Y) and will be calculated at follows:

\[(Y \times 1200) + (((Y - 10) \times 1200) \times ((Y - 10) \times 0.05))\]*

*There will be a periodic review of the above factors to evaluate their relationship to prevailing economic conditions.

Component 4: Authorize Financial Incentive Packet

The President/Provost is authorized to negotiate with individual faculty members a retirement incentive packet if it is deemed in the best interest of the University.
Baker University Information Technology
Responsible Use Policy

General Statement
Baker University's computing and network resources are intended for university-related purposes, including direct and indirect support of the university's instruction, research, and service missions; of university administrative functions; of student and campus life activities; and of the free exchange of ideas among members of the university community and between the university community and the wider local, national, and world communities.

The use of university computing and network resources is subject to the normal requirements of legal and ethical behavior within the university community. Although some limitations are built into computer operating systems and networks, those technical limitations are not the sole restrictions on what is permissible. Users must abide by all applicable restrictions, whether or not they are built into the operating system or network and whether or not they can be circumvented by technical means.

Applicability
This policy applies to all users of university computing and network resources, whether affiliated with the university or not, and to all uses of those resources, whether on campus or from remote locations.

The university may also take action relating to the use of university or non-university computer resources, either on campus or elsewhere, when such behavior may involve the commission of a crime or poses a danger to others.

Eligibility
Eligibility is defined as follows:

<table>
<thead>
<tr>
<th>Information Technology Services</th>
<th>Who is eligible</th>
</tr>
</thead>
</table>
| Email services including listservs and news groups | • All matriculated students.  
• All faculty including emeriti faculty  
• All staff |
| Web page authoring and storage | • All matriculated students.  
• All faculty including emeriti faculty  
• All staff |
| Standard Internet services including Web, Telnet, and FTP | • All matriculated students  
• All faculty including emeritus faculty  
• All staff |
Policy on the Use of Baker University Computing Resources

1. **Users must comply with all federal, Kansas and other applicable law, as well as all generally applicable university rules and policies.** Examples of such potentially applicable laws, rules and policies include the laws of libel, privacy, copyright, trademark, obscenity and child pornography; the Computer Security Act of 1987, the Computer Abuse and Misuse Act of 1986, the Electronic Communications Privacy Act, and Kansas Computer Crime; Unlawful Computer Access law #21-3755; the university's Student Handbook; the university's Faculty Handbook; and the university's Employment Policies Handbook for administrative and support staff. Users who engage in electronic communications with persons in other states or countries or on other systems or networks should be aware that they may also be subject to the laws of those other states and countries and the rules and policies of those other systems and networks. Users must be sure that the use of any downloaded material (including print, audio, and video) stored on university or personal computers is not in violation of copyright laws.

2. **Users are responsible for complying with the requirements of the contracts and licenses applicable to the software files and other data they install on University or personal systems.** Proof of legal licensing should be available upon request.

3. **Users may utilize only those computing resources that they are authorized to use and use them only in the manner and to the extent authorized.** Ability to access computing resources does not, by itself, imply authorization to do so. Users are responsible for ascertaining what authorizations are necessary and for obtaining them before proceeding. Accounts and passwords may not, under any circumstances, be shared with, or used by, persons other than those to whom they have been assigned by the university not even with family members or a partner.

4. **Users must respect the privacy of other users and their accounts, regardless of whether those accounts are securely protected.** Again, ability to access other persons’ accounts does not, by itself, imply authorization to do so.

5. **Users must respect the finite capacity of those resources and limit use so as not to consume an unreasonable amount of those resources or to interfere unreasonably with the activity of other users.** The university may require users of bandwidth, disk space, CPU time, or other resources to limit or refrain from specific uses in accordance with this principle. The reasonableness of any particular use will be judged in the context of all the relevant circumstances.
6. Baker computing and network resources and services may be used only by authorized persons for Baker University-related purposes, including those listed in the General Statement above. These resources may not be used for other purposes except as authorized by Baker University. For example, the reselling of network services or other uses of computer resources for personal financial gain is not permitted. Use of computers and networks for personal purposes such as e-mail and web access is allowed, as long as it does not interfere with work responsibilities and does not place a burden on resources. Users may not run unauthorized servers off of the Baker network. Users are expected to respect the priority of university business and keep personal use to a minimum.

7. Individuals may not state or imply that they speak on behalf of the university and may not use university trademarks and logos without authorization to do so. Affiliation with the university does not, by itself, imply authorization to speak on behalf of the university. Authorization to use university trademarks and logos on university computing resources must be obtained prior to their use. The use of appropriate disclaimers is encouraged e.g. "the thoughts expressed here are my personal opinion and do not represent the position of Baker University in any way."

Enforcement
The university may temporarily suspend or block access to an account, prior to the initiation or completion of an investigation, when it reasonably appears necessary to do so in order to protect the integrity, security, or functionality of university or other computing resources or to protect the university from liability. The university may also refer suspected violations of applicable law to appropriate law enforcement agencies.

Users who violate this policy may be subject to disciplinary action, and may be denied further access to university computing resources.

Security and Privacy
The university employs various measures to protect the security of its computing and network resources and of their users' accounts. Users should be aware, however, that the university cannot guarantee such security. Users should therefore engage in "safe computing" practices by establishing appropriate access restrictions for their accounts, guarding their passwords, and changing them regularly.

Users should also be aware that their uses of university computing and network resources are not completely private. While the university does not routinely monitor individual usage of its computing and network resources, the normal operation and maintenance of the university's computing resources require the backup and caching of data and communications, the logging of activity, the monitoring of general usage patterns, and other such activities that are necessary for the provision of service. The university may also specifically monitor the activity and accounts of individual users of university computing and network resources, including individual login sessions and communications, without notice, when (a) the user has voluntarily made them accessible to the public, as by posting to a web page; (b) it reasonably appears necessary to do so to protect the integrity, security, or functionality of university or other computing resources or to protect the university from liability; (c) there is reasonable cause to believe that the user has violated, or is violating, this policy; (d) an account appears to be engaged in unusual or unusually excessive activity; as indicated by the monitoring of general activity and usage patterns; or (e) it is otherwise required or permitted by law.

The university, at its discretion, may disclose the results of any such general or individual monitoring, including the contents and records of individual communications, to appropriate university personnel and/or state or federal law enforcement agencies and may use those results in appropriate university disciplinary proceedings or in litigation.

Implementation and Revisions
The Baker University Assistant Vice President for Information Technology is responsible for
implementing this policy, in cooperation with the Administrative Council and the Director of Human Resources. The University has the right to change this policy as necessary; the Administrative Council will oversee and approve changes to the policy in consultation with the aforementioned groups and individuals. The final authority rests with the President.
APPENDIX F

Baker University Policies for E-mail use, Accounts and Addresses

E-mail services are provided to the Baker community in support of the educational mission of the University and the administrative functions to carry out that mission. Users of Baker e-mail services are expected to act in accordance with the Information Technology Responsible Use Policy and with professional and personal courtesy and conduct. E-mail may not be used for unlawful activities. The University may revoke e-mail accounts if a person has failed to comply with University policy or used an e-mail account unlawfully.

Many official communications from Baker will be distributed to students exclusively via Baker e-mail. It is the student's responsibility to check their Baker e-mail regularly.

Definitions
To clarify terms used within these policies, the following definitions are provided:

E-mail account: An e-mail account is the location where mail is actually delivered. It is a combination of a login *username* and *password* and disk space. A person may have several e-mail accounts on different computers or e-mail servers.

E-mail username: The actual name of the account as typed in at the *Username* prompt when logging onto e-mail.

E-mail usernames for **CAS and SPGS faculty and staff** are constructed as follows: first initial, last name, (optionally) unique number@server.bakeru.edu.

For example: Jane Smith would be JSmith if there were no other JSmith accounts. Otherwise she would have a number in the username such as JSmith2.

E-mail usernames for **SPGS adjunct faculty** are constructed as follows: first name, last name, (optionally) unique number.

For example: Jane Smith would be JaneSmith if there were no other JaneSmith accounts. Otherwise she would have a number in the username such as JaneSmith2.

E-mail usernames for **CAS and BUSN students** are constructed as follows based on the student's name as submitted on their admissions application:

last name_first initial, (optionally) unique number@server.bakeru.edu.

For example: John Brown would be Brown_J@server.bakeru.edu if there were no other Brown_J accounts. Otherwise he would have a number in the username such as Brown_J2@server.bakeru.edu

E-mail usernames for **SPGS students** are constructed as follows based on the student's name as submitted on their admissions application:

first initial, middle initial, last name.

For example: John David Brown would be JDBrown@server.bakeru.edu if there were no other JDBrown accounts. Otherwise he would have a number in the username such as JDBrown2.
E-mail delivery address: The username@servername.bakeru.edu address is the delivery address. Each e-mail account has its own unique delivery address which can be given out to correspondents as one's e-mail address. For CAS and SPGS faculty and staff email accounts, the server name can be dropped from the address when giving out an email address (i.e. username@bakeru.edu). The server names are as follows:

- CAS and SPGS faculty and staff server name (can be dropped when given out to other people): exchange
- SPGS adjunct faculty server name: spgsmail
- CAS and BUSN students server name: wildcat
- SPGS student server name: spgsmail

E-mail name address: For faculty and staff, the first.last@bakeru.edu address is an alias address. It is linked to the person's e-mail account but is, itself, not an account username, but rather a permanent e-mail alias. Use of the name address ensures that the e-mail address will remain the same the whole time one is at Baker. For CAS and BUSN students, the first.last@wildcat.bakeru.edu address is also provided as an alias address. Alias addresses are not available to SPGS faculty, staff, adjuncts or students, therefore, the email delivery address should be given to correspondents. School of Nursing faculty and staff are provided with a Baker alias linked to their Stormont-Vail e-mail account.

Examples of email addresses:

- CAS faculty/staff email address: jane.smith@bakeru.edu
- SPGS faculty/staff email address: msmith@bakeru.edu
- SPGS adjunct faculty email address: markwhite@spgsmail.bakeru.edu
- CAS & BUSN student email address: john.brown@wildcat.bakeru.edu
- SPGS student email address: mbblack@spgsmail.bakeru.edu

Preferred e-mail account: Baker does not recommend the forwarding of Baker email to other email accounts. Baker cannot guarantee that the targetted email server will receive that mail. Many email systems have been set up to limit quotas or refuse forwarded mail so forwarded Baker email may never be received at the targetted email account. Baker takes no responsibility for errors in setting up forwarding or for non-delivery of Baker email by the targetted email account.

Security, Privacy and Confidentiality

- Baker cannot guarantee the security, privacy, and confidentiality of e-mail. Users should not assume confidentiality of their e-mail. Users should exercise caution when sending personal, financial, confidential or sensitive information by e-mail. Examples of why e-mail confidentiality cannot be guaranteed are:
  - E-mail may be subject to disclosure under law.
  - Back-up copies may be retained for periods of time and in locations unknown to senders and recipients even if the user has deleted it from their account or PC.
  - In the course of routine systems maintenance, troubleshooting and mail delivery problem resolution, network or systems staff may inadvertently see
the content of e-mail messages.
- Password protections are advised but cannot be guaranteed.
- Senders can mask their identity.
- Messages can be easily forwarded without permission to individuals or groups, even though it violates copyright law.
- Messages can be intercepted while in transit through the network.
- Forwarded messages can be altered from the original.
- Encryption and digital signatures are evolving technologies and are not yet available for use at Baker.
- Once a message is received on a machine outside of Baker, all of the above concerns continue to apply.

• Users must maintain the security of accounts.
  - Users are advised to protect and regularly change their account passwords.
  - Passwords are not to be shared with others and their confidentiality is to be strictly maintained.
  - Users will be held accountable for all actions performed with their passwords, including those performed by other individuals as a result of user negligence in protecting codes.
  
- No one is to use another individual's account, with or without permission.
- Unauthorized anonymous and pseudonymous communications are prohibited.
- Misrepresenting or forging the identity of the sender or the source of an electronic communication is prohibited.
- The intentional propagation of computer "worms" and "viruses," the sending of electronic chain mail, denial of service attacks, and inappropriate "broadcasting" of messages to large numbers of individuals or hosts are prohibited.

E-mail Accounts

• Eligibility for an e-mail account is defined in the Baker University Information Technology Responsible Use Policy.
• Users of e-mail must adhere to the Baker University Information Technology Responsible Use Policy.
• E-mail accounts are assigned a disk quota on the e-mail server which can only be increased based on valid business justification.
• E-mail accounts can be immediately locked upon the request of an administrative department head or dean.
• When a user's affiliation with Baker ends Baker will terminate access to e-mail accounts. Baker may, at its discretion, permit the user to have the access to e-mail forwarded or redirected for a limited period of time.
• E-mail addresses are held from use for one year to avoid possible confusion of mail delivery.

E-mail Addresses

• E-mail name addresses are generated from the user's legal name and must be unique. Duplicate names are resolved based on an alternate name selected by the affected user(s) or the use of a unique number with the name.
• E-mail usernames and e-mail name addresses may be changed when a user legally changes their name.
• Users who opt to use their firstname.lastname@bakeru.edu form of e-mail address have one opportunity to change the first name portion of the name address during their time at Baker. The last name in the firstname.lastname@bakeru.edu address must be the user's legal last name.
• A user may elect to use either the name address (firstname.lastname@bakeru.edu) or the e-mail delivery address (username@server.bakeru.edu) as their address. Use of e-mail delivery address is subject to change any time the e-mail server is retired and/or replaced by another server. Notification of server changes will be issued by Computer Services at least 2 months in advance of such a change.

**Group or Departmental Accounts**

In some situations, a single point of contact is required where multiple individuals manage service requests. These accounts are permitted as follows:

• The department head will determine when a single group account is required to conduct the business of the department and will be responsible for all of the account activities.
• Standard quotas will apply to all accounts created.
• Account usernames and addresses will be assigned to these accounts as appropriate.

**E-mail Distribution Lists**

• Mailing lists may be used for purposes related to teaching, course-work, research, and administration at Baker University and university sanctioned student activities.
• All list users need to unsubscribe from lists or suspend mail delivery from lists if they intend to use auto responders (e.g., the vacation programs) for brief periods of time.
• Commercial use of mailing lists, except for authorized Baker University business is prohibited.
• Use of mailing lists for private business, fund-raising or advertising on behalf of non-Baker organizations is prohibited.
• Activities that may strain the e-mail or network facilities more than can be reasonably expected are in violation of this policy. These activities include, but are not limited to: sending chain letters, "spam" or the widespread dissemination or unsolicited e-mail, and "letter bombs" to resend the same e-mail repeatedly to one or more recipients.
• Every mailing list will have an owner or a group of owners who will be actively involved in managing the mailing list. List owners have the following responsibilities:
  o Owners need to keep the subscription list current at all times.
  o Owners need to analyze error messages and take appropriate action.
  o Owners need to respond quickly to communications from Computer Services.
Owners need to assign an "alternate owner" who must check email if the primary owner is unable to do so for more than 2 days.

Owners need to inform Computer Services when the list is no longer needed so that it may be deleted. If there is a list that has had no activity for three months, Computer Services will delete the list after notifying the owners.

Directory Policies
The Baker University electronic and printed directories are provided solely for the purpose of assisting individuals to contact one another. Information in the directories may not be extracted by any means for the creation of distribution lists for use by businesses or other organizations outside of Baker. Use of directory information for solicitation of business or donations is expressly prohibited.

- Students who have requested privacy locks with the Registrar will not appear in the online directory.

E-mail Backups

- In the event of a system disaster, email will be restored to the state of user email accounts on that server at the time of the last back-up. As messages may be received and subsequently deleted or lost since the last backup, Baker cannot guarantee that all messages can be restored.
- Baker is not able to restore individual messages or mailboxes on e-mail servers.
- It is the user's responsibility to back up copies of their own e-mail on their PC.

E-mail Abuse and Policy Enforcement
E-mail services are provided to the Baker community to conduct University business. Violations of the Baker University Responsible Use and E-mail policies as well as other University relevant policies will be subject to disciplinary action and violators may have their e-mail account suspended during any investigation. The following is a non-exhaustive list of examples of e-mail abuse:

- Excess personal use that interferes with University business by burdening the network or systems or by interfering employment obligations.
- Interference with other people's use of e-mail.
- Intentional unauthorized access of other people's e-mail.
- Sending 'spams', chain letters, letter bombs or any other type of widespread distribution of unsolicited e-mail.
- Forging e-mail.
- Giving the impression you are representing the University unless you are authorized to do so.
- Use of e-mail for commercial activities or personal gain.
- Sending of offensive or abusive messages.
- Conducting unlawful activities.

E-mail abuse may be reported to the Associate Dean of Information Services or the Director of Human Resources. Reports of abuse will be investigated and handled as appropriate. In
all cases, do not delete any evidence or message(s) as they can be used as evidence.

**Responsibility for E-mail Policies**

The Assistant Vice President for Information Technology is responsible for implementing this policy in cooperation with the Administrative Council and the Director of Human Resources. The University has the right to change this policy as necessary. The Administrative Council must approve changes to policy; final authority rests with the President.
APPENDIX G
Charter for
Baker University INSTITUTIONAL REVIEW BOARD
for the Ethical Treatment of Human Participants in Research and
Use of Animals in Teaching or Research

TITLE

This body shall be known as the Baker University Institutional Review Board.

PURPOSE

The purpose of the Baker University IRB is to insure the ethical conduct in research involving human participants or animal subjects.

SPECIFIC RESPONSIBILITIES

1a. To assure the University that human participants used in research or educational programs are not at undue risk and that the participants are informed of any risks.

1b. To assure the University that animal subjects used in research or educational programs are adequately cared for and used in accordance with the provisions of the federal Animal Welfare Act. The Animal Welfare Act is a federal law instituted to ensure that, among other things, animals used in research receive humane care and treatment. Certain provisions of this law regulate housing, care, handling, and treatment of animals. For the purposes of this document, an animal is considered to be any live, vertebrate organism that is being used, or is intended for use, in instruction, research, or exhibition.

2. To advise the Office of the Provost of the University's compliance with federal guidelines and inform the University policy and procedures regarding the protection of human participants and the proper care and use of animals, and to certify to the Office of the Provost that any research project or activity involving human participants or animal subjects has been reviewed and approved by the IRB.

SCOPE

This Board is to review all research involving human participants or animals, and all other activities which even in part involve such research, regardless of sponsorship, if one or more of the following apply:

1. The research is sponsored by this institution, or
2. The research is conducted by or under the direction of any employee or agent of this institution in connection with his or her institutional responsibilities, or
3. The research is conducted by or under the direction of any employee or agent of this institution using any property or facility of this institution, or
4. The research involves the use of this institution's non-public information to identify or contact human research subjects or prospective subjects. The term "research" herein denotes a systematic investigation or testing and evaluation designed to develop or contribute to generalizable knowledge. Activities that meet this definition may be conducted as a component of another program not usually considered research. Certain kinds of activities that might be called "human subjects research" do not require review for the protection of human subjects. The following kinds of activities do not require such review: (a) accepted and established service relationships between professionals and clients where the activity is designed solely to meet the needs of the client; (b) research using only historical documents; and (c) research using only archaeological materials or other historical or pre-historical artifacts. Pilot studies, pre-tests, and other "preliminary" investigations are considered research, and must be reviewed unless they fall into one of the excluded categories listed above.

Classroom activities may include instructing students in human research methodologies and techniques. If the sole purpose of the activity is to teach students research techniques or methodology and not to develop or contribute to generalizable knowledge, it is not considered to be research. However, if students will practice research methodologies on human beings, they should be instructed in the ethical conduct of such activities and should be advised to obtain informed consent from their practice subjects.

Any classroom or laboratory activities, on campus or in the field, that involves the capture, restraint, and use of animals, will require review. Quality improvement and quality assurance activities conducted solely for the intent of maintaining or improving quality of services provided by an institution, likewise, are not considered research activities. However, if the data collected are generalizable and are to be shared outside of the institution through discussion, presentation, or publication, the activity qualifies as research. Sometimes, data from a quality improvement or quality assurance activity become of interest to the external community after they have been analyzed. In these cases, the research use of the data collected for another purpose must be reviewed.

PROCEDURES

Proposals requiring the use of human participants or animal subjects will be submitted to the Office of Institutional Research which will register the application and forward it to the Chairperson of the Baker University Institutional Review Board. The Chairperson, representing the Board, will determine the review category which is most appropriate for the proposed research, and will advise Institutional Research of that determination. The Chair will consider the degree of risk the proposed research places upon human participant(s), and whether or not proper safeguards are planned and/or operational. For proposals involving animals, the Chair will consider whether or not proper safeguards are planned and/or operational. All proposed research involving human participants or animal subjects, unless found by the IRB Chair to be Exempt, shall be reviewed either by the Expedited Review process or Full Board Review. For Expedited Review, the Chair and two members of the committee would comprise the Board. For Full Review, the entire membership must participate.
MEMBERSHIP

The IRB shall have at least five voting members, with varying backgrounds to promote complete and adequate review of research activities commonly conducted by the institution. Consideration should be given to including at least one member of the Board who has experience in ethical decision-making. The IRB shall be sufficiently qualified through the experience and expertise of its members, and the diversity of the members, including consideration of race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human participants and animal subjects.

Aside from requirements stipulated in the next section (Expertise), at-large membership will be drawn from the faculties of concerned programs of the University.

**Expertise**

In addition to possessing the professional competence necessary to review specific research activities, the IRB shall 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 shall therefore include persons knowledgeable in these areas. If the IRB regularly reviews research that involves a vulnerable category of participants, such as children, prisoners, pregnant women, or handicapped or mentally disabled persons, consideration shall be given to the inclusion of one or more individuals who are knowledgeable about and experienced in working with these participants.

The IRB shall 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 shall 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.

**Conflict of Interest**

No IRB member may participate in the IRB's initial or continuing review of any project in which the member has a conflicting interest, except to provide information requested by the IRB.

**Ad Hoc Membership**

The IRB may, in its discretion, invite individuals 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 individuals may not vote with the IRB. A representative from the Office of the Provost will serve as non-voting *ex-officio.*
Membership Procedures

Committee members will be appointed by the Provost of the University in accordance with any applicable regulations governing committee participation.

The incoming Chairperson is elected annually by the voting members before the end of the academic year to assume duties at the beginning of the next academic year. The outgoing Chairperson is responsible for coordinating election of a new Chairperson.

The incoming Chairperson is responsible for calling the initial meeting of the Board and relaying all necessary information relating to specific responsibilities and timelines.

Any member who misses more than two regularly scheduled consecutive meetings without cause will be asked to resign.

Terms of Appointment

Three-year staggered terms.

MEETING SCHEDULING AND AGENDAS

The Board will meet a minimum of once each Fall and once each Spring semester. The Faculty Senate Chairperson will be included in the distribution list for all meeting scheduling and agendas.

RECORDS AND RECORD KEEPING

The IRB must prepare and maintain adequate documentation of IRB activities. In addition to the written IRB procedures and membership lists required by the Assurance process, such documentation must include copies of all research proposals reviews, minutes of IRB meetings, records of continuing review activities, copies of all correspondence between the IRB and investigators, and statements of significant new findings provided to participants.

Minutes of meetings must carry sufficient detail to include attendance, actions taken by the IRB, the vote on all actions taken, the basis for requiring changes in or disapproving research, and a written summary of the discussion of controversial issues and their resolution. IRB records are to be maintained for three years; records pertaining to completed research must be maintained for three years after its completion. All records must be accessible (at reasonable times and days) for inspection and copying by authorized representatives of the department or agency supporting or conducting the research.

Committee Charter will be reviewed annually, at the first meeting of the academic year. Changes to the Charter are to be made by the Office of the Provost of the University.
APPEALS

Appeals of IRB decisions and recommendations will be made to the Office of the Provost.

Section 1. Criteria for Approval of research Protocols Involving Human Participants

In order to approve research, the IRB will have determined that

Risks to participants are minimized 1) by using procedures that are consistent with sound research design and that do not unnecessarily expose participants to risk, and 2) whenever appropriate, by using procedures already being performed on the participants for diagnostic or treatment purposes.

Risks to participants are reasonable in relation to anticipated benefits, if any, to participants, and the importance of the knowledge that may be expected to result.

Selection of participants will not be coercive. In making this assessment the IRB should take into account the purposes of the research and the setting in which the research will be conducted and should be particularly aware of the special problems of research involving vulnerable populations.

Informed consent will be sought from each prospective participant or the participant's legally authorized representative.

Informed consent will be appropriately documented.

When appropriate, the research plan will make adequate provision for monitoring the data collected to insure the safety of participants.

When appropriate, there will be adequate provisions to protect the privacy of participants and to maintain the confidentiality of the data.

Research by Investigators from Other Institutions

In the case that a researcher from another university or organization requests access to students, faculty or staff of Baker University, approval will be granted if the principal investigator supplies the Chair of the Baker IRB a copy of the IRB approval from his or her home institution, and only in the case that the approval clearly indicates that the research falls under either Exempt or Expedited class of review. If the research required Full board review at the home institution and thus presents more than minimal risk to Baker students or employees, then it must be reviewed under Full board review by the Baker IRB.

Classes of review

Exempt

This category is for research in which no identifying information is collected with the data. Typical
cases of this class are observational research in which participants are observed in public places, or survey data collected via mail or electronic instruments. Additionally, the information collected from the participants in Exempt research may not be of a sensitive nature, whether or not the behavior is exhibited in public or voluntarily and anonymously submitted.

The Exempt status applies to research (including Institutional Research) conducted for educational testing and survey procedures relevant to educational and institutional goals, under the following conditions: 1) if no identifying information will be recorded that can link participants to the data; 2) if disclosure of the data could not reasonably place the participants at risk of civil or criminal liability or be damaging to the subjects' financial standing, employability, or reputation; or 3) the research that involves the use of existing data, documents, or specimens, where no identifying information will be recorded that can link subjects to the data.

**Expedited Review**

Expedited Review would involve research that is considered to put participants “at minimal risk.” There are chiefly three types of research that fall into the “minimal risk” category: In the first case, there are no obvious characteristics of the research design that risk harm to the participants, but the participants are placed into the research setting by the researchers, who thereby assume responsibility for their care during the course of data collection. A participant entering a research lab becomes the responsibility of the investigator, and is automatically considered at minimal risk. A second case would be research that would ordinarily be classified as Exempt, but includes the collection or discussion of information that may be reasonably deemed “sensitive,” and/or the data are collected along with identifying information.

Expedited review is also appropriate for research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies.

**Full Board Review**

This class of review is for research in which participants are placed “at some risk,” wherein it may be reasonably presumed that some (even few) participants might react to the research participation adversely. This may arise from an experimental manipulation, from research employing deception, or from research into sensitive (or potentially sensitive) areas of behavior. Additionally, this class of review is required for research involving participants who are potentially vulnerable to coercion or undue influence, or belong to traditionally-protect populations such as the mentally or physically disabled, children under the age of 18, older adults, pregnant women, and criminal offenders (i.e., inmates, parolees, or probationers).

**Guidelines for Obtaining Informed Consent**

The ethical principle of respect for persons requires that human research participants be given the opportunity to choose what shall and shall not happen to them. Valid informed consent requires 1) disclosure of study procedures and potential risks to prospective research participants, 2) their
comprehension of the information, and 3) their voluntary agreement, freed from coercion and undue influence, to participation.

The informed consent document must be complete and clearly written in order that the participants may make an informed decision.

**Requirements for Informed Consent**

Unless otherwise waived by an IRB-approved protocol, research investigators must obtain valid informed consent from all participants (or their legally-authorized representatives) engaged as participants in any research conducted under the aegis of Baker University. Generally (and with only limited exceptions for cause), after the researcher has explained the study to the participant, the informed consent of the participant is documented by signing the protocol's written consent document. The participant receives a copy of the document, and the signed copy is stored in such a manner as to preserve the confidentiality of the participant.

**Basic Elements of Written Informed Consent Documents**

Unless otherwise authorized by the IRB, participants must be offered at least the following, in writing, prior to their participation:

- A statement that the study involves research
- an explanation of the purpose of the research and the expected duration of the participation
- a description of the procedures to be followed, and identification of any procedures that are experimental
- a description of any foreseeable risks or discomforts to the participant, an estimate of their likelihood, and a description of the steps that will be taken to minimize or prevent them
- a description of the benefits of the research, either to the participant him- or herself, or to the more general scientific endeavor
- a disclosure of any appropriate alternative procedures or courses of treatment that might be advantageous to the participant
- a statement describing to what extent records will be kept confidential, including a description of who may have access to the records
- for research involving more than “minimal risk,” an explanation and description of any compensation and any medical treatments that are available if research participants are injured, where further information may be obtained, and whom to contact in the event of a research-related injury
- an explanation of whom to contact for answers to pertinent questions about the research participant's rights
- a statement that participation is voluntary, and refusal to participate or continue participation (once begun) will involve no penalty or loss of benefits to which the participant is otherwise entitled
Section 2. Criteria for Approval of Protocols Involving Animal Subjects

In order to approve research or classroom/laboratory projects involving animals, the IRB will have determined that

- use of animals is necessary and justified
- animals do not suffer unnecessary discomfort, pain, or injury
- animals receive proper maintenance and husbandry
- precautions are taken to protect personnel from harm inflicted by the animal or from hazardous materials (e.g. anesthetics or analgesics) used in the research procedures
- animals or animal remains will be properly disposed of at the termination of the project.
APPENDIX I

BAKER UNIVERSITY

INTELLECTUAL PROPERTY POLICY

Approved by the Board of Trustees February 18, 2005
# BAKER UNIVERSITY INTELLECTUAL PROPERTY POLICY

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1 All occurrences of "Baker University", "University", or "the University" refer to Baker University, Baldwin City, Kansas including its Schools located in other Kansas locations and Missouri locations and any University program or course offered off-site

2 All occurrences of "the Policy", "this Policy", or "Intellectual Property Policy" refer to the Baker University

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I. WHAT IS THE PURPOSE OF THE BAKER UNIVERSITY INTELLECTUAL PROPERTY POLICY?

A. The specific aims of the Baker University Intellectual Property Policy are to:

1. Promote and encourage creativity and knowledge creation both in and outside the classroom;

2. Protect the rights of scholars and students with respect to owning the products of their intellectual endeavors;

3. Set forth mechanisms for determining ownership rights in intellectual property and for resolving disputes with respect to such property;

4. Set forth guidelines for how the University and members of the University community will participate in any net profits that result when intellectual property is introduced for commercial development;

5. Protect the rights of a scholar to take his or her work and use the work elsewhere when leaving the institution and, in certain circumstances, retain for the University the right to use certain works developed by faculty and staff who may leave the institution;

6. Protect the University’s interest in work products developed for the University by outside consultants and independent contractors;

7. Support the preservation of and access to intellectual property.

II. WHO IS COVERED?

A. This Policy applies to all “covered individuals,” who are:

1. All persons employed by Baker University, including full and part-time faculty, adjunct and visiting faculty or researchers, administrative officers, staff members, and student workers;

2. Independent contractors or consultants. Any adjunct faculty who sign contracts designating them as independent contractors are treated as faculty for purposes of this Policy;

3. For purposes of this Policy, a “student” is any individual who registers for any course at the University, including any staff that might register for such courses. Where a student is also an employee, s/he is considered staff with regard to intellectual property as a result of his/her employment and as a student with regard to other intellectual property. A fulltime non-faculty employee who is also taking one or more courses is considered to be...
staff with regard to intellectual property as a result of his/her employment and as a student with regard to other intellectual property.

4. Anyone using University facilities or resources under the supervision or with the permission of University personnel, including, but not limited to, volunteers and students enrolled at the University or other institutions and/or performing internships at the University.

III. DEFINITIONS

A. All intellectual property produced by covered individuals, acting individually or in groups, performing research or engaging in work or study at the University or in connection with a University program, is covered by this Policy. For purposes of this Policy, intellectual property is divided into three categories and defined as follows:

1. “Copyrightable Intellectual Property” shall include, without limitation, all creative works, electronic or paper documents, course materials and syllabi, software (including source code and object code), multimedia or audiovisual materials and photographs, and any other materials that may be copyrightable under U.S. law (whether or not produced in the U.S.). While software and other proprietary information (including trade secrets) may be capable of patent protection, such intellectual property shall be considered Copyrightable Intellectual Property for purposes of this Policy. With respect to software and its appropriate disposition, the University will consult with the software creator.

2. “Patentable Intellectual Property” shall include, without limitation, all inventions, discoveries, know-how (despite the fact that these may not benefit from patent protection) and discoveries or other material that is potentially patentable under U.S. law (whether or not produced in the U.S.).

3. "Other Intellectual Property" shall include all registered and common law trademarks, service marks, domain names, logos and all other types of proprietary rights created specifically for the University not otherwise covered under this Policy.

B. “Scholarly and Creative Work Exception” for Copyrightable Creations: Key Elements. The University recognizes and adopts as policy the longstanding custom that faculty own the copyright to their scholarly, pedagogical, and creative works. Such works are thus an exception to the work for hire rule.

1. Where copyrightable creations are created under the “Scholarly and Creative Work Exception,” copyright ownership vests with the faculty creator, and royalties go to the creator, whether or not the creator has made Substantial Use of University Resources.

2. For the purposes of this Policy, students, postdoctoral fellows, and postdoctoral associates are considered scholars in training and therefore copyrightable creations created by them fall under the “Scholarly and Creative Work Exception” as in (1) immediately above.

3. For purposes of this Policy, if a member of the faculty of the University takes a sabbatical, any intellectual property created by such faculty member while on sabbatical
shall not be subject to this Policy, unless the faculty member has had Substantial Use of University Resources while developing such intellectual property. Notwithstanding the foregoing, if the intellectual property created by the faculty member during such sabbatical is based upon or is a derivative work of intellectual property owned by the University, then this Policy shall continue to apply.

4. The “Scholarly and Creative Work Exception” does not apply to non-faculty University employees (unless agreed to otherwise) and does not apply in the absence of an agreement assigning those rights into which the University and a non-faculty employee enter prior to the creation of the work.

5. “Scholarly and Creative Works” are works that have a primary goal of disseminating academic or scholarly knowledge, or are works of artistic expression. Scholarly and creative works may include – but are not necessarily limited to – course materials, such as textbooks, lecture notes, exams, syllabi, workbooks, and laboratory manuals; scholarly publications, journal articles, research bulletins, monographs, and reviews; books, whether fiction or non-fiction; plays; poems; musical compositions; and work of visual art, such as paintings, drawings, sculpture, and photographs, and electronic expressions (including software/encoded works in some instances) of such works. For purposes of this policy, Scholarly and Creative Works are works generally expected of faculty as evidence of their professional achievement.

C. Substantial Use of University Resources.

1. “Substantial Use of University Resources” shall mean the extensive use of any University-paid time or funding, or the extensive use of facilities, equipment, staff assistance, and/or significant administrative support, including use of dedicated laboratories, dedicated computer centers, and dedicated equipment. By way of elaboration, Substantial Use of University Resources occurs when the creation of the work requires use of University resources beyond those widely available to University personnel and students (including all classes of persons described under Article II of this Policy) in support of their academic work within their respective departments, colleges, academic or administrative units such as the routine use of an assigned/general purpose office and computer, libraries, generally available information resources, photocopiers, local telephone, reasonable office supplies, and limited administrative support or limited use of shared University resources.

2. Decisions about whether works of intellectual property are made with Substantial Use of University Resources may be negotiated by the creators or inventors, in advance where possible, in accordance with the procedures set forth in Article XII.

IV. COPYRIGHTABLE INTELLECTUAL PROPERTY

A. Responsibility for Disclosure of Copyrightable Intellectual Property

1. The creator of Copyrightable Intellectual Property is not obligated to disclose the creation of such property, unless the Copyrightable Intellectual Property is owned by the University, as set forth below. If the Copyrightable Intellectual Property is owned by the University under this Policy, the creator is responsible for timely disclosure to the
University as set forth in Article XII, when it can be reasonably concluded that Copyrightable Intellectual Property has been created, and sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects rights to the Intellectual Property for the creator(s) and the University. With respect to Copyrightable Intellectual Property owned by the University that generates royalties, such royalties shall be allocated pursuant to Article X of this Policy.

B. Determination of Rights to Copyrightable Intellectual Property

1. Except as set forth below, the creator of Copyrightable Intellectual Property shall retain his/her rights, and the University shall not have ownership rights in keeping with the tradition of academic institutions to give faculty members and students the right to retain ownership of their copyrightable materials.

   a. The University owns Copyrightable Intellectual Property developed under any of the following circumstances:

      i. Development was funded as part of an externally sponsored research or development program that expressly allocates rights to the University or by any agreement that expressly allocates those rights;

      ii. A covered individual was expressly assigned, directed, or specifically funded by the University to develop specific Copyrightable Intellectual Property, and the University has a contract with the creator;

      iii. Copyrightable Intellectual Property was developed by administrators or other non-faculty employees, including student employees, in the course of employment duties and constitutes work for hire under U.S. law; or

      iv. Copyrightable Intellectual Property was developed with Substantial Use of University Resources.

   b. The University has the right to use Copyrightable Intellectual Property owned by covered individuals (through the Scholarly and Creative Work Exception or otherwise) in the following circumstances:

      i. Upon request by the University, covered individuals will grant to the University a non-exclusive, perpetual license (with royalties to be negotiated, when appropriate) to make copies of Copyrightable Intellectual Property that such creator owns that was created while the creator was employed by the University to use such Property in teaching, scholarship and research in support of the University’s educational mission, provided that the covered individuals shall have the right to approve proposed uses of their Copyrightable Intellectual Property. The University has no right under this paragraph to record or distribute the recording of a covered individual’s classroom lecture or performance for commercial purposes without the covered individual’s permission, which is in the sole discretion of the covered individual to give.

      ii. In the event a covered individual leaves the University, the covered individual will grant to the University a license to create derivative works from
Copyrightable Intellectual Property that is in the form of course materials created by the covered individual for use in the University curriculum so long as the University identifies to the covered individual the material it wishes to use. Unless otherwise requested by the covered individual with reasonable advance notice, the University will, when exercising its license, credit the covered individual.

iii. It is suggested, but not required, that any covered individual, when publishing a scholarly work, request the publisher to place a note on the first page of the publication giving the University and other nonprofit organizations the right to make copies of all or any portion of the published work for educational purposes without written permission or payment of an additional fee. Suggested language is as follows:

"Copyright [date] [Publisher]. Permission is granted for nonprofit educational and library duplication and distribution of this [article]."

iv. In the event that a covered individual or group of covered individuals has created Copyrightable Intellectual Property prior to the initiation of employment or matriculation at the University, the University will not assert ownership or license rights to such property. To the extent the faculty or employee or student creates derivative Copyrightable Intellectual Property from such work (that does not fall within the Scholarly and Creative Work Exception) while employed or matriculating at the University, the terms of this Policy shall govern the rights to such derivative property.

V. PATENTABLE INTELLECTUAL PROPERTY

A. Responsibility for Disclosure of Patentable Intellectual Property

1. Covered individuals who alone, or in association with others, create Patentable Intellectual Property with Substantial Use of University Resources are responsible for disclosing the Patentable Intellectual Property to the University as set forth in Article XII. Such disclosure shall be made when it can be reasonably concluded that Patentable Intellectual Property has been created, and sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects rights to the Patentable Intellectual Property for the creator(s) and the University. Creators are encouraged to seek the advice of the appropriate University officer under Article XII in determining whether the subject matter is Patentable Intellectual Property within the meaning of this Policy. With respect to Patentable Intellectual Property owned by the University that generates royalties, such royalties shall be allocated pursuant to Article X of this Policy.

B. Determination of Rights to Patentable Intellectual Property

1. Except as set forth below, the creator of Patentable Intellectual Property shall retain his/her rights, and the University shall not assert ownership rights.

a. The University owns Patentable Intellectual Property developed under any of the following circumstances:
i. Development was funded as part of an externally sponsored research or development program that expressly allocates rights to the University or by any agreement that expressly allocates those rights;

ii. The creator was assigned, directed, or specifically funded by the University to develop specific Patentable Intellectual Property and the University has a contract with the creator that allocates ownership rights to the University;

iii. Patentable Intellectual Property was developed by administrators or other nonfaculty employees, including student employees, in the course of employment duties and constitutes work for hire.

iv. Patentable Intellectual Property was developed by any individual with Substantial Use of University Resources.

b. The University has the right to use Patentable Intellectual Property owned by covered individuals in the following circumstances:

i. Upon request by the University, covered individuals will grant to the University a non-exclusive, perpetual license (with royalties to be negotiated, when appropriate) to use Patentable Intellectual Property that they own in teaching, scholarship and research in support of the University’s educational mission, provided that the covered individual shall have the right to approve proposed uses of the Patentable Intellectual Property.

VI. OTHER INTELLECTUAL PROPERTY

All proprietary rights that constitute Other Intellectual Property shall be owned solely by the University and Article X shall not apply. The University reserves the right to control and protect the trademarks and service marks of the University.

The Baker University name, seal, and logo may not be used:

• In conjunction with any private or commercial enterprise.

• In tandem with the advertisement of any product.

• By any individual or group promoting itself.

Use of the University name, seal or logo on letterhead and business cards is standardized and regulated by the Marketing Department. Any questions regarding the use of the University name, seal, or logo in circumstances other that the ones listed above should be referred to the Vice-President for Marketing.

VII. AGREEMENTS REGARDING INTELLECTUAL PROPERTY

A. Because the University aims to encourage creativity, it reserves the right to allow flexibility in applying this Policy on a case-by-case basis. In such cases, ownership of Copyrightable or Patentable Intellectual Property developed pursuant to a special agreement between the University and the creator or creators will be governed by the provisions of any such agreement.
B. The appropriate University officer shall review all contracts between the University and covered individuals or independent contractors so that the University’s ownership interest in the work product may be protected. Examples include contracts for:

- Curriculum and course materials;
- Reports by consultants or subcontractors;
- Computer software;
- Architectural or engineering drawings, illustrations or designs prepared for the University;
- Artistic works commissioned by the University;
- Web pages and/or advertising material prepared for the University.

Contracts must contain work for hire language that provides that the University owns the work. Contracts with adjunct faculty may, but are not required to, include work for hire language, at the discretion of the individual department or program, but shall include language retaining all rights for the University.

VIII. WHAT SPECIAL RULES APPLY TO STUDENTS?

Intellectual Property created by students is subject to the following additional rules:

A. The University makes no claim to copyright ownership of intellectual property created by students that is not developed within the scope of an employment relationship with the University or with one of its employees, and not making Substantial Use of University Resources.

B. Students working on a project governed by a contract or agreement to which the University is a party shall be bound by the terms of that contract or agreement.

C. Students who are hired to perform specific tasks that contribute to the creation of Copyrightable or Patentable Intellectual Property will ordinarily have no rights to ownership of that Property, regardless of the source of funds from which they are paid. In such cases, the party who owns the copyright or patent of the rest of the Property will ordinarily retain copyright or patent ownership of the portion contributed by the student.

D. Students collaborating with covered individuals on projects that result in Copyrightable or Patentable Intellectual Property, except those who are hired or directed to perform specific tasks that contribute to the creation of such property, will be granted the same rights and obligations of copyright and patent ownership as would another covered individual working collaboratively on the project. To the extent a covered individual working with the student asserts sole ownership of the work product, he or she must establish this right at the outset of the collaboration, through a written agreement, or be barred from asserting sole ownership rights.

E. If none of the above relationships applies, students performing work compensated by the University are subject to the provisions governing staff or other non-faculty employees, and their work constitutes work for hire under U.S. law, as set forth in this Policy.
F. The University reserves the right to make copies of student papers, course assignments, dissertations and theses for use in the University curriculum, including uploading the work in the University's course management system, and for archival purposes. The student, by enrolling in the University, gives the University a nonexclusive royalty-free license to mark on or retain the work as may be required by the process of instruction, or otherwise handle the work as set out in the Intellectual Property Policy or in the course syllabus. The University shall not have the right to use the work in any other manner without the written consent of the creator(s).

G. Students may not disseminate any print, electronic materials, video or audio recordings, or any other Copyrightable or Patentable Intellectual Property they make, use, or receive in class for commercial purposes or to anyone not enrolled in the class.

IX. WHAT IS THE PROCESS FOR FORMALIZING OWNERSHIP AND ALLOCATION OF RIGHTS/RESPONSIBILITIES?

A. Reporting the Creation of Intellectual Property.

The University shall develop sufficiently detailed guidelines to be distributed to and consulted by individuals who, pursuant to this section, are required to determine and disclose to appropriate University officers that they are creating Copyrightable or Patentable Intellectual Property that may be owned by the University or that such creator(s) have an interest in such property. These guidelines will be revised by the University as revisions become necessary or appropriate. If creator(s) of such Intellectual Property, or any individual(s) who claims an interest in such Intellectual Property, including an individual acting on behalf of the University, determine that under the University guidelines the creator(s) or other such individual has an interest in Copyrightable or Patentable Intellectual Property that may be owned by the University pursuant to this Policy, then the creator(s) or other such individual shall disclose this development to the appropriate University officer(s) so that the University may act to protect its ownership interest in the property. Such disclosure shall be made when it can be reasonably concluded that Copyrightable or Patentable Intellectual Property has been created, and sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects rights to the Intellectual Property for the creator(s) and the University.

B. Waiver or Return of Rights.

The University may, in its sole discretion, waive, transfer, or license to the creator(s) its rights in any intellectual property when such action does not conflict with obligations to other interested parties. This could occur, for instance, if the costs for protecting and developing the intellectual property are not likely to be matched by anticipated income and royalties.

C. Agreements regarding the ownership and use of intellectual property.
In the event the University or any covered individual wishes to negotiate a special agreement regarding intellectual property referred to in Article VII, or otherwise modify the application of this Policy to any particular intellectual property, an agreement regarding ownership and use of such property may be reached. The appropriate University officer shall be responsible for negotiating all such agreements.

X. HOW ARE ROYALTIES DISTRIBUTED?

A. Unless otherwise agreed, the net income (gross royalties and license or use fees minus administrative, licensing, legal, direct, and other reasonable expenses) resulting from the creation and marketing of Copyrightable or Patentable Intellectual Property owned by the University pursuant to this Policy will be divided evenly between the creator/inventor and the University.

B. Absent an agreement otherwise, in the event that Intellectual Property is created by multiple inventors, royalties will be shared pro rata equally among all parties (inventors and the University).

C. The creator’s share will continue after he or she leaves the University.

XI. WHAT IF THERE IS A CONFLICT OF INTEREST?

A. Faculty, staff and students cannot use their institutional affiliation to popularize the competing product of for-profit enterprises.

B. Before entering into an agreement with an outside entity to commercialize a course taught at the University, including an agreement to record or distribute classroom lectures or performances, faculty must seek approval from the appropriate Academic Dean.

XII. POLICY ADMINISTRATION; DISPUTE RESOLUTION

A. General administration of this Policy is the responsibility of the Associate Dean of Information Services. General administration includes, but is not limited to:

   1. Facilitation of the review of this policy every three years, or more frequently if needed, and administering any revisions to this Policy through the approval process.

   2. Development and revision of guidelines, procedures, disclosure forms and other accompanying materials and facilitation of the approval process for such materials.

   3. Establishment of procedures to ensure that employment contracts and course catalogs or syllabi state that the employee or student is subject to this Policy.

   4. Education of the Baker community on intellectual property issues and this Policy.

   5. Policy clarification.

   6. Consultation with legal counsel regarding intellectual policy issues or revisions to this Policy.
B. All questions about this policy should be referred to either the Associate Dean of Information Services or the appropriate administrator as follows:

<table>
<thead>
<tr>
<th>Creator</th>
<th>Administrator</th>
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<tbody>
<tr>
<td>College of Arts &amp; Sciences faculty and staff</td>
<td>Vice-President and Dean of CAS</td>
</tr>
<tr>
<td>College of Arts &amp; Sciences students</td>
<td>Assistant Dean of Student Academic Services</td>
</tr>
<tr>
<td>SPGS faculty, staff and students</td>
<td>Executive Vice-President and Dean of SPGS</td>
</tr>
<tr>
<td>School of Nursing faculty, staff, and students</td>
<td>Dean of the School of Nursing</td>
</tr>
<tr>
<td>Administrative staff--Baldwin campus</td>
<td>Director of Human Resources</td>
</tr>
<tr>
<td>Creators of Other Intellectual Property</td>
<td>Vice-President for Marketing</td>
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</tbody>
</table>

C. Submission of disclosures will be made to the appropriate administrator as follows:

<table>
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</table>

D. In the event that a dispute arises regarding the application of this Policy, the individual should follow the standard grievance process as appropriate to their status at the University, i.e., the Baker University Faculty Constitution and Bylaws (for Faculty), the Employment Policies Handbook (for Staff) and the Student Handbook (for Students). As a general rule, dispute resolution with regard to this Policy will be handled as follows:

1. Dispute Resolution for faculty of all schools and colleges:

   **Committee Membership**
   - Faculty Grievance Committee for the faculty member’s school/college
   - Associate Dean of Information Services
     (at the request of the Faculty Grievance Committee, will serve in an advisory capacity)

   If the unit head of the faculty member serves on the Faculty Grievance Committee, the faculty members involved in the dispute has the option to ask the unit head to be recused from the deliberations.

   **Appeals**
   Appeals of the Faculty Grievance Committee’s decision will go to the Dean of the faculty member’s school/college.

2. Dispute Resolution for students will go to an ad hoc committee consisting of
<table>
<thead>
<tr>
<th>Committee Membership</th>
<th>Appeals</th>
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</thead>
<tbody>
<tr>
<td>• Dean or Director of student academic services for the school/college</td>
<td>Appeals of the ad hoc committee will go to the Dean of the student’s school/college.</td>
</tr>
<tr>
<td>• One faculty member outside of the student’s immediate study concentration (chosen by and mutually agreeable to the Dean/Director of student academic services and the student)</td>
<td></td>
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<tr>
<td>• Associate Dean of Information Services</td>
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<tr>
<td>3. Dispute Resolution for staff will go to an ad hoc committee consisting of:</td>
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<tr>
<td><strong>Committee Membership</strong></td>
<td><strong>Appeals</strong></td>
</tr>
<tr>
<td>• The head of staff member’s unit if the person involved in the dispute is not the unit head</td>
<td>Appeals of the ad hoc committee will go to the University officer for the staff person’s unit or President if the person involved in the dispute is a University officer.</td>
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<tr>
<td>• Director of Human Resources</td>
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<tr>
<td>• Associate Dean of Information Services</td>
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<tr>
<td>• One staff member outside of the person’s work unit (chosen by and mutually agreeable to the Director of Human Resources and the disputing party)</td>
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<tr>
<td>4. Dispute Resolution for University officers will go to an ad hoc committee consisting of:</td>
<td></td>
</tr>
<tr>
<td><strong>Committee Membership</strong></td>
<td><strong>Appeals</strong></td>
</tr>
<tr>
<td>• Three members of the Administrative Council (chosen by and mutually agreeable to the Director of Human Resources and the University officer)</td>
<td>Appeals of the ad hoc committee will go to the President if the person involved in the dispute is a University office.</td>
</tr>
<tr>
<td>• Director of Human Resources</td>
<td></td>
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<tr>
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