

# Legislative History of Policy 6-002 Revision 29, and Policy 6-300 Revision 16 Volume 1

[[http://regulations.utah.edu/academics/appendices\\_6/Legis\\_History\\_Policies\\_6-002Rev29\\_6-300Rev16\\_Vol\\_1.docx](http://regulations.utah.edu/academics/appendices_6/Legis_History_Policies_6-002Rev29_6-300Rev16_Vol_1.docx)]

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Prepared by Bob Flores, for the Institutional Policy Committee June 2013

Policy 6-300 Revision 16 was approved by the Academic Senate April 1, 2013. Policy 6-002 Revision 29 was approved by the Academic Senate May 6, 2013. Both were approved by the Board of Trustees May 28, 2013, to take effect July 1, 2013.

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***(i) Memorandum, April 9 [updated May 6], 2013 describing project status and plan for staggering terms of Career-line faculty representatives in Academic Senate.***

**MEMORANDUM**

**To:** Senate Executive Committee

**From:** Hank Liese and Bonnie Mitchell, Co-Chairs  
Ad Hoc Committee on Auxiliary Faculty

**Date:** April 9, 2013 [*Updated to reflect changes by approved motion of the Senate May 6, 2013, as marked.*]

**Subject:** Update on Proposed Career-line Representation in Senate, Policy 6-002.

This is an update for the proposal to revise Policy 6-002 to include representatives of Career-line faculty in the Academic Senate. As members will recall, at its April 1 meeting the Senate took two important steps. First, it gave final Senate approval to the proposed revision of Policy 6-300 to change the nomenclature for faculty, including adopting the term "Career-line." And this included a future phase in which the new nomenclature will be incorporated into several other Regulations during 2013-2014.

Second, in the preliminary discussion of the companion proposal for Senate representation of Career-line faculty (revising Policy 6-002), the Senate requested that the Ad Hoc Committee for Auxiliary Faculty prepare a specific plan to accomplish the staggering of terms of the initial set of Career-line representatives, so that in future years those representatives would be replaced in a staggered sequence rather than all at once.

Here is the plan the Ad Hoc Committee has developed in response to that Senate request:

The proposed revision of Policy 6-002 includes the point that the Career-line representatives will ordinarily be elected for three-year terms (as has long been true of the Tenure-line faculty). To avoid having the entire set of Career-line representatives replaced at the same time in future years, this staggered-terms plan will be implemented for the first years of operation under the new membership structure.

1. All of the 18 electing units (the 16 colleges, the Libraries as a unit, and the Interdisciplinary Teaching Programs as a unit) will elect their Career-line representatives by fall 2013, to begin service on the Senate in January 2014 (midway through the 2013-2014 Senate year). The Personnel and Elections Committee, after consultation with the Ad Hoc Committee on Auxiliary Faculty, will, by the end of spring 2014, divide those representatives into three groups.

2. Those assigned to the first group will have special initial terms of only 1 & ½ years (and so their electing units will be conducting elections again in spring 2015, for ordinary three-year terms of service to begin 2015-2016).
3. Those in the second group will have special initial terms of only 2 & ½ years (and so their electing units will be conducting elections again in spring 2016, for ordinary three-year terms of service to begin 2016-2017).
4. Those in the first ~~and second~~ groups will have a special one-time exception of being eligible for election again immediately after their initial shortened term (and it is likely some electing units will vote to return those persons to service for such second terms because of their experience in the founding period of the restructured Senate).
5. Those in the third group will have special initial terms of 3 & ½ years (and so their electing units will be conducting elections again in spring 2017, for ordinary three-year terms of service to begin 2017-2018). The second group and third~~This~~ group will be subject to the ordinary restriction of not being eligible for re-election until having spent at least one year out of office (the same restriction has long applied for Tenure-line faculty).
6. By this arrangement, once the initial special terms are completed, one third of the Career-line representatives will be elected each year, to serve the same three-year ordinary terms as do Tenure-line faculty representatives.

***(ii) Memorandum to the Senior Vice Presidents March 25, 2013, with signed approvals of the two proposals.***

*Academic Senate, April 1 & May 6, 2013*



*Approved* -- President David Pershing:

*Approved* -- Senior Vice President Vivian Lee:

*Approved* -- Interim Senior Vice President Michael Hardman:

*David W. Pershing*  
*VL*

*Michael Hardman*

MEMORANDUM

March 25, 2013

**To:** Senior Vice President Vivian Lee  
Interim Senior Vice President Michael Hardman

**From:** Amy Wildermuth, Associate Vice President for Faculty  
Harriet Hopf, Associate Dean for Academic Affairs, School of Medicine

**Subject:** Proposals for Revision 29 of Policy 6-002 (representation of “Career-line” faculty in the Academic Senate), and Revision 16 of Policy 6-300 (changed nomenclature for faculty categories)

Attached is a set of two proposals regarding what are currently known as “auxiliary” categories of faculty members of the University. One proposal would provide for representation within the Academic Senate of full-time, long-serving faculty members in the categories of Clinical/Lecturer/Research (proposed to be collectively identified as the “Career-line” faculty category). This would be accomplished by a revision of Policy 6-002, adding 18 representatives of the Career-line faculty to the Senate. The other proposal would provide for changing nomenclature of the various categories and sub-categories of faculty members by (1) eliminating the existing name “auxiliary” faculty and replacing it with a newly-named category of “Career-line” that would include the three existing sub-categories of Clinical, Lecturer, and Research (all of which would continue to be applicable in individual cases); and (2) eliminating the existing name “regular” faculty and replacing it with the name “Tenure-line,” which currently includes “Tenured” and “Tenure-track” faculty (and those existing sub-categories would continue to be applicable in individual cases).

These are distinct proposals, but are being presented in combination for your consideration (and later that of the Academic Senate) because they are closely interrelated and combined consideration should allow for the most efficient and thorough processing. Both proposals contemplate one phase of Policy revision being approved in spring 2013, and a follow-up phase of further revising to be taken up during 2013-2014 to deal with several issues for fully implementing the two core changes in Senate structure and various University processes. For example, the question of Career-line faculty representation in elected *committees* of the Senate is proposed to be dealt with in that follow-up phase. Also, it is proposed that the Senate representation change be implemented using 2013-2014 as a transition year, with elections occurring through the fall and the Career-line representatives being first seated as voting members of the Senate in spring 2014.

The proposals reach your desks after lengthy development through a series of steps involving very broad consultation with the important affected constituencies. Of particular note, the impetus for the Senate representation (6-002) proposal arose within the Executive Committee of the Academic Senate, which in December 2010 requested that such a proposal be developed and readied for action by the full Academic Senate. The lengthy preparatory work has included formation of an Ad Hoc Committee on Auxiliary Faculty (“Ad Hoc Committee”), organized by the office of the Vice President for Faculty (Amy Wildermuth, who succeeded Susan Olson during the 2010-2013 project development period). The Ad Hoc Committee has taken the lead role for the proposals, including conducting extensive research within the University and nationally to identify and consider relevant issues, reviewing a variety of alternative Policy revisions to address those issues, and most recently developing these specific proposals.

Through the lengthy process, much attention has been paid to seeking out and consulting with interested sectors and persons within the University Community. In particular, because one proposal would affect the structure of the Senate, care has been taken to include representatives of the Senate at every stage of the project and ensure that attention is paid to the important principles of shared governance generally, and the specific vital role of the Senate in the shared governance system. As mentioned, the impetus came from the Senate's Executive Committee in 2010, and the project has repeatedly been discussed in principle with the Executive Committee, especially in recent months, and the proposals, in detail, have now been fully reviewed by the Executive Committee, which approved moving to the next stage at its March 18 meeting. At the January 2013 Senate meeting, members were generally apprised of the pending arrival of the proposals, and their input was invited.

The proposals have been repeatedly discussed in principle with the University RPT Standards Committee from 2010 through the present, an especially valuable series of consultations because of the mandatory representation of tenured faculty from every college on that committee. And the Ad Hoc Committee itself was structured to provide both broad representation of University constituencies, and of the Senate in particular. The current president of the Senate, a former president, and a recent past multiple-term member of the Executive Committee have been core participants of the Ad Hoc Committee. This has allowed the Ad Hoc Committee to be fully cognizant of the workings and ways of the Senate and its crucial role in the shared governance system. These members have served along with representatives of both tenure-line and auxiliary faculty, health sciences and the "lower campus" academic affairs units, and administrators knowledgeable about the various issues encompassed within the projects. The Ad Hoc Committee co-chairs, Hank Liese (tenured Associate Professor and Associate Dean of Academic Affairs in the College of Social Work) and Bonnie Mitchell (Clinical Professor of Law) are to be commended on managing effectively such a diverse Committee and leading them to this stage of preparation for presentation to you and on to the Senate. Finally, the proposals have been processed through and repeatedly discussed by the Institutional Policy Committee.

Further details of each proposal are laid out fully in the accompanying documents, which altogether include (i) this approvals memo, (ii) the Ad Hoc Committee's memorandum to the Academic Senate (for discussion April 1, 2013), (iii) an appendix of data regarding PAC-12 peer institutions, (iv) the specific proposal for Policy 6-002, and (v) the specific proposal for Policy 6-300.

We believe that both of these proposals are critical steps forward to putting us on equal footing with our institutional peers. In particular, the proposal on nomenclature is important because it more sensibly and respectfully describes what is meant to be conveyed by the labels attached to faculty ranks. Second, including Career-line faculty in the Academic Senate makes clear our institutional commitment both to shared governance and to those on the faculty who work in a full-time capacity.

If you approve, please forward for the approval of President Pershing, and then to the Senate office for presentation at the April and May meetings of the Academic Senate.

*(iii) Memorandum of explanation of the two proposals, from the Ad Hoc Committee to the Senate for the April 1, 2013 Senate meeting.*

*Academic Senate, April 1 & May 6, 2013*

**MEMORANDUM**

**From:** Ad Hoc Committee on Auxiliary Faculty

**To:** Academic Senate

**Date:** April 1, 2013

For consideration at the April 1 meeting of the Academic Senate, these are the combined proposals to:

**Obtain Academic Senate Approval to Amend Relevant Policies to:**

- Change Faculty Nomenclature
  
- Allow Representatives of the Full-Time Auxiliary Faculty to be Elected by Their Peers into the Academic Senate

The documents for these combined proposals include (a) this memorandum explaining the proposal (with appendices), and (b) the accompanying proposed changes for Policy 6-002 and Policy 6-300.

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## Executive Summary

In response to the December 2010 request from the Senate Executive Committee, the University of Utah Ad Hoc Committee on Auxiliary Faculty (“the Committee”) recommends that the University revise Policies 6-002 and 6-300 in order to:

- Change the official nomenclature for faculty members to three major categories: (i) Tenure-line (including Libraries faculty members formerly listed with the tenure-equivalent “continuing appointment” status), (ii) Career-line (*for full-time Clinical, Lecturer, Research positions*), and (iii) Adjunct, Visiting, and Emeritus. This would eliminate the existing name “auxiliary” currently applicable to the Clinical, Lecturer, and Research positions (Policy 6-300). **Note that the nomenclature change is simply a title change and does not affect any of the rights or responsibilities of any group of faculty.**
- Establish Academic Senate representation for full-time auxiliary faculty (Clinical/Lecturer/Research), with one Senator to be elected by auxiliary faculty peers (0.50 FTE or higher) within each academic college, one for the University Libraries, and one for the Qualified Interdisciplinary Teaching Programs, for a total of 18 new Senators (the same as the number of student representatives). Candidates for such positions would be required to have a minimum of three years continuous full time (.75 FTE) status, and would serve a three-year term in the Senate. (Policy 6-002)

The Committee makes these two recommendations for a number of reasons. First, nomenclature is an important contributor to organizational culture and can create unintended tensions. The existing term “auxiliary,” currently dictated by Policy 6-300 to apply for the full-time Clinical, Lecturer, and Research positions, suggests that such faculty members are “supplemental,” “secondary,” or “ancillary.” Given that the auxiliary faculty comprise over 40% of the University’s full-time faculty, the term “auxiliary” and its negative implication that these faculty members are merely “supplemental” is contrary to the facts. Many auxiliary faculty members feel they are accorded second-class treatment, exacerbated by the demeaning label of auxiliary. The recommended nomenclature change is appropriately respectful of, and recognizes the importance of, the full-time Clinical/Lecturer/Research auxiliary faculty at the University of Utah. The accompanying change to refer to the category of Tenure-track and Tenured faculty as “Tenure-line” rather than the existing name “Regular” both provides greater clarity of the categories and recognizes the important functional differences of the Tenure-line and Career-line categories.

Second, establishing representation for Career-line faculty within the Senate, through a modestly-sized expansion of Senate membership, will correct a significant deficiency in the University’s otherwise outstanding commitment to general principles of shared governance. Those principles of shared governance are deeply embedded in the culture of the University, as was emphasized in the University’s recent self-report petitioning for accreditation renewal. As the report noted, those principles are reflected through numerous official Policies of the University. As a prime example, Policy 6-300-III-Sec. 6

(Authority of the Faculty) provides for faculty to play a meaningful role in governance, including primary responsibility for course content and materials, degree requirements, and curriculum. Full-time, long-serving auxiliary faculty members are deeply involved in all of those areas, and so have substantial expertise and wisdom to contribute in shared governance. Including representatives of these faculty members in the Senate creates a mechanism for gaining access to their insights on curriculum and course needs, and mechanisms for assuring quality of teaching, which are among the most important areas of Senate responsibility. These insights can help faculty demonstrate that the integrity of our institution and the effectiveness of our programs and research depend upon maintaining as fully as possible a robust Tenure-line faculty, balanced with more fully benefitting from the contributions that Career-line faculty can make within the shared-governance system.

Third, in addition to supporting the University's outstanding historical record of shared governance, inclusion of Career-line faculty in the Academic Senate will remove what has until now been an artificial barrier to cooperation between all members of the faculty and alignment of faculty interests. The exclusion of Career-line faculty from University governance has the unintended consequence of fracturing the faculty—an otherwise naturally allied group of professionals. Administrative choices frequently are driven by economic pressures, such as cutbacks in support from the State Legislature. A united faculty is likely to be able to more effectively influence the administration in key areas such as maintaining an appropriate balance between full-time and part-time faculty.

Fourth, the existing exclusion of Career-line faculty from the Senate is inconsistent with the fundamental principles of the academic community—inclusiveness and respect for those who contribute in significant ways to academic endeavors. These fundamental principles prompted the Senate, in its most recent restructurings, to include in its elected membership first the Libraries faculty (of the tenure-equivalent continuing appointment category), and then the student representatives, adding those to the body previously limited to "Regular" faculty, to create the modern Academic Senate. Including Career-line faculty in the Senate now will be consistent with the University's history of fairness and bring the University in line with our peer institutions, as inclusion of auxiliary faculty on institutional senates is the norm.

# I. Introduction, Overview, and Background

## A. Introduction and Overview

This is a combined proposal for two types of change in University Policies and associated procedures and practices regarding the *full-time, long-serving* faculty in the categories of Clinical, Lecturer, and Research.

1. The first type of change is in nomenclature only—the names that are used in official Policies and then used in the day-to-day language of the University community, in referring to *full-time, long serving* Clinical, Lecturer, and Research faculty, and in distinguishing those categories of faculty both from the tenured and tenure-track and from other categories consisting of *part-time, short-term* faculty. Specifically, it is proposed that the University:

(a) Discontinue using the name “*auxiliary*” and adopt the name “Career-line” to refer to the combined category of full-time, long-serving Clinical, Lecturer, and Research faculty.

(b) Discontinue using the name “*regular*” and adopt the name “Tenure-line” to refer to the combined category of Tenured and Tenure-track faculty (including the encompassed Libraries faculty).

2. The second type of change would allow full-time, long-serving Clinical, Lecturer, and Research (“Career-line”) faculty to serve as voting members of the Academic Senate. Specifically, it is proposed that:

(a) One full-time, long-serving Career-line faculty member (at least .75 FTE for three continuous years) be elected from each college-level unit (the 16 academic colleges, the Libraries, and the Interdisciplinary Teaching Programs), for a total of 18 Senate positions.

(b) The voters eligible to participate in the selection of these Career-line faculty should be Career-line faculty who are at least .50 FTE at the time of election.

The combined proposal documents include (a) this memorandum, and (b) the proposed revised versions of [Policy 6-002](#) (the Academic Senate), and [Policy 6-300](#) (categories and nomenclature of University faculty). This memorandum consists of Part I (Introduction, Overview, and Background), Part II (Proposed Change in Faculty Nomenclature), Part III (Proposal to Provide for Representation of the Full-Time Clinical, Lecturer, and Research Faculty as Voting Members in the Academic Senate), Part IV (References), and Part V (Appendices).

## B. Background

When Policy 6-300 was substantially revised to provide for the categories of Clinical, Lecturer, and Research faculty, a provision was included requiring that the Senate receive an Annual Report on the Faculty Complement. The Annual Report for this year will reach the Senate at the same time as this proposal. Reviewing the data from past reports, the Ad Hoc Committee on Auxiliary Faculty (“the Committee”) notes that the number and proportion of faculty who are not tenured/tenure-track compared to those who are tenured/tenure-track (“Tenure-line”) has risen at the University of Utah. This trend is even more dramatic at the national level. According to a new report from the American Association of University Professors (AAUP, 2013), while Tenure-line faculty made up 45.1% of all instructional staff in U.S. higher education in 1975, that figure was down to 24.4% by 2009.

The University of Utah, like virtually all other institutions of higher education, is relying more and more on faculty who are not Tenure-line to teach students, do academic research, and care for patients while modeling their professional skills for students in the “teaching hospital” setting. For those in the “Career-line” categories we focus on for this proposal, work at the University of Utah is their full-time job and long-term career, much as it is for Tenure-line faculty. Yet University policies label the former as “auxiliary” faculty and the latter as “regular” faculty. Continuing to use the label “auxiliary” unnecessarily demeans the full-time, long-serving Clinical, Lecturer, and Research category faculty members.

The University has already taken a few important steps to increase the institution’s ability to efficiently use the expertise and work capacity that the long-serving auxiliary faculty contribute, and also a few steps to increase institutional recognition of contributions of “Career-line” faculty members. Within the past decade, the University Teaching Committee opened more of the teaching awards to auxiliary faculty. Initially at the urging of the primary University accrediting body, and then subsequently by the University’s own internal initiative, the administration and Senate in 2007 and 2010 enacted and then expanded [Policy 6-310](#), which ensures that the work of the “auxiliary” faculty is systematically evaluated and that they are eligible for promotions in rank. It also encourages use of multi-year rather than single-year appointments, greater participation in academic governance within their departments and colleges and at the University level, and access to professional development opportunities.

Implementation of Policy 6-310, however, is inconsistent around campus. As positive examples, the recently revised Fine Arts College Council Charter (discussed at the January 2013 Senate meeting) includes council representation for auxiliary faculty (in “Career-line” status), and the School of Medicine has long enfranchised Clinical faculty in many departmental-level decisions. In many other colleges and departments, though, responses to the accreditation impetus of Policy 6-310 have been much slower. In some colleges, Career-line faculty have limited or no vote and sometimes no voice in departmental and college decision-making, on matters to which they could contribute significant expertise and work capacity. Moreover, at the apex of shared governance at the University, Career-line faculty have no representation in the Academic Senate. Under existing Policy 6-002, membership in and voting for representatives to the Academic Senate are restricted to Tenure-line and Tenure-line equivalent library faculty (continuing appointment), and students.

As work began to implement Policy 6-310 to follow through on the accreditation initiative, conversations with a few Career-line faculty revealed profound discontent with what they perceived as second-class treatment at the University, reflected in both formal University policies and structures and informal departmental cultures. As the genesis for this set of combined proposals, in December 2010, then-Associate Vice President for Faculty Susan Olson approached the Academic Senate Executive Committee to discuss the idea of incorporating auxiliary faculty into the Senate. The Executive Committee, once made aware of some of the concerns now reflected in this proposal, responded with a request for a proposal. As recorded in the minutes of the meeting of December 20, 2010, "The discussion ended with the Executive Committee requesting that a proposal be prepared and brought back for consideration." The minutes also note that the then-Senate President asked that the proposal specifically include the alternative of "establishing in the Senate a set of positions dedicated for representation of the auxiliary faculty." Groundwork for this current combined set of proposals has been under development since that request was made by the 2010-2011 membership of the Executive Committee.

In early 2012, current Associate Vice President for Faculty Amy Wildermuth, in consultation with current Senate leadership, organized an Ad Hoc Committee on Auxiliary Faculty to conduct further research and draft a proposal. That Ad Hoc Committee now brings this combined proposal for consideration. The proposal addresses (1) the formal terms used to describe "regular" tenured/tenure-track (to be "Tenure-line") and full-time, long serving "auxiliary" faculty (to be "Career-line") and (2) the lack of representation of the Career-line categories of auxiliary faculty in the Academic Senate. It does not address the full range of concerns expressed by Career-line and other auxiliary faculty, but takes the position that creation of mechanisms for representation of, and communication among, such faculty is an essential step in acknowledging their contributions to campus and hearing their concerns.

#### Committee Members:

Hank Liese, (Co-Chair), Associate Professor & Associate Dean for Academic Affairs, College of Social Work

Bonnie Mitchell, (Co-Chair), Professor (Clinical) & Co-Director, Center for Innovation in Legal Education, College of Law

Piikea, Akimseu, Director, Faculty Affairs, School of Medicine

Bonita Austin, Assistant Professor (Lecturer) Management & Director, Management Undergraduate Studies, College of Business

Mary Ann Berzins, Human Resources, Assistant Vice President HR Planning and Strategy

Carolyn Bliss, Director, LEAP Program

Mardie Clayton, Assistant Professor, Nursing

Robert Flores, Professor of Law, Special Assistant to Office for Faculty Affairs, & Academic Senate Liaison to the Institutional Policy Committee

Robert Fujinami, Professor, Pathology, School of Medicine & Academic Senate President

Harriet Hopf, Professor, Anesthesiology & Associate Dean for Academic Affairs, School of Medicine

Susan Olson, Emeritus, Associate Vice President for Faculty Emeritus & Professor of Political Science

Greg Owens, Associate Professor (Lecturer) in Chemistry & Associate Dean, College of Science  
Brent Schneider, Professor, Modern Dance & Associate Dean, College of Fine Arts

## II. Proposed Change in Faculty Nomenclature

### A. Committee Charge and Recommendation for Nomenclature Change

One of the Ad Hoc Committee's charges was to review the existing policies and practices governing nomenclature of faculty, in particular the "auxiliary" category, and recommend changes (1) to facilitate accurate and consistent hiring, review, promotion, record-keeping, and reporting practices; and (2) to ensure that titles accurately and fairly represent faculty responsibility and institutional identity and affiliation, if any, with the University.

To fulfill its charge to review policies and practices governing faculty nomenclature, **the Committee recommends** discontinuing use of the existing names "regular" and "auxiliary" and adopting a new nomenclature scheme with the following descriptive categories for faculty, which the Committee believes accurately and fairly represent faculty responsibility and institutional identity and affiliation:

- **"Tenure-line"** (encompassing both the formerly named "regular" category of tenured and tenure-track/tenure-eligible, and the formerly named "continuing appointment" Libraries Faculty).
- **"Career-line"** (.50 or greater FTE; a new grouping encompassing the existing sub-categories of Clinical, Lecturer, and Research, formerly lumped under the "auxiliary" heading) (and will include such positions of Libraries faculty which were formerly referred to as "non-continuing appointment").
- **"Adjunct"** (no proposed significant change from existing Policy definition, although tighter enforcement of existing regulations may be needed—used for personnel whose appointments in the appointing unit are part-time, less than .50 FTE, paid or unpaid, at any rank).
- **"Visiting"** (no proposed significant change from existing Policy definition, used for those expected to remain at the University only for brief periods—not a long-term affiliation).
- **"Emeritus"** (no proposed significant change from existing Policy definition).

See the accompanying proposed Revision 16 of Policy 6-300 for full details of these proposed categories and nomenclature, and Appendix B for dates of implementation.

### B. Background

In accordance with its charge "to ensure that titles accurately and fairly represent faculty responsibility and institutional identity and affiliation," the Committee invested more than a year researching and discussing the positive and negative consequences of selecting specific titles. Early on, the Committee was unanimous that any proposed nomenclature list tenured/tenure-track faculty at the top and be the only category that included the word "tenure" in the main title of the category. This reflects the

Committee's view that all policies and practices of the University should continue to respect and reflect the great importance of the tenured and tenure-track faculty, as central to the character and functions of the institution.

The Committee also was unanimous early on that the specific nomenclature of "regular" and auxiliary" be eliminated because of confusing and negative associations described below. For faculty whose primary career affiliation is with the University, the Committee considered and rejected the terms "non-tenure track" and "contingent" (terms commonly used by other institutions) as inconsistent with its charge and unnecessarily demeaning. Aside from those decisions, the Committee had long discussions during meetings and by email about several other titles, considering how well each accurately and fairly represented the category being considered. In its deliberations, the Committee also considered the drafting consequences of amending policies affected by changes in nomenclature, with a goal toward streamlining the nomenclature of categories while allowing for a range of appropriate categories and ranks within those categories.

In accordance with its charge to review faculty nomenclature policies "to facilitate accurate and consistent hiring, review, promotion, record-keeping, and reporting practices," the Committee believes that the following underscore the need to clarify and streamline faculty nomenclature:

**1. The Committee was unsuccessful in reconciling auxiliary faculty information from Human Resources with auxiliary faculty information from the Office of Budget and Institutional Analysis (OBIA).**

There is lack of clarity in the policies governing faculty nomenclature which create inconsistencies with Human Resources faculty employment categories. The lack of clarity and inconsistencies can result in inaccurate record-keeping and reporting. Inherent in best practices of a complex institution are consistency and coherence in the assignment of rank, title, position, and function to all who are members. This is particularly true of a public research institution of higher education, which has numerous reporting requirements on the local, state, and national levels and for purposes of accreditation. For administrative and staff employees at the University of Utah, Human Resources has a system of coding, choosing job titles, writing job descriptions, and ensuring fair practices for hiring, review, promotion, salary, benefits, rights, and responsibilities. That system is consistent and coherent.

For *faculty* at the University of Utah, however, Human Resources lists two categories, with faculty titles under each with an associated job code:

- Regular Faculty  
*Nine* coded sub-categories that include instructors and library faculty
- Auxiliary Faculty  
*Thirty-three* coded sub-categories

However, the Committee could not reconcile information from Human Resources with information from OBIA to determine how many auxiliary faculty are appointed in which categories in specific colleges and



departments at any given time. Moreover, the distinctions between full-time and part-time are unclear, as well as how many auxiliary faculty are actually employed at any given time. Most relevant to this Committee's work, the 2012-2013 Annual Report on the Faculty Complement reveals that Career-line faculty comprise 40.3% of the total number of faculty at the University of Utah (see Table 1 in Section III of this memorandum.)

**2. Many members of the University community are not well versed with specific aspects of the University's existing categories, nomenclature, and ranks for faculty.**

Many within the University community do not fully understand the distinctions between what are currently categorized as auxiliary faculty and other personnel who perform academic functions, including teaching, but do not have faculty status. Broadly, the personnel of the University fall into four main groups—(1) the faculty, (2) the non-faculty academic employees (e.g., associate instructors, research associates, teaching assistants, teaching fellows, research assistants), (3) the staff employees, and (4) central administration officers. See existing definitions in Human Resources Policy 5-001, <http://www.regulations.utah.edu/humanResources/5-001.html>.

The Committee's proposals and draft policy revisions are not intended to apply in any sense to the non-faculty academic employees described above. The proposed change in nomenclature applies **only** to the faculty categories governed by Policy 6-300, the foundational Policy that establishes the existing categories of faculty and provides the official nomenclature for faculty categories, <http://www.regulations.utah.edu/academics/6-300.html>. Policy 6-300 establishes these existing main faculty categories:

- Section 2. Regular Faculty - Tenured and Tenure-Eligible Faculty
- Section 3. Library Faculty (Continuing-appointment and Continuing-appointment eligible)
- Section 4. Auxiliary Faculty
  - D. Auxiliary Faculty—Categories
    - 1. Research Faculty
    - 2. Clinical Faculty
    - 3. Lecturer or Lecturing Faculty
    - 4. Adjunct Faculty
    - 5. Visiting Faculty

Policy 6-300 also acknowledges the existence of “emeritus” status faculty but does not discuss it fully.

As for “ranks” to which members of the faculty may be appointed or promoted, there is occasional confusion. 6-300 provides that (as is true of the “regular” faculty), “Auxiliary faculty may hold the ranks of professor, associate professor, assistant professor, or instructor” (6-300-III-Sec. 4). The proposed revision of 6-300 will not change the use of those ranks, but through reorganization will add some clarity in the vein of making the Policy more “user-friendly.”

Another area of widespread confusion within the University community is a tendency to misuse the name “adjunct” to refer to all of the sub-categories of auxiliary faculty—including full-time, long-serving Clinical/Lecturer/Research faculty, a tendency likely exacerbated by the current nomenclature (confusing auxiliary and adjunct). That Policy-engendered confusion in turn seems to lead frequently to substantive misunderstandings—members of the University community who are not well-versed in the official nomenclature tending to conflate part-time, short-term adjuncts and the full-time, long-serving Clinical/Lecturer/Research faculty.

### **3. The place of Libraries faculty within the categories is another area of occasional confusion within the University community.**

Libraries faculty also are governed by Policy 6-300, and in the above classifications, there is a separate section for the Libraries faculty. It defines them with the terminology “continuing appointment” rather than the terminology “tenure.” Under long-established practices, the academic library faculty are appointed in the three University Libraries units (the central Marriott unit, the Eccles Health Sciences unit, and the S.J. Quinney Law unit). They are appointed to positions in two main categories. The “continuing appointment” category positions have the status of “continuing appointment”—which in important respects is functionally equivalent to “tenure.” However, similar to what has occurred in the degree-offering academic colleges and departments, there are positions of Libraries faculty which do not have the continuing appointment/tenure-like status. Those positions currently are classified as “auxiliary” library faculty. For historical reasons, the “continuing appointment” terminology has been used until now. That terminology makes for much confusion and unnecessary complexity in the governing Policies, including 6-300.

Accordingly, the proposed revisions of 6-300 would implement a planned discontinuance of the “continuing appointment” terminology, replacing it with the more easily understood, less confusing, and simpler “tenure” terminology for the Libraries faculty. Thus, the Libraries faculty who have historically been in the “continuing appointment” line will now be appropriately understood as encompassed in the proposed “Tenure-line” category (Tenured or Tenure-track), along with the existing “regular” departmental faculty. This change of nomenclature will have no effect on the Senate representation issue—the continuing appointment Libraries faculty were already incorporated into the Senate membership, and have been making the expected valuable contributions within the main body as elected members of the Senate, serving on and chairing the various Senate-elected committees, and elected by the Senate to serve as presidents of the Senate.

#### **C. Rationale for Adopting “Tenure-line” and “Career-line” Nomenclature**

Faced with strong indications of the inadequacies of the terms “auxiliary” and “regular” currently in the University’s scheme of nomenclature, the Committee searched peer and other institutions for possible substitutes that might be in common use for the two distinct groups of full-time academics.

Michael I. Shamos, Ph.D. J.D., Distinguished Career Professor, School of Computer Science at Carnegie Mellon University, created a 150-page handbook (2002) listing more than 800 academic titles culled from about 1,000 faculty handbooks. He stated that his work was motivated to rationalize a scheme of conferring titles at Carnegie Mellon. He found that academic titles matter in substantial ways to individuals and classes of individuals, but there is absolutely no rational scheme for conferring titles. Shamos concludes that institutions charged with selecting academic titles and according rights and responsibilities **need to do what works for their institution and their faculty with an eye for consistency, transparency, fairness, and unity with their mission.**

<http://euro.ecom.cmu.edu/titles/titlebook.htm>

As with the Shamos example, the Committee has not found obviously superior nomenclature in widespread use at other institutions that could be adopted for our needs at the University.

**1. “Career-line,” rather than “auxiliary,” nomenclature for full-time, long-serving Clinical, Lecturer, and Research faculty accurately reflects their responsibilities and institutional identity and affiliation.**

A large number of full-time auxiliary faculty members have had long careers at the University of Utah, some more than 25 years. Many have won prestigious awards for teaching and research and have devoted years of invaluable service to the University, including serving in some cases as directors of Centers and Institutes. For many, their only post-terminal-degree career affiliation has been with the University of Utah, and their hope is that the relationship will continue until retirement. Their commitment to the academic missions of the University is deep-seated and enduring.

But when it comes to faculty nomenclature, the Committee believes that, indeed, there *is* something in a name. Citing Williams, Poole, and McCready (2009), a recent (2011) Arizona State University task force on what it terms “non-tenure-track” faculty reported that:

“although fully academically qualified, with many holding terminal degrees, NTT [non-tenure-track] faculty generally have less security of employment, feel less invested, draw significantly lower salaries, and are not always incorporated into all aspects of university life or the full range of faculty rights and responsibilities, and may not be encouraged or rewarded for their scholarly efforts.”

In conversations, both informal and formal, the Committee has had with auxiliary faculty, it has become clear that the term “auxiliary,” implying as it does that someone or something is “supplemental” or “secondary” to someone or something else, serves to reinforce here at the University the equivalent picture of non-tenure-track faculty painted in the ASU task force report.

Levin and Shaker (2011), in their article, “The Hybrid and Dualistic Identity of Full-Time Non-Tenure-Track Faculty,” cite Bergom, Waltman, August, and Hollenshead (2010) in observing that:

“On the one hand, FTNT [full-time non-tenure-track] faculty feel marginalized, desire respect, lack a peer networking group on campus, and are frustrated by the dearth of role clarity; on the other hand, they find collegiality in their collaborative work and praise the benefits of being part of the academic community.”

In describing this “hybrid identity,” Levin and Shaker note that the “internal struggles” of their study participants “evidenced the depth and cost of the negative associations affiliated with the nomenclature of the non-tenure-track—including the terms *non-tenure-track* and *contingent*. This could be remedied through the creation of more inclusive and respectful terminology.”

The Committee believes that full-time, long-serving Clinical/Lecturer/Research faculty are justified in their reported perceptions that the University’s currently mandated nomenclature of “auxiliary” carries negative associations. There are similar concerns about other terminology in use nationally, such as “non-tenure-track” and “contingent,” the latter being a term used by AAUP (see next section of this proposal).

**2. “Tenure-line,” rather than “regular,” nomenclature captures the role of this category of faculty more precisely and accurately.**

As for the second term that is the subject of this proposal, “regular,” the Committee found it to be perceived as implicitly demeaning and insufficiently informative. For those to whom it does *not* apply, i.e., the Clinical/Lecturer/Research faculty, it is reported to carry an indirect/implied demeaning quality. If the tenure-line faculty are explicitly characterized as “regular,” the implicit connotation is that their faculty colleagues who are full-time, long serving Career-line faculty are something that is less than, and even the inverse of, regular. Directly labeled as merely “auxiliary” and indirectly implied to be “*not regular*” is a mantle that, at best, is difficult to wear with dignity throughout a career. The Committee was also surprised to learn that, when asked, many “regular” faculty do not like the term “regular” and, as one tenured professor said, “I cringe a little inside when I hear it.” Additionally, the term “regular” is ill-suited for its purposes: it has common meanings that are irrelevant to roles of faculty, and it fails to convey the most important information about this category of faculty—the concept of tenure and all of the important principles accompanying the status of tenure.

### III. Proposal to Provide for Representation of the Full-Time Clinical, Lecturer, and Research Faculty (Career-line) as Voting Members in the Academic Senate

#### A. Recommendation

**The Committee recommends** that the membership structure of the Senate be modified to add a set of representatives of the Career-line faculty, with voting rights. Specifically, one representative should be elected from each of the college-level units (each of the 16 academic colleges, the Libraries as a unit, and the Interdisciplinary Teaching Programs established under Policy 6-310 as a unit). When fully implemented, this will establish 18 positions. The faculty members eligible to serve as representatives should be full-time Career-line (Clinical, Lecturer, and Research) and committed to a long-term affiliation with the University, with minimum qualifications of having been in a position of at least .75 FTE continuously for at least three preceding years. They should have the same terms as Tenure-line representatives (three years, and one-year minimum between terms). These representatives should be elected by their peers within their college-level unit. The voters eligible to participate in selection of the representative from each unit should be Career-line (Clinical, Lecturer, and Research) faculty in positions at least .50 FTE at the time of election.

The University's existing, problematic nomenclature for faculty, including the particularly problematic term "auxiliary," might engender some confusion, perhaps leaving an impression that this is an effort to put part-time, limited-experience adjuncts and visiting faculty into important roles in shared governance. It is not. The focus of the proposal is on adding representation of and by those faculty members who are committed to long-term careers in full-time capacity at the University—those recommended in Part II above to be labeled as "Career-line" instead of "auxiliary."

#### B. Background of Senate Membership Structure

From an historical perspective, there have been two other highly significant policy changes in the Senate membership structure, and then another change in the leadership role. The Senate added representation of academic librarians (with continuing appointment status) in 1977. Subsequently, the Library faculty members have proven the wisdom of that progressive change by making important contributions to Senate work over the ensuing years. The next major step occurred through a Policy revision in 1987, which added a set of student representatives to the Senate. As a result of the change in membership, the governing body is now appropriately named the *Academic Senate* (unlike institutions which have only a "faculty senate"). The inclusion of student representation has been important for the Senate's work in the following years—proving the wisdom of that progressive step. Students have been significant contributors in important Senate decisions. The third and most recent progressive step occurred in 1990 with a significant change in leadership of the Academic Senate. Previously, the Vice

President for Academic Affairs (provost) led the Senate. As of 1990, the Senate President is not an officer of the central administration but a faculty member, elected by the Senate members. *(Note that the first elected Senate President to serve under that new structure, Professor Leslie Francis, is again a member of the Senate this year.)*

The Committee views the current proposal of adding representation from the full-time Career-line faculty as an appropriate additional step in building upon the foundations laid in 1977, 1987, and 1990—to modernize the Senate and increase its effectiveness as the most important, institution-wide entity of shared governance by including representation of all full-time faculty constituents.

As an example of how including Career-line faculty representation will benefit the University, consider two sets of issues that the Senate has recently examined—the student course feedback (i.e., course evaluations) system, and the system for admission of undergraduate students. The course feedback system is governed by [Policy 6-100](#), which was completely revised effective July 2011, after several months of intensive discussion and debate in the Senate. The course feedback system is now in spring 2013 undergoing intensive Senate discussion. The topics in both the earlier and the current discussions are topics on which the Career-line faculty should be expected to have great expertise, and on which they have serious concerns. A substantial number of the courses (i.e., the teachers) being evaluated through that system are taught by Clinical and Lecturer faculty, and their career advancement is heavily dependent on course feedback evaluation results.

Another issue the Senate has dealt with through multiple discussions in 2012-2013 is the complete overhaul of the undergraduate admission system ([Policy 6-404](#)). The faculty within the Senate who typically work with newly admitted undergraduates made many important contributions to the final, high-quality content of that revised Policy. Many of those newly admitted undergraduates will spend substantial portions of their freshman and sophomore years in classrooms led by Career-line faculty. The Senate's deliberations on both the course feedback issues and the undergraduate admission issues were undertaken without benefit of contributions from the Career-line faculty, who have extensive expertise and great interests in those issues. The current configuration of the Senate has excluded those experts from these important discussions.

These are just two instances, among the many, of matters that come before the Senate on a regular basis for which representatives of the Career-line faculty could and should be contributing their expertise and energy.

### **C. Existing University Policies Pertinent to the Committee's Recommendation**

In addition to establishing the nomenclature and categorization of faculty (see Part II above), Policy 6-300 makes general provisions regarding the voting rights of the various categories, thus indirectly affecting rights of the Clinical/Lecturer/Research faculty to vote in the Senate, as well as other shared-governance structures. Policy 6-002, which establishes the Academic Senate and defines its membership structure, directly and specifically controls eligibility for Senate voting membership—and the existing

language in Policy 6-002 explicitly limits faculty representation to Tenure-line faculty. More broadly, Policy 6-300 limits the voting rights of auxiliary faculty:

“The university faculty shall consist of the president, vice presidents, deans, directors of libraries, professors (including distinguished professors, presidential professors and university professors), associate professors, assistant professors, instructors, librarians, associate librarians, assistant librarians, and auxiliary faculty. **All shall have the full rights of faculty members except that persons holding auxiliary faculty positions** (research, clinical, lecturer, visiting) or emeritus appointments **shall not have the right to vote** and shall not have tenure or the expectation of tenure. [Policy 6-300, Section 1, Membership of the Faculty, emphasis added]

At the same time, however, Policy 6-300 states:

“**The faculty has a right to a meaningful role in the governance of the university**, including primary responsibility for course content and materials, degree requirements and curriculum; **it has a right to participate in decisions relating to the general academic operations of the university**, including budget decisions and administrative appointments.” [Policy 6-300, Section 6, Authority of the Faculty, emphasis added]

Policy 6-002 governs the membership structure of the Academic Senate (see Appendix C). For the 2012-2013 academic year, the Senate has 99 elected voting members as follows:

- 79 “regular” faculty members (library faculty included) elected by peers in their respective college units (the libraries jointly constituting one unit);
- 2 deans elected by the deans; and
- 18 students from student government (ASUU), one from each college and the ASUU president

#### **D. Rationale for Representation of Career-line Faculty in the Academic Senate**

Research in several important areas helped clarify for the Committee the rationale for Career-line representation in the Academic Senate:

##### **1. Of those PAC-12 and other peer institutions the Committee surveyed, all included Career-line faculty as voting members of their faculty or academic senates.**

In its research, the Committee learned that the University of Utah is perhaps the only PAC 12 institution without representation of its auxiliary faculty in any capacity on the equivalent of our Academic Senate. The Committee does not expect the University to follow suit because everyone is doing it. Rather, the Committee concludes that full-time Career-line faculty (Clinical/Research/Lecturer) at the University of Utah should have representation and voting rights on the Academic Senate because it is the right thing to do, both because the Career-line faculty have much to contribute to the work of shared governance (see the course feedback and undergraduate admission Policies mentioned previously), and as a matter of general fairness and equity.

In the 2007-2010 accreditation review and the University's response, a central principle was to bolster full-time auxiliary faculty involvement—encouraging and allowing a greater role in shared governance for auxiliary faculty at the college and departmental level. While the University has subsequently made progress on that principle (see Policy 6-310 as well as the recently revised Fine Arts College Council Charter discussed by the Senate this spring), the participation of full-time Career-line faculty on the Academic Senate at this time remains barred by policy.

Culling information from Faculty Policies and Procedures at other institutions was a daunting research task. Some information simply could not be obtained or verified. Much was incomplete or internally inconsistent. The task did, however, make the Committee appreciate the relative coherence and clarity of the faculty-related policies at the University of Utah. What the Committee was able to determine (noting the research constraints above) is that the total number of voting members of the equivalent academic governing bodies at peer institutions varies widely. However, faculty eligibility to be a voting member and method of election is largely consistent.

*Range of Number of Voting Members in the Governing Bodies:*

Minimum 40 (USC); maximum 137 (Ohio State)

*Student and Administrator (Non-faculty) Voting Membership:*

Most have a limited number of administrators who are voting members. There are only two institutions that have students as voting members: the University of Arizona has seven voting student members and Ohio State has 41 voting student members.

*Faculty Voting Membership:*

Excluding the University of Utah and Washington State University (whose information was not available online), **all surveyed peer institutions include the equivalent of "Career-line" faculty as eligible members of the voting faculty.** About half require Tenure-line and Career-line to be .50 FTE. The remaining require "full-time" or .75 FTE for eligibility.

Beyond that, most institutions specify who among faculty are not eligible to vote, such as emeriti, adjunct, and visiting faculty; faculty associates; faculty in residence less than two years; and *ex officio* members.

*Election of Voting Faculty Members:*

The election process of voting faculty members predominately is proportional by college. For the majority of institutions, apportionment is based on numbers of all eligible faculty in a college or



apportionment group or a combination of numbers of eligible faculty and student credit hours within the college or apportionment group. The iterations are numerous.

**Notably, no institution among those the Committee surveyed limits the number of Career-line voting members** or allocates a specific number to Career-line faculty. Nor does it appear there are restrictions on who can vote on Career-line faculty, or requirements that only Career-line faculty elect Career-line representatives. **(The Committee’s proposal departs from these norms, as we tailor our process over time to fit best with the circumstances of the University.)**

## **2. The AAUP recommends including Career-line faculty in university governance.**

In its January 2013 report, “The Inclusion in Governance of Faculty Members Holding Contingent Appointments,” the American Association of University Professors (AAUP), citing the growing number and role of “contingent” (i.e., non-tenure-track) faculty in higher education, notes the following:

“The structures of faculty governance...tend to assume a faculty that is primarily full time and on the tenure track. The participation in institutional and departmental governance of faculty holding contingent appointments is uneven, with some institutions encouraging it, some allowing it, and some barring it.”

The AAUP report describes the current state of affairs—i.e., a growing number of non-tenure-track faculty coupled with a system in which such faculty are only sometimes included in shared governance—as “problematic, first because it undermines faculty professionalism, the integrity of the academic profession, and the faculty’s ability to serve the common good.” The report continues:

“The current state of affairs is also problematic because it undermines equity among academic colleagues. The causes and repercussions of a system in which some faculty receive vastly more compensation, privilege, autonomy, evaluation, information, professional support, and respect than others extend far beyond governance... [A]s the percentage of tenure-track faculty at an institution dwindles, any governance system that relies primarily upon them to represent the faculty’s views **becomes less representative, less effective, and more easily bypassed.**”  
[emphasis added]

To its credit, the AAUP report acknowledges that, while the exclusion of non-tenure-track faculty from shared governance is problematic, their inclusion might be as well. Among the areas of concern are the following:

1. Non-tenure-track faculty members often receive no formal recognition or credit for governance activities.
2. Non-tenure-track faculty on term contracts may not be able to complete long-term projects.
3. Non-tenure-track faculty may be vulnerable to retaliation for taking unpopular positions in their governance roles, as they are not protected by tenure.

4. Non-tenure-track faculty, for the same reason, may be more susceptible to pressure from administrators or other faculty than are tenure-track faculty.

The Committee has taken these concerns seriously in its extensive research and deliberations leading to the present proposal. The concerns are real, but can be mitigated by careful management, and on balance do not outweigh the substantial benefits to accrue from the progressive change proposed. The Committee's view, shared with the AAUP, is that the advantages of non-tenure-track faculty participation in shared governance far outweigh the disadvantages. Of note, many Career-line faculty now participate on University committees where allowed, even if they do not receive specific compensation for such work. Some are motivated because voluntary service might be beneficial in promotion reviews. Others volunteer unpaid time simply because they want to contribute to the University's shared governance. While some may be reticent to express their opinions on controversial topics due to fear of retaliation, there are others who believe that there is no monetary value that competes with having and exercising a voice in matters one deems important. Further, concerns such as those raised above can and should be addressed by ongoing monitoring, discussion, and, if necessary, action at the department, college, and University level.

Notes the AAUP report:

"[W]e conclude that, on the whole, the exclusion from governance of faculty with contingent appointments is the greater danger to the integrity of the profession and the quality of higher education. In order for the faculty's voice to be heard and for the faculty to retain its ability to contribute substantially to academic decision making, the expectation of service in governance must be expanded beyond tenured and tenure-track faculty as it has been expanded in the past: a century ago senior faculty members generally were the sole participants in university governance."

**3. The Committee believes Career-line faculty representation in the Academic Senate will not lead to a diminution of the role of Tenure-line faculty at the University.**

The Committee is aware that some Tenure-line faculty may be concerned that granting Academic Senate representation to Career-line faculty will effectively amount to an *endorsement and encouragement* of the trend of increasing the proportion of Career-line (and also the very differently situated Adjunct) faculty relative to Tenure-line faculty. **In the Committee's view, the trends in hiring practices and the issue of shared-governance representation are unrelated.** Hiring practices are driven largely by economic considerations, but also by the desire for enhanced flexibility in programs as a way to respond to changes in student needs. Faculty representation is related to governance, fairness, and institutional identity. The underlying forces, including budget forces, driving the trends nationally and at the University should be recognized as distinct from, and appropriately separated from, the issues of how best to structure shared governance to maximize its effectiveness.

With or without the support of Tenure-line faculty, American colleges and universities have steadily reduced the proportion of Tenure-line faculty since the mid-1970s. Tenure-line faculty now account for about 24% of all faculty nationwide due mainly to a sharp rise in part-time faculty hires. A major reduction in state and local government funding, coupled with the relatively high expense associated with Tenure-line hires and retention, has made funding for Tenure-line faculty additions difficult to come by, despite the high institutional value of Tenure-line faculty. Note that per-student apportionments to research and master’s degree granting universities by state and local governments plunged 24% from 2000-2010 (Kirshstein & Hurlburt, 2012).

The University of Utah has faced challenges similar to, if not always equivalent to, its peer institutions. Table 1 below summarizes the changes in faculty distribution by category for the past eight years. Despite the economic pressures, the University, like its public research-intensive peers, has done a good job of preserving Tenure-line positions. In fact, the University added 179 Tenure-line positions in the past eight years. **Moreover, the University relies much less heavily on part-time faculty than most universities.** Part-time faculty here accounted for about a quarter of the faculty, compared to the national average of about 50% part-time faculty. Economic pressures continue to drive administrators to seek cost reductions—including reductions in expenditures on faculty. A 2013 survey of nearly 1,100 university provosts by Gallup showed that over half of public university provosts believe that their institutions will face budget shortfalls in the future (Jaschik & Lederman, 2013). The vast majority of provosts plan to continue to rely on Career-line (and also Adjunct) faculty at current levels, and almost a quarter plan to increase use of Career-line (and Adjunct) faculty in the future.

While the faculty of the University (of any category) have limited ability to remove funding pressures, a united faculty may be able to influence administrative choices. The two-tiered system of no Career-line faculty representation in governance (and the parallel of using demeaning nomenclature) has the unintended consequence of fracturing the faculty and reducing its influence by essentially pitting one group against the other. In addition to supporting the University’s outstanding historical record of shared governance, the inclusion of Career-line faculty in the Academic Senate will remove what has until now been an artificial barrier to cooperation between all members of the faculty and alignment of faculty interests. Moreover, it will allow the Senate to gather important insights on curriculum and other matters from large numbers of faculty members who work closely with students, patients, and in research—faculty members whose insights now are largely unheard. These insights can help faculty demonstrate that the integrity of our institution and the effectiveness of our programs and research depend upon maintaining as fully as possible a robust Tenure-line faculty, balanced with more fully benefitting from the contributions that Career-line faculty can make within the shared-governance system. Inclusion of Career-line faculty in shared governance will also further the University’s long-standing and admirable commitment to the academic traditions of fairness and equity.

**Table 1: University of Utah Faculty by Category 2004-2012**

	Percentage of Total Faculty	Average
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<b>Faculty Category</b>	<b>2004</b>	<b>2012</b>	<b>Annual Growth</b>
Tenure-Line	57.9%	51.1%	1.5%
Library	2.7%	1.8%	-2.3%
Clinical Faculty	20.0%	24.0%	5.5%
All Other Career-Line	14.9%	16.3%	4.3%
Total Career-Line	34.9%	40.3%	5.0%
Adjunct/Visiting	4.5%	6.8%	8.5%
Total Faculty			3.1%

Source: 2012-2013 University of Utah Annual Faculty Complement Report

### **E. Specifics of the Proposal for Full-time Clinical/Lecturer/Research Faculty Representation in the Academic Senate**

Implementing the Committee’s recommendation, i.e., that full-time Career-line faculty participate more fully in shared governance within the University by being eligible to participate as voting members in the Academic Senate, leads to a series of specific issues: (1) the precise requirements for eligibility of those who should serve; (2) their numbers; (3) specific affiliations with constituencies within the overall University; (4) the mechanism for their selection; and (5) their terms of service. All of these are addressed among the following:

#### **1. The Committee believes moving from no representation to proportional representation of Career-line faculty would be premature.**

The Committee discussed having a Senate membership structure based on maintaining the current formula for faculty, which is generally proportional by college, but would be amended to include the number of full-time Career-line faculty per college in the calculation. The existing formula already makes use of student credit hours taught within a college, including those taught by Career-line faculty. The election procedure would not change. This method mirrors that of the University’s peer institutions the Committee surveyed and provides the potential of giving proportional voice to Career-line faculty. Also, increasing the pool reduces the burden of Tenure-line faculty having to shoulder all of the governance responsibility.

However, the Committee consensus reflected in this proposal is that, at least for an initial period (i.e., a trial basis), college-level units of the University (each college, the Libraries, and a unit comprised of the Interdisciplinary Teaching Programs) should elect one additional senator, from among its full-time Career-line faculty, elected by peers. This would increase the size of the Senate membership by 18. This option parallels the existing election process for, and number of, student representatives.

#### **2. The proposed number of Career-line representatives has several benefits.**

As will be quickly recognized, this proposed number (18) is quite modest, relative to the size of the Tenure-line faculty representation (79) and relative to the proportion of full-time Career-line faculty within the University (about 40% of all full-time faculty as reflected in the Annual Report data). The Tenure-line faculty will remain a substantial majority of the voting members.

Having a modest number of representatives would allow time to establish channels of communication among Career-line faculty across the lines of departments and colleges—channels of communication that currently do not exist. The Committee, as part of its overall research, found that there are very limited instances of any existing communities/councils or other types of structures within the University that enable a Career-line faculty member within one college—or even department—to learn of the existence of and establish communications with Career-line faculty in other colleges or equivalent units. For example, service on the Senate and Senate-elected committees allows and encourages Tenure-line faculty to establish communications with peers across the lines of colleges and departments. In their current status, officially barred from membership in the Senate and accordingly barred from election to the Senate-elected committees, the Career-line faculty members lack those mechanisms for cross-campus communication on shared interests and concerns.

Additional benefits of creating a small set of Career-line positions in the Senate would be a means for more easily identifying the Career-line faculty within the various units, accurately assessing the numbers of those who have the requirements for eligibility to vote on or serve as a Senate representative, and learning about their ability and willingness to take time for service in shared governance. Perhaps most important, there is the need to determine how many Career-line faculty have multiple-year contracts that would encourage them to exercise their right to speak freely with less fear of retaliation.

**3. There are benefits to the proposed eligibility criteria for Career-line faculty to serve in the Academic Senate, as well as the proposed criteria for electing those representatives.**

In keeping with the Committee's view that any Career-line faculty serving in the Senate should have a full-time and long-running affiliation with the University, there are two recommendations. First, as to the eligibility to vote for representation, the proposal is that Career-line faculty in the categories of Clinical, Lecturer, and Research who are at least .50 FTE be eligible to vote for the Career-line representative from their college-level unit. Second, as to eligibility to stand for election and serve in the Senate, a candidate would have to be a Career-line faculty member (Clinical/Lecturer/Research) in a position at least .75 FTE, and employed in that capacity continuously for at least three years. This requirement assures that, as elected Senate representatives, they are knowledgeable about the University and aligned with the University's mission and goals sufficiently to make useful contributions in their shared-governance roles.

The college-level unit is an existing structure that facilitates orderly elections and typically is the reference point around which professional identity is established. The Committee believes that Tenure-line faculty may be more receptive to this method of obtaining representation and hopes it will initiate

conversations and improve inter-faculty relationships and mutual respect. This is envisioned as an initial method to allow Career-line faculty to have at least one voice per college in the near term, with re-evaluation after an initial trial period as more fully described below.

**4. The Committee recommends that there be a transitional process for electing Career-line representatives to the Academic Senate.**

The Committee recommends that the various college-level units organize and conduct their elections during fall 2012 and, further, that the new Career-line representatives first take their seats as voting members as of January 2014, midway through the year. The Committee also recommends that a “staggered” system be used so that once the terms of the initially elected set of representatives come to an end, there will not be a complete turnover, but rather a staggered turnover. Finally, the Committee recommends that the process and structure be monitored and reviewed and, if that review so suggests, that possible modifications be considered for implementation in a subsequent year (see task force recommendation below).

This addition of Career-line representatives to the Senate structure will be accomplished by revising the governing Policy on Senate structure, and the specific revisions needed for this change are displayed in the accompanying draft of Revision of Policy 6-002. However, the revisions now proposed will leave certain issues and certain aspects of the Policy needing further work. Most importantly, the Committee view is that, at this time, there should not be a decision made about how Career-line faculty might best be integrated into the Senate-elected committee system. During 2013-2014 there should be further study on that issue, and the outcome of that study should lead to proposed further revisions to those sections of Policy which govern the membership of the Senate committees. **So it is a specific component of this current proposal that there be a second phase of additional Policy revisions, developed during 2013-2014, to include further revisions of Policy 6-002 and several related Policies.** This second phase revising of Policies regarding shared governance will coincide with the second-phase revising of Policies regarding nomenclature and categories of faculty (see Appendix B).

**F. Recommendation to Form a Task Force to Continue the Work of the Ad Hoc Committee**

The Committee recommends forming a task force charged with two broad areas of responsibility. One, the task force should monitor and participate in reviewing the newly implemented structure for inclusion of Career-line faculty representatives in the Academic Senate, evaluating the effects of the selected method of allocation and election and gathering input as needed from all constituencies. Second, this task force should also be charged with evaluating other issues affecting Career-line and also part-time, non-tenure track faculty, including issues raised in this proposal as well as others not addressed. The task force should include at least some of the Career-line faculty who are elected to the Senate by their peers and some carry-over membership of the Ad Hoc Committee that has developed this set of proposals. The work of the task force might best coincide with the second-phase Policy revision processes the Committee has recommended above.

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## V. Appendices

### Appendix A

PAC 12 Faculty/Academic Senate Data  
(presented in a separate document)



## Appendix B

### Proposed Implementation of Changes in Faculty Nomenclature

The faculty nomenclature changes are proposed to be implemented as of July 1, 2013. This set of changes to take effect in July will be the first of two steps needed to fully implement changes of nomenclature in a system-wide scope. The Committee has preliminarily identified additional Policy changes that will be needed for the full implementation.

As a specific component of this current phase proposal, the Committee proposes that a second phase be undertaken during the 2013-2014 year, leading to a second-phase proposal for further revisions of Policies. These should include further revisions of certain portions of Policy 6-300 which are not encompassed in the current proposal, but are antiquated and require updating. They should also include revisions of several other Policies in which the existing nomenclature of “auxiliary” and “regular” appears (and others in which there is the “continuing appointment” terminology regarding Libraries faculty).

For example, there should be conforming nomenclature-change revisions made to Policies 5-001 (Employee Definitions), 6-001, 6-301, 6-302, 6-303, 6-304, 6-306, 6-311, 6-317, and 7-011. Most of these will be simple changes of the nomenclature. This second phase of nomenclature-related Policies will coincide with the second-phase revising of shared-governance-related Policies which the Committee is recommending.

## APPENDIX C

### Membership Structure of the Academic Senate

The membership structure of the Academic Senate is governed by Policy 6-002-III-Section 2, <http://www.regulations.utah.edu/academics/6-002.html>. It establishes certain administrative officials as ex officio non-voting members, and for the voting membership provides for representation from the students (elected through ASUU), two elected deans, and the faculty. Each college must have at least two faculty members and one student member.

A formula determines faculty college representation based on (1) the number of Tenure-line (regular) faculty in the college; and (2) the total student credit hours taught. Note that the formula factor of credit hours taught includes courses which are taught by “auxiliary” faculty, including the full-time Clinical and Lecturer faculty who are the subject of this proposal.

Specifically, for the faculty representatives, 6-002 provides:

*“1. Faculty. a. The voting membership of the Senate shall include regular faculty members [see Policy 6-300] elected from the following areas of representation: the individual colleges and the university libraries considered as a unit. All regular members of the faculty, without regard for rank or for time in rank, shall be eligible for election to membership in the Senate, except ex officio members of the Senate and members of the faculty serving in administrative positions higher than department chair. All regular members of the faculty, without regard for rank or for time in rank, shall be eligible to vote for candidates for Senate membership only in the areas of representation where they hold primary appointments. Disputes respecting eligibility for election or eligibility to vote shall be decided by the Personnel and Elections Committee, subject to appeal to the Senate and to the faculty.*

*b. Faculty membership in the Academic Senate shall be apportioned by allocating not more than 79 representatives among the colleges and university libraries[\*FN] on a prorated basis of 50 percent according to the number of faculty members in each area and 50 percent according to student credit hours, including evening residence hours, taught in each area during the preceding academic year. The base allocation of not more than 79 faculty members shall be adjusted to ensure that each area of representation will have a minimum of two representatives. The Personnel and Elections Committee shall reapportion the Senate according to the foregoing formula every two years.*

*[\*FN] Representation from the university libraries will be determined by taking the average number of student credit hours per faculty member, of all other colleges, and multiplying that value by the number of library faculty.*

*c. Areas of representation which, under the foregoing formula, would contribute more than 20 percent of the voting faculty membership of the Senate may, with Senate approval, be subdivided by the Personnel and Elections Committee along department or administrative lines, into two or more separate*

*representation areas, none of which shall contribute more than 20 percent of the voting faculty membership of the Senate. The membership of such subdivided representation areas shall be apportioned by the Personnel and Elections Committee among the areas as nearly as possible in accordance with the above prorationing formula.*

*d. Faculty representatives shall be elected to serve regular three-year terms, or as provided in section 5A (3), infra, to complete three-year terms of representatives who do not complete their regular terms. An annual orientation shall be provided for newly elected Senators. Beyond service in the Senate, faculty members of the Senate should expect that they may be called upon to serve on standing and ad hoc committees. Senate faculty members shall be ineligible for nomination for another term until at least one year has elapsed following the expiration of their terms of office or date of resignation therefrom. New terms shall begin on May 15.”*

***(iv) Specific changes proposed & approved for Policy 6-002 (Senate representation), and Policy 6-300 (nomenclature for faculty).***

**Proposal for Revision 29 of [Policy 6-002](#).** *{Draft 2013-03-16, as discussed at the April 1 Senate meeting and now returned without change for debate and approval at the May 6 Senate meeting.}*

*{This Revision 29 has the primary purpose of integrating the Career-line faculty representatives into the main body of the Senate, as part of the set of proposals from spring 2013 regarding career-line faculty. This version is exactly as presented to the Senate at its April 1, 2013 meeting. The plan for ‘staggering’ the initial terms of the Career-line representatives, which the Senate requested be brought to the May meeting, is described in the separate memorandum from the Ad Hoc Committee—and will be implemented as there described—but it is not considered appropriate to write those temporary implementation details into this permanent version of the Policy and thereby make it more complex than necessary for permanent use.*

*Also, as mentioned for the April meeting, and now as a reminder for the May 6 meeting---- this Policy 6-002 overall is in need of significant reorganizing and updating to be consistent with modern practices, and there is a need to combine and coordinate contents of this Policy and Policy 6-001, but those many needed changes are not being included within this first phase Revision 29 proposal. Rather it is understood that as a second phase of the overall project, a Revision 30 proposal will be developed and brought forward for approval during the 2013-2014 year. At that same time, changes will be proposed in this Policy to appropriately integrate Career-line faculty representatives into some of the Senate-elected committees, which are governed by lengthy sections of this Policy that are not shown in this Revision 29 draft.}*

**Policy 6-002: The Academic Senate.** Revision ~~28~~29 Effective Date [July 1, 2013]

**I. Purpose and Scope**

(Reserved)

**II. Definitions**

(Reserved)

**III. Policy**

**SECTION 1. General Provisions**

**A. Authority of the Senate**

The Academic Senate, hereinafter referred to as the Senate, subject to the authority of the State Board of Regents and Board of Trustees, shall have power to act for the faculty in the areas specified by ~~University Regulations~~, [Policy 6-001](#), and other applicable provisions of University Regulations ~~and Faculty Regulations~~. The Senate shall have power to make rules governing its own organization and Procedure.

**SECTION 2. Membership**

The Senate shall be constituted as follows:

**A. Ex Officio Members**

The following administrative officers shall be ex officio members of the Senate: (1) The University president, and the senior vice president for academic affairs and the senior vice president for health sciences. These ex officio members shall have full rights of discussion and making motions but not the right to vote. (2) Each dean, or an associate or assistant dean designated as a dean's representative. Each dean or a dean's designee shall have full rights of discussion and making motions on matters directly associated with the dean's college or administrative responsibility, but, except for the two voting deans [see [III-Sec.2-B-](#)

2, below B (2) infra] not the right to vote.

B. Elected Members

1. Faculty members

i. Tenure-line faculty members.

A. ~~a~~ The voting membership of the Senate shall include **tenure-line** ~~regular~~ faculty members as defined in [see Faculty Regulations, Policy 6-300] elected from the following areas of representation: the individual academic colleges, and the University libraries considered as a unit. All ~~tenure-line regular~~ members of the faculty, without regard for rank or for time in rank, shall be eligible for election to membership in the Senate, except ex officio members of the Senate and members of the faculty serving in administrative positions higher than department chair. All ~~tenure-line regular~~ members of the faculty, without regard for rank or for time in rank, shall be eligible to vote for candidates for Senate membership only in the areas of representation where they hold primary appointments. ~~Disputes respecting eligibility for election or eligibility to vote shall be decided by the Personnel and Elections Committee, subject to appeal to the Senate and to the faculty.~~

*{Drafting note for Revision 29: inserting the numbers sixteen and seventeen in the following passage will clarify that this section on Senate membership has been updated to accommodate the creation of the new dentistry college, which becomes the sixteenth academic college. It will also help make clear that “college” as used for purposes of this Senate membership Policy, is not intended to include those entities which do include the term “college” in their names but are not actually academic colleges and therefore are not among the sixteen being referred to here (as of 2013-2014 those are the “Honors College” and the “University College”--- neither of which has any tenure-line faculty appointment positions)—but the Honors unit is a Qualified Interdisciplinary Teaching Program with career-line faculty appointments and is to be included with those Programs for career-line representation, below.}*

B. ~~b~~ Tenure-line Faculty membership in the Academic Senate shall be apportioned by allocating not more than 79 representatives among the seventeen areas of representation (sixteen academic colleges, and the University libraries area \*) on a prorated basis of 50 percent according to the number of tenure-line faculty members in each area and 50 percent according to student credit hours, including evening residence hours, taught in each area during the preceding academic year (regardless of whether taught by faculty, of any faculty category, or by non-faculty instructional personnel). The base allocation of not more than 79 tenure-line faculty members shall be adjusted to ensure that each area of representation will have a minimum of two representatives. The Personnel and Elections Committee shall reapportion the Senate according to the foregoing formula every two years.

\*Representation from the tenure-line faculty of the University libraries will be determined by taking the average number of student credit hours taught within the academic colleges during the preceding academic year (regardless of by whom taught), per tenure-line faculty member, of all other colleges, and multiplying that value by the number of library tenure-line faculty.

C.€ Areas of representation which, under the foregoing formula, would contribute more than 20 percent of the voting tenure-line faculty membership of the Senate may, with Senate approval, be subdivided by the Personnel and Elections Committee along department or administrative lines, into two or more separate representation areas, none of which shall contribute more than 20 percent of the voting tenure-line faculty membership of the Senate. The membership of such subdivided representation areas shall be apportioned by the Personnel and Elections Committee among the areas as nearly as possible in accordance with the above prorationing formula.

ii. Career-line faculty members.

A. The voting membership of the Senate shall include career-line faculty members as defined in [Policy 6-300].

B. There shall be one career-line faculty representative elected from each of the following eighteen areas of representation: the sixteen individual academic colleges, the University libraries considered as a unit, and the Qualified Interdisciplinary Teaching Programs identified in [Rule 6-310] considered as a unit.

C. All members of the faculty who, continuously for the three years preceding the date their term of Senate membership would begin, have had career-line faculty appointments of at least 75 percent Full-Time-Equivalent (.75 FTE) within a single area of representation, without regard for rank and without regard for category within the career-line categories (Clinical, Lecturer, or Research), shall be eligible for election to membership in the Senate from the areas of representation where they hold such .75 FTE appointments, except ex officio members of the Senate and members of the faculty serving in administrative positions higher than department chair.

D. All members of the faculty who at the time of the election hold career-line faculty appointments of at least 50 percent Full-Time-Equivalent (.5 FTE) within a single area of representation, without regard for rank or for time in rank, and without regard for category within the career-line categories (Clinical, Lecturer, or Research), shall be eligible to vote for career-line candidates for Senate membership in the areas of representation where they hold such .5 FTE appointments.

iii. General provisions for both tenure-line and career-line elected faculty

members.

A. ~~d~~ Faculty representatives shall be elected to serve regular three-year terms  ~~(or as provided in the subsection below regarding vacancies section 5A (3), infra, to complete three-year terms of representatives who do not complete their regular terms). An annual orientation shall be provided for newly elected Senators. Beyond service in the Senate, faculty members of the Senate should expect that they may be called upon to serve on standing and ad hoc committees.~~ Senate faculty members shall be ineligible for nomination for another term until at least one year has elapsed following the expiration of their terms of office or date of resignation therefrom. New terms shall begin on May 15.

B. Disputes respecting eligibility for election or eligibility to vote shall be decided by the Personnel and Elections Committee, subject to appeal to the Senate.

C. An annual orientation shall be provided for newly elected Senators.

D. Beyond service in the Senate, faculty members of the Senate should expect that they may be called upon to serve on standing and ad hoc committees.

*{Drafting note for Revision 29: The following section describing elections of faculty representatives to the Senate , which is marked with [[[triple brackets ]]] is being moved to this location, so that all important information about the elected faculty members will be presented in close proximity and thereby be more 'user friendly.' The existing Policy (Revision 28) had this information located at Section 5-A, some 10 pages later—separated by the lengthy descriptions of various other topics including the workings of the various committees of the Senate.*

*And once moved, the following changes are made, as marked. The requirement of secret ballots is deleted, because that requirement is inconsistent with the stated principle that each college/area is allowed to “develop its own plan for obtaining nominations and for conducting the election of its allotted representatives.”---Under that principle each of the representation areas should be able to choose whether secret or open ballots are best suited for the ‘culture’ of their areas. And changes are made to make the described procedures workable for both the elections of tenure-line faculty and of career-line faculty.}*

#### [[[ iv. Section 5 Elections—A. Election of Faculty Members to the Senate

##### A. ~~1~~ General Provisions

1. ~~a~~ The Personnel and Elections Committee shall supervise elections to the Senate  ~~by secret ballot~~ during the month of April.

2. ~~b~~ No person shall be nominated or elected to represent more than one area. No person shall be elected to the Senate without receiving a majority of all votes cast by the eligible voters in the ~~college or~~ area which that person is to represent in the Senate.

##### B. ~~2~~ Election Procedures

1.a Not later than March 1st of each year, the Personnel and Elections Committee will send an announcement to each ~~college or~~ area represented in the Senate from which at least one faculty representative's term is set to expire, giving notice that elections are to be held in each ~~college or~~ such area for new representatives to the Senate.

The announcement sent to each area shall describe the applicable eligibility requirements (as specified in this Policy) for both the candidates and the voters for each position for which an election is to be conducted. Only regular faculty members are eligible to vote in Senate elections and are eligible for election to the Senate from that college or area.

2.b Subject to approval by the Personnel and Elections Committee, each ~~college or~~ area represented in the Senate shall develop its own plan for obtaining nominations and for conducting the election of its allotted representatives to the ~~Academic~~ Senate.

3.c Not later than April 15 of each year in which it is authorized to elect one or more representatives to the Senate, each ~~college or~~ area shall forward to the Personnel and Elections Committee a report of the person or persons elected to represent that ~~college or~~ area. Each ~~college or~~ area shall also forward to the Personnel and Elections Committee all ballots cast in the process of nominating candidates and electing its representative(s) to the ~~Academic~~ Senate.

4.d After verifying the election results, the Personnel and Elections Committee shall announce the roster of newly elected Senators at the May meeting of the ~~Academic~~ Senate.

### C.3 Vacancies

In the event the Senate position of an elected faculty member is vacated before expiration of the term for which he or she was elected, the Personnel and Elections Committee shall appoint the runner-up from that member's original election to the Senate to serve the remainder of that member's term or until the next general election held within that area (or if necessary a special election), when the vacancy shall be filled by election for the unexpired term. *]]]*

## 2. Deans

The deans shall elect two deans as voting representatives in the ~~Academic~~ Senate. The voting deans shall be elected to serve regular two-year terms, (or as



~~provided in Section 5A (3), infra,~~ to complete two-year terms of representatives who do not complete their regular terms, elected through the same procedure described in the preceding section for filling vacancies of elected faculty members). The term of one of the deans' voting representatives will begin on May 15 in even numbered years; the term of the other deans' voting representative will begin on May 15 in odd numbered years.

### 3. Students

- a. Each college shall elect one representative from its members to the ASUU Student Senate. (Academic Advising and Honors students shall be considered one college for purposes of equal representation.) The elected members of the ASUU Student Senate shall be entitled to attend Academic Senate meetings with full rights of discussion and vote. If a student member resigns his or her position on the ASUU Student Senate, the vacancy will be filled by the next runner-up in the affected college or otherwise according to Procedures described in the ASUU Student Handbook.
- b. The ASUU president or the ASUU vice president if designated by the ASUU president and an additional student appointed by the ASUU President shall also be members of the Academic Senate, with full rights of discussion and vote.
- c. Student members of the Academic Senate shall serve one-year terms dating from their installation as ASUU officers.

### C. Alternates

Each elected member of the Senate is expected to attend its meetings regularly. When absence of a faculty or student member is unavoidable, the member shall designate in writing to the secretary of the Senate an alternative to serve with full power during the elected member's absence. The alternate so designated shall be one of the available unsuccessful candidates for that Senate seat in the previous election. In the absence of available unsuccessful candidates, any other person eligible for election to that Senate seat may be designated as an alternate.

## SECTION 3. Officers

### A. Presiding Officer

***{Drafting note for Revision 29: The revisions proposed in this section would make it explicit that the President of the Senate must be a tenure-line faculty member--- i.e., career-line faculty are not eligible for election to the presidency. This is based on concerns discussed during the process of adding career-line representatives to the Senate. It is frequently the case that the President of the Senate must speak very frankly and forcefully, to protect the interests of the faculty—including occasionally vigorously opposing actions being taken or considered by high level administrators, Trustees and community members. There is significant concern that a career-line faculty member, lacking the protection of a tenure-line position, would not always be able to fill the role of a forceful spokesperson as robustly as is needed in order to serve the overall interests of the***

University and its faculty. }

a. The President of the Senate will be elected annually by the Senate from the **tenure-line faculty** at large excluding those who at the time of nomination to the office of Senate President are either ineligible for Senate membership or serve as chair of an academic department. The Personnel and Elections Committee will provide a slate of candidates for election. The person elected for this responsibility will serve a two-year term, the first year as President-elect, the second as President. If the President-elect is at the time of his or her selection, an elected member of the Senate, the President-elect shall be considered an ex officio member of the Senate Executive Committee with full rights of discussion and making motions but without voting privileges. If the President-elect is not, at the time of his or her selection, an elected member of the Senate, the President-elect will be considered an ex officio member of both the Senate and of the Senate Executive Committee, with full rights of discussion and making motions but without voting privileges. If the Senate President, at the time he or she takes office, is an elected member of the Senate, the President shall not, for apportionment purposes, be considered one of the tenure-line faculty members representing the colleges and University libraries; and the college or area which he or she represents shall choose another member with full voting privileges to replace the President during his or her time in office. If the Senate President, at the time he or she takes office, is not an elected member of the Senate, he or she shall be considered a full member of the Senate, with voting privileges as explained in the paragraph below and in ~~Faculty Regulations, [Section 4. A .1. a below e],~~ but the President shall not, for apportionment purposes, be considered one of the tenure-line faculty members representing the colleges and University libraries.

***{Drafting note for Revision 29: The remaining portions of this Section 3 describing the Senate officers, and all of the contents of Section 4 describing the Senate-elected committees, are not shown here, due to their extreme length (seven single-space pages) and that in this Revision 29 no changes are proposed to them. It is understood that these sections will be proposed for significant reorganizing and updating in the planned phase two Revision 30 project during 2013-2014, and at that time there will be consideration of the issues of eligibility of career-line faculty for some of the Senate-elected committees—including the Executive Committee.}***

\*\*\*\*\*

## SECTION 5. Elections

A. Election of Faculty Members to the Senate. **[User note: In Revision 29 of this Policy, the entire contents of this Section 5-A were moved to be integrated with the faculty member eligibility description in Section 2-B above].**

### ~~[[[ General Provisions~~

~~i. a The Personnel and Elections Committee shall supervise elections to the Senate by secret ballot during the month of April.~~

~~ii. b No person shall be nominated or elected to represent more than one area. No person shall be elected to the Senate without receiving a majority of all votes cast by the eligible voters in the college or area which that~~

~~person is to represent in the Senate.~~

~~2 Election Procedures~~

~~a Not later than March 1st of each year, the Personnel and Elections Committee will send an announcement to each college or area represented in the Senate that elections are to be held in each college or area for new representatives to the Senate. Only regular faculty members are eligible to vote in Senate elections and are eligible for election to the Senate from that college or area.~~

~~b Subject to approval by the Personnel and Elections Committee, each college or area represented in the Senate shall develop its own plan for obtaining nominations and for conducting the election of its allotted representatives to the Academic Senate.~~

~~c Not later than April 15 of each year in which it is authorized to elect one or more representatives to the Senate, each college or area shall forward to the Personnel and Elections Committee a report of the person or persons elected to represent that college or area. Each college or area shall also forward to the Personnel and Elections Committee all ballots cast in the process of nominating candidates and electing its representative(s) to the Academic Senate.~~

~~d After verifying the election results, the Personnel and Elections Committee shall announce the roster of newly elected Senators at the May meeting of the Academic Senate.~~

~~e 3 Vacancies~~

~~In the event the Senate position of an elected member is vacated before expiration of the term for which he or she was elected, the Personnel and Elections Committee shall appoint the runner up from that member's original election to the Senate to serve the remainder of that member's term or until the next general election, when the vacancy shall be filled by election for the unexpired term. ]]]~~

B. Elections Within the Senate

***{Drafting note for Revision 29: The remaining portions of this Section 5 regarding Elections, within the Senate (i.e., elections of Senate committees, and the Senate officers), and all of the contents of Sections 6, 7, 8 describing Senate meetings procedures, and all of the contents of Section 10 describing hearing procedures of the Consolidated Hearing Committee, and all of contents of Section 11 describing committee structure and investigation procedures of the Academic Freedom and Faculty Rights Committee--- are not shown here due to their extreme length (22 single-space pages) and that in this Revision 29 no changes are proposed to them. It is anticipated that these sections will be proposed for significant reorganizing and updating in the expected phase two Revision 30 project during 2013-2014.}***

\*\*\*\*\*

- IV. Rules, Procedures, Guidelines, Forms and other related resources
  - A. Rules
  - B. Procedures
  - C. Guidelines/Forms
  - D. Other related resource materials

- V. References:
  - A. (Reserved)

- VI. Contacts:
  - Policy Owners:

Questions about this Policy and any related Rules, Procedures and Guidelines should be directed to the Associate Vice President for Faculty and the Associate Vice President for Health Sciences.

Only the Sr. Vice President for Academic Affairs and the Sr. Vice President for Health Sciences or their designees have the authority to grant exceptions to this policy.

- VII. History:

Renumbering: Renumbered as Policy 6-002 effective 9/15/2008, formerly known as PPM 9-3, and formerly as Faculty Regulations Chapter III.

Revision History:

1. Current version: Revision ~~28~~ 29  
Approved by Academic Senate: May 6, 2013  
Approved by Board of Trustees: May 28, 2013  
Effective date: July 1, 2013  
Legislative History of Revision 29 *{add link}*
2. Earlier versions:  
Revision 28 *{add link}*  
Effective dates July 1, 2011 to June 30, 2013. [Legislative History](#) of Revision 28  
  
[Revision 27](#): effective dates July 9, 2009 to June 30, 2011  
Editorial revision  
[Revision 26](#): effective dates July 1, 2009 to July 8, 2009  
Approved: Academic Senate (by Executive Committee), June 1, 2009  
Approved: Board of Trustees, June 9, 2009  
Effective date: July 1, 2009 to July 8, 2009  
[Legislative History](#) of Revision 26  
[Revision 25](#): effective dates July 1, 2009 to July 1, 2009. (Note: the effective date for Revision 26 was set as July 1, 2009, the same date previously set as the effective date for Revision 25, which had been adopted earlier in the same academic year as Revision 26 was adopted.)  
[Legislative History](#) of Revision 25  
[Revision 24](#): effective April 8, 2007 to June 30, 2009  
[Legislative History](#) of Revision 24  
[Revision 23](#): effective May 8, 2006 to April 8, 2007  
[Revision 22](#): effective June 23, 2004 to May 7, 2006  
[Revision 21](#): effective April 19, 2004 to June 22, 2004  
[Revision 20](#): effective December 8, 2003 to April 18, 2004  
[Revision 19](#): effective August 13, 2001 to December 7, 2003  
[Revision 18](#): effective June 12, 2000 to August 12, 2001  
[Revision 17](#): effective May 17, 1999 to June 11, 2000  
[Revision 16](#): effective November 2, 1998 to May 16, 1999

**Proposed Revision 16 of [Policy 6-300](#).** {Draft of 2013-03-16, for Sen Exec March 18}{This version, without any change, was presented to and finally approved by the Academic Senate at its April 1, 2013 meeting.}

**Policy 6-300: The University Faculty--Categories and Ranks** (Revision 16) [effective date: July 1, 2013]

## **I. Purpose and Scope** [reserved]

This Policy provides the governing descriptions of the categories and ranks applicable for members of the University faculty, and describes certain general provisions regarding the faculty. This Policy does not describe the categories of positions of *non-faculty* academic personnel of the University (including academic staff, educational trainees, postdoctoral fellows, and medical housestaff, as described in [Policy 6-309](#)), or the categories of other positions which may engage in academic activities but are not part of the faculty, including visiting scholars (as described in [Policy 6-317](#)) and visiting postdoctoral scholars (as described in [Policy 6-405](#)), and this Policy is not intended to be applicable for any such non-faculty categories of positions.

## **II. Definitions** [reserved]

## **III. Policy**

### **A. Section 1--Membership of the University Faculty--General Provisions**

~~The university faculty shall consist of the president, vice presidents, deans, directors of libraries, professors (including distinguished professors, presidential professors and university professors), associate professors, assistant professors, instructors, librarians, associate librarians, assistant librarians, and auxiliary faculty. All shall have the full rights of faculty members except that persons holding auxiliary faculty positions (research, clinical, lecturer, visiting) or emeritus appointments shall not have the right to vote and shall not have tenure or the expectation of tenure.~~

1. The University Faculty shall consist of the University President, vice presidents, deans, directors of libraries, and members of the faculty within each of the following main categories and their subcategories:

(a) the *Tenure-line* Faculty members (in the sub-categories of *Tenured*, and *Tenure-track*) as described in Section III-B, which category includes those members of the University Academic Libraries faculty in Tenure-line positions (as described in Section III-C);

(b) the *Career-line* Faculty members (in the sub-categories of *Clinical*, *Lecturer*, and *Research*), as described in Section III-D, which category includes those members of the University Academic Libraries faculty in Career-line positions; and

(c) the *Adjunct*, *Visiting*, and *Emeritus* Faculty members (as described in Section III-E).

2. The categories and names described above are newly adopted as of the effective date of July 1, 2013. They shall be used in place of the prior categories and nomenclature in all other University Regulations and pertinent official documents which are adopted or revised after this effective date. Existing documents using previous nomenclature may be updated in due course. In particular: (a) “Tenure-line faculty” shall be used in place of the formerly used term “regular faculty.” (b) The term “auxiliary faculty,” which was formerly used to refer to the Clinical, Lecturer, Research, Adjunct, and Visiting faculty categories collectively, shall no longer be used, and shall be replaced with the nomenclature prescribed here, as appropriate in the context in which used.

3. All members of the University Faculty, in any of the categories described here (whether full-time or part-time), shall have those rights and responsibilities of faculty members governed by [Policy 6-316](#)—Code of Faculty Rights and Responsibilities. As more fully described in that Policy, “all provisions of [the Faculty Code] apply to faculty members” and central within the Code are the rights of academic freedom and due process for faculty ([Policy 6-316-Sec.1, Sec.2](#)).

4. In general (with specific provisions below), individual faculty members in the Tenure-line and Career-line categories shall have the right to vote on those matters and in those elections appropriate for their particular category, status, and rank; and individual faculty members in the categories of Adjunct, Visiting, or Emeritus shall not have the right to vote in the capacity of faculty members in any context within the University (but may be called upon in an advisory capacity). {Drafting note: This rephrased passage will be consistent with the Faculty Code 6-316-Sec.2-C which provides “Where their rank and status are appropriate, faculty members have the right to vote on faculty appointments, promotions, and tenure, and to vote for representatives to college and university legislative bodies.”}

5. As provided in [Policy 6-311](#), only individual faculty members in the Tenure-line category shall have tenure or the expectation of tenure.

~~6. Section 2-D.~~ If an individual is formally admitted to a degree program in the same college in which that person holds a ~~Tenure-line~~<sup>regular</sup> faculty appointment, the individual must resign from that ~~Tenure-line~~<sup>regular</sup> faculty appointment immediately, unless an exception to this requirement is granted in writing by the president of the University. {Drafting note: this passage is moved from its former location in Section 2-D, to this location where it better fits as part of the “general provisions.”}

7. The procedures for appointments of individual faculty members, in all of the categories described here, are governed by [Policy 6-302](#), including the provision that for appointments within an academic department, **every initial appointment, and every reappointment of a limited-term appointee (including reappointment for the purpose of promotion in rank), shall be processed through the departmental faculty appointments advisory committee,**

which has as its primary voting membership all of the Tenure-line members of the department faculty. ([Policy 6-302-III-B](#)).

**B. Section 2. Tenure-line Regular Faculty - Tenured and Tenure-track Eligible Faculty**

1. The *Tenure-line* faculty main category includes the sub-categories of faculty who have been awarded tenure ("*Tenured*" faculty), and those who are appointed in positions which are designated by the University as tenure-eligible positions but have not yet completed the requirements for achieving tenure ("*Tenure-track*" faculty). This main category includes the *Tenure-line Academic Library faculty*.

2. Responsibilities and Rights of Tenure-line faculty.

a. The rights associated with tenure are described in Policies [6-301](#), [6-311](#), and [6-313](#) (and for Library faculty [6-312](#)); and the criteria, standards, and procedures for retention in a Tenure-track position and for awarding of tenure are governed by Policies [6-303](#) and [6-311](#).

b. Appointees to the ~~Tenure-line regular~~ faculty (**other than the Academic Library faculty, governed by the parallel provisions of Section III-C below**) shall commit full-time (or part-time if explicitly so appointed per [Policy 6-320](#)) to the scholarly (or creative), educational, and service endeavors carried on under the auspices of the University. In light of the centrality of free inquiry and free expression in the development and dissemination of knowledge, they shall have tenure or be eligible for tenure (~~except instructors~~). In light of the interrelationship of the development and dissemination of knowledge, they shall bear the primary responsibility for carrying on the educational research, creative and service missions of the University. **While faculty members in the Career-line category shall have appropriate roles in shared governance as further described in this Policy Section III-D, it is a fundamental principle of the University's commitment to shared governance that Tenure-line faculty members shall have the primary roles in shared governance activities, including setting of academic policies within departments and colleges through majority voting roles on college councils ([Policy 6-003](#)) and department and college academic committees, and University-wide through majority voting roles on the Academic Senate and Senate committees ([Policy 6-002](#)), the Graduate and Undergraduate Councils ([Policy 6-001](#)), and other appropriate University academic committees.**

3. Ranks for Tenure-line faculty positions.

a. The ~~regular faculty~~ ranks to which Tenure-line faculty members (**other than the faculty of the Academic Libraries, per III-C below**) may be appointed or subsequently promoted shall include the usual ranks of Professors, Associate Professors, Assistant Professors, and Instructors (who shall not have tenure) and the following special rank categories of honored faculty: *Distinguished Professor*, *Presidential Professor*, and *University Professor*.

b. The criteria, standards, and procedures for promotion of Tenure-line faculty members to (or initial appointment at) the usual ranks of Professor, Associate Professor, and Assistant Professor are governed by Policies 6-303 and 6-311, and the Departmental RPT Statement Supplemental Rules adopted pursuant to those Policies.

~~c. D=~~Special provisions for the limited-term rank of Instructor. *{Drafting note: This description of the special provisions for the Instructor rank was formerly located in Section 2-D, following the descriptions of the special honored ranks of Distinguished Professor, etc. In Revision 16 it is relocated here to Section B-3-c, where it better fits as part of the description of the usual ranks rather than those with honored status.}*

~~i. Appointments in to positions in the Tenure-line category at the Instructor rank within the regular faculty~~ shall be without tenure and only for a limited term, not to exceed three years, at that rank, because they are intended for individuals who have not quite achieved their terminal degree or board certification. ~~A~~ Tenure-line faculty member initially appointed at the rank of Instructor may be promoted to the usual entry-level rank of Assistant Professor by action of a letter to the cognizant Senior Vice President from the dean and department chair verifying that the faculty member has completed the terms for such a promotion specified in the initial letter of appointment and has received positive annual retention reviews, as per Policy 6-303-III-B. An Instructor may be terminated without formal review for failing to complete the requirements for promotion to Assistant Professor in the period of time specified in the initial letter of appointment. A department may institute a formal review in any year if it wishes ~~to~~ to recommend termination of an Instructor for failure to meet performance standards for retention.

~~ii. If an Instructor is promoted to Assistant Professor, the period served at the rank of Instructor term appointment~~ ii. If an Instructor is promoted to Assistant Professor, the period served at the rank of Instructor ~~term appointment~~ may, at the option of the faculty member, be excluded from the pre-tenure probationary period otherwise applicable pursuant to Policy 6-311. The above-mentioned letter to the Senior Vice President regarding promotion to the Assistant Professor rank shall indicate if the appointee is exercising the option to count or not count the limited term appointment as part of his/her pre-tenure probationary period.

~~If an individual is formally admitted to a degree program in the same college in which that person holds a regular faculty appointment, the individual must resign from that regular faculty appointment immediately, unless an exception to this requirement is granted in writing by the president of the University.~~ *{Drafting note. This passage restricting simultaneous status as a degree candidate and tenure-line faculty member in the same college is relocated above to Section III-A where it more appropriately belongs among the general provisions applicable to all Tenure-line faculty.}*

d. Special honored ranks for Tenure-line faculty members.

~~Ai.~~ Distinguished Professor. The rank of Distinguished Professor is reserved for selected individuals whose achievements exemplify the highest goals of scholarship as demonstrated by recognition accorded to them from peers with national and



international stature, and whose record includes evidence of a high dedication to teaching as demonstrated by recognition accorded to them by students and/or colleagues. Distinguished Professors will be subject to the same standards and Procedures relative to appointment, retention, and tenure which are applicable to Professors. For academic assignments and budgetary support, Distinguished Professors will be accountable to the academic departments in which they are appointed.

A person should not be recommended to the Distinguished Professorship until that person is a member of the faculty. Any exception to this policy must be considered by the Distinguished Professors present on campus before the recommendation is made.

When a recommendation for appointment to the rank of Distinguished Professor reaches the cognizant vice president for academic affairs, the vice president shall (a) request letters of recommendation from at least six outstanding leaders in the candidate's discipline and (b) appoint, with the advice of the incumbent Distinguished Professors, a special advisory committee to assist the vice president in making a decision on the recommendation. At least one member of this committee shall be knowledgeable in the candidate's academic discipline. All members shall be recognized academicians without administrative assignments. Before completing its review, the committee shall consult with the concerned academic department and the college dean. Except in unusual situations, only one Distinguished Professor in the University may be appointed in a single academic year.

Bii. Presidential Professor. Individuals who are under consideration for appointment to the University faculty may, under exceptional circumstances, be appointed by the president to the rank of Presidential Professor. This rank is reserved for selected individuals whose achievements exemplify the highest goals of scholarship as demonstrated by recognition accorded to them from peers with national and international stature, and whose record includes evidence of a high dedication to teaching. This will be determined by a special advisory committee of Distinguished Professors established in accordance with Section III-B-3-d-i above 2-1. The duties and obligations of a Presidential Professor will be the same as those of a ~~regular~~ Professor. Academic and budgetary support of a Presidential Professor will be provided by the academic department where the appointment is held.

€iii. University Professor. Appointments to the rank of University Professor carry special recognition of extraordinary skill in university teaching which crosses conventional boundaries, emphasizes interdisciplinary relationships, and reflects a strong commitment to liberal education. Individuals considered for appointment to the rank of University Professor shall have demonstrated exceptional ability in challenging and stimulating the intellectual curiosity of undergraduate students. Nominations for appointment as University Professor may be initiated from the faculty through the appropriate college council and from the students through the ASUU. These nominations will be reviewed by the University Professorships Committee and the cognizant vice president for academic affairs. Appointments to the rank of University

Professor are for one year at a time. For teaching assignments and budgetary support, University Professors will be accountable to the **cognizant vice president for academic affairs**. Courses offered by University Professors will be identified and listed separately from regular departmental curricula. Individuals with departmental appointments serving as University Professors will retain their regular departmental appointments and will be eligible to participate in a normal manner in the faculty retention and tenure activities of their respective departments.

~~D. Instructor. Appointments in the instructor rank within the regular faculty shall be for a limited term, not to exceed three years, because they are intended for individuals who have not quite achieved their terminal degree or board certification. An instructor may be promoted to Assistant Professor by action of a letter to the Senior Vice President from the dean and department chair verifying that the faculty member has completed the terms for such a promotion specified in the initial letter of appointment and has received positive annual retention reviews, as per Policy 6-303 III B. An instructor may be terminated without formal review for failing to complete the requirements for promotion to Assistant Professor in the period of time specified in the initial letter of appointment. A department may institute a formal review in any year if it wished to recommend termination of an instructor for failure to meet performance standards for retention.~~

~~If an instructor is promoted to Assistant Professor the period served in the instructor term appointment may, at the option of the faculty member, be excluded from the pre-tenure probationary period. The letter to the Senior Vice President shall indicate if the appointee is exercising the option to count or not count the limited term appointment as part of his/her pre-tenure probationary period.~~

~~If an individual is formally admitted to a degree program in the same college in which that person holds a regular faculty appointment, the individual must resign from that regular faculty appointment immediately, unless an exception to this requirement is granted in writing by the president of the University. {Drafting note Revision 16. Most of the section regarding the Instructor rank is relocated above to Section III-B where it better fits with the 'non-honored' usual ranks. And the specific passage restricting simultaneous status as a degree candidate and tenure-line faculty member in the same college is moved up to Section III-A where it more appropriately belongs among the general provisions applicable to all Tenure-line faculty.}~~

### **C. Section 3. Special Provisions Regarding Tenure-line Academic Library Faculty.**

Appointees to the **Tenure-line Academic Library** faculty shall commit full-time (or part-time if explicitly so appointed per Policy 6-320) to support of the University's teaching and research program, professional growth and scholarly or creative activity, and service to the University and community. In light of the centrality of free inquiry and free expression in the development and dissemination of knowledge, they shall have tenure status (formerly designated as "continuing appointment") or be eligible for tenure status. The ranks to which Tenure-line Academic Library faculty may be appointed or subsequently promoted shall include the usual ranks. ~~Library faculty shall include academic librarians with the rank of Librarian, Associate Librarian, and Assistant Librarian.~~ The criteria, standards, and procedures for promotion to (or initial appointment at) such ranks are described in the University Libraries RPT Statement Supplemental Rule in accord with Policies [6-303](#), [6-306](#), [6-311](#), [6-312](#).

### **D. Career-line Faculty-- Clinical, Lecturer, Research. Section 4. Auxiliary Faculty**

1. Career-line faculty positions, sub-categories and appointing units. The Career-line category of faculty positions includes the sub-categories of *Clinical, Lecturer, and Research* (which along with the Adjunct and Visiting categories were all formerly included within the

collective term “auxiliary”). It includes positions within all academic units (“appointing units”) authorized to make such appointments pursuant to Policy 6-310 (academic departments/colleges, the University Libraries, and qualified interdisciplinary teaching programs).

2. Appropriate use of Career-line positions--generally. Appointees to Career-line faculty positions the auxiliary faculty shall be individuals who participate in the University's academic program and make a substantial contribution to the academic activities of the various academic units in which they are appointed colleges, but whose continuing professional activities are not required to do not span the full range of responsibilities of Tenure-line regular faculty members in the appointing units department or college. Faculty members may be appointed to Career-line positions as the University and appointing units determine appropriate, in light of the University's need to retain the flexibility to adjust its programs to meet changing needs and to employ faculty with more specialized foci. to that end, auxiliary faculty may be appointed as research, clinical, lecturer (or lecturing), adjunct or visiting faculty members, as further defined in the sections below. In general, positions in this category should ordinarily be used when the appointed individuals are anticipated to have a long-term and full-time affiliation with the University (depending on funding availability and needs of the institution, and as limited by III-D-6 below). Appointments expected to be of short duration and/or primarily only part-time will ordinarily be more appropriately made to a Visiting or Adjunct category position rather than a Career-line category position. Appointing units should consult with the office of the cognizant vice president in considering which category is appropriate for a particular proposed appointment.

3. ~~D.~~ Appropriate use of Career-line sub-categories--- Clinical, Lecturer, Research. Auxiliary Faculty Categories.

All auxiliary faculty provided for above must be appointed as research, clinical, lecturer, adjunct or visiting faculty.

*{Drafting note: the following descriptions have been moved to this more appropriate location, formerly in Section 4-D, and then reorganized alphabetically. Also, provisions related to Adjunct and Visiting faculty, which were formerly included alongside these descriptions, grouped together under the collective term “auxiliary,” now appear in III-E below.}*

2a. Clinical Faculty are instructional faculty members whose primary professional expertise is in the practice context or whose primary professional responsibility is conducted in a clinical, professional or practicum setting.

3b. Lecturer or Lecturing Faculty are instructional faculty members whose primary professional efforts are devoted to teaching.

1c. Research Faculty are faculty members individuals who participate in the University's academic program, but whose primary professional efforts are devoted to one or more

research projects, or non-academic training projects. ~~may be appointed to the ranks of professor, associate professor, assistant professor, or instructor, provided the additional title of "research" accompanies the designated rank. Appointments to "research" positions are without significance for the achieving or holding of tenure. Any proposed appointment to a research faculty rank shall be considered by the department committee under the same rules which would apply to an appointment to the corresponding regular faculty rank. Advancement within the research faculty ranks shall be considered by the department committee under the same rules which would apply to promotions in the corresponding regular faculty ranks, except that advancement within the "research" ranks is to be based primarily on excellence in performance in research. Appointees to these positions may serve as members of appointed faculty committees and shall have the privileges and responsibilities of faculty members, subject to a determination by the individual colleges and departments of the degree to which they may participate in the processes of setting department or college policy. However, they shall not have the right to vote on matters relating to appointment, retention, tenure or promotion. Appointees to these positions shall not be counted among the number of faculty members of a representation area for purposes of apportioning membership in the Academic Senate, shall not be eligible for election to the Academic Senate, and shall not be eligible to vote for members of the Academic Senate. All annual research appointments end automatically each June 30. Individuals in such positions may be reappointed after appropriate review. Annual reappointment reviews will not be required after a faculty member in a research rank has completed a probationary period of seven years if initially appointed as a research assistant professor or five years if initially appointed as a research associate professor or research professor. After appointees to research positions have completed their probationary periods, their annual reappointment may be handled at the department level by the department chairpersons if the specified funding on which the positions are dependent is available. Research appointments may also be made by means of a written contract for a fixed term of two to five years, when there is reasonable assurance that specific funding to support such term appointments will be available, as determined by the president. Each term research appointment ends automatically on June 30 in the final year of the specified term. Individuals in such positions may be reappointed after appropriate review.~~ ***{Drafting note: the preceding material is marked for deletion because most of the material is simply redundant of the explanations already given clearly in earlier sections of this Policy applicable for all of the non-tenure-line categories, including the Research sub-category, and therefore adds no important information. That redundancy resulted from revisions made to the Policy many years ago without attention to resulting redundancy. And the material regarding a probationary period, discontinuance of annual reviews after such a period, and reappointments being conducted unilaterally by a department chair without involvement of the faculty appointments advisory committee is stricken because it is antiquated and inconsistent with the more recently adopted contents of Policies 6-302***

**and 6-310** (which the University adopted in response to specific requirements of an accreditation review in 2007), which specifically require annual reviews for all 'auxiliary' faculty, and provide that the faculty appointments advisory committee of a department must be part of the review and reappointment process for any reappointment of any 'auxiliary' faculty member, including faculty in the Research category.}

#### 4. Ranks.

The ranks to which Career-line faculty members may be initially appointed, or reappointed with promotion, are ~~Auxiliary faculty may hold the ranks of~~ Professor, Associate Professor, Assistant Professor, or Instructor. In official documents and communications with members of the University community and the public, a Career-line faculty member's position should be identified both by particular sub-category of position, and by rank, e.g., "Assistant Professor (Lecturer), Research Associate Professor, Clinical Professor." Appointing units should consult with the office of the cognizant vice president to determine the appropriate title for each faculty member at the time of appointment or reappointment with promotion in rank.

The criteria and standards for reappointment with promotion to (or initial appointment at) these ranks are governed by this Policy 6-300, and [Policy 6-310](#), and the supplemental "Statements" 6-310 requires appointing units to develop.

#### 5. ~~A.~~ Responsibilities and Rights of Career-line Faculty Members.

a. ~~Appointment to an auxiliary~~ Appointment to a Career-line faculty position is without significance for the achieving or holding of tenure.

b. ~~Auxiliary~~ Career-line faculty members shall not have the right to vote on appointing unit rules/policies regarding appointment, retention, tenure or promotion of Tenure-line faculty members, or on individual personnel decisions relating to appointment, retention, tenure or promotion of any Tenure-line faculty member, ~~except as provided below.~~

c. However, as a general principle, ~~long-serving term instructional auxiliary~~ Career-line faculty members should be accorded more substantial rights related to curricular matters (members with significant instructional responsibilities), and academic research matters (members with significant research responsibilities) and for setting rules regarding appointments criteria and in individual cases of appointments and reappointments with promotion *within their peer-categories*, to provide the University the full value of contributions within their areas of professorial responsibility and expertise. Such rights for participation in shared governance should apply both internally within the appointing units (academic departments/colleges, libraries, and qualified interdisciplinary teaching programs), and in University-wide settings.

i. At the University level, Career-line faculty members shall be eligible to serve as representatives of their peers in the Academic Senate, and serve on Senate-

Elected Committees, and other University-wide committees to the extent provided in Policy 6-002 and other specific Policies governing such committees. In accord with Policy 6-310, the appointing units of Career-line faculty members should, as appropriate, encourage and support their faculty members in sharing their expertise and making such important contributions to the University's shared governance activities.

ii. ~~Appointing units~~ Colleges and departments, in accord with Policies 6-302 and 6-310 **may** permit long-serving faculty members in the Career-line categories such auxiliary faculty to vote on individual appointment and promotion decisions with respect to other ~~auxiliary~~ auxiliary faculty in their respective peer categories, and to advise on other appointments.

iii. ~~Appointing units~~ Colleges and departments, in accord with Policy 6-310 **may** accord long-serving term instructional auxiliary Career-line faculty authority to vote on curricular and other policy matters within their unique area(s) of professional responsibility, and accord ~~long-term auxiliary instructional faculty~~ benefits or funding to enhance their professional development. Subject to applicable University Policies and to a determination by the individual appointing units, colleges and departments, auxiliary faculty (or any category and/or rank of auxiliary faculty) Career-line faculty members may be permitted to participate in the processes of setting department- or college-level policy, or to engage in other activities of faculty members outside their area of basis.

iv. Long-serving Career-line auxiliary faculty members with appropriate expertise may supervise or serve on graduate student committees if departmental and graduate school policies permit.) ~~Appointees to these positions shall not be counted among the number of faculty members of a representation area for purposes of apportioning membership in the Academic Senate, shall not be eligible for election to the Academic Senate, and shall not be eligible to vote for members of the Academic Senate. However, appointees to these positions may serve as members of appointed faculty committees. In these respects, auxiliary faculty members shall have the privileges and responsibilities of faculty members. {Drafting note: the preceding passage about auxiliary faculty roles regarding the Senate and committees is deleted because these issues are now to be directly governed by the revised Policy 6-002.}~~

6-B- Terms of appointments, and early termination for Career-line faculty members.

a. Limited terms and required periodic reviews. ~~Appointments to the auxiliary faculty of Career-line faculty members~~ are for limited terms only. All annual ~~auxiliary faculty~~ appointments end automatically each June 30. Individuals in such positions may be

reappointed after departmental review (in accord with Policies 6-302 and 6-310), with no limitation on reappointment, ~~except that Visiting Faculty may only serve in that capacity for a total of three years.~~ Appointments or reappointments may also be made by means of a written contract for a fixed term of up to five years, when there is reasonable assurance that specific funding to support such term appointments will be available, as determined by the president. Each term appointment ends automatically on June 30 in the final year of the specified term. Individuals in such positions may be reappointed at the conclusion of that fixed term for another fixed term of up to five years after departmental review (as required by Policy 6-310) and with reasonable assurance of specific funding. Review of ~~all categories of auxiliary~~ faculty (including annual review, review before reappointment, and review in consideration of reappointment to a higher rank) should be appropriate in light of the category, rank, and role of the faculty members.

After three years of continuous full-time service, a Career-line auxiliary instructional faculty member should be given at least 3 months notice of non-renewal of appointment, unless particular contractual provisions otherwise govern.

~~b. c.~~ Early Termination. ~~Auxiliary faculty members'~~ Appointments of Career-line faculty members may be terminated before the conclusion of the limited term for the following reasons:

- ~~1~~i. for financial exigency, medical reasons or program discontinuation, as provided for in [Policy 6-313](#).
- ~~2~~ii. for violation of the Faculty Code, as provided for in [Policy 6-316](#).
- ~~3~~iii. for the ~~auxiliary~~ faculty member's failure to meet a term of the contract; or
- ~~4~~iv. if any condition specified in the contract is not fulfilled.

## **E. Adjunct, Visiting, and Emeritus Faculty categories.**

### **1. Adjunct and Visiting Faculty.**

a. Appropriate Use of Adjunct and Visiting Positions--Generally. ~~Appointees to positions in the Adjunct and Visiting faculty categories~~ ~~the auxiliary faculty~~ shall be individuals who participate in the University's academic program and make a substantial contribution to the academic activities of the various academic units in which they are appointed ~~colleges~~, but whose continuing professional activities do not span the full range of responsibilities of the Tenure-line or Career-line regular faculty members in the appointing units ~~department or college~~. Faculty members may be appointed in these categories of positions, as the University and appointing units determine appropriate, in light of the University's need to retain the flexibility to adjust its programs to meet changing needs and to employ faculty with more specialized foci ~~to that end, auxiliary faculty may be appointed as research, clinical,~~

~~lecturer (or lecturing), adjunct or visiting faculty members, as further defined in the sections below.~~

b. Ranks and Appointing Units for Adjunct and Visiting Faculty. The ranks to which faculty members in the Adjunct and Visiting categories may be initially appointed, or reappointed with promotion are ~~Auxiliary faculty may hold the ranks of Professor, Associate Professor, Assistant Professor, or Instructor.~~ In official documents and communications with members of the University community and the public, an Adjunct or Visiting faculty member's position should be identified both by particular sub-category of position, and by rank, e.g., "Visiting Assistant Professor, Adjunct Professor." Appointing units should consult with the office of the cognizant vice president to determine the appropriate title for each faculty member at the time of appointment or reappointment with promotion in rank. The criteria and standards for reappointment with promotion to (or initial appointment at) these ranks are governed by this Policy 6-300, and [Policy 6-310](#), and the supplemental "Statements" 6-310 requires appointing units to develop. The appointing units authorized to appoint to such positions are those described in [6-310](#).

Ac. Responsibilities and Rights of Adjunct and Visiting Faculty.

i. Appointment to an Adjunct or Visiting ~~auxiliary~~ faculty position is without significance for the achieving or holding of tenure (except as provided in III-E-1-f regarding Visiting faculty members).

ii. ~~Auxiliary f~~Faculty members in Adjunct and Visiting positions shall not have the right to vote on any matter in any context of the University (although they may be called upon to contribute in a non-voting advisory capacity as appropriate). ~~policies regarding appointment, retention, tenure or promotion or on individual personnel decisions relating to appointment, retention, tenure or promotion, except as provided below. .... Subject to applicable University policies and to a determination by the individual colleges and departments, auxiliary faculty (or any category and/or rank of auxiliary faculty) may be permitted to participate in the processes of setting department or college policy, or to engage in other activities of faculty members outside their area of basis, auxiliary faculty may supervise or serve on graduate student committees if departmental and graduate school policies permit.) Appointees to these positions shall not be counted among the number of faculty members of a representation area for purposes of apportioning membership in the Academic Senate, shall not be eligible for election to the Academic Senate, and shall not be eligible to vote for members of the Academic Senate. However, appointees to these positions may serve as members of appointed faculty committees. In these respects, auxiliary~~



~~faculty members shall have the privileges and responsibilities of faculty members.~~

d. B. Terms of Appointments, and Early Termination, for Adjunct and Visiting Faculty.

i. Limited terms. Appointments to ~~the auxiliary~~ Adjunct and Visiting faculty positions are for limited terms only. All annual ~~auxiliary faculty~~ appointments of such faculty end automatically each June 30. Individuals in such positions may be reappointed after departmental review (in accord with Policies 6-302 and 6-310), with no limitation on reappointment, except that Visiting Faculty may only serve in that capacity for a total of three years. Appointments or reappointments may also be made by means of a written contract for a fixed term of up to five years, when there is reasonable assurance that specific funding to support such term appointments will be available, as determined by the president. Each term appointment ends automatically on June 30 in the final year of the specified term. Individuals in such positions may be reappointed at the conclusion of that fixed term for another fixed term of up to five years after departmental review and with reasonable assurance of specific funding. Review of ~~all categories of auxiliary~~ faculty (including annual review, review before reappointment, and review in consideration of reappointment to a higher rank) shall be conducted pursuant to Policy 6-310, and should be appropriate in light of the category, rank, and role of the faculty members.

~~After three years of continuous full-time service, an auxiliary instructional faculty member should be given at least 3 months notice of non-renewal of appointment, unless particular contractual provisions otherwise govern.~~

ii. C Early Termination. ~~Auxiliary faculty members'~~ Appointments of faculty members in Adjunct and Visiting positions may be terminated before the conclusion of the limited term for the following reasons:

- ~~1~~A. for financial exigency, medical reasons or program discontinuation, as provided for in [Policy 6-313](#).
  - ~~2~~B. for violation of the Faculty Code, as provided for in [Policy 6-316](#).
  - ~~3~~C. for the ~~auxiliary~~ faculty member's failure to meet a term of the contract;
- or
- ~~4~~D. if any condition specified in the contract is not fulfilled.

~~4. e. Additional provisions for Adjunct faculty positions.~~ Adjunct Faculty members participate in the University's academic program in ~~are~~ instructional, advisory or research faculty capacities. ~~Their~~ whose professional activities do not span the full range of responsibilities of ~~regular~~ Tenure-line or Career-line faculty members in the

appointing unit of the Adjunct appointment department or college because of their primary professional efforts are in another department or college of the University, or outside the University. Accordingly, appointments to Adjunct Faculty positions ordinarily should not be made for individuals who are expected to serve on a full-time basis within the unit of the Adjunct appointment.

~~5~~ f. Additional provisions for Visiting faculty positions. Visiting Faculty members participate in the University's academic program on an interim basis and make a substantial contribution to the appointing unit department or college during that period in either the instructional and/or research realm. Individuals in such positions may be reappointed up to a cumulative total of three years in residence, but should not hold longer-term appointments and are not entitled to notice of non-reappointment. Appointments to Visiting faculty "visiting" positions are without significance for the achieving or holding of tenure, unless the individual is appointed to a Tenure-line regular faculty position rank immediately upon completion of service in the Visiting faculty position visiting rank. Then the period served in the Visiting faculty position visiting rank may be counted as part of the pre-tenure probationary period, in accord with Policy 6-311. Whether the period in the visiting rank will be so counted must be agreed upon in writing at the time of the appointment to the Tenure-line regular faculty position rank and documented in the appointee's "RPT File" maintained by the appointing unit per Policy 6-303.

## 2. Emeritus Faculty.

This category is comprised of retired members of the faculty who have been appointed to the emeritus status subsequent to their retirement. Emeritus faculty members may be called upon to serve the University in various capacities, and may be accorded various rights and benefits by the University. (See Policies 6-301, 6-001, 5-112, and 5-305). Emeritus faculty members shall not have the right to vote on any matter in any context of the University---except as provided in the "small academic unit rule" of Policy 6-303-III-A-3-a, when called upon to participate in a departmental RPT Advisory Committee proceeding.

~~Section 1. ...persons holding auxiliary faculty positions... or emeritus appointments shall not have the right to vote and shall not have tenure or the expectation of tenure.~~

## F. Section 5. Uniform use of Categories and Reports of Instructional Activities

A1. It is crucial to the permanent well-being of the University that tenured and tenure-track faculty continue to shoulder the primary responsibility for design of the curriculum and for instruction at all levels of university education.

~~1a.~~ The administration shall report annually to the Academic Senate on the faculty make-up by category, and this report shall include the relative proportion of regular



Policy Owners: Questions about this Policy and any related Rules, Procedures and Guidelines should be directed to the Associate Vice President for Faculty and the Associate Vice President for Health Sciences.

Policy Officers: Only the Sr. Vice President for Academic Affairs and the Sr. Vice President for Health Sciences or their designees have the authority to grant exceptions to this policy.

## VII. History:

Renumbering: Renumbered as Policy 6-300 effective 9/15/2008, formerly known as PPM 9-2, and previously as Faculty regulations Chapter II.

### A. Revision history:

Current version: Revision ~~165~~

Approved by Academic Senate: ~~May 2, 2011~~ April 1, 2013

Approved by Board of Trustees: ~~May 10, 2011~~ May 28, 2013, with effective date of July 1, 2013~~4~~

Legislative history of Revision 16. *{link to Legislative History file }*

### B. Earlier revisions:

Revision 15: Effective dates July 1, 2011 to June 30, 2013

Legislative History of Revision 15 *{link to [http://www.regulations.utah.edu/academics/appendices\\_6/6-320R0\\_legislativehistory\\_2011-6-17.pdf](http://www.regulations.utah.edu/academics/appendices_6/6-320R0_legislativehistory_2011-6-17.pdf)}*

Revision 14: Effective dates February 10, 2003 to July 1, 2011 *{link to archived Rev 14}*

Revision 13: Effective dates April 8, 2002 to February 9, 2003 *{link to archived Rev 13}*

Revision 12: Effective dates May 17, 1999 to April 7, 2002 *{link to archived Rev 12}*

Revision 11: Effective dates March 8, 1999 to May 16, 1999 *{link to archived Rev 11}*

***(v) Appendix of data regarding senate membership structures at other peer institutions.***

*[See separate file—Legislative History Vol. 2 - PDF format]*