

**SECTION I  
MISSION STATEMENT AND STATEMENT OF PHILOSOPHY AND  
PURPOSE OF SAINT MARY’S COLLEGE**

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**Portions of the following section will be under review during the 2014-15 academic year. The 2014-15 bulletin for the current requirements.**

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## SECTION I

### MISSION AND STATEMENT OF PHILOSOPHY AND PURPOSE OF SAINT MARY'S COLLEGE

## **A. MISSION STATEMENT AND STATEMENT OF PHILOSOPHY AND PURPOSE OF SAINT MARY'S COLLEGE**

### **1. MISSION STATEMENT**

Saint Mary's College is a Catholic, residential, women's college in the liberal arts tradition. A pioneer in the education of women, the College is an academic community where women develop their talents and prepare to make a difference in the world. Founded by the Sisters of the Holy Cross in 1844, Saint Mary's promotes a life of intellectual vigor, aesthetic appreciation, religious sensibility, and social responsibility. All members of the College remain faithful to this mission and continually assess their response to the complex needs and challenges of the contemporary world.

### **2. STATEMENT OF PHILOSOPHY AND PURPOSE**

As a center of higher education, Saint Mary's fosters an academic climate of scholarship and learning for faculty and students alike. Through excellence in teaching and the example of its own active scholarship, the faculty challenges students to expand their horizons and supports them in their intellectual pursuits. A broad-based course of study invites students to think critically and creatively about the natural world and human culture. Acknowledging the need to prepare women for an array of careers, the College insists on a liberal arts foundation for all its students. Through their years at Saint Mary's students acquire depth and breadth of knowledge, competence in quantitative skills and modern languages, the ability to think clearly about complex problems, and the capacity to communicate with precision and style.

As a Catholic college, Saint Mary's cultivates a community of intellectual inquiry, liturgical prayer, and social action. The College creates an open forum in which students freely and critically study the rich heritage of the Catholic tradition, raising the questions necessary to develop a mature religious life. The celebration of liturgy encourages students to explore the fullness of life and its mysteries. The College nurtures awareness and compassion for a troubled world and challenges students to promote human dignity throughout their lives. In preparing women for roles of leadership and action, Saint Mary's pays particular attention to the rights and responsibilities of women in the worlds of work, church, community, and family.

Dedicated to the personal and social growth of its students, Saint Mary's cultivates a community of students, faculty, and staff, which responds to the needs of women. In order to offer the richest educational experience possible, the College strives to bring together women of different nations, cultures, and races. It provides a residential environment where women grow in their appreciation of the strengths and needs of others. Through a host of co-curricular programs on campus and in the local community, Saint Mary's College initiates students in the habits of civic responsibility. Engaging in all aspects of the college experience, students acquire the hallmarks of a liberally educated woman: keen self-knowledge, lively imagination, lifelong intellectual and cultural interests, and the ability to make socially responsible choices about the future.

## SECTION II

### THE GOVERNANCE OF THE COLLEGE

**B. PROCEDURE FOR AMENDING THE STATEMENT OF THE PHILOSOPHY AND  
PURPOSE OF SAINT MARY'S COLLEGE**

The statement on the philosophy and purpose of Saint Mary's College is approved by the Board of Trustees and may be modified by them. In accordance with the principle of shared governance, proposed changes in this statement are submitted by the President to the Faculty Assembly and other appropriate bodies for their consideration before action by the Board of Trustees. The President of the College is responsible for seeing that this section of the *Governance Manual* is kept up to date.



## **A. STATEMENT ON THE CONCEPT OF SHARED GOVERNANCE**

The Board of Trustees governs the institution. Any responsibility and authority that any group or individual has is implicitly or explicitly delegated to it or them by the Board of Trustees. While the Board of Trustees and the President bear full responsibility for the governance and operation of the College, all members of the College community participate in the governance of the College in accordance with their rights and responsibilities. All members of the College community share responsibility for the governance of the College. The following sections describe the function of each component of the community.

## **B. THE CORPORATION OF SAINT MARY'S COLLEGE**

### INTRODUCTION

This section is an interpretation and condensation of Articles II and III of the *Code of Bylaws of the Corporation of Saint Mary's College, Notre Dame*, approved and adopted on April 23, 2010. The Bylaws are included as Section VIII of this manual and are the official resource for those seeking Corporate policy.

#### 1. LEGAL STATUS

Saint Mary's College, Notre Dame, is an Indiana Nonprofit Corporation established under the Not-for-Profit Corporation Act of 1971 and for which a Certificate of Incorporation was issued on July 19, 1972. Restated Articles of Incorporation were executed on February 8, 1994, pursuant to the provisions of the Indiana Nonprofit Corporation Act of 1991. The Corporation was founded by the Congregation of the Sisters of the Holy Cross and is incorporated as a Roman Catholic organization in accord with and subject to the tradition, teaching, and Canon Law of the Roman Catholic Church.

#### 2. MISSION

The mission of the College is to be a Roman Catholic institution for women, providing higher education in the liberal arts tradition.

#### 3. PHILOSOPHY AND EVOLUTION OF GOVERNANCE

The College dates its founding (1844) from the first record of Sisters of the Holy Cross engaging students in the United States. The fundamental character of the College and the education it offers were determined over the course of the following century by the vision and commitment of those Sisters whose professional and personal talents found outlet in this school. Lay women and men shared in the enterprise from earliest days, but has been only in relatively recent times that responsibility for the ongoing operation of the College has rested largely in lay hands.

Changes in the governance structure of the College over time have reflected both the changing demographics of the faculty, staff and sources of support of the College and the need to recognize the increasingly diverse interests and activities of the Congregation. As the governance of the College has evolved, two things have remained constant: the commitment of the Congregation to the advancement of the best interests of the College and the College's commitment to the

Congregation's tradition and education. These constants are integral to this most recent adaptation of the governance structure to the needs and realities of the present and foreseeable future.

While placing ultimate authority in the hands of a Board of Trustees composed of the religious and lay leadership of the College, the Bylaws are intended to recognize that the fundamental character of this institution is uniquely defined by its association with the Congregation. Included in the Bylaws are protected covenants designed to ensure that the College retains its grounding in the Congregation's philosophy of education. *Protected covenants* are defined as those actions which require a majority vote of both classes of members of the Board of Trustees, as described in Section 6.3 of the Code of Bylaws.

Each member of the College community makes an essential contribution to the mission of the College. Through their service, Sister members of the Congregation add a special dimension by providing explicit witness to the heritage and distinctive character of the College. Facilitating the involvement of those Sisters in the life of the institution is a College priority, as are communication of the history and values of the founding body, and timely address of the College-related concerns expressed in General Chapters of the Congregation.

The College community also recognizes the critical importance to all constituencies of ongoing education about Saint Mary's mission. That mission has been delineated by a century and a half of pioneering education. The governance structure of the College helps assure that the College will continue to be identified with:

- excellence in both liberal education and professional preparation;
- a commitment to the best expression of the Catholic tradition; and
- a special emphasis on and proficiency in the education of women.

#### 4. PROCEDURE FOR AMENDING THE BYLAWS OF THE CORPORATION

Subject to the provisions addressing the modification of protected covenants, the Bylaws may be changed or amended by a two-thirds majority vote of the trustees. Protected covenants may be modified only by a majority vote of each class of Trustees (see Section 6.3.).

### **C. THE BOARD OF TRUSTEES OF SAINT MARY'S COLLEGE**

#### INTRODUCTION

This section is an interpretation and condensation of sections of the *Restated Articles of Incorporation of the Corporation of Saint Mary's College, Notre Dame* and the *Code of Bylaws of the Corporation of Saint Mary's College, Note Dame*. The Code of Bylaws is included in full in this manual as Section VIII and is the official resource of those seeking Board of Trustee policy.

#### 1. AUTHORITY AND RESPONSIBILITIES

The Board has and exercises those corporate powers prescribed by law. Its ultimate authority is affirmed through its general, academic, and financial policy-making functions and its responsibility

for the Corporations' financial health and welfare. The Board exercises ultimate corporate authority as set forth by the Bylaws and in such policy documents it deems to be appropriate. These Bylaws and policy statements of the Board shall take precedence over all other College statements, documents, and policies.

The Board has the authority to carry out all lawful functions which are permitted by the Bylaws or by the Articles of Incorporation. This authority includes but is not limited to these illustrative functions:

- a. determine and periodically review the College's mission and purpose;
- b. appoint the President, who shall be the College's Chief Executive Officer, and set appropriate conditions of employment;
- c. establish the conditions of employment of the administrative officers of the College who, with the exception of the Vice President for Mission, serve at the pleasure of the President (with consultation with the Board as may be appropriate);
- d. support the President and assess his or her performance;
- e. review and approve proposed major changes in the College's academic programs and the major enterprises consistent with the College's mission, plans, and financial resources;
- f. approve institutional policies bearing on faculty appointment, promotion, tenure, and dismissal as well as personnel or anti-discrimination policies for other categories of employees;
- g. approve the annual budget and annual tuition/fees, regularly monitor the College's financial condition, and establish policy guidelines affecting all institutional assets including investments and the physical plant;
- h. contribute financially to the College's fund raising goals, participate actively in strategies to secure sources of support, and authorize College officers to accept gifts or bequests subject to Board policy guidelines;
- i. authorize debt financing;
- j. authorize the construction of buildings;
- k. authorize the selling leasing, buying, or mortgaging of real estate or buildings owned by the Corporation;
- l. merge the Corporation or the College with another corporation or college;
- m. approve such policies that contribute to the best possible environment for students to learn and develop their abilities, and that contribute to the best possible environment for the faculty to teach, pursue their scholarship, and perform public service, including the protection of academic freedom;

- n. approve all earned and honorary degrees;
- o. serve actively as advocates for the College in appropriate matters of public policy in consultation with the President and other responsible parties as the Board determines;
- p. review annually the Board's performance and periodically authorize formal assessments of the Board's performance;
- q. cause an annual report to be made by the President to the Board consisting of a statement of the mission, academic, and fiscal operations, and properties of the College for the preceding year and plans for the succeeding year;
- r. amend the Articles of Incorporation;
- s. be attentive to any Congregational concerns relating to the College which may, from time to time, be address by General Chapters of the Congregation; and
- t. take all appropriate action to allow the College properties to revert to the Congregation should the mission of the College change without the approval of both Class One and Class Two Trustee members.

## 2. MEMBERSHIP

The Board of Trustees is composed of not less than 26 nor more than 35 Trustees. The exact number of Trustees, within these limits, is prescribed in the Bylaws of the Corporation. Included in the total number is the President of the College, the President of Saint Mary's College Alumnae Association, and one member each from the faculty and the student body of the College.

- a. CLASSES OF MEMBERS There are two classes of members on the Board.
  - 1) CLASS ONE TRUSTEES The President of the Congregation or her designee (who must be a member of the Leadership Team of the Congregation), and two other persons appointed by the President of the Congregation.
  - 2) CLASS TWO TRUSTEES All other Trustees are Class Two Trustees. No fewer than seven Trustees in this class must be members of the Congregation or members of other Roman Catholic religious congregations.
- b. PROTECTED COVENANTS A majority vote of each class of members is required for actions addressing Protected Covenants, as detailed in the Bylaws. The Protected Covenants concern the:
  - 1) mission of the College;
  - 2) position of Vice President for Mission;

- 3) appointment of the President of the College;
- 4) congregational concerns relative to the College and addressed in General Chapters of the Congregation;
- 5) amendment of Articles of Incorporation and certain Bylaws;
- 6) selling, leasing, purchasing, mortgaging real estate or buildings owned by the Corporation;
- 7) merger or affiliation (which changes governance or identity of the College) of the Corporation or the College with another corporation or college;
- 8) placement of Sister members of the Congregation in ministry at the College; and
- 9) conditions resulting in the reversion of property to the Congregation.

c. TERMS OF OFFICE

- 1) CLASS ONE TRUSTEES The President of the Congregation determines the terms of the Class One Trustees.
- 2) CLASS TWO TRUSTEES Class Two Trustees, except for the President of the College, the President of the Alumnae Association, and the Student Trustee, hold the office for a term of three years. Each Class Two Trustee is eligible to serve a maximum of three successive three-year terms and is eligible for reelection to the Board after the expiration of a one-year absence from the Board.

d. NOMINATION AND APPOINTMENT

- 1) CLASS ONE TRUSTEES The President of the Congregation notifies the Board of the name of the proposed Class One Trustees and the Chair of the Board of Trustees declares the appointment of the Class One Trustee at the next meeting of the Board.
- 2) CLASS TWO TRUSTEES For Class Two Trustees, The Trusteeship Committee recommends candidates for election or reelection to the Board through procedures adopted by the Board. Class Two Trustees are elected at the annual meeting of the Board by a majority of the Trustees then in office.

e. REMOVAL FROM OFFICE

- 1) CLASS ONE TRUSTEES A Class One Trustee may be removed without cause by the President of the Congregation.
- 2) CLASS TWO TRUSTEES Class Two Trustees may be removed without cause by vote of two-thirds of all the Trustees at a special meeting of the Board duly called and constituted for that purpose.

### 3. OFFICERS

- a. OFFICERS OF THE CORPORATION The officers of the Corporation are the Chair, Vice Chair, Secretary, and Treasurer of the Board, and the President who shall ex officio be the President of the Corporation.
- b. ADMINISTRATIVE OFFICERS OF THE CORPORATION The Administrative Officers of the Corporation are the First Vice President (Provost and Senior Vice President for Academic Affairs), Vice President for Mission, Vice President for College Relations, Vice President for Enrollment Management, Vice President for Finance and Administration, and Vice President for Student Affairs. The Board may approve the appointment of other Administrative Officers upon recommendation by the President of office and duties.

### 4. MEETINGS

#### a. SCHEDULES AND SPECIAL MEETINGS

A regular annual meeting of the Board is held in the Spring, on a date to be fixed by the Chair of the Board, for the purpose of electing Trustees, officers, and members of the Executive Committee and such other business as the Board deems appropriate. The Board shall have at least two other meetings each calendar year.

Special meetings of the Board may be called by the Chair of the Board or the President or at the request of any seven Trustees. The person or persons calling such meeting must give written notice thereof to the Secretary who, at least ten days prior to the date of such special meeting, gives notice to the Board members. The notice of the meeting contains a statement of the purpose for which the meeting is called and business at such special meeting is limited to the called purpose.

#### b. QUORUM AND RULES OF PROCEDURE

A majority of all Trustees constitutes a quorum provided, however, that if an issue being discussed and voted on at a meeting is one that requires a majority vote of each class of members, and then a majority of Class One Trustees plus a majority of Class Two Trustees constitute a quorum. When filling vacancies a majority of all Trustees constitutes a quorum.

All meetings of the Board are conducted in accordance with *Roberts Rules of Order*.

### 5. COMMITTEES

The standing committees are the Executive Committee; Audit Committee; College Relations Committee; Education Committee; Finance and Budget Committee; Investment Committee; Mission Committee; Student Life Committee, and Trusteeship Committee.

The Board establishes such further standing and *ad hoc* committees as it deems appropriate. Each committee has a written statement of rules of procedure or policy guidelines that it and the Board deem appropriate. Such statements are reviewed annually by each committee and the results of the review are reported to the Board at its next meeting.

The Chair of the Board has the responsibility of appointing the Chair, Vice Chair (both of whom shall be Trustees), and members of all Board committees. A majority of committee members must be Trustees. The Chair of the Board and the President are *ex officio* members, with vote, of all standing committees, provided that the President shall not be a member of the Audit Committee.

Each committee has a designated Administrative Officer of the College or member of the administrative staff, as determined by the President, to assist it with its work.

Each committee meets at least two times annually and regularly reports on its work and recommendations to the Board. All committees keep minutes and distribute them to the Board.

a. EXECUTIVE COMMITTEE

1) MEMBERSHIP The membership of the Executive Committee includes the Chair of the Board (who serves as chair of this committee), the President, a Class One Trustee, the Vice Chair, the Secretary, and Treasurer of the Board and the Chairs of the standing committees. If at least three members of this committee are not Trustees who are members of the Congregation, the Chair appoints additional Trustee members of the Congregation sufficient to bring the Congregation representation to three.

2) PURPOSE

The Executive Committee acts as the Board's agent in helping the President address matters of business between regular board meetings and assists the Chair of the Board and the President in their joint responsibility to help the Board to function effectively and efficiently by suggesting Board meeting agenda items and periodically assessing the quality of committee work. It has the authority to take action on emergency matters which cannot or should not be deferred to the Board's next scheduled meeting. The Executive Committee oversees the work of the Board committees, the College's planning process and its progress on planning goals. The Executive Committee has authority to act for the Board on all matters except for the following which are reserved to the Board:

- a) selection and termination of the President;
- b) selection of the Trustees and Officers of the Board;
- c) changes in institutional mission and purposes;
- d) amendments of the Articles of Incorporation or Bylaws;

- e) incurring of corporate indebtedness;
- f) authorizing the selling, leasing, buying, or mortgaging of real estate or buildings owned by the Corporation;
- g) merging or affiliating (which changes governance or identity of the College) the Corporation or the College with another corporation or college;
- h) adoption of the annual budget;
- i) conferral of degrees;
- j) other powers reserved to the Board, from time to time by the Board.

All actions of the Executive Committee are subject to ratification at the next Board meeting.

- 3) MEETINGS The Executive Committee meets as often as necessary to conduct its business as the Chair of the Board and President determine, and ensures that minutes are taken and promptly distributed to all Trustees. A simple majority of the committee members constitutes a quorum provided that one member in attendance is a member of the Congregation.

b. MISSION COMMITTEE

The Mission Committee shall ensure that the College continues and deepens the distinguished heritage of the Congregation by maintaining educational excellence and a steadfast commitment to gospel living in the modern world among all segments of the College: board, faculty, staff, students, alumnae, and friends. It shall foster a variety of ways to assist and energize the commitment to the mission and vision of the College as lived through the core values: Learning, Community, Faith/Spirituality, and Justice.

c. FINANCE AND BUDGET COMMITTEE

The Finance and Budget Committee shall work to ensure the fiscal stability and long-term economic health of the College. It shall consider and make recommendations concerning the financial affairs of the College, including the annual budget, as presented to it by the President. The Finance and Budget Committee shall also consider and make recommendations concerning the status of existing structures and land, and additions or deletions thereto, including both long and short term planning. It shall work to ensure the adequacy and condition of capital assets. It shall recommend financing structures to ensure adequate levels of funding for capital projects.



d. ACADEMIC AFFAIRS COMMITTEE

The Academic Affairs Committee shall consider and make recommendations concerning major College educational policies, major academic and departmental concerns, faculty status, and faculty obligations. It shall work to ensure that the academic budget reflects the College's academic priorities. The Committee shall also work to ensure that the College's academic programs are appropriate and effective for its students.

e. STUDENT LIFE COMMITTEE

The Student Life Committee shall consider and make recommendations concerning major College policies on the co-curricular life and spiritual life of the students. The Committee shall represent students' interests in the Board's policy making activities. It shall work to ensure adequate resources for student affairs programs. The Student Life Committee shall consider and make recommendations concerning an enrollment management philosophy that assists the College in achieving optimum enrollment, retention, graduation rates, and financial objectives. It develops appropriate planning and measuring mechanisms to assist in anticipating enrollment trends and opportunities, and in determining enrollment goals for future years.

f. COLLEGE RELATIONS COMMITTEE

The College Relations Committee shall review the College's short-range and long-range development goals and make recommendations. It shall participate in seeking sources of support for the College. The Committee will consider and make recommendations concerning marketing, alumnae relations, and revenue producing programs.

g. TRUSTEESHIP COMMITTEE

- 1) MEMBERSHIP The Trusteeship Committee is comprised of at least five and not more than seven members, one of whom must be a Class One Trustee. The Vice Chair of the Board serves as Chair of this Committee. All committee members except the one Class One Trustee member are appointed for renewable one-year terms by the Chair of the Board. The Chair of the Board appoints the Class One Trustee as designated by the President of the Congregation for renewable one-year terms. At least two members of this committee must be Trustees who are members of the Congregation, and at least two members of this committee must be lay Trustees.
- 2) PURPOSE The Trusteeship Committee shall ensure that the Board's membership and leadership consists of highly qualified and committed individuals and that regular programs of new Trustee and in-service education are maintained. It shall periodically recommend initiatives by which the Board shall assess its performance. It shall serve as the Board's agent in reviewing the performance of incumbent Trustees and Officers of the

Board who are eligible for reelection, maintain a list of qualified candidates for possible nomination, consider cultivation strategies for promising Trustee candidates and shall propose and periodically review the adequacy of a statement of Trustee responsibilities as adopted by the Board. In addition, it reviews the list of potential candidates for Commencement speakers and honorary degrees and makes recommendations to the Board.

- 3) MEETINGS The Trusteeship Committee meets as often as necessary to conduct its business, but no fewer than two times annually. It seeks the assistance of all Trustees in the course of meeting its responsibilities in accordance with the Bylaws and its own rules of procedure as adopted by the Board. A simple majority of the committee members constitutes a quorum provided that one member in attendance is a member of the Congregation.

h. AUDIT COMMITTEE

The Audit Committee shall provide oversight of the College's financial practices, internal controls, financial management, and standards of conduct. It shall maintain such procedures and provide such reviews as will maintain the tax exempt status of the College.

i. INVESTMENT COMMITTEE

The Investment Committee shall develop the College's investment policy for presentation to the Board, implement the College's investment program, monitor investment performance, and select and review managers and consultants. The Investment Committee shall determine an appropriate portfolio mix and asset allocation for the College's investments and shall have the power and authority to approve investments on behalf of the Board of Trustees. At least annually, and at such other times as requested by the Board of Trustees, the Investment Committee shall present to the Board a summary of the performance of the investments made by the College.

6. PLACEMENT OF MEMBERS OF THE CONGREGATION

To the extent permitted by law, qualified members of the Congregation will be given preference for administrative, faculty, staff, and campus ministry positions. The College will actively recruit members of the Congregation for these positions.

**D. THE ADMINISTRATION OF THE COLLEGE**

1. OFFICERS OF THE ADMINISTRATION

a. PRESIDENT OF THE COLLEGE

- 1) APPOINTMENT The President of the College is appointed by the Board of Trustees of the Corporation of Saint Mary's College and serves at the pleasure of the Board.
- 2) AUTHORITY AND RESPONSIBILITIES The President is the College's chief executive officer and the chief advisor to the Board. The authority of the President is vested through the Board and includes responsibilities for all College educational and managerial affairs. The President is responsible for leading the College, implementing all Board policies, keeping the Board informed on appropriate matters, consulting with the Board in a timely manner on matters appropriate to its policy making and fiduciary functions, and serving as the College's key spokesperson. The President has the authority to execute all documents on behalf of the College and the Board consistent with Board policies and the best interests of the College. The President:
  - a) is an *ex officio* voting member of the Board of Trustees and serves *ex officio* as a member of all Board committees except the Audit Committee;
  - b) presides or designates the presiding officer at all academic functions and represents the College before the public;
  - c) serves as the chief liaison officer between the Board of Trustees and the College community. As such, the President receives and transmits all resolutions and petitions affecting the welfare of the College;
  - d) presents regular reports on the state of the College to the Board of Trustees and to the Faculty Assembly and such other reports as are requested by the Board of Trustees;
  - e) recommends, after appropriate consultation, administrative officers for confirmation by the Board of Trustees;
  - f) informs the Board of Trustees of the names of the faculty members awarded tenure and/or promotion after considering the report of the Committee on Rank and Tenure;
  - g) appoints, promotes, fixes compensation for, and dismisses the academic and non-academic staffs of the College subject to the limitations of budget provisions and College policies, according to the provisions outlined in this manual;
  - h) designates the duties and functions of other officers and agents of the College, subject to the supervision and direction of the Board of Trustees;
  - i) makes changes in the administrative structure of the College that are advantageous to the College;

- j) appoints committees, delegates authority, assigns responsibility to committees or to individuals as needed;
- k) in the absence of the President, the Provost and Senior Vice President for Academic Affairs serves as Acting President, pending further action of the Board of Trustees.

3) PRESIDENTIAL ASSISTANTS

The Special Assistant to the President, and the Director of Institutional Research and Assessment, and the College Counsel are appointed by and responsible to the President. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.

4) PRESIDENT'S COMMITTEES AND COUNCILS

The following committees and councils report directly to the President:

a) PRESIDENT'S CABINET

- (1) MEMBERSHIP The President's Cabinet consists of the President, Provost and Senior Vice President for Academic Affairs, Vice President for Mission, Vice President for College Relations, Vice President for Enrollment Management, Vice President for Finance and Administration, Vice President for Student Affairs, and The Special Assistant to the President. The President convenes the meetings of the President's Cabinet.
- (2) RESPONSIBILITY The President's Cabinet:
  - (a) works toward the integration of policy among the administrative branches;
  - (b) coordinates the work of the various administrative officers;
  - (c) advises the President on matters of administration.

b) BUDGET COMMITTEE

- (1) MEMBERSHIP The Budget Committee consists of the President's Cabinet. The Vice President for Finance and Administration serves as chair.
- (2) RESPONSIBILITY The Budget Committee:
  - (a) reviews the budgets prepared by administrative officers for their departments;
  - (b) reviews proposals to change student or academic fees;
  - (c) reviews the total College budget and submits a proposed budget to the President for presentation to the Finance and Budget Committee of the Board of Trustees.

c) COMMITTEE ON RANK AND TENURE

- (1) MEMBERSHIP The Committee on Rank and Tenure consists of two academic administrative members appointed by the President, the Provost and Senior Vice President for Academic Affairs, the Dean of Faculty , and three tenured faculty members above the rank of Assistant Professor chosen by the Faculty Assembly. The faculty member who is in the second year of his/her term serves as the Chair. Faculty serving on this committee whose department colleagues are candidates for fourth-year review, tenure and/or promotion, are recused from the committee proceedings related to their departmental candidate's review. The recused member will be replaced by the faculty member from a different department who most recently completed his/her term on the committee.
- (2) RESPONSIBILITY The Committee on Rank and Tenure:
  - (a) establishes the criteria and procedures for tenure and promotion within the policy guidelines of the College;
  - (b) reviews the candidates for promotion and tenure;
  - (c) prepares a written statement for those faculty members in their fourth year, advising them on their progress toward tenure;
  - (d) prepares a confidential written recommendation on candidates for promotion and/or tenure for the President's consideration.
- (3) PROCEDURES For a detailed description of the Committee on Rank and Tenure policies and procedures, see the section on Faculty Policies and Procedures (Section III).

d) ACADEMIC AFFAIRS COUNCIL

- (1) MEMBERSHIP The Academic Affairs Council consists of the President, the Provost and Senior Vice President for Academic Affairs, the Dean of Faculty, one academic administrator appointed by the President; the Chair of the Faculty Assembly; a faculty representative from the Curriculum and Academic Standards Committees; a representative from the Admission and Scholarship, Cultural Affairs, and Library Committees; a faculty representative from the following additional academic committees – the Graduate Program Committee, the Program Review Committee, the Sophia Program Curriculum Committee, and the Sophia Program Oversight Committee; two at-large faculty representatives elected by the Faculty Assembly; the Student Government Association Vice President ; and a student elected from among the student representatives on the Student Affairs Council. No one may hold more than one seat on the Council. All the members are voting members. The President serves as the Chair of the Council.

- (2) RESPONSIBILITY The Academic Affairs Council:
- (a) recommends changes in academic policies to the President who consults with the Faculty Assembly before acting on major changes in areas of academic policy;
  - (b) approves guidelines for the operation of its standing committees;
  - (c) receives from and acts on proposals from its standing committees;
  - (d) acts on proposals submitted to it by the Faculty Assembly;
  - (e) proposes to the Board of Trustees procedures for its consideration in the search for a President;
  - (f) advises the President on the procedures in the search for a Provost and Senior Vice President for Academic Affairs;
  - (g) represents the recipients of the following College honors and awards: honorary degree recipients, graduation speakers; Spes Unica Award; Maria Pieta Award; Multicultural Award.
- (3) PROCEDURES The Provost and Senior Vice President for Academic Affairs prepares the agenda and serves as Executive Secretary of the Council. Minutes of all meetings of the Council will be sent to the faculty. Any member of the Academic Affairs Council may request that an item be placed on the agenda. The Academic Affairs Council should reject a proposal from one of its committees only in exceptional circumstances; before doing so, it should communicate its reasons in writing and give the committee in question an opportunity to respond. If the President reverses a decision of the Council, the President communicates in writing the reasons for the reversal.
- (4) STANDING COMMITTEES The Standing Committees of the Academic Affairs Council report directly to the Academic Affairs Council. The standing committees are:
- (a) ACADEMIC STANDARDS COMMITTEE
    - 1)) MEMBERSHIP The Academic Standards Committee consists of the Provost and Senior Vice President for Academic Affairs, or a designated representative; the Associate Dean for Advising; the Vice President for Enrolment Management or the Director of Admission when designated; the Vice President for Student Affairs; six faculty members elected by the Faculty Assembly; and two students selected according to the procedures outlined in the *Student Government Association Constitution*. Meetings, or parts of meetings, which relate to specific students are not open to student members. The Registrar serves the committee as a resource person. The Provost and Senior Vice President for Academic

Affairs, or the Dean's representative, serves as Chair. The Committee selects one faculty member to serve on the Academic Affairs Council.

2)) RESPONSIBILITY The Academic Standards Committee:

- a)) reviews and recommends the criteria for acceptable and unacceptable student scholarship;
- b)) reviews and recommends policy for students' continuation in College;
- c)) provides the staff and mechanism for hearing cases of alleged violation of academic honesty policy through the creation of the Academic Hearing Board and the Academic Appellate Board;
- d)) studies and recommends revisions of the academic policies of the College;
- e)) advises the appropriate academic officers on the individual student's continuation in College;
- f)) ensures that the regulations in relevant sections of the *Bulletin* and other College manuals conform to the College policy;
- g)) determines the student recipients of College-wide-academic honors and awards;
- h)) selects the recipient of the Saint Catherine Medal.

3)) PROCEDURES To hear cases involving alleged violations of academic honesty policy not resolved at a lower level, the Chair of the Committee is empowered to appoint representatives from the Committee to two separate boards. The first, the Academic Hearing Board, is comprised of one faculty member, one student, and one academic administrator. This board serves as the first stage in a formal hearing process; it is to negotiate a resolution or make a judgment and recommendation relative to the case. The second board, the Academic Appellate Board, is comprised of three committee representatives (one faculty, one student, one academic administrator). This Board hears appeals or recommendations made by the Academic Hearing Board.

(b) ADMISSION AND SCHOLARSHIP COMMITTEE

1)) MEMBERSHIP The Admission and Scholarship Committee consists of the Vice President for Enrollment Management, the Director of Admission, the Associate Dean for Advising, the Vice President for Student Affairs, the Director of Financial Aid, the Coordinator of International Recruitment, the Coordinator of Multicultural Recruitment, five faculty members elected by the Faculty Assembly and two students chosen according to the procedures outlined in the *Student Government*

*Association Constitution*. The Director of Institutional Research, though not a member, serves as a resource person. The Vice President for Enrollment Management serves as Chair of the Committee. In the Vice President for Enrollment Management's absence, the Director of Admission serves as the Chair of this Committee. The Committee selects one of its members to serve on the Academic Affairs Council.

2)) RESPONSIBILITY The Admission and Scholarship Committee:

- a)) recommends policies on admission and financial aid;
- b)) studies and recommends revisions of the admission and scholarship policies of the College in particular as they relate to international and multicultural recruitment; and
- c)) ensures that the regulations and policy statements in relevant sections of the *Bulletin* and other College manuals conform to College policy.

(c) RETENTION COMMITTEE

1)) MEMBERSHIP The Retention Committee consists of the Vice President for Enrollment Management, the Vice President for Student Affairs, Directors of Admission, Financial Aid, Institutional Research, Athletics, Student Involvement and Multicultural Services, Campus Ministry, Residence Life and Community Standards, and Women's Health, the Associate Dean for Advising, the Registrar, two faculty members elected by the Faculty Assembly, and two students chosen according to the procedures outlined in the *Student Government Association Constitution*. The Vice President for Enrollment Management serves as Chair of this Committee; in the absence of the Vice President for Enrollment and Management, the Vice President for Student Affairs chairs this Committee.

2)) RESPONSIBILITY The Retention Committee:

- a)) assists the Vice President for Enrollment Management in developing and implementing and enrollment management philosophy at Saint Mary's;
- b)) gathers, evaluates, and assesses data designed to assist the College in understanding what attracts students to Saint Mary's, what causes student to leave, and what factors have a positive impact on increased student satisfaction with their Saint Mary's experience?
- c)) monitors and assesses the college's progress in achieving retention and graduation benchmarks established in the President's Strategic Plan for Saint Mary's: *Boldly Forward, 2017*



- d)) examines and enhances those programs already in place that have a positive impact on increased student satisfaction across campus;
- e)) assesses and evaluates peer institutions and their retention/student satisfaction efforts for possible implementation at Saint Mary's.

(d) CULTURAL AFFAIRS COMMITTEE

- 1)) MEMBERSHIP The Cultural Affairs Committee consists of the Director of Special Events, the Director of Student Activities, the Director of Media and Community Relations, the Director of the Art Gallery, the Director of the Multicultural Services and Student Programs, the Assistant Director of Special Events/Internal, five faculty members elected by the Faculty Assembly, and five students. The five faculty representatives are to include two from the humanities and three at large. The student representatives are to include one sophomore, one junior, and one senior selected according to procedures outlined in the *Student Government Association Constitution*, one individual representing the student Board of Governance (BOG), and one representative from the Student Academic Council (SAC). The Director of Special Events serves as Chair, appoints one of the faculty members to serve on the Academic Affairs Council, and is responsible for all administrative matters pertaining to the Committee.
- 2)) RESPONSIBILITY Provides a cross-section of cultural activity from a variety of perspectives. All scheduled cultural events are to be presented with an eye toward entertaining, enlightening, and promoting an awareness of diversity of culture in its many forms within contemporary society.

(e) CURRICULUM COMMITTEE

- 1)) MEMBERSHIP The Curriculum Committee consists of the Provost and Senior Vice President for Academic Affairs, her/his designated representative; the Associate Dean of Faculty; six faculty members elected by the Faculty Assembly, one from each of six curriculum areas: Fine Arts (Art, Communication, Theatre, Music or Physical Education); Science (Biology, Chemistry-Physics, Mathematics, or Nursing); Social Science (Business Administration and Economics, Political Science, Psychology, Sociology, Anthropology, and Social Work); Humanities I; (History, Humanistic Studies, Philosophy, or Religious Studies); Humanities II (English or Modern Languages), and Education. The Associate Dean for Advising sits as a non-voting member unless he/she is serving as the designated representative of the Provost and Senior Vice President for Academic Affairs. Two student members are chosen according to the procedures outlined in the *Student Government Association Constitution*. The Committee elects a faculty member as a

Chair and it selects one of its members to serve on the Academic Affairs Council.

2)) RESPONSIBILITY The Curriculum Committee:

- a)) reviews and recommends the addition or elimination of academic programs, degrees, and majors;
- b)) reviews and recommends proposed changes in the number, kind, or distribution of requirements in Major Programs;
- c)) reviews and recommends the general guidelines for Minor Programs;
- d)) reviews and approves proposals for new courses, (including those forwarded from the General Education Curriculum Committee) and, including the expeditious review and approval of experimental, special topics, and topics in courses. The Provost and Senior Vice President for Academic Affairs gives temporary approval to experimental programs.
- e)) reviews and recommends the addition of minors and the changes within minors which meet the general guidelines for Minor Programs;
- f)) reviews and approves proposed changes in course offerings which affect the degree requirements of more than one department or the core curriculum of the College;
- g)) ensures that the *Bulletin* and other relevant College manuals conform to College Policy.

Departments submitting new courses and programs to outside agencies for approval must first submit the changes to the Sophia Program Curriculum Committee for approval.

(f) LIBRARY COMMITTEE

1)) MEMBERSHIP The Library Committee consists of Director of the Cushwa-Leighton Library; the Associate Dean of Faculty; six faculty elected by the Faculty Assembly, at least one of which must be from the library department; and two students selected according to the procedures outlined in the *Student Government Association Constitution*. The Director of the Library serves as Chair, and the Committee selects one of its members to serve on the Academic Affairs Council.

2)) RESPONSIBILITY The Library Committee:

- a)) makes policy recommendations for the improvement of library services;

- b)) studies and makes recommendations for the acquisition and placement of library materials;
- c)) advises on the policies relative to the use of the library and its materials.

f) STUDENT AFFAIRS COUNCIL

- (1) MEMBERSHIP The Student Affairs Council consists of the President of the College; the Vice President for Student Affairs; two Directors within the Division of Student Affairs; two faculty members; one member of the Division for Mission; and three students. The faculty members and the three students are selected by the Committee on Student Affairs. The two Directors have staggered appointments. The President of the College serves as Chair.
- (2) RESPONSIBILITY The Student Affairs Council:
  - (a) advises the President of the College on policies which affect all aspects of student life;
  - (b) acts on reports prepared by the Committee on Student Affairs;
  - (c) advises the President on the procedures in the search for a Vice President for Student Affairs:
  - (d) proposes policies and reviews proposals for new student publications; and
  - (e) participates in the selection of the Student Trustee and the recipient of the Lumen Christi award.
- (3) PROCEDURES The Vice President for Student Affairs schedules meetings and sets agenda for the Student Affairs Council.
- (4) COMMITTEE ON STUDENT AFFAIRS The Committee on Student Affairs reports directly to the Student Affairs Council.
  - (a) MEMBERSHIP The Committee on Student Affairs consists of the Vice President for Student Affairs, each Department Director in the Division of Student Affairs, three faculty members elected by the Faculty Assembly, the Student Body President or her designee, the Student Government Association Vice President or her designee, the President of the Residence Hall Association or her designee, and the President of the Student Diversity Board or her designee. The Committee selects two of its faculty members and three of its students to serve on the Student Affairs Council.
  - (b) RESPONSIBILITY The Committee on Student Affairs:

- 1)) provides a campus-wide forum for the discussion of student life;
- 2)) serves as a forum for input from students and faculty regarding the programs and services in the Division of Student Affairs;
- 3)) offers recommendations to the Division of Student Affairs;
- 4)) may submit proposals to the Vice President for Student Affairs regarding changes in programs or services offered in the Division of Student Affairs.

g) THE PRESIDENT'S COUNCIL ON MULTICULTURAL AFFAIRS

- (a) MEMBERSHIP The President's Council on Multicultural Affairs consists of the Provost and Senior Vice President for Academic Affairs, Vice President for Student Affairs, Vice President for College Relations, Vice President for Mission, Director of Admission, The Special Assistant to the President, Director of Human Resources, Director of the Center for Women's Intercultural Leadership, Director of Multicultural Services and Student Programs, two appointed faculty members, two elected faculty members, two staff members, the President of the Student Diversity Board, and the President of the Residence Hall Association and an appointed student at large. The Chair of the Council is chosen by the President of the College.
- (b) RESPONSIBILITY The President's Council on Multicultural Affairs will monitor the racial and ethnic diversification of students, faculty, staff, and administrators; and receive annual reports from Human Resources and Admission regarding the College's efforts to create a more racially and ethnically diverse student body and workforce. The Council will:
  - 1)) oversee the ongoing education and development of the entire College community (faculty, staff, administrators, and students) in the area of multicultural diversity and receive assessment reports on these efforts;
  - 2)) recommend, in conjunction with the appropriate units (*e.g.* Human Resources), policies and procedures on harassment; and
  - 3)) propose initiatives to improve the campus climate and the racial and ethnic diversification of the College community.

h) PARENTS COUNCIL

- (a) MEMBERSHIP The Parents Council consists of parents of sophomore, junior, and senior students who are invited by the President to serve while their daughters are students.
- (b) RESPONSIBILITY The Parents Council members are members of the Madeleva Society, they act as advisors to the Vice President for College Relations on matters relating to marketing and fundraising from parents. They serve as a focus group for the Vice President for Student Affairs. They assist the Vice President for Enrollment Management with recruitment efforts.

i) PRESIDENT'S CIRCLE

- (a) MEMBERSHIP Trustees who retire from the Saint Mary's College Board of Trustees after serving 3 full terms (9 years) and who agree to support the College at the Trustee level of the Madeleva Society (\$5,000).
- (b) RESPONSIBILITY Members provide historical perspective, vision and counsel.

b. PROVOST AND SENIOR VICE PRESIDENT FOR ACADEMIC AFFAIRS

- 1) APPOINTMENT The appointment of the Senior Vice President and Dean of the Faculty is confirmed by the Board of Trustees upon the recommendation of the President after appropriate consultation with the faculty. The Provost and Senior Vice President for Academic Affairs holds office at the discretion of the President.
- 2) AUTHORITY AND RESPONSIBILITY The Provost and Senior Vice President for Academic Affairs is directly responsible to the President and is the chief executive officer in the absence of the President. The Provost and Senior Vice President for Academic Affairs is the Chief Academic Officer (CAO) of the College as well as the overseer of certain support units within the College. If the President is unavailable the Provost serves as the College's key spokesperson. In time of disability of the President, the Provost serves as Acting President, pending further action of the Board of Trustees. The Provost and Senior Vice President for Academic Affairs:

***As Provost***

- a) serves on the President's Cabinet and the College budget committee;
- b) consults, on a timely basis, with the Vice Presidents as the officers and agents of the College;
- c) serves as secretary of the Board of Trustees Academic Affairs Committee; serves as Secretary of the Academic Affairs Council and chairs this Council in the President's absence;

- d) maintains liaison with the Higher Learning Commission; oversees institutional assessment projects (e.g. Cohort Three Lumina Project), working in collaboration with the Office of Institutional Research and Assessment and other units of the College; is responsible for preparing the College for its four-year improvement process, its ongoing assurance process, and its 10-year site visit (as mandated by the HLC);
- e) oversees the Information Technology Department;
- f) oversees the Special Events Department;
- g) oversees the Career Crossings Office;
- h) oversees the Center for Women's Intercultural Leadership;
- i) annually prepares the budgets of certain support units of the College (i.e. IT, Special Events, Career Crossings, Center for Women's Intercultural Leadership) and submits them to the President for approval by the Board of Trustees;
- j) meets regularly with the Director of Institutional Research and Assessment;
- k) appoints committees, delegates authority, assigns responsibility to committees or to individuals on matters under the Provost's purview as needed;
- l) represents the College in designated professional associations and functions as requested by the President; and
- m) performs other duties requested by the President.

***As Senior Vice President for Academic Affairs:***

- a) annually prepares the academic affairs division budgets, (i.e., Registrar, Dean, Directors, Library, Student Success), and submits them to the President for approval by the Board of Trustees and serves as the chief representative of the academic area of the College on the Budget Committee of the College;
- b) serves as a voting ex-officio member of the Committee on Rank and Tenure, as the President's appointee; serves, or appoints a designee to serve on the following: Advisory Committees for CWIL; Assessment Committee; Center for Academic Innovation Grants Committee; Faculty Development Grants Committee; Institutional Review Board; Teaching, Learning, and Technology Roundtable;
- c) designates administrative representatives to committees as called for;
- d) oversees undergraduate studies and graduate studies;
- e) oversees the primary academic support services administrators: Registrar, Director of the Cushwa-Leighton Library, and Director of Student Services;
- f) co-leads (with the Dean of Faculty) the College faculty in continuing professional development in all areas;

- g) co-leads (with the Dean of Faculty) the College faculty in continual review and improvement of all academic programs at every level; and
- h) consults with the President on the hiring, retention, or non-retention of all faculty.

OTHER ACADEMIC ADMINISTRATORS The following academic administrators report to and are immediately responsible to the Provost and Senior Vice President for Academic Affairs.

a) CHIEF INFORMATION OFFICER

- (1) APPOINTMENT The Chief Information Officer is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs and holds office at the discretion of the President.
- (2) AUTHORITY AND RESPONSIBILITY The Chief Information Officer:
  - (a) is a primary report to the Provost and Senior Vice President for Academic Affairs; he/she also reports to the Vice President for Finance and Administration;
  - (b) assists and advises administrative and instructional departments and members of the faculty in computer education and use;
  - (c) administers the policy designed to ensure that there is a proper balance between the academic and administrative use of the computer;
  - (d) directs the day-to-day operation of the College's technology resources and staff;
  - (e) acts as the technology advisor of the College;
  - (f) establishes and implements procedures to ensure the confidentiality and privacy of the data files;
  - (g) serves on technology related committees;
  - (h) is charged with the long-range planning and development of technology related resources of the College and advises the College in their strategic use; and
  - (i) performs other duties requested by the Provost and Senior Vice President for Academic Affairs and the Vice President for Finance and Administration.

b) REGISTRAR

- (1) APPOINTMENT The Registrar is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs and holds office at the discretion of the President.
- (2) AUTHORITY AND RESPONSIBILITY The Registrar:
  - (a) manages the protection and confidentiality of all academic records. Implements FERPA regulations;
  - (b) builds and updates the new Sophia Program curriculum in Banner/Prism (self-service);
  - (c) builds programs of study (majors, minors, and certificates);
  - (d) manages and processes upgrades for all functions related to the Banner Student system, including Student and Faculty self-service;
  - (e) establishes registration procedures and directs the registration of students;
  - (f) prepares academic calendar and final examination schedule;
  - (g) prepares the distribution and secure collection of course/instructor survey;
  - (h) is responsible for the semester based schedule of courses and academic classroom assignments;
  - (i) maintains official course catalog in conjunction with authorized changes made by the Academic Affairs Council and the Curriculum Committee;
  - (j) manages, updates, and edits the College *Bulletin*;
  - (k) processes final grades;
  - (l) prepares ad hoc reports of directory information to authorized persons;
  - (m) serves as *ex officio* member of committees as designated by the *Governance Manual* and the Provost and Senior Vice President for Academic Affairs;
  - (n) participates in and serves as resource for various College committees;
  - (o) implements special projects and other job-related duties assigned by the Provost and Senior Vice President for Academic Affairs.



c) DIRECTOR OF THE CUSHWA-LEIGHTON LIBRARY

- (1) APPOINTMENT The Director of the Cushwa-Leighton Library is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs after consultation with the library faculty. The Director of Libraries holds a faculty appointment and holds office as Director at the discretion of the President.
- (2) AUTHORITY AND RESPONSIBILITY The Director of the Cushwa-Leighton Library;
  - (a) supervises the administration of the library;
  - (b) coordinates the services of the College libraries;
  - (c) supervises the purchasing, cataloging, and preparing for circulation of all library holdings;
  - (d) takes reasonable precautions for the preservation and safe-guarding of all books, documents, equipment, and other library property;
  - (e) calls and chairs meetings of the library staff;
  - (f) conducts the annual performance evaluation of library staff;
  - (g) reports on the performance of the individual faculty at the time of fourth-year review to the Committee on Rank and Tenure and shares with individual faculty observations based on that meeting while protecting the confidentiality of the Committee on Rank and Tenure;
  - (h) makes recommendations for appointment and tenure of professional librarians according to the procedures described in the sections of the *Governance Manual* dealing with appointment, promotion, and tenure;
  - (i) after consultation with the department, prepares, submits, and supervises the annual department budget;
  - (j) maintains professional files on all departmental staff;
  - (k) submits an annual written report on the state of the Library; discusses this report at an annual meeting with the Provost and Senior Vice President for Academic Affairs;
  - (l) in consultation with the department, prepares long-range staffing projections;
  - (m) recommends salaries for each departmental member and informs each of the recommendation;

- (n) represents the department at official functions of the College;
- (o) serves *ex officio* member of committees as designated by the *Governance Manual* and the Provost and Senior Vice President for Academic Affairs, and as Chair of the Library Committee;
- (p) performs other duties as requested by the Provost and Senior Vice President for Academic Affairs and the department.

d) DIRECTOR OF THE CAREER CROSSINGS OFFICE

- (1) APPOINTMENT The Director of the Career Crossings is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs and holds office at the discretion of the President.
- (2) AUTHORITY AND RESPONSIBILITY The Director of the Career Crossing Office:
  - (a) directs and evaluates career counseling and the on-campus recruiting and career services program;
  - (b) prepares and administers the Career Crossing Office budget;
  - (c) develops workshops and programs to assist students in making a successful transition into the workplace or graduate school, or interested in pursuing a liberal arts internship;
  - (d) maintains the Career Resource Center, the Alumnae Resource Network (ARN) and *Go Belles*, a web-based job-vacancy and résumé referral system;
  - (e) serves as consultant to faculty, administration, staff, and parents on the career development of students;
  - (f) supplies information to the College regarding career development matters;
  - (g) provides individual and group counseling for students with career concerns;
  - (h) supervises the development of the career exploration program;
  - (i) represents the College in appropriate professional associations;
  - (j) serves on the College committees and councils as appointed;
  - (k) performs other duties as requested by the Provost and Senior Vice President for Academic Affairs.

e) DIRECTOR FOR THE CENTER FOR ACADEMIC INNOVATION (under review)

f) DIRECTOR OF THE CENTER FOR WOMEN'S INTERCULTURAL LEADERSHIP

- (1) APPOINTMENT The Director of the Center for Women's Intercultural Leadership is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs after appropriate consultation with the faculty and holds office at the discretion of the President.
- (2) AUTHORITY AND RESPONSIBILITY The Director for the Center for Women's Intercultural Leadership:
  - (a) oversees the interests of the three components of CWIL (Global Education, Leadership Education, and Research & Scholarship);
  - (b) members of CWIL Leadership Team which is comprised of directors of Community Connections, Office of Global Education, and Research and Scholarship;
  - (c) manages the budget and finances of the Center;
  - (d) provides general supervision to the staff, fellows, and administrators within the Center;
  - (e) represents CWIL at official campus functions;
  - (f) coordinates the CWIL: International Advisory Board; and
  - (g) performs other duties as requested by the Provost and Senior Vice President for Academic Affairs.

g) DIRECTOR OF SPECIAL EVENTS

- (1) APPOINTMENT The Director of Special Events is appointed by the President upon recommendation of the Vice President for College Relations and holds office at the discretion of the President.
- (2) AUTHORITY AND RESPONSIBILITY The Director of Special Events:
  - (a) plans, markets, and staffs the College's special performing arts events and publishes the College's annual Arts and Ideas newsletter;
  - (b) serves as the administrator for the Moreau Center for the Arts and serves as Chair of the College's Cultural Affairs Committee;
  - (c) serves as the general administrator for Saint Mary's College camps and conferences, as well as, external events; and

- (d) develops, evaluates, and implements policies and procedures related to miscellaneous special events and the rental of college facilities.

h) DEAN OF FACULTY

(1) APPOINTMENT The Dean of Faculty is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs and holds the office at the discretion of the President. This is a 12 month full-time administrative position.

(2) AUTHORITY AND RESPONSIBILITY The Dean of Faculty is directly responsible to the Provost and Senior Vice President for Academic Affairs. He/she is the Chief Academic Officer in the absence of the Provost. The Dean of Faculty

- a. leads the College faculty in continual review and improvement of the undergraduate academic program;
- b. promotes quality instruction of the undergraduate academic program;
- c. recommends to the President and the Provost and Senior Vice President for Academic Affairs the hiring, retention, or non-retention of pre-tenure faculty;
- d. annually reviews each academic department or interdisciplinary program;
- e. conducts monthly Council of Chairs meetings and annual retreats;
- f. manages and reviews all budgets of the undergraduate programs;
- g. serves as a voting *ex officio* member of relevant Councils and Committees or appoints a designee to do so;
- h. represents the College in designated professional associations and functions as requested by the Provost and Senior Vice-President of Academic Affairs;
- i. provides oversight and support to the academic departments of the College, including the Departments of Art, Biology, Business and Economics, Chemistry/Physics, Communication Studies, Dance and Theatre, Education, English, Global Studies, History, Humanistic Studies, Mathematics and Computer Science, Mathematics, Music, Nursing, Philosophy, Physical Education, Political Science, Psychology and Communicative Disorders, Religious Studies, Social Work and Sociology;
- j. provides oversight and support to the interdisciplinary programs of the College, including Engineering, Environmental Studies, Film Studies, Gender and Women Studies, Gerontology, Intercultural Studies, and Justice Education;
- k. supervises or designates supervision of the Director of the Writing Program and the Director of the Writing Center;
- l. provides support and oversight of the Center for Academic Innovation; and

- m. performs other duties requested by the Provost and Senior Vice President for Academic Affairs.

#### OTHER ADMINISTRATORS REPORTING TO THE DEAN OF FACULTY OR HIS/HER DESIGNEE

##### ASSOCIATE DEAN OF FACULTY

- 1) APPOINTMENT The Associate Dean of Faculty is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs and the Dean of Faculty and holds the office at the discretion of the President. This is a 12-month full-time administrative position. If drawn from the regular faculty, the Associate Dean retains tenure. He/She may teach if time permits.
- 2) AUTHORITY AND RESPONSIBILITY The Associate Dean of Faculty provides leadership and support to the faculty, working closely with the Dean of Faculty. Areas of responsibility are those related to the development and efficient, effective implementation of the undergraduate curriculum. Specific responsibilities include:
  - a) Curriculum Development and Support
    - i) Programs of Study
      - (1) Guide Chairs/Program Coordinators regarding procedures for submitting programs for revised/new programs of study, including the development of the Prospectus;
      - (2) Review course and program changes for fit to the overall curriculum, resource implications, etc. Work with department, curriculum committee, and Dean of Faculty to resolve any issues that arise before recommendations proceed to Academic Affairs.
      - (3) Review proposals for courses that would not fit into any current programs of study (including Sophia). Work with the unit proposing the course, the curriculum committee, and the Dean of Faculty to resolve any issues that arise before recommendations proceed to Curriculum Committee.
      - (4) Work with chairs/program coordinators to prepare requests to the Program Review Committee regarding voluntary deletion of programs.
      - (5) Provide the Dean of Faculty with independent, researched, written analysis of proposed program revisions or new program proposals, including analysis of resources needed.
      - (6) Work with the relevant department chairs to develop proposals for programs that may be suggested by market trends or internal needs *and* that fit within the mission of the College.

- (7) Manage the administrative logistics for obtaining approvals, documenting changes, and interfacing with the Registrar to insure accuracy of institutional records.
  - (a) Administer requests for changes to course number, course title, course description, cross-listing and credit hour changes, as well as prerequisite/co-requisite changes, in cooperation with the Curriculum Committee;
  - (b) Determine need for Curriculum Committee review of requested program changes; provide administrative action (approval or otherwise) to requests for changes whose limited scope does not require Committee review;
  - (c) Forward proposals to the Curriculum Committee; supervise/manage the record keeping for proposals;
  - (d) Insure that committee minutes and public actions are readily available to the faculty and administration;
  - (e) Coordinate the archiving of course syllabi.

ii) Sophia Program

- (1) Serve as a nonvoting member of the Sophia Program Curriculum Committee;
- (2) Provide leadership to the Coordinators of the Sophia Program outcomes (Critical Thinking Seminars, Women's Voices, Academic Experiential Learning, and the various LO3 Outcomes.)
  - (a) Manage offerings to insure that there are courses with Knowledge Area (LO1) certifications in each of the LO2 and LO3 outcomes.
  - (b) Manage ongoing implementation of the Sophia Program to insure that no student is required to take more than the 52 Sophia credits identified in the Curriculum Guide.
- (3) Consult with faculty members and departments who wish to prepare courses for Sophia certification;
- (4) Manage the documentation and communication of changes to the Sophia Program, including, but not limited to, new courses.

b) Planning of Undergraduate Scheduling

- i) Work with the Registrar, the Associate Dean of Advising and First Year Programs, and the Department Chairs/Program Directors to prepare timely schedules that meet the needs of current and incoming students, considering

- (1) Numbers of sections needed to meet Sophia requirements, W requirements and major requirements;
  - (2) Distribution of classes through the time schedule to insure, as much as possible, that all students can be given appropriate, balanced schedules that align with their academic goals;
  - ii) Work with the Dean of Faculty to develop and manage the Part Time Faculty Budget to insure that scheduling needs are met as economically as possible;
  - iii) Regularly review enrollments during the scheduling periods minimize the number of low enrollment classes and insure that full-time faculty have full loads and that part-time faculty are not employed unless justified by student need.
- c) Administration of Undergraduate Academic Policies
- i) Writes and distributes beginning of semester/end of semester memorandum regarding College academic policies (e.g. grading, recording keeping, examination, etc.) and emphasizing the importance of compliance to the well-being of our students; uses additional means as needed to insure that faculty members, especially those new to the institution, are well-informed of such policies and in sufficiently timely manner to develop syllabi and complete course planning.
  - ii) Follows up with chairs/directors and/or individual faculty members about any issues arising around the implementation of these policies.
- d) Curriculum Planning
- Serve as a nonvoting member of the Program Review Committee with the following specific responsibilities:
- i) Record notes on procedural matters; maintain list of procedural issues to be addressed at the final meeting of the academic year;
  - ii) Compose follow-up requests to department chairs when additional information is needed in the course of a review;
  - iii) Serve as liaison between chairs and Director of Institutional Research regarding the development of the quantitative information provided for reviews.
- e) Supervision
- i) Coordinates daily activities, directly supervises, and annually reviews the performance, program effectiveness, staffing needs, and budgets of the Director s of the Writing Proficiency Program and the Writing Center;
  - ii) Co-supervises staff support for the Office of the Associate Dean of Faculty

f) Other Administrative Duties

- i) Is ex officio member of committees as designated by the Governance Manual and Dean of Faculty;
- ii) Substitutes when necessary in the absence of the Dean of Faculty;
- iii) Performs other duties requested by the Dean of Faculty

b) ASSOCIATE DEAN FOR ADVISING

(1) APPOINTMENT The Associate Dean for Advising is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs and holds office at the discretion of the President.

(2) AUTHORITY AND RESPONSIBILITY The Associate Dean for Advising:

- (a) directs the day-to-day academic matters of the students;
- (b) is available to students to assist them with such matters as course loads, withdrawals, registration changes, academic counseling, handles correspondence relative to their academic programs;
- (c) counsels students placed on academic probation and others experiencing academic difficulty;
- (d) assists faculty in dealing with the academic issues of students;
- (e) communicates with parents, when advisable, concerning the academic issues of students;
- (f) serves on the Academic Standards Committee, the Admission and Scholarship Committee, and on other committees and councils designated by the Provost and Senior Vice President for Academic Affairs;
- (g) represents the College at designated functions as requested by the Provost and Senior Vice President for Academic Affairs;
- (h) compiles the Academic Guide for First Year Students;
- (i) assigns a first semester class schedule for each new student in consultation with the First-Year Advisor;
- (j) organizes academic aspects for Summer Orientation;
- (k) advises students about all degree and major programs;
- (l) develops, with the faculty, an academic advising program for students



- (m) performs other duties requested by the Provost and Senior Vice President for Academic Affairs.

c) DEPARTMENT CHAIR

- (1) APPOINTMENT A Department Chair is appointed by the President upon the recommendation of the Provost and Senior Vice President for Academic Affairs and the Dean of Faculty after consultation with the members of the department. The appointment is for three years and may be extended for successive years.
- (2) TERMS A Chair holds this position at the discretion of the President and the Provost and Senior Vice President for Academic Affairs. The Chair reports directly to the Dean of Faculty.
- (3) AUTHORITY AND RESPONSIBILITY The Department Chair is responsible for:

**Department Administration and Planning**

- (a) serves as the administrator of the department and, as such, leads the efforts of the department in planning, developing, and maintaining an outstanding faculty and departmental program;
- (b) coordinates well in advance with College service providers (IT, Facilities, etc.) the acquisition of services and deliverables;
- (c) represents the department at the Council of Chairs meetings or provides a substitute;
- (d) serves as a primary department contact to administrative offices across the campus;
- (e) represents the department at official functions of the college or sends a substitute;
- (f) calls department meetings on a regular basis, prepares the agenda, and chairs the meetings. Minutes of meetings are taken and copies are sent in a timely manner to the Dean of Faculty's office;
- (g) in consultation with faculty, prepares, and submits the annual departmental operating budget and other budgets in the department to the Dean of Faculty;
- (h) provides capital and non-capital requests to the Dean of Faculty;
- (i) supervises the expenditures of the department's operating budget;
- (j) maintains files on all faculty and staff and maintains files on all student majors, and minors in the department;
- (k) performs other duties as requested by the Dean of Faculty.

**Department Personnel**

- (l) conducts the annual review of each faculty member, including tenure track, visiting and adjunct faculty; discusses the results of this review with the Dean of Faculty, meets with the Dean of Faculty regarding the non-renewal of pre-tenured faculty;
- (m) conducts the Annual Performance Evaluation for department staff;

- (n) submits an annual written report on the state of the department; discusses this report at an annual meeting with the Dean of Faculty; makes recommendations for the promotion and tenure of departmental faculty according to the procedures described in the sections of the *Governance Manual* dealing with Appointment, Promotion, and Tenure. Presents promotion, tenure, and fourth-year review cases to the Rank and Tenure Committee;
- (o) receives and follows up on all complaints regarding matters associated with the department;
- (p) prepares position requests in accordance with instructions distributed to Chairs each hiring cycle, when appropriate;
- (q) guides the department in the hiring procedures (see chair's manual) and makes recommendations for appointment of faculty and staff within the department to the Dean of Faculty;
- (r) discusses the need for adjunct faculty with the Dean of Faculty and completes the College requests forms;
- (s) mentors new faculty and helps them to interpret and make constructive use of student evaluations;
- (t) writes recommendations for faculty applying for grants, and signs off on grants.

#### **Department Curriculum and Assessment**

- (u) determines, after consultation with department members, course offerings and scheduling of courses;
- (v) submits revisions of the department's sections of the *Bulletin*, the Academic Guide for First-Year Students, and other similar curricular materials to the Academic Affairs Office; returns proofed copy to the Registrar;
- (w) oversees the planning and implementation of the assessment of the department's programs of study (major, concentration, minor);
- (x) works with the Dean of Faculty on both the internal program review and the department external review;
- (y) meets with the Dean of Faculty prior to submitting a revised program study or a new program of study to the Curriculum (to discuss resources and impact on budget);
- (z) submits courses for approval to the Curriculum Committee in a timely fashion;
- (aa) reviews and maintains syllabi for all courses taught in the department;
- (bb) submits courses for the Sophia Program approval to the Sophia Program Committee (see Strategic Plan);

#### **Students**

- (cc) ensures the advising and registration of students who choose to major and minor in the department;
- (dd) implements the review and approval of transfer students in the major;
- (ee) audits senior student records and approves graduation of students majoring in the department; conveys waivers and substitutions to the Academic Affairs Office;

- (ff) is knowledgeable of and advises students and faculty about appropriate College procedures, including grade appeals, academic honesty, harassment, etc.
  - d) The Engineering Coordinator, the Film Studies Coordinator, the Justice Education Coordinator, the Intercultural Studies Coordinator, the Gender and Women's Studies Coordinator, the Director of the Writing Center, and the Director of the Writing Proficiency Program are appointed by the Dean of Faculty and report to him/her or her/his designee. Information regarding their responsibilities is contained in job descriptions available in the Human Resources office.
- 4) OTHER ADMINISTRATORS REPORTING TO THE PROVOST AND SENIOR VICE PRESIDENT FOR ACADEMIC AFFAIRS OR HER/HIS DESIGNEE

The Ireland Program Counselor, the Rome Program Counselor, and the Rome Program Director are appointed by the Provost and Senior Vice President for Academic Affairs. They report to the Provost and Senior Vice President for Academic Affairs or her/his designee. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.

- 5) COMMITTEES OF THE PROVOST AND SENIOR VICE PRESIDENT FOR ACADEMIC AFFAIRS OR THE DEAN OF FACULTY. The following committees report to the Provost and Senior Vice President for Academic Affairs or the Dean of Faculty.

a) ASSESSMENT COMMITTEE (reports to the Dean of Faculty)

- (1) MEMBERSHIP The Assessment Committee consists of the Director of Institutional Research and Assessment (who serves as chair); five faculty members, elected by the Faculty Assembly to staggered three-year terms, one each from: Fine Arts and Communication (Art, Music, Communication, Dance, or Theater), Sciences and Math (Biology, Chemistry, Physics, or Mathematics), Social Sciences (Psychology and Communicative Disorders, Political Science, Sociology, Anthropology, or Economics), Professional Programs (Social Work, Business Administration, Nursing, or Education), Humanities (Religious Studies, Philosophy, History, Humanistic Studies, English, Modern Languages, or Library).

The committee also includes a representative from the Division of Mission, a representative from the Division of Student Affairs, and a staff member from the Office of Institutional Research and Assessment. These positions are appointed by their respective Vice Presidents.

Members of the Assessment Committee having a conflict of interest (*e.g.*, applying for one of the assessment grants) must withdraw from the committee for those proceedings which create this conflict. If a replacement is needed for reasons of conflict of interest or because of sabbatical or other leaves of absence, the Assessment Committee will recommend that

replacement to the Dean of Faculty for temporary appointment (for staff positions) or to the Nominating Committee of the Faculty Assembly (for faculty positions).

(2) RESPONSIBILITY The Assessment Committee serves as the principal committee on assessment. The Committee reports to the Provost and Senior Vice President for Academic Affairs. In coordinating assessment activities and resources, the Committee works in conjunction with academic departments, the Vice President for Student Affairs, the Vice President for Mission, and the Office of Institutional Research and Assessment. The Assessment Committee:

- (a) acts as a resource, channeling appropriate advice and assistance on assessment issues to departments, committees, faculty, and administrators of the College;
- (b) fosters College-wide discussion of assessment of student achievement;
- (c) serves as an advisory committee regarding policies related to assessment;
- (d) recommends applications for assessment grants to the Provost and Senior Vice President for Academic Affairs; and
- (e) collaborates with the Office of Institutional Research and Assessment and other relevant committees on assessment projects, including those related to the accreditation.

b) FACULTY DEVELOPMENT GRANTS COMMITTEE (reports to the Provost and Senior Vice President for Academic Affairs.) This committee is undergoing revision and is no longer consists of the Faculty Affairs Committee. The responsibilities of this committee associated with the Center for Academic Innovation (CAI) grant applications are performed by CAI grants committee. The text below 1-3 is for archival reference only.)

(1) MEMBERSHIP The Faculty Development Grants Committee consists of the Faculty Affairs Committee of the Faculty Assembly and the Provost and Senior Vice President for Academic Affairs or the Associate Dean of Faculty. Members of the Faculty Affairs Committee having a conflict of interest must withdraw from the Faculty Development Grants Committee; replacements are appointed by the Executive Committee of the Faculty Assembly. The replacement must represent the same general academic areas as the person who withdraws. The Chair of the Faculty Affairs Committee chairs the Faculty development Grants Committee.

(2) RESPONSIBILITY The Faculty Development Grants Committee:

- (a) reviews the guidelines and forms used by the Committee;

- (b) distributes the guidelines and application forms to all full-time faculty no later than September 30th;
- (c) reviews applications and determines awards;
- (d) receives reports on activity from award recipients;
- (e) reviews and proposes changes in the amount of support made available for faculty development.

(3) PROCEDURES

- (a) DEADLINES Applications must be received by the first class day after Thanksgiving holiday; decisions will be reached by the end of the first semester. Announcement of award recipients will be made at the earliest Faculty Assembly meeting thereafter.

- (b) ELIGIBILITY

- 1)) Only full-time faculty are eligible.
- 2)) Faculty of all ranks from all departments are encouraged to apply.
- 3)) Former recipients may apply. Only if the Committee must choose between two applications of equal merit will it prefer the applicant who has not received an award in the recent past.
- 4)) A member of the Faculty Affairs Committee may apply, vacating automatically his or her seat on the selection committee.
- 5)) Persons on terminal contracts are not eligible.
- 6)) Grants are intended to assist faculty members in pursuing their personal development as teachers and scholars. Research grants support all forms of scholarly and creative activity; teaching grants support projects designed to improve teaching. An award cannot be used for degree completion.

- (c) RESPONSIBILITIES OF THE RECIPIENT

- 1)) The funds must (normally) be used during the fiscal year immediately following that in which the awards are made.
- 2)) Recipients must file a written report with the Provost and Senior Vice President for Academic Affairs, sending a copy to the Chair of the Faculty Affairs Committee, within nine (9) months after the

proposed beginning date of the project. This report must specify how the funds were spent and indicate what the recipient accomplished.

- 3)) The financial support of Saint Mary's College must be acknowledged in any published report, article, exhibit, etc., stemming from activities supported by an award.

c) GRADUATE PROGRAM COMMITTEE (reports to the Provost and Senior Vice President for Academic Affairs)

(1) MEMBERSHIP The Graduate Program Committee shall consist of the following voting members: one faculty member from each graduate program proposed and /or offered by Saint Mary's College (in time, these members will come from graduate programs offered by Saint Mary's); one member from the Graduate Student Association (when established); and one Library faculty. In addition, the following ex officio, non-voting members: the Provost (to be replaced by a Graduate Program Director when appointed); Director of Admissions; Director of Financial Aid; and the Assistant Vice President for Integrated Marketing (for an initial period).

(2) RESPONSIBILITY The Committee shall report to the Academic Affairs Council and shall:

a) review and recommend approval or disapproval, with supporting reasons of new graduate degree programs, graduate certificate programs, and changes to graduate programs to the Academic Affairs Council;

b) recommend policies regarding the delivery of a graduate program of study, such as the graduate curriculum approval process, graduate student admissions requirements, degree completion requirements, etc. to the Academic Affairs Council;

c) review and recommend approval or disapproval, with supporting reasons, of proposed new graduate courses to the Provost (or his/her designee); and

d) hear appeals and other relevant requests.

d) INSTITUTIONAL REVIEW BOARD (IRB)(reports to the Provost and Senior Vice President for Academic Affairs)

(1) MEMBERSHIP The Institutional Review Board consists of faculty members who are knowledgeable about the experimental design, as least one each from the Social Sciences and the natural Sciences; at least one member of the faculty at large who is not a scientist; one representative from the Student Affairs Division; one person from outside the institution whose training or profession is relevant; at least one member of the College administration; one discretionary consultant (non-voting) who may be invited for clarification.

IRB Chair will be selected by the committee. Faculty members and administrators are nominated by the continuing members of the IRB subject to appointment by the Provost and Senior Vice President for Academic Affairs. One faculty at large will be elected by the Faculty Assembly. Outside members and consultants are nominated by the IRB subject to appointment by the Provost and Senior Vice President for Academic Affairs. While there are no fixed terms on the IRB, appointments should be made to insure both continuity and refreshed membership. Not more than two IRB members shall be from the same department. In compliance with federal regulations, the IRB will not be single sex (all male or all female) in compositions. If a member of IRB is involved in the research proposal under review, she or he will absent her/himself from the deliberations. (Four members from the institution and one outside member are required for full committee reviews.)

(2) RESPONSIBILITY

(a) The Institutional Review Board

- a. Reviews, approves, or rejects, requires modifications, and monitors all research involving human participants conducted at Saint Mary's College, or by Saint Mary's student or personnel.
- b. Ensures that information given to participants as informed consent is in accord with Federal guidelines.
- c. Reviews and approves continuing research projects at least annually, and more frequently, if a project has an increased degree of risk.
- d. Observes or has a third party observe the consent process and the research if there are any questions; reviews and approves all previously approved research when significant changes in the research protocol are deemed necessary by the investigator.
- e. Informs investigators and the Provost and Senior Vice President for Academic Affairs of decisions. In case of rejection of a research activity, the IRB shall include in its written response the reasons for this decision, and allow the investigator to respond in person or in writing.
- f. Maintains a file of active and past approved and rejected research proposals along with sample consent forms, progress reports, and reports of injuries. All applications and decisions reached on those applications must be kept for a minimum of three years. These files shall be open to inspection by IRB members and appropriate members of Saint Mary's College Administration.
- g. Suspends or terminates approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to participants. Such termination must be communicated, with reasons, to the investigator and the Provost and Senior Vice President for Academic Affairs;

- h. Keeps minutes of IRB meetings that include records of attendance, actions taken, the vote on each proposal, the basis for requiring changes in or approving research, and a written summary of the discussion of controversies and their resolutions.

(b) The Chair

- a. Keeps files on all submitted proposals and records of the decisions made on those proposals.
- b. Notifies in writing to the Provost and Senior Vice President for Academic Affairs and the investigator of the decisions of the IRB and maintains files of such notifications.

(c) The Investigator

- a. The IRB requires all investigators to conduct themselves in a manner that considers the welfare of the participant before the research project. Investigators must be familiar with and behave according to the spirit and letter of federal and professional guidelines pertaining to human research.
  - i. Before undertaking the project
    - 1. Carefully reads the instruction on the requirements for informed consent, and the definitions of the appropriate levels of review;
    - 2. Carefully, thoroughly, accurately completes the appropriate forms;
    - 3. Submits proposals for full committee review ten days before the regularly scheduled meeting of the IRB and before initiating the project. The investigator must submit eight copies of the proposal to the Chair of the IRB for distribution to the full IRB.
  - ii. After receiving IRB approval the investigator will
    - 1. Adhere to the protocol described in the approval proposal;
    - 2. Obtain a signed consent form for each individual participant in the study. These must be retained in the files of the primary investigator;
    - 3. Resubmit to the IRB for approval any deviations from the approved protocol;
    - 4. Submit annually for review any continuing projects;
    - 5. Notify the IRB Chair at the conclusion of the project or termination of data collection (deadline for notification is the end of the semester in which data collection is completed).
- b. If, during the conduct of the research the investigator has any evidence that participants have in any way been harmed as a direct consequence of their participation, or that participation functioned as a contributing fact in producing the harm, or for any other reason, that investigator must:



- i. Make a serious effort to immediately remediate the harm;
  - ii. Notify the Provost and Senior Vice President for Academic Affairs and the Chair of the IRB immediately irrespective of success or failure of the investigator's efforts to remediate the harm. The Provost and Senior Vice President for Academic Affairs or the Chair of the IRB may subsequently solicit assistance from appropriate human services personnel;
  - iii. Continue to monitor the participants until such time as all concerned have determined that the problem has been resolved;
  - iv. Terminate immediately data collection from the participants in question and postpone all activities associated with the research project until such time as the IRB and other concerned Saint Mary's personnel are satisfied that appropriate modification of protocol can and have been made. Failing this, the project will be permanently terminated.
- c. If, during the course of the research, the investigator encounters information that suggests that existence of factors or conditions warranting concern about a participant, those concerns should be brought to, and only to, the attention of the principal investigator (or research supervisor when the principal investigator is a student) who will contact the appropriate authority.
  - d. If the investigator is including participants who are under the care of a physician or psychologist for a condition that might interact with the research procedures, the investigator must obtain written consent from the health care provider for the inclusion of that participant.
  - e. The principal investigator (or research supervisor when the principal investigator is a student) must keep all research records for a minimum of three years. In the case of research involving minors and/or adolescents, records must be maintained until those participants reach the age of majority plus two additional years. These files should be open for inspection by the IRB or by an administrative person evaluating the IRB.
- (d) The Supervisor
    - a. In the event that a student is the principal investigator, the supervising instructor must actively supervise the research and maintain written record of that supervision.
  - (e) The Institution
    - a. The Provost and Senior Vice President for Academic Affairs will conduct an annual review of the entire program to insure that proper quality assurance and risk management procedures are being followed.

(3) PROCEDURES

- a. The full IRB will meet regularly in the fourth and eleventh week of each semester during which time the IRB will review and update the files of currently active projects and review new proposals.
- b. There will be three levels of review:
  - i. Projects submitted for basic review will be reviewed by one member of the IRB.
  - ii. Projects submitted for expedited review will be reviewed by two members of the IRB. In the event those members feel the proposal should receive full review, the investigator will be informed, and the proposal will be put on the agenda for the next full committee review. All research involving minors is subject to expedited review.
  - iii. Proposals requiring full committee review will be reviewed at the regular meetings of the committee.
- c. Full review requires a quorum of five members, one of whom must be the outside person.
- d. If approval is denied, the investigator will be given written feedback on the specific reasons for denial and the investigator will be given an opportunity to respond in person or in writing.
- e. Officials of Saint Mary's may also review and disapprove any research proposal that has been passed by the IRB. They may not approve any research that has been rejected by the IRB.

e) PROGRAM REVIEW COMMITTEE (reports to the Dean of Faculty)

(1) MEMBERSHIP The PRC will consist of six elected representative faculty and the Dean of Faculty. Faculty should be tenured and will have long standing membership (3 calendar years, staggered terms) on the committee. One each will be elected from the following groups: Humanities I; Humanities II; Natural Science; Social Science; Professional Programs; Fine Arts/Library. At least one of the six elected members must also be a representative of an interdisciplinary program (eligible candidates should be active members of an interdisciplinary committee). If it is not possible to provide interdisciplinary representation through the six elected faculty, a separate interdisciplinary program representative will be elected as a 7<sup>th</sup> faculty member on the PRC for a term of 1-3 years as needed. Members of the PRC may not be from the same academic department. One member each year will be appointed to represent the PRC on the Academic Affairs Council. PRC members will recuse themselves from reviews of the programs of study in their departments or interdisciplinary program. An alternate faculty member will be selected to replace PRC members who are recused from a program review.

(2) RESPONSIBILITY The Program review Committee members:

- a) annually review approximately one-fifth of the College's curricular programs in accordance with the guidelines and procedures of the Internal Program Review Policy;
- b) recommend actions outlined by the Internal Program Review policy to the Academic Affairs Council;
- c) serve as liaisons to programs within their academic group to assist with any questions during the review process;
- d) review and approve recovery plans from programs as outlined in the Internal Program review policy;
- e) hear and respond to appeals regarding actions recommended to the Academic Affairs Council;
- f) assist in the development of the proper procedures regarding the advertising of curriculum changes and affected faculty as a result of the elimination of academic programs;
- g) make recommendations to the Academic Affairs Council regarding Voluntary Internal Program removal as outlined in the Internal Program Review Policy; and
- h) make all decisions with regard to both the materials submitted by the program as well as the Mission of Saint Mary's College as a "Catholic, residential, women's college in the liberal arts tradition."

(3) PROCEDURES Each fall, approximately one-fifth of the College's curricular programs will prepare and submit program review documents in accordance with the guidelines of the Internal Program Review Policy. These reviews will be assessed by the Program Review Committee and a recommendation will be made to the Academic Affairs Council during the following calendar year. As necessary, the Program Review Committee will also respond to appeals regarding the recommended actions as well as evaluate programs which have voluntarily been recommended for elimination.

f) SOPHIA PROGRAM CURRICULUM COMMITTEE (reports to the Dean of Faculty)

(1) MEMBERSHIP Voting Members include two faculty representatives from the Humanities, two from Social and Natural Sciences/Math, one from Fine Arts/COMM/Library, one from the Professional programs, and the Student Sophia

Program Commissioner. Non-voting members include the Associate Dean of Faculty and the Associate Dean for Advising.

(2) RESPONSIBILITIES The Sophia Program Curriculum Committee will:

a) certify courses, sections, or non-course experiences that meet the relevant Sophia Program Learning Outcomes;

b) certify Sophia Program designation for new courses going to the Curriculum Committee for approval; and

c) exist for five years and then, in conversation with the (regular) Curriculum Committee assess the need for its continuation as a curriculum committee.

g) SOPHIA PROGRAM OVERSIGHT COMMITTEE (reports to the Dean of Faculty)

(1) MEMBERSHIP: The Dean of Faculty; four elected faculty members who were formerly members of the ad hoc General Education Committee or Design Teams who are not currently serving as GEC members, for three staggered terms. Of the four faculty members, one representative will be needed from the following areas: humanities, fine arts, professional art, and math/natural sciences/social sciences; and the Director of Institutional Assessment.

(2) RESPONSIBILITIES: The Sophia Program Oversight Committee will:

a) regularly review the health, effectiveness, and sustainability of the Sophia Program in Liberal Learning;

b) regularly review the suitability of offerings within the Sophia Program in Liberal Learning;

c) recommend changes in the Sophia Program learning outcomes and program structure to the Academic Affairs Council; and

d) implement an Assessment Plan for the Sophia Program.

h) TEACHING, LEARNING, AND TECHNOLOGY ROUNDTABLE (TLTR)(reports to the Provost and Senior Vice President for Academic Affairs)

(1) MEMBERSHIP The Teaching, Learning, and Technology Roundtable reports to the Provost and Senior Vice President for Academic Affairs and is open to any member of the Saint Mary's community interested in instructional technology. The representative standing membership, or Steering Committee, consists of: the Provost and Senior Vice President for Academic

Affairs, the Chief Information Officer, the Director of the Center for Academic Innovation, the Director of the Library (or other Liberian representative), one Computer Science faculty member from the Mathematics Department and three faculty members elected by the Faculty Assembly, and a representative from the Student Government Association. A Chair is elected by the Steering Committee from among its representative standing membership.

Typically, the group operates by discussion and reaching consensus. However, if during any meeting or discussion of the TLTR the Chair feels there is a need for a vote on an issue, the Steering Committee has voting authority.

(2) RESPONSIBILITY The Teaching, Learning, and Technology Roundtable:

- (a) advises the College on the teaching and learning technology vision and initiatives at Saint Mary's College and assesses the implementation of those initiatives and the effectiveness of efforts to realize it;
- (b) studies and recommends the acquisition and placement of information technologies for teaching and learning purposes;
- (c) reviews proposals, makes recommendations, and advises the Provost and Senior Vice President for Academic Affairs and Chief Information Officer on how information technology can be linked with curricular, budgetary, and facilities planning;
- (d) reviews, makes recommendations, and advises the Provost and Senior Vice President for Academic Affairs on courses to be taught online during Saint Mary's College's summer sessions.

i) THE STEERING COMMITTEE OF THE WRITING PROFICIENCY PROGRAM( reports to the Dean of Faculty)

(1) MEMBERSHIP The Steering Committee of the Writing Proficiency Program consists of the Director and Assistant Director of the Writing Proficiency Program, a max of six prior directors, the Director of the Writing Center, the Associate Dean for Advising, the Assistant Director of Academic Affairs and First Year Studies, and three faculty members serving staggered three-year terms (ordinary members).

(2) RESPONSIBILITIES The Steering Committee of the Writing and Proficiency Program:

- (a) nominates the ordinary members as openings arise;
- (b) makes policy decisions congruent with the philosophy and goals of the Writing Proficiency Program;

- (c) forwards to the appropriate curricular or academic committees of the College its recommendations for policy or other changes;
- (d) receives recommendations for changes in the Writing Proficiency Program from members of the Writing Proficiency Committee and from the larger academic community;
- (e) approves or disapproves exceptions to the transfer-student portfolio review policy administered by the Associate Dean for Advising;
- (f) serves as reviews for students who appeal the decision to deny the W;
- (g) keeps the Dean of Faculty informed about the Writing Proficiency Program's current policies and procedures.

j) WRITING PROFICIENCY COMMITTEE (reports to the Dean of Faculty)

- (1) MEMBERSHIP The Writing Proficiency Committee consists of past and current teaches of W courses, those planning to teach a course, the Director and Assistant Director of the Writing Proficiency Program, the Director of the Writing Center, the Associate Dean for Advising, and the Assistant Director of Academic Affairs and First Year Studies.
- (2) RESPONSIBILITIES The Writing Proficiency Committee:
  - (a) staffs W courses in sufficient numbers to provide instruction for all students who need W certification;
  - (b) participates as readers in the Portfolio review;
  - (c) evaluates portfolios of transfer students;
  - (d) reads entries submitted for the Writing Proficiency Program essay contest.

k) CENTER FOR ACADEMIC INNOVATION GRANTS COMMITTEE (reports to the Dean of Faculty)

- (1) MEMBERSHIP The Center for Academic Innovation (CFAI) Grants Committee consists of the Director of the CFAI, who serves as chair; and five faculty members elected by the Faculty Assembly: one from the area of Fine Arts (Art, Music, Communication, Dance, Theater, or Physical Education), one from the Sciences (Biology, Chemistry, Physics, Nursing, or Mathematics), one from Social Sciences (Psychology, Political Science, Sociology, Anthropology, Social Work, Business Administration, Economics, or Education), and two from the Humanities (one from Religious Studies, Philosophy, History, or Humanistic

Studies, and one from English or Modern Languages). The normal term of appointment for faculty members is three years. During SISTAR deliberations, the Committee will also include two students chosen from and by the Student Academic Council. The student members may not be current applicants for SISTAR grants. The Nominating Committee of the Faculty Assembly provides for the orderly rotation of the faculty members so that no more than two of the members' terms expire in the same year. Members of the CFAI grants Committee having a conflict of interest must withdraw from the committee; replacements are appointed by the Executive Committee of the Faculty Assembly. The replacement must represent the same general academic area as the person who withdraws.

(2) RESPONSIBILITY The CFAI Grants Committee:

- (a) reviews the guidelines and forms used by the Committee;
- (b) distributes the guidelines and application forms to all full-time faculty in a timely fashion;
- (c) reviews applications and determines awards;
- (d) receives reports on the activity from award recipients.

(3) PROCEDURES

(a) DEADLINES Deadlines are listed at the CFAI web site for each of the grants.

(b) ELIGIBILITY

- 1)) Only full-time faculty and part-time faculty who have taught a minimum of five semesters are eligible.
- 2)) Faculty of all ranks from all departments are encouraged to apply.
- 3)) Former recipients may apply. Only if the Committee must choose between two applications of equal merit will it prefer the applicant who has not received an award in the recent past.
- 4)) A member of the Committee may apply, vacating automatically his or her seat on the selection committee.
- 5)) Persons on terminal contracts are not eligible.
- 6)) Grants are intended to assist faculty members in pursuing their professional development as teachers and scholars. An award cannot be used for degree completion.

(c) RESPONSIBILITIES OF THE RECIPIENT

- 1)) The funds must (normally) be used during the fiscal year immediately following that in which the awards are made.
- 2)) Recipients must file a written report with the Dean of Faculty, sending a copy to the Chair of the CFAI Grants Committee via the Center for Academic Innovation within nine (9) months after the proposed beginning date of the project. This report must specify how the funds were spent and indicate what the recipient accomplished.
- 3)) The financial support of Saint Mary's College must be acknowledged in any published report, article, exhibit, etc., stemming from activities supported by an award.

l) ADVISORY COMMITTEE FOR CWIL COMMUNITY CONNECTIONS (reports to the Provost and Senior Vice President for Academic Affairs)

The Community Connections Advisory Committee guides decisions and directions for the Community Connections component of CWIL. Saint Mary's faculty, staff, and students along with community women leaders meet monthly to review, evaluate, and plan the work of Community Connections and its civic engagement efforts. The Committee will consider ways to support and develop the Community Connections program work aimed at building linkages between Saint Mary's campus with the wider Michiana community, and specifically with community women leaders and their community change efforts.

- (1) MEMBERSHIP The Advisory Committee for Community Connections consists of a Senior level Administrator, a Special Events representative, a student representative, an elected faculty representative (2 year term), two Community liaisons, three appointed faculty members from related academic departments: social work and anthropology, nursing and education, the CWIL Community Coordinator, a CWIL Fellow, and the CWIL Director of Community Connections who serves as chair.
- (2) RESPONSIBILITY The Advisory Committee for CWIL Community Connections
  - (a) reviews and supports on-going programmatic efforts for linkages and learning opportunities, including reviewing bridging grants;
  - (b) looks for interdepartmental linkages between the Community Connections programs and other Saint Mary's academic and non-academic departments to build campus collaborations;



- (c) considers and supports possible internships, mentoring, research, experiential learning, and other formal and non-formal student learning opportunities that relate to the Community Connections work;
- (d) engages community resources to support the College's diversity commitments.

m) ADVISORY COMMITTEE ON GLOBAL EDUCATION (reports to the Provost and Senior Vice President for Academic Affairs)

The Advisory Committee on Intercultural Education guides decisions and directions of the international and intercultural education at Saint Mary's.

- (1) MEMBERSHIP The Advisory Committee on Global Education consists of a campus administrator, two elected faculty representatives, a faculty coordinator of semester-length study abroad programs, a faculty coordinator of short-term study abroad programs, a CWIL Fellow, a student representative, the CWIL International & Intercultural Learning administrator, and the CWIL Director of International & Intercultural Learning, who serves as chair.
- (2) RESPONSIBILITY The Advisory Committee on Global Education:
  - (a) reviews proposals for new Saint Mary's College off-campus intercultural programs or affiliations (in conjunction with the Curriculum Committee as laid out in the policy for approval of such programs);
  - (b) reviews proposals for CWIL study and travel grants and departmental materials grants;
  - (c) advises on policy recommendations for and overall direction of Saint Mary's College intercultural education and for faculty development to support it across the curriculum.

n) ADVISORY COMMITTEE FOR CWIL SCHOLARSHIP (reports to the Provost and Senior Vice President for Academic Affairs)

The Advisory Committee for CWIL Scholarship assists with the Center Fellow applications and review process. The committee also offers counsel to CWIL regarding speaker's bureau and educational programs.

- (1) MEMBERSHIP The Advisory Committee for CWIL Scholarship consists of two elected faculty representatives, appointed faculty representatives from Justice Education, Gender and Women's Studies, and Intercultural Studies, a faculty/staff member from the Cushwa-Leighton Library, the Director of the

Center for Academic Innovation, one of the editors of the Journal of Women's Intercultural Leadership, a student representative, and the CWIL Director.

(2) RESPONSIBILITY The Advisory Committee for CWIL Scholarship:

- (a) reviews Center Fellow applications, assists on search committees;
- (b) oversees policies for the review and re-appointment of Center Fellows in conjunction with the senior members of the appropriate departments;
- (c) reports to the Dean of Faculty recommendations for Center Fellow appointments;
- (d) reviews and approves co-sponsorship requests.

c. VICE PRESIDENT FOR MISSION

- 1) APPOINTMENT The Vice President for Mission is mutually selected by the President of the Congregation and the President of the College. Appointment is made by the President of the College. The Vice President for Mission holds office at the discretion of the President of the Congregation and the President of the College.
- 2) AUTHORITY AND RESPONSIBILITY The Vice President for Mission is directly responsible to the President of the College. The Vice President for Mission:
  - a) assists the members of the College community to learn about the Congregation of the Sisters of the Holy Cross and its history and tradition as they relate to Saint Mary's College;
  - b) guides process that enable the Board of Trustees, administration, staff, faculty, and students to understand the mission and philosophy of the College and their responsibility for its implementation;
  - c) ensures that the mission and values of the College, which have been determined by the Board of Trustees are in harmony with the tradition of the Catholic Church and the mission of the Sisters of the Holy Cross;
  - d) assists the President and exercises collaborative leadership in the process of mission integration at Saint Mary's College as an expression of and participation in the Catholic educational ministry of the Sisters of the Holy Cross;
  - e) develops and chairs the Mission Council of the College which is designed to coordinate mission activities;
  - f) serves as secretary of the Board of Trustees Committee on Mission;

- g) ensures that there are objectives and programs to implement the mission and values of the College;
- h) encourages the integration of mission/values in the processes of strategic planning, budgeting, marketing, policy, and decision making;
- i) guides the process of annual mission effectiveness assessment and plans for a formal mission assessment process every five years;
- j) plans an annual information meeting of the leadership of the Congregation (General Council), leadership of the College Board, and Administrative Officers about matters related to the College and the Congregation;
- k) establishes and maintains relationships with the mission offices and mission officers of other Catholic institutions of higher education and of other Holy Cross sponsored institutions;
- l) fosters a climate for interpretation and integration of the mission and values in all sectors of the College, serves on the PCMA;
- m) collaborates with the President to promote and enhance the mission of the College;
- n) performs other duties requested by the President.

3) DIVISION FOR MISSION ADMINISTRATORS The following Mission Services Administrators report to and are immediately responsible to the Vice President for Mission. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.

- a) DIRECTOR OF THE CENTER FOR SPIRITUALITY
- b) DIRECTOR OF CAMPUS MINISTRY
- c) DIRECTOR OF THE OFFICE FOR CIVIC AND SOCIAL ENGAGEMENT

4) COMMITTEE OF THE VICE PRESIDENT FOR MISSION

a) MISSION COUNCIL

- (1) MEMBERSHIP The Mission Council consists of representatives from all campus constituencies and two elected faculty members. The Vice President for Mission serves as chair.

(2) RESPONSIBILITY The Mission Council:

- (a) assists members of the College community to learn about the Congregation of the Sisters of the Holy Cross and its history and tradition as they relate to the College;
- (b) guides process that enable College constituencies to understand the mission of the College;
- (c) ensures that there are objectives and programs to implement the missions and values of the College;
- (d) encourages the integration of missions/values in the processes of strategic planning, budgeting, marketing, policy, and decision-making;
- (e) fosters a climate for interpretation and integration of the mission and values in all sectors of the College.

d. VICE PRESIDENT FOR COLLEGE RELATIONS

- 1) APPOINTMENT The appointment of the Vice President for College Relations is confirmed by the Board of Trustees upon recommendation of the President after appropriate consultation with faculty. The Vice President for College Relations holds office at the discretion of the President.
- 2) AUTHORITY AND RESPONSIBILITY The Vice President for College Relations is directly responsible to the President. The Vice President for College Relations:
  - a) develops and supervises programs in alumnae relations, development and integrated marketing communications;
  - b) assists the President in raising resources for the College;
  - c) appoints, with the approval of the President, such assistants as needed;
  - d) represents the College in designated professional associations and functions as requested by the President;
  - e) ensures that the capital generating activities of the College are consistent with College objectives and with the role of the College as an institution of Catholic higher education;
  - f) develops a coordinated and integrated plan to create and support the College's brand image;

- g) staffs the Board of Trustees College Relations Committee, serves as *ex officio* member of the Board of Trustees Committee on Trusteeship, serves on the President's Cabinet, and the College Budget Committee;
  - h) serves in other capacities as designated by the President.
- 3) COLLEGE RELATIONS ADMINISTRATORS The following College Relations administrators report to and are immediately responsible to the Vice President for College Relations. Information regarding their responsibilities is contained in job descriptions available in the Department of Human Resources .
- a) DIRECTOR OF ALUMNAE RELATIONS
  - b) ASSISTANT VICE PRESIDENT FOR DEVELOPMENT
  - c) ASSISTANT VICE PRESIDENT OF INTEGRATED MARKETING COMMUNICATIONS
  - d) OTHER COLLEGE RELATIONS ADMINISTRATORS

The Assistant Director of Alumnae Relations, Director of the Annual Fund, Assistant Directors of the Annual Fund, Director of Planned and Special Gifts, Directors of Major Gifts, Director of Corporate, Foundation, and Government Relations, Director of Development, Director of Donor Relations, Director of Research for Development, Research Analyst, Director of Advancement Services, Assistant Director of Advancement Services, Director of Media Relations, Graphic Designers, Director of Publications, College Editor, Director of Web Communications, and Assistant Director of Web Communications are appointed by the Vice President for College Relations upon recommendation of the appropriate director. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.

e. VICE PRESIDENT FOR STUDENT AFFAIRS

- 1) APPOINTMENT The Vice President for Student Affairs is appointed by the President after appropriate consultation with the faculty. The Vice President for Student Affairs holds office as the discretion of the President.
- 2) AUTHORITY AND RESPONSIBILITY The Vice President for Student Affairs is directly responsible to the President. The Vice President for Student Affairs:
  - a) administers and supervise the following areas of student life: Athletics and Recreation, Counseling Center, Health and Wellness Services, the Office of Multicultural Affairs, Residence Life, Safety and Security, and Student Activities;
  - b) integrates and coordinates the work of these administrative areas with other areas of College activity;

- c) develops the philosophy and policies of the Division of Student Affairs according to the objectives and purposes of the College;
  - d) supervise the preparation of the *Student Handbook* and other publications and announcements of the Division of Student Affairs;
  - e) develops a student environment conducive to the spiritual, personal, intellectual, and social growth of students;
  - f) fosters student leadership development in all areas of student life;
  - g) staffs the Board of Trustees Committee on Student Life; serves on the President's Cabinet, the College Budget Committee, the Student Affairs Council, PCMA, the Academic Standards Committee, the Admission and Scholarship Committee, the Committee on Student Affairs, and the Vice President for Student Affairs Hearing Board;
  - h) reviews the budget for each of the departments within the Division of Student Affairs;
  - i) prepares and submits the Student Affairs annual budget;
  - j) appoints, with the approval of the President, such other assistants as are needed;
  - k) annually reviews the performance of each administrator within the Division of Student Affairs;
  - l) represents the College in designated professional associations and functions as requested by the President;
  - m) performs other duties requested by the President.
- 3) OTHER STUDENT AFFAIRS ADMINISTRATORS The following Student Affairs Administrators report to and are immediately responsible to the Vice President for Student Affairs. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.
- a) ASSISTANT VICE PRESIDENT AND DIRECTOR OF RESIDENCE LIFE AND COMMUNITY STANDARDS
  - b) DIRECTOR OF ATHLETICS AND RECREATION
  - c) DIRECTOR OF WOMEN'S HEALTH
  - d) DIRECTOR OF STUDENT INVOLVEMENT AND MULTICULTURAL SERVICES
  - e) DIRECTOR OF SAFETY AND SECURITY

f. VICE PRESIDENT FOR FINANCE AND ADMINISTRATION

- 1) APPOINTMENT The appointment of the Vice President for Finance and Administration is confirmed by the Board of Trustees upon the recommendation of the President after appropriate consultation with the faculty. The Vice President for Finance and Administration holds the office at the discretion of the President.
- 2) AUTHORITY AND RESPONSIBILITY The Vice President for Finance and Administration is directly responsible to the President. The Vice President for Finance and Administration:
  - a) supervises the fiscal affairs of the college, and serves as the College's chief financial officer;
  - b) supervises and coordinates the operation, maintenance, and construction of all College facilities;
  - c) oversees the management of the auxiliary services of the College, including food service operations, catering services, and the bookstore;
  - d) provides periodic financial reports for presentation to the Board of Trustees by the President and other reports as may be requested;
  - e) aids the President in the preparation of the budget;
  - f) oversees the management of the purchasing programs;
  - g) directs the preparation of monthly reports on all College, departmental, and divisional budgets;
  - h) ensures that legal documents and instruments are properly executed;
  - i) manages and maintains all College property;
  - j) invests the College funds and reports to the Board of Trustees on the investment of those funds;
  - k) appoints, with approval of the President, such assistants as are needed;
  - l) serves as staff liaison to the Board of Trustees Finance and Budget Committee, Investment Committee, Audit Committee, and Facilities and Grounds Committee; as chair of the College Budget Committee; and is a member of the President's Cabinet;
  - m) represents the College in designated professional associations and functions as requested by the President;
  - n) performs other duties requested by the President.

3) OFFICE OF VICE PRESIDENT FOR FINANCE AND ADMINISTRATION

The following administrators report to and are immediately responsible to the Vice President for Finance and Administration. Information regarding their responsibilities is contained in job descriptions available in the Human Resources Office.

- a) DIRECTOR OF FACILITIES
- b) CONTROLLER
- c) DIRECTOR OF HUMAN RESOURCES
- d) DIRECTOR OF PURCHASING

g. VICE PRESIDENT FOR ENROLLMENT MANAGEMENT

- 1) APPOINTMENT The appointment of the Vice President for Enrollment Management is confirmed by the Board of Trustees upon the recommendation of the President after appropriate consultation with the faculty. The Vice President for Enrollment Management holds office at the discretion of the President.
- 2) AUTHORITY AND RESPONSIBILITY The Vice President for Enrollment Management is directly responsible to the President. The Vice President for Enrollment Management:
  - a) supervises the offices of Admission and Financial Aid, and oversees and evaluate the recruitment, financial aid, and retention activities of the institution. Supervises the Retention Committee and contributes to other committees as needed:
  - b) collaborates on related enrollment management issues with Academic Affairs (First Year Studies and Advising), Student Activities (orientation), Student Success (retention), and the Associate Dean of Faculty related to any grants;
  - c) integrates and streamlines the roles of individuals and functions for recruitment and retention;
  - d) oversees development of strategic marketing plan;
  - e) evaluates effectiveness of recruitment practices, financial aid policies, and retention activities;
  - f) tracks enrollments trends within and outside Saint Mary's;
  - g) educates the Saint Mary's community on the goals, objectives, achievements and challenges of the enrollment management operation and strategic plan;
  - h) monitors student satisfaction and attrition patterns;



- i) works with Academic Affairs to develop early intervention programs for enrolled students at risk;
  - j) examines the dynamics/experiences for first year students and works with relevant offices to bring about institutional changes to improve these dynamics/experiences;
  - k) serves on the President's Cabinet;
  - l) performs other job-related duties as assigned by the President;
3. ENROLLMENT MANAGEMENT ADMINISTRATORS The following report to and are immediately responsible to the Vice President for Enrollment Management. Information regarding their responsibilities can be found in the Human Resources office.
- a) DIRECTOR OF ADMISSION
  - b) DIRECTOR OF FINANCIAL AID

## 2. ACADEMIC DEPARTMENTS

### a. ADMINISTRATION OF ACADEMIC DEPARTMENTS

All academic departments are administered by a department chair. The appointment procedure, authority, and responsibility of the chair are described in full in Section II under Department Chair.

### b. MEMBERSHIP OF DEPARTMENTS

Academic departments are comprised of the full-time and part-time tenure-track faculty members teaching in the department. Non-tenure-track part-time faculty members who teach have a voice in the administration of the department but vote at the discretion of the full-time and part-time tenure-track members of the department.

### c. AUTHORITY AND RESPONSIBILITY The members of an academic department in accordance with College policy:

- 1) work together to ensure the academic quality of the department's academic program;
- 2) are informed and consulted on matters affecting the operation of the department;
- 3) establish search procedures and conduct a search for candidates as outlined in the section on Appointment to the Faculty: Teaching and Nonteaching Faculty;
- 4) recommend to the Curriculum Committee which departmental courses satisfy College core curriculum requirements;

- 5) recommend to the Curriculum Committee course sequences for the major or for minors in the program;
- 6) consider and recommend courses to be offered by the department;
- 7) advise the chair on the scheduling and staffing of departmental course offerings for any given semester;
- 8) establish the standards and method by which students majoring in the department satisfy the College requirement for senior comprehensive;
- 9) nominate candidates for College honors and awards;
- 10) select students for departmental awards;
- 11) set guidelines for independent study and internship programs within the department;
- 12) meet as a body as often as necessary to conduct the affairs of the department;
- 13) participate in the student course/instructor survey.

## **ORGANIZATIONAL CHART OF THE COLLEGE**

*See separate attachment*

## F. OVERVIEW OF COLLEGE BOARDS, COUNCILS, AND COMMITTEES

### BOARD OF TRUSTEES

- Executive Committee
- Audit Committee
- College Relations Committee
- Education Committee
- Finance and Budget Committee
- Investment Committee
- Mission Committee
- Student Life Committee
- Trusteeship Committee

### PRESIDENT'S COUNCILS AND COMMITTEES

- President's Cabinet
- Academic Affairs Council
  - Admission and Scholarship Committee
  - Curriculum Committee
  - Library Committee
- Cultural Affairs Committee
- Budget Committee
- Committee on Rank and Tenure
- Student Affairs Council
- Committee on Student Affairs
- Parents Council
- President's Circle
- President's Council on Multicultural Affairs

### PROVOST AND SENIOR VICE PRESIDENT FOR ACADEMIC AFFAIRS COMMITTEES

- Advisory Committees for:
  - CWIL Community Connections
  - Intercultural Education
  - CWIL Scholarship
- Assessment Committee
- Center for Academic Innovation Grants Committee
- Faculty Development Grants Committee
- Institutional Review Board
- Teaching, Learning, and Technology Roundtable
- Graduate Program Committee
- Program Review Committee
- Sophia Program Curriculum Committee
- Sophia Program Oversight Committee

VICE PRESIDENT FOR MISSION

Mission Council

VICE PRESIDENT FOR COLLEGE RELATIONS

Alumnae Association Board of Directors  
Angela Athletic Advisory Council (in conjunction with the Vice President for Student Affairs)  
*Faith Always, Action Now* Campaign Steering Committee  
Madeleva Society Steering Committee  
Chicago Advisory Council

VICE PRESIDENT FOR STUDENT AFFAIRS

Committee on Student Affairs  
Angela Athletic Advisory Council (in conjunction with the Vice President for College Relations)

JUDICIAL STRUCTURE

For violations of the social conduct code

Residence Hall Director  
Student Judicial Hearing Board  
Vice President for Student Affairs Hearing Board  
Administrative Hearing Board  
Appellate Board  
President

For violations of academic honesty code

Faculty  
Department Chair  
Associate Dean for Advising, and Director of Academic Affairs and First-Year Studies  
Academic Standards Committee  
Academic Hearing Board  
Academic Appellate Board  
President

## PROCEDURES FOR AMENDING THE GOVERNANCE OF THE COLLEGE

### 1. THE CORPORATION OF SAINT MARY'S COLLEGE

The procedure for amending the *Code of Bylaws of the Corporation of Saint Mary's College, Notre Dame* is found in Article XIX of the Code of Bylaws. The President of the College is responsible for seeing that the interpretation and condensation of the Bylaws published in the *Governance Manual* is kept up to date and that the Code of Bylaws in Section VIII are current.

### 2. THE BOARD OF TRUSTEES OF THE COLLEGE

The Bylaws of the Board of Trustees are the Bylaws of the Corporation of Saint Mary's College; therefore, the process for amending the Bylaws of the Board is the same as that of the Corporation. The President of the College is responsible for seeing that the interpretation and condensation of the Board of Trustees policies and procedures published in the *Governance Manual* are kept up to date.

### 3. THE ADMINISTRATION OF THE COLLEGE

The authority and responsibilities of the Administrative Officers of the College (i.e., President, Provost and Senior Vice President for Academic Affairs, Vice President for Mission, Vice President for College Relations, Vice President for Enrollment Management, Vice President for Finance and Administration, and Vice President for Student Affairs) are determined by the Board of Trustees.

#### a. PRESIDENT

The President, in consultation with the administrative officer to whom an administrator reports, determines the authority and responsibility of the administrator. The membership structure, authority, and responsibilities of the following presidential committees are determined by the President: President's Cabinet, Budget Committee, and Historical Preservation Committee. The President may create additional committees as needed. The President makes changes in the membership structure of the Committee on Rank and Tenure only after appropriate consultation with the Provost and Senior Vice President for Academic Affairs and the faculty. The Special Assistant to the President is responsible for keeping the sections of the *Governance Manual* dealing with these committees up to date.

#### 1) ACADEMIC AFFAIRS COUNCIL

The President determines the membership structure, authority, and responsibility of the Academic Affairs Council only after consultation with the Provost and Senior Vice President for Academic Affairs and the Academic Affairs Council. The Academic Affairs Council determines the membership structure, authority and responsibility of its committees. The Provost and Senior Vice President for Academic Affairs is responsible for keeping the section of the *Governance Manual* dealing with Academic Affairs Council and its committees up to date.

## 2) STUDENT AFFAIRS COUNCIL

The President determines the membership structure, authority, and responsibility of the Student Affairs Council only after consultation with the Vice President for Student Affairs and the Student Affairs Council. The Student Affairs Council determines the membership structure, authority and responsibility of the committee which reports to it. The Vice President for Student Affairs is responsible for keeping the section of the *Governance Manual* dealing with Student Affairs Council and its committee up to date.

### b. PROVOST AND SENIOR VICE PRESIDENT FOR ACADEMIC AFFAIRS

The Provost and Senior Vice President for Academic Affairs determines the membership structure, authority, and responsibility of the following committees: Assessment; Faculty Development Grants; Graduate Program Committee; Institutional Review Board; Program Review Committee; Sophia Program Curriculum Committee; Sophia Program Oversight Committee; Teaching, Learning, Technology Roundtable (TLTR), Steering Committee of the Writing Proficiency Program, Writing Proficiency, and the committees of the Center for Academic Innovation (Center for Academic Innovation Grants Committee), and the Center for Women's Intercultural Leadership (CWIL Community Connections, CWIL Global Education, CWIL Scholarship). The Provost and Senior Vice President for Academic Affairs may create other committees as needed, and is responsible for keeping the section of the *Governance Manual* dealing with that office, its administrative personnel, and its committees up to date.

### c. VICE PRESIDENT FOR MISSION

The Vice President for Mission is responsible for keeping the section of the *Governance Manual* dealing with that office and its administrative personnel up to date.

### d. VICE PRESIDENT FOR COLLEGE RELATIONS

The Vice President for College Relations is responsible for keeping the section of the *Governance Manual* dealing with that office and its administrative personnel up to date.

### e. VICE PRESIDENT FOR FINANCE AND ADMINISTRATION

The Vice President for Finance and Administration is responsible for keeping the section of the *Governance Manual* dealing with that office and its administrative personnel up to date.

### f. VICE PRESIDENT FOR STUDENT AFFAIRS

The Vice President for Student Affairs may create committees as needed and is responsible for keeping the Student Affairs section of the *Governance Manual* up to date.

g. VICE PRESIDENT FOR ENROLLMENT MANAGEMENT

The Vice President for Enrollment Management is responsible for keeping the section of the *Governance Manual* dealing with that office and its administrative personnel up to date.

4. ACADEMIC DEPARTMENTS

The Provost and Senior Vice President for Academic Affairs, only after consultation with the Department Chairs, determines the membership structure, authority, and responsibility of the academic departments. The Provost and Senior Vice President for Academic Affairs is responsible for keeping this section of the *Governance Manual* up to date.



## SECTION III

### FACULTY POLICIES AND PROCEDURES

## A. FACULTY MEMBERSHIP

### FACULTY MEMBERSHIP DEFINED

The faculty of the College consists of the teaching faculty (each of whom holds a faculty rank and whose primary responsibility is classroom teaching), the President, the Provost and Senior Vice President for Academic Affairs, emerita/us faculty, professional librarians, and those College administrators who, though their primary responsibilities to the College are other than teaching, have been appointed to the faculty by the President.

## B. RESPONSIBILITIES OF THE FACULTY

### 1. RESPONSIBILITIES OF THE TEACHING FACULTY

- a. GENERAL RESPONSIBILITY The teaching faculty as a whole has primary responsibility for such fundamental areas as admission, curriculum, subject matter and methods of instruction, research, selection of new faculty members, faculty status and related matters, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision, lodged in the Board of Trustees and delegated by it to the President, is exercised adversely only in exceptional circumstances, and for reasons communicated to the teaching faculty in writing. Thereafter, the teaching faculty has the right of further consideration and transmittal of its views to the President or, through the President, to the Board of Trustees.
- b. SPECIFIC RESPONSIBILITIES
  - 1) TEACHING Faculty are expected to demonstrate in their teaching a command of the subject matter, an ability to communicate, and a capacity to stimulate students. Faculty are also expected to be well organized in their presentation, to be well prepared for classes, to be available to students, to be interested in the development of students, to be fair in evaluation of students, and to be professional in relations with students. Further, faculty are expected to develop as teachers; development is evidenced by such factors as the introduction of new interests, ideas, or techniques in existing courses; the development of new courses; or movement into new subject areas.
  - 2) SCHOLARLY ACTIVITIES Beyond the responsibility of maintaining a superior level of instruction, the teaching faculty are expected to cultivate and to improve their scholarly competence. This may be demonstrated by: published research, artistic production, distinguished performance, activity in professional societies, and other scholarly inquiries as deemed appropriate by the departments and the Committee on Rank and Tenure.
  - 3) SERVICE In addition to responsibilities as teachers and scholars, the teaching faculty participates with the Board of Trustees and the President in determination of long-range plans for the College; selection of the President and other chief academic officers; improvements in the academic curriculum; major changes in the size and composition of the student body; decisions regarding buildings and facilities to be used in the educational work of the College; allocation of finances among competing demands; formulation of policies and procedures relative to salary and ancillary benefits of the teaching faculty;

and recommendation of structures and procedures for faculty participation in College governance through membership in the Faculty Assembly and on College councils and committees. As members of the community teaching faculty have the obligations of all citizens. They measure the urgency of these public responsibilities in the light of responsibilities to the students, to their disciplines, and to the College.

## 2. RESPONSIBILITIES OF THE PROFESSIONAL LIBRARIANS

- a. GENERAL RESPONSIBILITY The professional librarians as a whole have primary responsibility in the College for such fundamental areas contributing to the educational and research mission of the College: library service, reference service, collection development, bibliographic organization, and control. Professional librarians do not have classroom instructional responsibilities; however, they do have equivalent professional responsibilities commensurate with their role in the library. As members of the faculty, professional librarians have all the privileges and responsibilities of the faculty with the exception of academic rank.
- b. SPECIFIC RESPONSIBILITIES
  - 1) LIBRARIANSHIP Professional services in the library include administration, collection building, patron service, and bibliographic organization.
  - 2) SCHOLARLY ACTIVITIES Professional librarians are expected to demonstrate a thorough understanding of and appreciation for scholarship manifested in and through bibliographic research, internal studies of the library, preparation of catalogues and indexes, participation in workshops and professional meetings, and publications.
  - 3) SERVICE Professional librarians are expected to participate in appropriate professional and scholarly organizations, to participate in College governance through membership in the Faculty Assembly and on College councils and committees. As members of the community, professional librarians have the obligations of all citizens. They measure the urgency of these public responsibilities in the light of responsibilities to the students, to the faculty, to the profession, and to the College.

## 3. RESPONSIBILITIES OF ADMINISTRATORS WHO ARE MEMBERS OF THE FACULTY

- a. GENERAL RESPONSIBILITY Administrators who hold faculty rank have contractually designated responsibilities that are specific to their positions. Their positions as administrators preclude their election as faculty on College councils and committees.
- b. SPECIFIC RESPONSIBILITIES These are unique to each position and are delineated in the administration position description.

## 4. RESPONSIBILITIES OF THE EMERITA/US FACULTY

- a. GENERAL RESPONSIBILITY Emerita/us faculty are expected to support the principles, objectives, and standards of the College in a manner befitting their honored status.

- b. SPECIFIC RESPONSIBILITIES Emerita/us faculty do not have specific responsibilities to the College unless they are contractually retained. If so disposed, they may continue to serve on College councils and committees.

### C. FACULTY RANKS

#### 1. FACULTY RANK: GENERAL POLICY

With the exception of professional librarians, all faculty hold academic rank. There are four primary academic ranks: Instructor, Assistant Professor, Associate Professor, and Professor. Each faculty member is assigned to one of these according to the principles and procedures established for appointment and promotion. In addition to the four primary ranks, there are several academic designations for part-time and short-term faculty not on the tenure track. All faculty are expected to fulfill the responsibilities appropriate to their position on the faculty and each has the rights appropriate to that position.

#### 2. TENURE TRACK ACADEMIC RANKS

INSTRUCTOR:	The beginning rank, ordinarily assigned to those who have not completed all the requirements for the terminal degree in their discipline.
ASSISTANT PROFESSOR:	The second academic rank, ordinarily conferred upon those who have completed their terminal degree and who have not yet been promoted to the rank of Associate Professor.
ASSOCIATE PROFESSOR:	The third academic rank, ordinarily conferred upon those who have served as assistant professors, have been recognized for superior teaching, and have achieved public recognition in their discipline.
PROFESSOR:	The fourth academic rank, ordinarily conferred upon those who have served as associate professors, have been recognized for superior teaching, and have achieved widespread recognition in their discipline.
PROFESSIONAL LIBRARIAN:	The designation of Professional Librarian is normally conferred on persons possessing the appropriate terminal professional degree. Appointment of Librarians follows the same procedures as those established for appointing other tenure track faculty.

#### 3. NON-TENURE ACADEMIC DESIGNATIONS

ADJUNCT FACULTY	The designation of Adjunct Faculty is normally conferred on persons who are paid to teach on a course-by-course basis. They may hold other academic or administrative positions. A letter of agreement is issue to them on a semester basis.
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LECTURER:	The designation of Lecturer is conferred upon salaried part-time and full-time faculty not on the tenure track.
SENIOR LECTURER:	An appointment to Senior Lecturer may occur after six years of service as Lecturer upon recommendation of the department Chair and approval of the Provost and Senior Vice President for Academic Affairs and the President.
PROFESSIONAL SPECIALIST:	The designation of Professional Specialist is normally conferred on persons who carry out functions of a highly specialized nature and who hold an advanced degree in the relevant discipline.
VISITING:	The designation of Visiting faculty is normally conferred on persons holding short-term appointments with rank. Visiting faculty should meet the qualifications for the rank they hold (e.g. Visiting Assistant Professor or Visiting Associate Professor, etc.)

#### **D. APPOINTMENT TO THE FACULTY: TEACHING AND NONTEACHING FACULTY**

##### **1. APPOINTMENT PROCEDURE**

- a. CRITERIA FOR APPOINTMENT The appointment of a member of the faculty is based on a careful evaluation of the individual's potential for fulfilling the responsibilities of a faculty member and on the needs of the institution.
- b. POSITION APPROVAL PROCEDURE Sixteen months in advance of the academic year of the anticipated faculty vacancies (April 15), the department chair reports in writing to the Senior Vice President and Dean of the Faculty about these vacancies and, if possible, other staffing recommendations of the department. <sup>1</sup> Each recommendation must include appropriate justification. This report is reviewed by the Provost and Senior Vice President for Academic Affairs and the President. By May 15, the administration's decisions are communicated in writing to the department by the Provost and Senior Vice President for Academic Affairs. Adverse decisions may be appealed first to the Provost and Senior Vice President for Academic Affairs and then to the President.
- c. SEARCH PROCEDURE Upon receipt of position approval, departments will establish search procedures and conduct a search for a candidate in accord with the College's Equal Employment Opportunity Policy. Normally, all faculty in the department, or a committee selected by them, will review the credentials of applicants for the position.
- d. CANDIDATE APPROVAL Except in extraordinary circumstances, the department originates the recommendation for filling approved positions. Faculty vacancies should be filled between December 15 and April 15. The department sends credentials of the candidates and the

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<sup>1</sup> Unless otherwise notified regarding the suspension of hiring.

recommendation of the departmental faculty to the Provost and Senior Vice President for Academic Affairs who consults with the President. The Chair of the search committee will invite the candidate to the campus for interviews. Candidates who visit the campus will be reimbursed for their travel expenses according to the policies described under travel reimbursement.

- e. CANDIDATE INTERVIEWS All members of the department shall have the opportunity to interview the candidate. Candidates will be interviewed by the Provost and Senior Vice President for Academic Affairs and the President. Normally, candidates are expected to make a presentation to students and faculty. After the interviewing process is completed, the department will evaluate all of the candidates. The department chair will then forward the recommendation of the department to the Provost and Senior Vice President for Academic Affairs. To this recommendation the department will append student evaluation for each candidate interviewed.
- f. INVITATION TO JOIN FACULTY Upon a positive decision, the Provost and Senior Vice President for Academic Affairs will invite the applicant to join the faculty of the College and offer the appropriate contract.

## 2. QUALIFICATIONS FOR APPOINTMENT

Candidates for faculty appointments normally will be evaluated for their appointment to an academic rank in terms of the following general criteria:

- a. INSTRUCTOR Appointment to the rank of Instructor requires:
  - 1) an appropriate academic degree or the standard accepted equivalent;
  - 2) the promise of superior teaching ability.
- b. ASSISTANT PROFESSOR Appointment to the rank of Assistant Professor:
  - 1) an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; or
  - 2) proof of superior teaching, over a period of time, at an institution of higher learning; or
  - 3) achievement of public recognition in one's professional discipline.
- c. ASSOCIATE PROFESSOR Appointment to the rank of Associate Professor requires:
  - 1) an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
  - 2) superior teaching as a full-time faculty member; and
  - 3) achievement of public recognition in one's discipline.

d. PROFESSOR

- 1) an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
- 2) superior teaching as a full-time faculty; and
- 3) widespread recognition in one's discipline.

e. EMERITA/US This rank is ordinarily granted upon retirement to a person who has spent ten or more years at Saint Mary's College.

f. PROFESSIONAL LIBRARIAN The designation of Professional Librarian is normally conferred on persons possessing the appropriate terminal professional degree. Appointment of Librarians follows the same procedures as those established for appointing other tenure-track faculty.

g. PART-TIME TENURE-TRACK APPOINTMENTS

Part-time tenure-track appointments to the faculty are permitted for persons who for appropriate reasons must devote less than full-time service to the College provided that the service is at least half-time. Except in extraordinary situations no more than one-fourth of the tenure-track faculty in any department shall have part-time appointments.

Requests by members of the tenure-track faculty for transfers between full-time and part-time service shall be made through appointment and promotion channels. Such a transfer can be made only by mutual agreement between the appointee and the College.

Standards for appointment and reappointment to tenure-track positions shall be the same for part-time service as for full-time service. The duration of contractual periods and academic ranks shall also be the same. The responsibilities and privileges of a member of the tenure-track faculty with a part-time appointment are the same in nature as, but on a proportionate scale to those of a member with full-time appointment.

h. OTHER ACADEMIC DESIGNATIONS

ADMINISTRATORS WHO TEACH Administrators who do not hold faculty rank and who teach will be designated "Lecturer" according to the terms of their appointment. To teach, administrators should meet at least the qualifications listed for initial appointment to the teaching faculty at the Instructor level.

3. APPOINTMENTS WITH TENURE

Ordinarily, tenure is not granted upon appointment. If a candidate wishes to be considered for an appointment with tenure, that request must be considered by the Committee on Rank and Tenure. Denial of tenure will not affect the candidate's status as a candidate for appointment, nor should it be considered as affecting future consideration for tenure.

4. ADMINISTRATIVE APPOINTMENT WITH FACULTY RANK

Administrators who wish to retain their faculty rank or who wish promotion in rank to accompany their administrative appointment must meet the criteria established for that rank.

5. TRAVEL AND OTHER EXPENSES FOR CANDIDATES

Travel and other expenses connected with the recruitment or visit of faculty candidates to Saint Mary's campus are paid by the College. Candidates' expenses are covered by a recruitment budget in the Office of the Dean of Faculty.

To receive reimbursement, a candidate must submit all receipts to the department chair who forwards them to the Dean of Faculty with a request for reimbursement. Whenever possible, travel arrangements are made through Anthony Travel, a travel agency designated by the College. If candidates use their own cars, they are reimbursed at the rate which the Internal Revenue Service allows as a tax deduction for professional travel. (The current rate may be obtained from the Business Office.) If at all possible, candidates stay in guest facilities on campus and use the College's food service.

**E. LETTERS OF APPOINTMENT AND RENEWAL**

1. INITIAL LETTER OF APPOINTMENT: ALL FACULTY

The letter of appointment from the Dean of Faculty states the rank or title; the salary; the contracted time; the previous years of experience, if any, applied toward tenure at the College; the TIAA-CREF participation status of the applicant; and provisions, if any, for reimbursement of moving expenses. The initial letter of appointment also defines the terminal degree for the position and the candidate's status with regard to that degree. All terms of the contract are determined with the knowledge and consent of the department chair. A time limit of two weeks is ordinarily given to the applicant to accept or decline the offer.

2. LETTERS OF RENEWAL: ALL FACULTY

Contracts for faculty are issued by the Dean of Faculty during the first week of March. The contract states the rank or title, salary, beginning and ending dates of the contract period, and the tenure status of the faculty member.

3. RECOMMENDATION FOR RENEWAL OR NONRENEWAL OF APPOINTMENT FOR PRE- TENURE FACULTY

The Department Chair shares in confidence the pre-tenure faculty member's Annual Review report (or Fourth Year Review Report or Third Year Review Report for faculty hired on or after academic year 2012-13) with the tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. Dean of Faculty must receive this recommendation and the reasons therefore by November 15.



It is to be placed at the end of the Annual Review report (or the Fourth Year Review Report or Third Year Review Report for faculty hired on or after academic year 2012-13) and must be signed by the Chair and the tenured members of the department's faculty. The Provost and Senior Vice President for Academic Affairs and the Dean of Faculty review each case with the President and conveys a decision to the department chair by December 1.

In the case of pre-tenure faculty in their first year of appointment, since there is no Annual Review report of the prior year's performance, an abbreviated Annual Review report of the results of the first semester's appointment will be shared in confidence with the tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. Dean of Faculty must receive this recommendation and the reasons therefore by February 1. It is to be placed at the end of the Annual Review report (or the Fourth Year Review report or Third Year Review Report for faculty hired on or after academic year 2012-13) and must be signed by the Chair and the tenured members of the department's faculty. The Provost and Senior Vice President for Academic Affairs and the Dean of Faculty review each case with the President and conveys a decision to the Department Chair by February 15.

#### 4. NOTIFICATION TO NON-TENURED FACULTY OF NONRENEWAL OF CONTRACT

In cases of non-renewal, the College follows the AAUP recommendations in "The Standards for Notice of Non-Reappointment" (*AAUP Policy Documents and Reports*). Faculty members in their first year receive three months' notice, no later than March 1 of their first year of service to the College. Faculty members in their second year of service receive six months' notice, no later than December 15 of their second year of service to the College. Faculty members in their third year, to the end of their probationary period, receive 12 months' notice. Such notification is normally sent to the faculty member at the time contracts are issued by the College, but in no instance will notification occur later than twelve months before the expiration of the appointment.

### F. PROMOTION

#### 1. PROMOTION POLICY

- a. Promotion is neither automatic nor assured. The one exception to this principle occurs when promotion is contractually delineated at the time of appointment. These arrangements are limited to those appointed as Instructors because they have not completed the degree criteria for Assistant Professor but are advanced upon completion of those criteria.
- b. Promotions are subject to the procedures of the Committee on Rank and Tenure. The procedures are described in the section on Tenure.
- c. There is no necessary link between promotion and tenure. It is possible for faculty members to receive one without the other.

- d. The principle qualifications for promotion are teaching ability and scholarly/creative work or its professional equivalent. Other criteria include professional experience; active participation in College government; participation in professional activities; contributions to public service. (See Section III.H.1 for more information.)

## 2. QUALIFICATIONS FOR PROMOTION

Candidates for promotion normally are expected to meet the following qualifications for promotion to an academic rank:

- a. ASSISTANT PROFESSOR Promotion to the rank of Assistant Professor requires:

- 1) an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; or
- 2) proof of superior teaching, over a period of time, at an institution of higher learning; or
- 3) achievement of public recognition in one's professional discipline.

- b. ASSOCIATE PROFESSOR Promotion to the rank of Associate Professor requires:

- 1) an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
- 2) superior teaching as a full-time faculty member at the rank of Assistant Professor in this or any other institution of higher learning; and
- 3) achievement of public recognition in one's discipline, either through publication of the results of academic research or its professional equivalent.
- 4) evidence of active service in the College department, community, or profession other than teaching and scholarship or its equivalent, which is consistent with the mission and goals of the College and the profession.

- c. PROFESSOR

Promotion to the rank of Professor requires:

- 1) an earned doctorate or its recognized equivalent in the professional discipline and/or area of teaching; and
- 2) superior teaching as a full-time member of the faculty at the rank of Associate Professor in this or any institution of higher learning; and
- 3) widespread recognition in one's discipline, either through publication of the results of academic research or its professional equivalent; and

- 4) evidence of leadership in service to the College, department, community or profession, other than teaching and scholarship or its equivalent, which is consistent with the mission and goals of the College and the profession. Candidates for promotion to Professor are advised to pursue those levels of quality and achievement which bring ever greater stature to the academic reputation of the College.

### 3. PROMOTION EVALUATION CRITERIA

The criteria used in evaluating faculty performance for purposes of promotion are described in the section on Tenure.

## G. TENURE

### 1. TENURE: DEFINITION AND OBJECTIVES

Tenure is a permanent commitment by the College and by the faculty member until retirement or resignation. The significance of tenure to the faculty lies in the establishment of a climate where freedom of teaching, research, and extramural activity are possible.

Tenure's significance to the institution lies in its provision of a core of able professionals who have the freedom to pursue the search for truth and its free exposition. Providing an atmosphere where the search for truth is possible fulfills the institution's obligations to both students and society.

### 2. TENURE POLICY

Saint Mary's College generally endorses the policy recommendations of the American Association of University Professors (AAUP). College policy, however, in certain instances may differ from the detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this section is an interpretation of the following AAUP statements as they apply to the granting of tenure to the faculty at Saint Mary's College: "Academic Freedom and Tenure: 1940 Statement of Principles and Interpretive Comments," and "1976 Recommended Institutional Regulations on Academic Freedom and Tenure," *AAUP Policy Documents and Reports*.

#### a. TENURE PROBATIONARY PERIOD: FULL AND PART-TIME FACULTY

- 1) Tenure is granted after a probationary period (and/or Third Year Review Report for faculty hired on or after academic year 2012-13) at Saint Mary's College which will not exceed seven years of full-time equivalent teaching. Faculty members who have taught at other institutions may negotiate a reduction of their probationary period. The terms of this reduction appear in the faculty member's initial letter of appointment. The probationary period ordinarily will not be shortened by more than two years. Customarily, the College does not grant tenure before the completion of the probationary period.

Part-time faculty in tenure track positions receive probationary credit in relation to the number of full-time equivalent hours they teach. Thus, the maximum tenure

probationary period for a part-time faculty member who teaches one-half time is fourteen years.

- 2) During the fourth year of the probationary period, a review of the faculty member's performance is conducted by the Committee on Rank and Tenure. This review is based on information provided by the individual, the department chair, and tenured members of the department. The criteria used in the process are found in Section III.H.1. The faculty member is informed in writing of the results of this review.

b. TERMINATION OF A TENURED APPOINTMENT

Tenured appointments are terminated only under exceptional circumstances. These are described in the section on Termination of Service.

c. TENURE AND PROMOTION

There is no necessary link between tenure and promotion. It is not uncommon for faculty to receive one without the other. Implicit in this is the assumption that while many of the criteria are the same for promotion and tenure each acknowledges a different institutional commitment.

d. TENURE AND RETIREMENT

Tenure ceases upon retirement.

## **H. PROMOTION AND TENURE: CRITERIA AND PROCEDURES**

1. PROMOTION AND TENURE EVALUATION FACTORS

Three distinct criteria are employed in evaluating faculty performance: Teaching, Creative and Scholarly Activities, and Service. The criteria for evaluating creative and scholarly work and service vary considerably from one department to the next. It is the responsibility of the department chair to assist their faculty and members of the Committee on Rank and Tenure in interpreting the standards of performance in their respective disciplines. Candidates for promotion and/or tenure are evaluated in terms of the following general factors:

a. TEACHING

Superior teaching is essential. Among the factors considered in evaluating teaching are:

- command of subject
- academic rigor
- ability to communicate
- organization of material

- development of courses
- intellectual stimulation of students
- availability to students
- interest in and encouragement of students
- academic advising of students
- efforts to improve the quality of teaching

b. CREATIVE, SCHOLARLY, AND RESEARCH ACTIVITIES

All faculty at Saint Mary's are expected to demonstrate continuing involvement in the professional life of their disciplines. To facilitate comprehension of this complex area, the Committee on Rank and Tenure, in consultation with the various departments, has prepared a set of general guidelines.

In the following listing, activities have been divided into three categories presented in order of decreasing importance. This listing is intended to be illustrative, not exhaustive. While some activities corresponding to those in Category I are essential to promotion and tenure, it is expected that faculty will be involved in various activities of the kind listed below:

1) CATEGORY I

- Publishing in the field of research or of teaching
- Presenting papers at meetings of professional societies
- Designing seminars and/or workshops for professional meetings
- Giving invitational recitals and concerts
- Participating in juried art exhibitions
- Guest participation in one's discipline in professional theatre (such as acting, directing, stage managing)
- Holding office in national professional societies in one's discipline
- Receiving honors indicative of professional recognition in one's discipline

2) CATEGORY II

- Engaging in ongoing research
- Having one's work cited by other scholars
- Refereeing papers
- Receiving grants in support of scholarly activity
- Preparing laboratory manuals and other kinds of teaching tools
- Attending meetings of professional societies
- Attending professional workshops
- Giving invitational lectures on scholarly subjects both on and off campus
- Participating in non-juried art exhibitions
- Participating in on-campus concerts, art exhibitions, or theatrical productions
- Writing reviews of scholarly books, concerts, art exhibitions, or theatrical productions

3) CATEGORY III

- Designing new programs
- Receiving grants not directly related to scholarly activity
- Giving lectures in the areas of one's academic discipline for non-professional organizations
- Being chosen an officer and/or board member of a local organization on the basis of expertise in one's academic discipline
- Enrolling in conferences, courses, and seminars in one's discipline

While it is true that criteria for evaluating creative and scholarly work vary greatly, these categories in effect constitute a ranking.

c. SERVICE

Service embraces a wide range of activities including:

- College governance and College committee work
- Departmental activities
- Service to the College community
- Activity in which one's professional abilities as teacher and scholar are put in service of the wider community

2. PROMOTION AND/OR TENURE PROCEDURES

Although the formal nomination procedure begins in the early fall, faculty who are planning to go forward for tenure and/or promotion should notify the Chair of the Committee on Rank and Tenure by June 1, so as to allow adequate time for the Committee's planning for cases, and for the candidate to gather, develop, and distribute materials for the review.

a. NOMINATION FOR PROMOTION AND/OR TENURE

Tenure and promotions in faculty rank at Saint Mary's College normally originate with the department chair; however, they may be initiated by the faculty member, a colleague, or an administrator. Nominations are submitted to the Chair of the Committee on Rank and Tenure who initiates the procedures outlined below. To avoid prejudicing a case, the source of the nomination is kept confidential by the Chair of the Committee. College policy does not encourage nominations for early tenure.

b. CANDIDACY FOR PROMOTION AND/OR TENURE

The Chair of the Committee on Rank and Tenure notifies faculty nominated for promotion or tenure, in writing, of their nomination.<sup>2</sup> The nominee may accept or decline the nomination. If a nominee declines the nomination, that person's name is withdrawn and no further consideration is given to that case that year. The person or persons making the nomination are so notified in writing. If the nominee accepts, that faculty member becomes a candidate.

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<sup>2</sup> Faculty who are expecting to be nominated for tenure and/or promotion should notify the Chair of the Committee on Rank and Tenure by June. 1.

Faculty members who reach the end of the probationary period and refuse the nomination for tenure are issued a terminal contract. On the basis of the acceptance notices received from the nominees, the Chair of the Committee on Rank and Tenure prepares a list of candidates for promotion and/or tenure. This list is known only to the members of the committee on Rank and Tenure and the President of the College.

c. CANDIDACY MATERIALS

It is the candidate's responsibility and opportunity to make her or his best case for tenure and/or promotion. The Committee on Rank and Tenure considers the following materials (Numbers 1-6 below) for each candidate. Additional materials may be submitted by the candidate.

1) CANDIDATE

- a) "Committee on Rank and Tenure Evaluation form: Candidate" (Candidates are provided a copy of the form by the Committee on Rank and Tenure. Any member of the faculty may obtain a copy of this form from the Chair of the Committee on Rank and Tenure.)
- b) Supporting materials such as representative syllabi, student course/instructor surveys, publications, slides, reviews, programs, original evaluation forms with student comments, etc.

2) DEPARTMENT CHAIR

- a) "Committee on Rank and Tenure Evaluation form: Department Chair" (Chairs are provided a copy of the form by the Committee on Rank and Tenure. Any member of the faculty may obtain a copy of this form from the Chair of the Committee on Rank and Tenure.)
- b) Supporting Materials

3) FACULTY

- a) Committee on Rank and Tenure Evaluation requests each member of a candidate's department to submit an evaluation of the candidate.
- b) The Committee on Rank and Tenure may request that colleagues outside of the department submit evaluations of the candidate. This is normally done in instances where there has been significant involvement with the candidate. A candidate may ask that the Committee request an evaluation from any faculty member. Ordinarily, however, the candidate is expected to issue the request to the evaluator.

4) STUDENTS

- a) Quantitative data from Student Course Instructor Surveys are assembled by the Office of the Dean.

- b) Students are asked to provide a written evaluation of the candidate's strengths and weaknesses as well as to evaluate the candidate as a member of the Saint Mary's College community. A sample of students who have had only lower division courses and a sample of students having a range of courses are asked to write. Students' names are selected from class lists of preceding years. Candidates are not to solicit letters from current students.

5) ALUMNAE

Alumnae who have taken one or more courses with the candidate are asked to provide written evaluations of the candidate's strengths and weaknesses and to evaluate the candidate as a member of the Saint Mary's College community. A random sample of alumnae throughout the candidate's time at Saint Mary's is chosen representing both majors and non-majors.

6) EXTERNAL REVIEWERS

As part of the review of all cases for tenure and/or promotion, the Committee on Rank and Tenure asks for input from reviewers from outside the College who are in a position to speak knowledgably about the accomplishments of the candidate in the area of scholarly/creative activity. Outside reviews are ordinarily sought only from the individuals identified by the candidate, but the Committee may request assessments from other individuals as well.

- (a) No later than the first day of academic year in which the candidate will be considered for tenure and/or promotion the candidate submits to the Chair of the Committee, a list of external reviewers who have agreed to review the candidate's scholarly/creative activity. The list includes names and contact information for a minimum of 3 and a maximum of 5 individuals.
- (b) It is the candidate's responsibility to send, in a timely fashion, materials she or he deems necessary to complete the review process to the individuals on the list. The material includes a copy of the candidate's own narrative report to the committee, and may include any other materials that the candidate judges to be useful to the reviewer, *e.g.*, representative syllabi, articles, books, texts of presentations, reproductions of work.
- (c) No later than September 1 the Chair of the Committee contact the individuals on the list requesting the return of their completed evaluations by October 1.

d. REQUESTS TO APPEAR BEFORE THE COMMITTEE

Candidates for promotion and/or tenure who wish to make a personal appeal to the Committee on Rank and Tenure may do so by contacting the Chair of the Committee prior to the deadline set for candidacy materials. Faculty who are not candidates and administrators who wish to appear before the Committee in support of, or in opposition to a candidate, should contact the Chair of the Committee prior to November 1. Those who wish to recommend changes in procedure or policy should contact the Chair of the Committee.



e. REVIEW PROCEDURES: COMMITTEE ON RANK AND TENURE

Although there may be deviation from the following procedure, the Committee on Rank and Tenure normally follows the procedure described below in reviewing all candidates.

PHASE 1

Prior to considering any candidate for promotion and/or tenure, and prior to meeting with the department chair of the candidate, the Committee on Rank and Tenure must be in receipt of the above candidacy materials. The Committee members review the candidate's materials prior to the meeting with the department chair.

PHASE 2

Normally, Committee members do not discuss their observations based upon their review of the materials prior to meeting with the department chair. Thus, each Committee member forms a personal assessment and develops a line of inquiry to be pursued during the meeting with the candidate's chair. If the Chair of a department is a candidate for promotion, the most recent chair of the department will complete the candidate report and present the candidate to the Committee on Rank and Tenure. If the most recent Chair has left the College, the President will determine the candidate's representation.

Phase 3

Following the meeting with the candidate's chair, the Committee on Rank and Tenure discusses the case before it. The Committee may decide to defer the discussion pending further review of the materials. When the Committee is satisfied that it can make an informed judgment, a vote is taken. All decisions which serve as the basis for the Committee's recommendation are based on secret ballot.

f. RECOMMENDATIONS OF THE COMMITTEE ON RANK AND TENURE

The Committee on Rank and Tenure submits its written recommendations to the President. The President has access to all materials reviewed by the Committee. The Committee submits its recommendations to the President no later than January 1.

g. PRESIDENT'S DECISION

The President communicates decision on promotion and tenure to the Provost and Senior Vice President for Academic Affairs and to the Committee on Rank and Tenure no later than February 1. If the President does not accept a Committee recommendation, the President meets with the Committee to discuss the rationale for this decision. The President may request a meeting with the Committee on Rank and Tenure to seek clarification or to review these decisions. The President reports tenure decisions to the Executive Committee of the Board of Trustees at its winter meeting.

h. NOTIFICATION OF DECISION ON PROMOTIONS AND TENURE

Department chairs and candidates for promotion and/or tenure are given written notification of decisions from the President by February 15. Faculty members who are promoted and/or

granted tenure receive contracts that reflect their new status. Those denied tenure and who are at the end of their probationary period receive terminal contracts. Public announcement of promotions conferred by the College is made at the annual Honors Convocation.

i. CONFIDENTIALITY

With the exception of supporting materials (*e.g.*, publications, slides, etc.), all materials submitted to the Committee as well as materials generated by the Committee on Rank and Tenure are confidential. Only Committee members and the President are granted access to these materials. Committee members do not have access to the written evaluations by faculty members of candidates considered in previous years.

j. REASONS FOR RANK AND TENURE DECISIONS

Reasons which contributed to the decision to deny tenure or promotion to a faculty member will be given verbally if that faculty member requests them.

Unsuccessful candidates for promotion and/or tenure have the right to meet with the President and Provost and Senior Vice President for Academic Affairs to discuss the decision.

If, having received reasons verbally and having been advised of potential adverse consequences, the faculty member believes that written confirmation of the reasons for denying tenure or promotion might be useful in pursuing a professional career, that individual may request and shall receive the reasons in writing. Such a request must be submitted in writing by April 15 of the academic year in which the decision to deny tenure and/or promotion was communicated in writing to the candidate.

k. REAPPLICATION FOR PROMOTION

Tenured faculty denied promotion may not reapply the following academic year.

3. APPEAL OF A PROMOTION OR TENURE DECISION

Faculty who are denied promotion and/or tenure and who wish to appeal the decision must submit a written appeal to the President within thirty working days after they are notified of the denial. Faculty who believe there has been a procedural irregularity or lack of adequate consideration may appeal their case to the Grievance Committee of the Faculty Assembly.

## I. ACADEMIC FREEDOM

1. ACADEMIC FREEDOM POLICY

Saint Mary's College generally endorses the policy recommendations of the American Association of University Professors. College policy, however, in certain instances may differ from the detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this sections is an interpretation of the following AAUP statements as they apply to the academic freedom of the faculty at Saint Mary's College: "Academic Freedom

and Tenure: 1940 Statement of Principles and Interpretive Statements” and “1976 Recommended Institutional Regulations on Academic Freedom and Tenure,” *AAUP Policy Documents and Reports*.

a. FREEDOM OF TEACHING

Faculty are entitled to freedom in the classroom in discussing their subjects, but they should be careful not to introduce into their teaching controversial matter which has no relation to the subject. They are expected to exercise care in their own subjects so that hypotheses, theories, and opinions are presented as such, and not as facts.

b. FREEDOM OF RESEARCH

Faculty are entitled to full freedom in research and in the publication of their results subject to the adequate performance of other academic duties. Research for pecuniary return must be based upon an understanding with the College administration.

c. FREEDOM OF EXTRAMURAL ACTIVITY

Faculty are citizens, members of learned professions, and officers of instruction. When they speak or write as citizens they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As learned persons and officers of instruction, faculty should remember that the public may judge their profession and institution by their utterances. Hence, faculty should be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking as representatives of the institution.

d. ACADEMIC FREEDOM IN A CATHOLIC COLLEGE

Saint Mary's College is a Roman Catholic institution. Faculty are free to research, to present, and to discuss all positions on important issues; however, they must do so in an atmosphere which promotes the highest intellectual standards and recognizes and respects the tradition of Christian belief, which is a major foundation of this institution.

2. GRIEVANCE PROCEDURES INVOLVING ALLEGATIONS OF VIOLATION OF ACADEMIC FREEDOM

Cases involving issues centering on alleged violation of academic freedom are handled by the Grievance Committee of the Faculty Assembly according to the special procedure delineated for cases involving academic freedom.

## **J. TERMINATION OF SERVICE**

1. TERMINATION OF TENURED FACULTY

a. POLICY

Saint Mary's College generally endorses the policy recommendations of the American Association of University Professors. College policy, however, in certain instances may differ from the detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this section is an interpretation of the following AAUP statements as they apply to the termination of tenured faculty at Saint Mary's College:

“1976 Recommended Institutional Regulations on Academic Freedom and Tenure,” Section 4, *AAUP Policy Documents and Reports*.

**b. PROCEDURE FOR TERMINATION OF TENURED FACULTY**

The contracts of tenured faculty may be terminated only under the following conditions: extraordinary financial emergency of the College, discontinuance of an academic program or division, and serious cause. To terminate a tenured appointment, the College must establish conclusively that one or more of the above conditions prevail and, except in the case of serious cause, must give the faculty member not less than twelve months-notice or one full-year’s salary in lieu thereof. The standards of notification and procedure in cases involving serious cause are outlined in the section on serious cause.

In instances other than serious cause:

- 1) termination of regular appointment is to be sought only as a last resort, after every effort has been made to meet the need in other ways and to find for the teacher other employment in the institution or with other institutions of higher learning;
- 2) notification of the intent to terminate a permanent position is to be made in writing, stating reasons for the termination;
- 3) notification is to be made twelve months prior to the termination of the position;
- 4) if a tenured appointment is terminated because of financial exigency, the released faculty member’s place will not be filled by a replacement within a period of three years unless they released faculty member has been offered reappointment, with tenure, and at the same or better rank and salary, and has rejected it.

**2. TERMINATION OF NONTENURED FACULTY**

**a. POLICY**

The services of faculty who do not hold tenure may be discontinued at the end of a contract period. Termination of non-tenured faculty generally follows the procedures and policies of the American Association of University Professors. In certain instances, College policy may differ from detailed procedures described in AAUP publications and, in those instances, College policy takes precedence. The material in this section is an interpretation of the following AAUP statements as they apply to the faculty in Saint Mary's College: “Standards for Non-reappointment” and “Statements on Procedural Standards in the Renewal of Non-Renewal of Faculty Appointments,” (*AAUP Policy Documents and Reports*).

**b. PROCEDURES FOR TERMINATION OF NONTENURED FACULTY**

**1) RECOMMENDATION FOR NON-REAPPOINTMENT**

The Department Chair shares in confidence the pre-tenure faculty member’s Annual Review report (or Fourth Year Review Report or Third Year Review Report for faculty

hired on or after academic year 2012-13) with the tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. The Provost and Senior Vice President for Academic Affairs must receive this recommendation and the reasons therefore by November 15. It is to be placed at the end of the Annual Review report (or Fourth Year Review report or Third Year Review Report for faculty hired on or after academic year 2012-13) and must be signed by the Chair and the tenured members of the department's faculty. The Provost and Senior Vice President for Academic Affairs reviews each case with the President and conveys a decision to the department chair by December 1.

In the case of pre-tenure faculty in their first year of appointment, since there is no Annual Review report of the prior year's performance, and abbreviated Annual Review report of the results of the first semester's appointment will be shared in confidence with the tenured members of the department in developing a recommendation for renewal or non-renewal of the pre-tenure faculty member's appointment. The Provost and Senior Vice President for Academic Affairs must receive this recommendation and the reasons therefore by February 1. It is to be placed at the end of the Annual Review report (or the Fourth Year Review report or Third Year Review Report for faculty hired on or after academic year 2012-13) and must be signed by the Chair and the tenured members of the department's faculty. The Provost and Senior Vice President for Academic Affairs reviews each case with the President and conveys a decision to the Department Chair by February 15.

2) NOTIFICATION OF NON-REAPPOINTMENT

In cases of non-renewal, the College follows the AAUP recommendations in "The Standards for Notice of Non-Reappointment" (*AAUP Policy Documents and Reports*). Faculty members in their first year receive three months' notice, no later than March 1 of their first year of service to the College. Faculty members in their second year receive six months' notice, no later than December 15 of their second year of service to the College. Faculty members in their third year, to the end of their probationary period, receive twelve months' notice. Normally, notification is sent to the faculty member at the time contracts are issued by the College; in no instance will notification occur later than twelve months before the expiration of the appointment.

3) NON-REAPPOINTMENT AND ACADEMIC FREEDOM: GRIEVANCE

If a non-tenured member of the faculty alleges that a decision for non-renewal resulted from considerations that were in violation of academic freedom, these allegations are to be presented to the Grievance Committee of the Faculty Assembly. If appeal is made to the Grievance Committee, the matter is to be heard according to the procedure in the section on Dismissal for Serious Cause, except that the burden of proof rests with the

faculty member who must establish that a violation of academic freedom was an element in the decision for non-renewal of contract.

4) REASONS FOR NON-REAPPOINTMENT

Reasons which contributed to the decision not to reappoint a faculty member may be given verbally if that faculty member requests them.

If, having received reasons verbally and have been advised of potential adverse consequences, the faculty member believes that written confirmation of the reasons for denying reappointment might be useful in pursuing a professional career, that individual may request and shall receive the reasons in writing. Such a request must be made in writing and presented during the academic year in which notification of non-reappointment occurs.

3. RESIGNATION: ALL FACULTY

a. VOLUNTARY TERMINATION OF SERVICES

Resignation is the termination of services by voluntary action of the faculty member. If a member of the faculty desires to terminate an existing appointment or to decline a renewal, that member is to give notice in writing as early as possible but no later than April 15. Such notification is to be given to both the department chair and the Provost and Senior Vice President for Academic Affairs. Faculty members may properly request a waiver of this requirement in cases of hardship or situations where they would otherwise be denied substantial professional advancement.

b. NEGOTIATED RESIGNATION

Resignation may be negotiated by the College. In these instances, the College takes the initiative, offering faculty the choice of resigning, in lieu of dismissal, in order to protect professional reputation and status.

4. DISMISSAL FOR SERIOUS CAUSE: ALL FACULTY

a. DEFINITION OF SERIOUS CAUSE

The College reserves the right to terminate the services of any member of the faculty for serious cause. Dismissal for serious cause may be justified by demonstrating professional incompetence, gross neglect of professional responsibilities, conviction of a felony, continual serious disrespect for the Catholic character of this institution, or notorious and public scandal.

b. PROCEDURES FOR ESTABLISHING SERIOUS CAUSE FOR DISMISSAL

1) POLICY

If it is necessary to consider termination of the services of a faculty member for serious cause, formal proceedings are conducted according to the procedural recommendations of the American Association of Professors contained in the "Statement on Procedural Standards in the Faculty Dismissal Proceedings," (*AAUP Policy Documents and Reports*). What follows is an interpretation of this statement as it applies to Saint Mary's College.

2) PRELIMINARY TO FORMAL CHARGES

Before formal charges are brought against a member of the faculty, the President will appoint the Provost and Senior Vice President for Academic Affairs and one tenured faculty member to attempt conciliation in private. If conciliation fails, the President will request the Executive Committee of the Faculty Assembly to inquire informally into the situation, and to advise whether formal proceedings to consider the dismissal should be instituted.

3) FILING OF FORMAL CHARGES

The formal proceedings commence with a written communication from the President informing the faculty member of the charges and that, if requested, a hearing on the charges will be conducted by a Hearing Committee. The Grievance Committee of the Faculty Assembly will serve as the Hearing Committee. The faculty member must notify the President in writing within thirty working days from the receipt of the President's communication whether a formal hearing is requested. Absence of such a written request results in waiving the right for any further consideration on this case.

4) PROCEDURES OF HEARING COMMITTEE

The Hearing Committee will convene, elect its own chair, and will choose a specified time and place for meeting. The Chair will establish the rules for conduct of the hearing. The following procedure will be in effect at the hearing:

- a) during the proceedings the faculty member is permitted to have an academic advisor of his/her choice;
- b) the faculty member has the right to confront and question all witnesses adverse to him/her and to present witnesses on his/her own behalf;
- c) a verbatim record of the hearings will be taken. A typewritten copy of it will be made available to the faculty member without cost, at the faculty member's request.
- d) the burden of proof that adequate cause exists rests with the institution and is satisfied only by clear and convincing evidence in the record considered as a whole.

5) RECOMMENDATIONS FROM THE HEARING COMMITTEE

The President and faculty member should be notified of the decision of the Hearing Committee in writing and should be given a copy of the record of the hearing. The President should transmit to the Board of Trustees the full report of the Hearing Committee. If the Board wishes to review the case, its review should be based on the record of the hearing accompanied by an opportunity for argument, written, or oral or both, by the principals at the hearing or their representatives. The decision of the Hearing Committee should either be sustained or the proceeding be returned to the committee with objections specified. In such a case, the committee should reconsider, taking account of the stated objections and receiving new evidence if necessary. It should frame its decision and communicate it in the same manner as before. Only after study of the committee's reconsideration should the Board of Trustees make a final decision overruling the committee.

6) FACULTY MEMBER'S STATUS DURING HEARINGS

Until the final decision on the termination of an appointment has been reached, the faculty member will be suspended only if immediate harm to self or others is threatened by continuance.

7) TERMINAL SALARY

If the appointment is terminated for reasons not involving moral turpitude, the faculty member receives the contracted salary in accordance with the following schedule:

- a) faculty members in their first through third year of probationary service receive their contracted salary for three months following the date of notification of their dismissal;
- b) faculty members in their fourth through sixth year of probationary service receive their contracted salary for six months following the date of notification of their dismissal;
- c) tenured faculty members receive their contracted salary for twelve months following the date of notification of their dismissal.

The provision for terminal salary does not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. Moral turpitude applies to that kind of behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the continuation of the faculty member's salary. The standard is not that the moral sensibilities of the persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.



## 5. RETIREMENT

Tenure ceases upon retirement.

Saint Mary's College grants the title of Emerita/us to an individual in recognition of service of significant length and effectiveness to the educational goals of the College. This rank is ordinarily granted upon retirement to a person who has spent ten or more years at Saint Mary's College.

## **K. FACULTY LEAVES OF ABSENCE**

### 1. SABBATICAL LEAVE

#### a. POLICY

The sabbatical leave program makes it possible for members of the tenured teaching faculty to take the time from normal academic duties to engage in activities appropriately construed as serving the faculty member's development. The College recognizes that the long-term value of a sabbatical leave program outweighs any short-term disadvantages to students, instructional programs, and purposes of the College.

The sabbatical leave is a central element in the faculty development program at Saint Mary's College. It exists to enable faculty members to continue to grow as teachers, thinkers, and professionals. The variety of activities appropriate for sabbatical leave support represents the wide range of departments, disciplines, areas of study, and individuals that make up Saint Mary's community.

A tenured faculty member is eligible for sabbatical leave after six years of full-time service to the College with academic rank. Eligibility for additional sabbatical leaves will occur after six years of full-time service following the return of the faculty member from the previous sabbatical. Tenured faculty holding full-time administrative appointments are not eligible for faculty sabbatical leaves. Tenured faculty who have part-time teaching appointments will accrue sabbatical leave eligibility on a pro-rated full-time equivalent basis. The sabbatical leave entitles a faculty member to full salary for one semester or one-half salary for a full-year leave. The sabbatical leave also provides faculty members with the opportunity to continue their participation in all the benefit programs of the College. Participation in TIAA-CREF will be based on the actual salary paid during the sabbatical leave.

#### b. PROCEDURE

Formal request for sabbatical leave must be made in writing to the faculty member's department chair no later than November 1 for sabbatical leave to be granted the following academic year. The proposal should contain the following in a letter not to exceed two, single-spaced pages.

- 1) The proposal should state clearly the nature of the activity to be undertaken during the tenure of the sabbatical.
- 2) Included in the proposal should be evidence to suggest the feasibility of completing the activity; for example, the proposal should briefly address potential problems and anticipated needs.
- 3) The proposal should explain how the activity will enhance the individual's development as a faculty member.

The preceding guidelines are designed to help all faculty who are applying for sabbatical leaves prepare applications that best express their intentions and provide the information necessary to make an informed evaluation. They are not offered to limit the creativity and innovation of faculty in designing professional activities. The Faculty Affairs Committee reviews the proposal and advises the Provost and Senior Vice President for Academic Affairs of the merit of its content. Copies of successful proposals are available from the Office of the Provost and Senior Vice President for Academic Affairs.

The department chair consults with all full-time faculty in the department in determining recommendations for sabbatical leave. The written recommendation should be submitted to the Provost and Senior Vice President for Academic Affairs by November 15, and should include a copy of the candidate's proposal. In the letter the department chair will indicate how the department proposes to meet the needs created by the faculty member's absence and the cost of the sabbatical leave to the department in terms of replacement salary. Ordinarily other faculty members' teaching loads should not be increased to accommodate sabbatical leaves.

The Provost and Senior Vice President for Academic Affairs, together with the President, will review the request, the department chair's evaluation, and the review of the Faculty Affairs Committee. The judgment concerning the granting of the request will be based on the merits of the proposed activity and budget considerations. The President informs the applicant of the decision in writing by December 15.

c. EARLY REQUEST FOR SABBATICAL LEAVE

A faculty member may request approval of proposed sabbatical leave activities as early as two years prior to the expected leave. Reasons for early application would include such things as additional time to search for supplementary funds, arrangement for a visiting professorship, the need to effect special arrangements for research.

If the conditions that led to the request for early approval of the sabbatical are met, that is, if the grant is received, the visiting professorship arranged, the special arrangements effected,

etc., the sabbatical leave will be granted as requested and approved. If, however, the special conditions are not met, the candidate must reapply.

d. SABBATICAL REPORT

The faculty member assumes the obligation of presenting a written report on the sabbatical leave activities to the Provost and Senior Vice President for Academic Affairs and the department. This report is to be filed within six months of the end of the leave.

2. LEAVES OF ABSENCE WITH SALARY

a. SHORT-TERM LEAVES OF ABSENCE

1) POLICY

Short absences of faculty members for personal business, illness, jury duty, military training duty, and similar limited absences normally are with full salary.

2) PROCEDURE

When practical, the department chair is to be notified in advance of absences which may affect class, laboratory, research, or other College-related commitments. The department chair and faculty member in consultation are to secure a substitute instructor if possible or if deemed necessary.

b. PARENTING LEAVE

Full-time faculty members with a tenure-track appointment of at least one year are eligible for the Parenting Leave plan after completing a minimum of one semester of their initial appointment. The College adheres to its high scholarly and educational standards, and at the same time supports the fact that a number of faculty have the dual concern of maintaining professional competency and of caring for children without harmful pressure of teaching and professional duties. Our primary concern is that a talented faculty member not be lost to Saint Mary's College because of the strains of maintaining both family and career.

The College's parenting leave policy is consistent with the following principles:

A faculty member who takes primary responsibility for the care of a newborn child or a newly adopted child while the College is in session, or near the beginning of a semester, should not feel compelled to return to work. Arrangements made in connection with the new child should disrupt the students' education and the operation of the departments as little as possible.

Pregnancy, delivery, and/or care of an infant are major events in the life of a faculty member. These events should not penalize a faculty member in pursuit of tenure.

The College offers faculty members a series of options. In consultation with the department, a faculty member may choose from the plans listed below the one most appropriate. The College includes the following policies as part of its parenting leave plan.

Tenure In the case of the birth or adoption of a child, the faculty member will be granted a one-year extension of the tenure probationary period. If he/she chooses to be considered for tenure at the normal date, the decision will be honored.

Benefits In all of the options, full benefits will continue with TIAA-CREF contribution and group life insurance prorated on the basis of salary.

Sabbatical Leave A faculty member of the rank of Assistant Professor or above who chooses one of these options acquires credit towards sabbatical on a prorated basis.

Teaching Assignment The faculty member needs to be able to negotiate an option which is workable for him/her and the department. If he/she continues to teach, every effort will be made to arrange a convenient teaching schedule. In the case that the medical leave option is chosen, the College will hire a substitute, since faculty members cannot be expected to assume a colleague's full load during an extended medical leave.

The parenting leave options include:

Plan A – Medical Leave

The faculty member takes a medical leave (typically for a six-week period for normal pregnancy and delivery) but otherwise teaches full-time. He/she draws his/her full salary and benefits for the semester. Substitutes covering classes during the absence are paid by the College.

Plan B – One semester parenting leave: half pay, full benefits

Plan C – One semester half-time teaching load: full pay, full benefits

Note: circumstances such as the actual date of birth and complications will sometimes require an extension or combination of these options over a period of two semesters.

c. LONG-TERM LEAVES AND ABSENCES

1) POLICY

Non-occupational absences of more than six months resulting from total disability may be covered through the College's participation in a group long-term disability insurance plan in accordance with the plan's provisions. Between the onset of the disability and the beginning of long-term disability payments, the College will continue the faculty member's salary and benefits, for a maximum of six months, as though that member

were still working. The salary continuation policy includes disabling maternity, illness, and disability.

The tenure status of faculty members on long-term disability is fixed at the time of the onset of the disability; i.e., tenured faculty retain tenure, untenured faculty resume their probationary period with their return to teaching. Further information on the College's long-term disability policy is available in Section IV, Faculty Personnel Policies.

2) PROCEDURE

As soon as a non-occupational disability becomes known to the department chair, the chair reports this in writing to the Dean of Faculty who in turn communicates this information to the Director of Human Resources who establishes the degree and likely duration of the non-occupational disability. The department chair consults with departmental faculty to determine how the department is to cope with the faculty member's absence and communicates this information to the Provost and Senior Vice President for Academic Affairs. If further action is required, the issue may be taken to the Grievance Committee of the Faculty Assembly.

Any work related injury must be reported immediately to the department chair and the Department of Human Resources. The department chair informs the Dean of Faculty of the accident.

d. ACQUIRED IMMUNE DEFICIENCY SYNDROME (AIDS)

Persons in the Saint Mary's community with evidence of the HTLV III antibodies or Acquired Immune Deficiency Syndrome (AIDS) will be given the same attention and understanding that is given to any individual with a serious health problem. Each case will be unique and will be addressed based on the needs of the specific situation. Every effort will be made to assist these individuals in receiving the medical and health care needed while they remain in the Saint Mary's community. If individuals are unable to perform their normal job responsibilities, a transfer to another job may be arranged, or if the individual is unable to perform any other reasonable duties, a medical leave may be granted. In keeping with accepted procedures for individuals with other health problems, every effort will be made to protect the individual's confidentiality by not revealing identifying information.

Faculty and staff are encouraged to consult their personal physicians or use the services of the Employee Assistance Program for counseling and health needs. For questions of a non-medical nature, both the Counseling Center and Campus Ministry will provide assistance.

### 3. LEAVES OF ABSENCE WITHOUT SALARY

#### a. POLICY

Leaves of absence without salary may be granted to a faculty member should the situation be deemed appropriate by the department chair and the Dean of Faculty. Appropriate reasons include professional growth, research activities, health, or family requirements. Faculty who are on long-term leave without salary are normally not eligible for continuation of benefits.

#### b. PROCEDURE

A faculty member wishing a leave of absence without salary is to submit the request to the Dean of Faculty with a copy to the department chair. The request should outline the nature of the proposed activity during the leave and such other information as would be useful in evaluating the request. In the case of a non-tenured faculty member applying for a leave without salary, the Dean of Faculty and the faculty member will negotiate whether leave time will count as probationary time for purposes of tenure. Within two weeks of the date of the request, the department chair is to send to the Dean of Faculty an evaluation of the request and department chair's recommendation. The Dean of Faculty sends written notification to the department chair and the applicant of the Administration's decision within thirty days of the receipt of the original petition.

Normally requests for leave of absence without salary are made at least six months before the beginning of the semester the leave is expected to commence. The department chair is to consult with the members of the department on how to meet the needs created by the faculty member's absence.

### **L. OUTSIDE EMPLOYMENT**

Under normal circumstances, full-time members of the faculty and part-time tenure-track faculty members are not to engage in any outside employment during the academic year. Exceptions in cases involving special circumstances may be made. In these cases faculty members must request exceptions through their department chair. Requests must contain all pertinent information related to employment. The department chair will send this request along with a written recommendation to the Dean of Faculty. The final decision will be made by the Provost and Senior Vice President for Academic Affairs and the Dean of Faculty in consultation with the President. If a favorable decision is made, it will be effective only for that particular situation.

### **M. CONFLICT OF INTEREST POLICY FOR FACULTY**

#### **Preamble**

This policy is designed to allow College Faculty to determine if a potential or actual conflict of interest, hereafter COI, exists in their professional life with respect to the financial operation of the college.

If there is a potential or actual financial or other<sup>3</sup> COI, there is an expectation that the Faculty member will disclose it so that a proper management process can be implemented. Disclosing a potential COI does not mean that the Faculty member will need to sever the relationship, but it may require the Faculty member to minimize potential problems. Overall, this is about disclosure and management, not about prohibitions.

The policy below applies to both Faculty members who engage in regular financial transaction of the college and to those Faculty members who, on occasion, might find themselves with a potential or actual financial COI. This policy and the procedures laid out herein clarify, as much as is reasonably possible, the matter pertaining to a financial COI for Faculty.

## **1. Definitions**

### *Entity*

Any person, firm, corporation, or organization that currently does business with, or is attempting to do business in the future with the College.

### *Faculty*

The Faculty of the College consists of the teaching Faculty (each of whom holds a Faculty rank and whose primary responsibility is classroom teaching), the President, the Provost and Senior Vice President for Academic Affairs, emerita/us Faculty (when employed by the College), professional librarians, and those College administrators who, through their primary responsibilities to the College are other than teaching, have been appointed to the Faculty by the President. (*Governance Manual*, Section III, p. 74). See a further description of the designated status of Faculty in the *Governance Manual*.

### *Family Member*

For the Purpose of this provision, Family Members are defined as spouses, parents, siblings, children, and any other relative if the last reside in the same household as the Faculty member.

### *Financial Interest*

The receipt or expectation of anything of greater than nominal monetary value, including salary or other payment for services, equity or other ownership interest

### *Controlling Interest*

As used in this policy, means Fifty (50%) or more ownership, directly or indirectly, of the stock of a corporation, profits interest in a partnership, or equitable interest in an estate or trust. An individual shall be considered as owning the stock, partnership interest, or estate or trust interest, owned directly or indirectly by or for their Family member, as defined in this policy.

## **2. Policy**

- A. A Faculty member shall be considered to have a conflict of interest if:

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<sup>3</sup> “other” here refers to “non-monetary stake in the outcome of a decision—for example, a personal relationship, or prestige, or career advancement.” (*AAUP Working Paper on Conflict of Interest*, page 2  
<http://www.acenet.edu//AM/Template.cfm?Section=Home&TEMPLATE=/CM/ContentDisplay.cfm&CONTENTID=26137>)

- (i) such Faculty member has actual or potential financial or other interests which impair or might reasonably appear to impair his or her independent, unbiased judgment in the discharge of his or her responsibilities to the College;
- (ii) such Faculty member is aware that a member of his or her family, or any organization in which such Faculty member (or member of his or her family) is an officer, director, employee, member, partner, trustee, or stockholder who has a Controlling Interest in such organization, and has such existing or potential financial or other interests which impair or might reasonably appear to impair his or her independent, unbiased judgment in the discharge of his or her responsibilities to the College;
- (iii) "interest" includes having interest in an organization which is in competition with and entity seeking to do business with the college and the Faculty member's position gives him or her access to proprietary or privileged information which could benefit the entity in which the Faculty member or his or her Family member has an interest.

- B. Faculty members must disclose in a timely fashion when duties exercised on behalf of Saint Mary's College bring them into business negotiations with an entity in which they or members of their family have a material financial interest or significant indebtedness.
- C. A Faculty member must disclose in advance and in a timely fashion his or her participation in decisions or actions on behalf of Saint Mary's College which may result in personal gain greater than normal value for the Faculty member of the Faculty member's family.
- D. Faculty members also have a duty to disclose all solicitations to or offers from entities outside the College for financial support for their programs of study or research/scholarship. Faculty members involved with the design, conduct, or reporting of research or educational scholarly activities supported by outside funding of any significant value must disclose this involvement.
- E. The policy disallows the following unless approved in advance by the Provost and Senior Vice President for Academic Affairs:

Acceptance of gifts, entertainment, payments, loans, or favors of greater than nominal value involving more than social amenity from suppliers or goods or services to the College or from persons associated with or seeking association with the College.

### **3. Procedures**

#### **A) Disclosure**

##### *(i) Faculty authorized to engage in regular financial transaction*

Faculty authorized to sign for expenditures, acting as principals on grants, or involved in making purchases on behalf of the College are required to complete a "Faculty Conflict of Interest Disclosure Form." The forms are kept in the Purchasing Office. These individuals are under an obligation to update information on this form annually.

##### *(ii) All other Faculty*



All other Faculty members shall disclose to the College in advance and in a timely fashion *potential and actual* conflicts of interest on the Faculty Conflict or Interest Form.

(iii) *Uncertainty regarding a potential conflict of interest*

Any Faculty member who is uncertain whether a conflict of interest may exist in any matter will discuss said matter with his or her Chair. The Faculty member's Chair will consult with the Provost and Senior Vice President for Academic Affairs regarding the need for the Faculty member to further disclose said matter on the disclosure form.

B) Resolution

The Provost and Senior Vice President for Academic Affairs, in consultation with the Faculty Affairs Committee of the Faculty Assembly and the Vice President for Finance and Administration, shall determine if a potential or actual financial conflict of interest exists for a Faculty member (as defined in 2 above). If such a conflict is found to exist, an acceptable management plan or other appropriate means for resolving actual or potential financial conflicts of interest will be developed by the Faculty member in consultation with the Department Chair and Provost and Senior Vice President for Academic Affairs.

- C) If a Faculty member wishes to appeal the determination of a potential or actual conflict of interest, he or she may do so to the Grievance Committee of the Faculty Assembly.

**Saint Mary's College Faculty Conflict of Interest Disclosure Form**

Definitions: See the attached policy for definitions of:  
'Entity', 'Faculty', 'Family Member', 'Financial Interest', and 'Controlling Interest'

- 1. To the best of your knowledge, have you or a Family Member:
  - a. performed any work or services for organizations doing business or seeking to do business with the College in the past year?
  - b. permitted your name to be used in a business connection with organizations doing business or seeking to do business with the College in the past year?
  - c. participated in decisions or actions on behalf of the College which may result in personal gain of greater than nominal value?
  - d. had an ownership interest in organizations doing business or seeking to do business with the College in the past year?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please explain

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- 2. To the best of your knowledge, do you or a Family Member presently or in the future intend to:
  - a. perform any work or services for organizations doing business or seeking to do business with the College?
  - b. permit your name to be used in a business connection with organizations doing business or seeking to do business with the College?
  - c. participate in decisions or actions on behalf of the College which may result in personal gain of greater than nominal value?
  - d. have an ownership interest in organizations doing business or seeking to do business with the College in the past year?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please explain

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- 3. Have you or your family received gifts or entertainment of greater than nominal value, payments, loans, services, or favors involving more than social amenity from suppliers of goods or services to the College or from persons associated or seeking association with the College?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please explain

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4. Have you or your family used confidential or privileged financial information acquired in the course of employment at the College for non-College purposes?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please explain:

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**CERTIFICATION:** I certify that the above information is true to the best of my knowledge and that I have read and agree to be bound by the College's Faculty Conflict of Interest Policy. My submission of this form constitutes certification of compliance with the College Policy.

Name (print):

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Signature:

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Position:

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Date:

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## **N. PROCEDURES FOR AMENDING FACULTY POLICIES AND PROCEDURES**

The President determines faculty policies and procedures only after consultation with the Provost and Senior Vice President for Academic Affairs. The Faculty may also propose changes directly to the President. The Provost and Senior Vice President for Academic Affairs ensures that this section of the *Governance Manual* is kept up to date.

**SECTION IV**  
**FACULTY PERSONNEL POLICIES**

## A. FACULTY SALARY: POLICIES AND PROCEDURES

### 1. SALARY

#### a. FULL-TIME FACULTY

The College strives to maintain faculty salaries at levels that are at or above those at other liberal arts institutions. Variations in salary exist depending upon the academic qualifications and experience of a faculty member, the faculty member's discipline, and the College's evaluation of the individual.

#### b. PART-TIME FACULTY

##### 1) TENURE-TRACK

The salary for a member of the tenure-track faculty on a part-time appointment shall be the proportionate share of the appropriate salary for a full-time appointment.

##### 2) NONTENURE-TRACK

Remuneration for part-time faculty normally follows a schedule which is based on performance and the number of years of service at Saint Mary's College.

### 2. SALARY PROCEDURES AND POLICIES

#### a. GENERAL PROCEDURES: COLLEGE

To assist the Administration in formulating its salary budget proposal, the Faculty Compensation Committee of the Faculty Assembly prepares a detailed report on the economic status of the faculty. This report normally includes data reflecting the general pattern of the economic status of the profession, the relationship of the Saint Mary's faculty to the profession, and special economic consideration. The report concludes with a set of specific recommendations to the Administration. This report is presented to the Faculty Assembly for its consideration. After consultation with the Faculty Compensation Committee of the Faculty Assembly, the Administration designates portions of the increase in the faculty salary budget to such categories as cost of living, equity adjustment, academic rank differential, and merit. Preliminary budget parameters are presented to the Board of Trustees at its fall meeting. The salary portion of the College budget is approved by the Board of Trustees (or the Executive Committee) at its winter meeting. The final budget is approved at the spring meeting of the Board of Trustees. Following preliminary approval of the College budget, the Provost and Senior Vice President for Academic Affairs informs the department chairs of the percent being allocated for cost of living, merit, and other salary adjustment.

b. GENERAL PROCEDURES: INDIVIDUAL SALARY DETERMINATION

Faculty salaries are reviewed annually. Planned cost of living adjustments are approved by the Board of Trustees and take effect January 1 of the following academic year. Adjustments related to promotion are made in the context of the President's appointment to the new rank.

c. NOTIFICATION

During the first week of March each faculty member on a continuing appointment receives a letter from the Provost and Senior Vice President for Academic Affairs confirming rank, tenure, status, and salary for the coming academic year. The notification also includes a statement of inclusive dates of that academic year. Department chairs receive a statement of the salaries for all faculty in their departments.

d. APPEAL

Faculty who wish to appeal their salary must do so within thirty days of their salary notification. Appeals must be in writing to the President of the College.

e. PAY OPTIONS AND PAY SCHEDULE

Full-time faculty and part-time tenure-track faculty have the option of being paid on a ten or twelve month schedule. Those who do not indicate a preference are paid on a ten month schedule. Revisions in the method of payment can be made only by the faculty member in any year from May 1 to August 1. Faculty are paid on the first of the month beginning on the first of September. If the first falls on a holiday or a weekend (except for January 1st), the pay date will be the last banking day before the first of the month.

f. PAYROLL PROCEDURES

Earnings statements, available for review on-line, show deductions, such as for federal, state, and Social Security taxes, and any appropriate deductions for group insurance or voluntary payroll deductions plans. New faculty must complete federal and state tax withholding forms and choose benefit coverage before they receive their first earnings statement. These forms are sent to the faculty member from the Human Resources Office. If there are any questions about these forms or the process, they should be directed to a representative of the Human Resources Office. Faculty members' pay is direct deposited in a bank of the faculty member's choosing. A branch of the 1st Source Bank is located in the Student Center for convenience. Forms to open an account are available by contacting the bank directly.

g. PROMOTION INCREASES

It is the general policy of the College to grant special salary increases to faculty members upon their promotion. The President, in consultation with the Provost and Senior Vice President for Academic Affairs, sets the promotion amount.

h. CHAIR STIPEND

In addition to a reduction in teaching load, department chairs receive a stipend which is added to their salary.

i. FINAL PAYCHECK – FACULTY AND FACULTY ADMINISTRATORS

When an individual terminates employment with the College, all College property must be returned, his/her office vacated, and all outstanding obligations to the College satisfied by the conclusion of the final day worked. In the case of faculty terminating at the conclusion of an academic year, this is assumed to be June 1 and for those terminating at the conclusion of the fall semester, January 1. The employee is responsible for securing clearance from each of the offices involved. The obligations include keys credit cards, College I.D., any equipment assigned to the employee, and satisfaction of Morrissey Loan balances. Keys are to be returned to the Maintenance Department, credit cards and Morrissey Loan balances settled at the Business Office, the I.D. card returned to the Human Resources Office, and the Office of the Provost and Senior Vice President for Academic Affairs notified that the office has been vacated. A check form for this purpose is available in the Human Resources Office.

## **B. BENEFITS: FULL-TIME FACULTY**

### INTRODUCTION

The benefits described in this section pertain to full-time lay faculty and part-time, tenure-track lay faculty of the College unless otherwise noted.

1. LIFE INSURANCE

Faculty members are covered on the first day of their academic appointments with a life insurance and accidental death and dismemberment policy equal to two times the individual's annual base salary rounded to the next highest \$1,000 to a maximum of \$50,000. The College pays the entire premium for the basic insurance.

Faculty members may also elect to purchase supplemental life insurance equal to one, two, three, four, or five times the individual's annual base salary rounded to the next highest \$1,000 to a maximum of \$500,000. If faculty members elect not to participate in the supplemental plan when it is initially offered, they must present the insurance company with evidence of insurability prior to being admitted to the plan at a later date. There is no guarantee that the insurance company will



extend coverage to faculty members who do not take this option within thirty days of the beginning of their appointment.

Faculty who leave the College at age 55 or older after 10 or more years of continuous service and who have coverage under the life insurance plan are provided with College paid life insurance in an amount equal to one-half of the base annual salary up to a maximum of \$10,000.

2. LIFE INSURANCE: COLLEGE TRAVEL POLICY

When traveling on official College business, faculty are covered by an accidental death and dismemberment policy. The amount of payment in cases of accidental death varies according to salary, but in no case is less than \$25,000. The College pays the entire premium.

3. MEDICAL AND DENTAL INSURANCE

a. ELIGIBILITY

Immediately upon employment, full-time and part-time faculty members are eligible to enroll in a group health and/or a group dental benefit plan. The plan benefits are available on a single or family plan basis. The family plan covers the faculty member's spouse and his/her dependent children up to age 26.

Eligible faculty members usually enroll in the plans when they are first offered. If a faculty member does not elect coverage when first eligible, she/he can apply for coverage only during open enrollment in May of each year unless there has been a lifestyle change. A request for a change in coverage because of a change in lifestyle status (*e.g.*, spouse with coverage loses insurance, marriage, divorce) may be submitted at any time during the year. Because of the pre-tax nature of premium payments, a faculty member may only cancel health and/or dental coverage effective June 1 unless there is a lifestyle status change.

b. COST

The College pays the majority cost of the health premium and half the cost of the dental premiums for full-time faculty. The specific amount of premiums paid by the faculty member is announced by June 1 of each year

c. TERMINATION AND CONTINUATION OF HEALTH INSURANCE

Medical and/or dental coverage for full-time faculty members starts at the beginning of their first semester and ends at the start of the academic semester following their departure from the College.

Faculty members on the College's payroll as of July 1, 2005 may be eligible to continue participation in a Retiree Health Care Plan if they:

- are at least 55; and have accumulated 15 or more years of service at retirement; or
- obtain age 55 or greater and satisfying a Rule of 70 which means that the sum of the faculty member's age and years of continuous service equals 70 or greater.

Retirees must pay the full cost for dental coverage.

Information is available in the Human Resources Office describing the benefits provided under these plans.

4. UNEMPLOYMENT COMPENSATION

All faculty members are covered by provision of the Indiana Employment Security Act. This Act provides for weekly benefits in certain circumstances for individuals who are without employment. The Act is administered by the Employment Security Department of the State of Indiana which can advise employees as to their rights and responsibilities under the Act.

5. WORKER'S COMPENSATION

The College provides coverage under the Worker's Compensation Act of the State of Indiana for every faculty member and employee on its payroll. People who suffer injury on the job, no matter how minor, should report the incident in writing to the Human Resources Office within 24 hours of its occurrence. If faculty lose time from their jobs as a result of an on-the-job injury or illness, they may be eligible for Worker's Compensation.

6. LONG-TERM DISABILITY

Full-time faculty are covered immediately by fully paid long-term disability insurance. If the application for benefits is approved by the insurance company, this insurance provides disability income payments which equal 60% of base salary up to a maximum limit per month. Payments commence on the first day of the next month following six months of disability. The amount of the disability income payment is offset by the individual's Social Security disability payment, Workers' Compensation payment, and any payment received from another employer-financed disability plan. Contributions to the retirement plan will be made on their behalf by the insurance company when a faculty member is totally disabled (as determined by the insurance company), receives a

total disability monthly benefit from the insurance company and is an eligible participant in the College's Defined Contribution Retirement Plan for Faculty and Administrators.

During the period between the onset of disability and the start of the seventh month of disability, the College will continue the individual's salary at a monthly rate equal to 1/12 of the current contract salary with a maximum payment of 50% of contracted salary. Periods of disability that last less than a full month will be paid on a prorated basis according to the following formula: number of work days divided by total work days in a month times 1/12 of the current contract salary.

If Social Security disability payments begin while the employee is receiving College paid salary contribution payments, the amount of salary payment will be reduced by the amount of the Social Security disability payment received. The salary contribution policy covers any disabling illness including disabling maternity. The College retains the right to request medical verification of a condition of disability. (See also: Leave of Absence: Long-Term Leaves.)

During the first two years of disability, life insurance benefits are continued. The premium is paid by the College and the amount of insurance is equal to two times the contract salary in effect at the onset of the disability, up to a maximum of \$50,000. If the faculty member carried supplemental life insurance prior to the onset of disability, it may be continued if the premium is paid by the faculty member. At the end of 12 months, College paid coverage will cease, but the faculty member can convert to individual coverage. Additionally, if the faculty member has at least ten years of service and is age 55, he/she will be eligible for paid up life insurance in the amount of one-half of salary up to a maximum of \$10,000.

During the first six months between the onset of the disability and the beginning of disability coverage, health insurance benefits will be continued on the same basis as for active employees. After the six month COBRA coverage may be elected for the period of COBRA eligibility. The College will reimburse the faculty member for his/her individual coverage. Family COBRA coverage is at the faculty member's expense. The rate will be adjusted whenever the rate for active employees changes. Faculty meeting the eligibility requirements for retiree medical coverage are eligible for coverage under the Retiree Health Plan. Faculty not eligible for the Retiree Health Plan who have at least ten years of service at the time of the disability, are a current participant in the health plan at the time of disability, are not eligible for participation in another employer-sponsored group health plan, may continue coverage as long as they pay the full monthly premium.

## 7. COLLEGE RETIREMENT PLAN

### a. ELIGIBILITY

Full-time faculty members are eligible to participate fully in the College's retirement program provided they have completed two academic years as full-time faculty in the rank of instructor or above at Saint Mary's College or at another institution of higher education.

Faculty members who do not meet the criteria listed in about are eligible to participate in the retirement program under one of the following options:

- 1) If the employee agrees to make a contribution equal to 6% of the employee's contracted salary, the College will match 6% contribution until such time as the employee is eligible for a full contribution by the College;
- 2) If the employee chooses not to make a matching contribution, the College will make a contribution equal to 3% of the employee's contracted salary until fulfilling the waiting period for full participation in TIAA/CREF.

### b. CONTRIBUTION OPTIONS

When the eligibility requirements have been met, the College will make a contribution of 10% of the faculty member's base salary to this retirement plan. The faculty member determines the allocation of these contributions between TIAA and CREF.

Additional voluntary supplemental contributions are also encouraged under the plan. The portion contributed by the individual may be deposited in a separate Supplemental Retirement Annuity with TIAA or CREF.

### c. TIAA-CREF ANNUITIES

Teachers Insurance & Annuity Association (TIAA) and its companion, College Retirement Equities Fund (CREF), offer several premium allocation options. Specific information on the several options offered is available in the Human Resources Office.

Under TIAA-CREF retirement plans the faculty members own the annuity contract, including all benefits purchased by their own and Saint Mary's contributions. If faculty members change jobs, they retain all Saint Mary's accumulated contributions as well as their own.

The retirement plan also gives the participant a salary or annuity option through which the individual's contributions can be increased by written agreement. Under this agreement the individual's salary is reduced, and the College pays the amount of the reduction to TIAA-CREF. The amount a participant can contribute is regulated by law. The value of the option lies in the fact that amounts so contributed are currently tax-free to the participant. The option may be elected at any time. There is no waiting period.

The amount of income received at retirement depends upon several factors such as the size of accumulation, when payments begin, age at retirement, and the age of a spouse if a survivor option is chosen.

During a sabbatical leave, the College continues its contribution on the basis of the amount of salary actually paid.

d. INFORMATION

More detailed information on these plans and the faculty member's options can be obtained from the Human Resources Office or by writing or calling TIAA-CREF directly at:

Teachers Insurance & Annuity Association/College Retirement Equities Fund  
730 Third Avenue  
New York, New York 10017  
Telephone Number: 800-842-2733

Forms for enrollment in the regular TIAA-CREF retirement plan, the Supplemental Retirement Annuity, and forms for address changes or allocation of benefits between TIAA and CREF are also available in the Human Resources Office.

8. SOCIAL SECURITY: FEDERAL INSURANCE CONTRIBUTIONS ACT

Faculty members of the College are automatically covered by the Federal Insurance Contributions ACT (FICA). The College pays one-half of the current tax charged by the program and the faculty member pays the other half through payroll deductions. The amount of tax is regulated by federal law.

9. EDUCATIONAL BENEFITS FOR UNDERGRADUATE STUDIES

a. SAINT MARY'S COLLEGE COURSES AND PROGRAMS

1) ELIGIBILITY

- Full-time and part-time tenure-track members are eligible to take courses at Saint Mary's College without tuition charge, provided the entrance requirements for the courses are met.
- Spouses and dependent children of full-time faculty members may attend Saint Mary's College without paying tuition if the regular admission requirements are met.
- Spouses and dependent children of retired, disabled, or deceased faculty members who:

- served the College as full-time faculty members for at least eight years and who
  - served on the faculty at the time of retirement, disability, or death, may attend Saint Mary's College without paying tuition if the regular admission requirements are met.
- Dependent children of eligible faculty may also take one three-hour class, without tuition charge, in a summer program offered by the College.
  - Males covered by these policies are eligible to take classes but are not eligible to receive degrees from the College.
  - Tuition does not include any laboratory or special course-related fees.
  - Students who participate in the overseas program at Saint Mary's College will be eligible for waiver of an amount equal to the tuition charge in effect on the home campus.

2) PROCEDURES

To be eligible for tuition remission at Saint Mary's College, the spouse or child must comply with all institutional policies in effect on the date of enrollment with respect to financial aid and supplemental financial assistance. Contact the Financial Aid Office for details on financial aid.

b. NOTRE DAME COURSES

Unmarried, dependent sons and daughters of full-time and part-time tenure-track faculty members may attend the University of Notre Dame with a waiver of part or all of tuition, provided they meet the regular admission requirements of Notre Dame and are accepted as undergraduate students. The amount of the grant is subject to the same rules and regulations that the University applies to children of its faculty. The total number of credit hours available to the College for this program is limited. This program is, therefore, reviewed regularly and is subject to modification or termination. If the program is terminated, Saint Mary's College assumes no financial obligation for continuing studies at the University.

c. TUITION GRANT PROGRAM

This program, entitled the “Saint Mary's College Tuition Grant Plan,” provides the opportunity for unmarried, dependent children of tenured faculty members to attend institutions of higher education other than Saint Mary's or Notre Dame. Under the provisions of this plan, children of full-time tenured faculty members and who are enrolled in undergraduate programs at institutions of higher education are eligible for the lesser of the following two amounts:

- The tuition at the institution attended, or one-third of the current tuition charge for full-time students at Saint Mary's College for that academic year.
- An amount equivalent to one-half of this benefit is available to eligible children of part-time tenured faculty members.

In order to be eligible for the tuition grant, the prospective students and parents must apply for all grants and scholarships from any source for which they might be eligible, including state, federal, and institutional awards. Amounts received for tuition from these sources or any other source must be deducted from the total tuition before the College's grant is determined. Grants are available for a maximum of eight semesters of undergraduate study, or their equivalent. The period of study need not be consecutive. Grant payments will be made directly to the institution attended on a per term or semester basis. The grant also applies to courses taken during summer sessions.

Children will continue to be eligible for this grant as long as the parent remains on the faculty of the College. Their eligibility will not be terminated in the event of death, total disability, or retirement of the parent. Application for the grant is made through the Director of Human Resources.

#### d. CONSORTIUM PROGRAMS

Saint Mary's College currently participates in two tuition exchange programs, the Council of Independent Colleges (CIC) Tuition Exchange Program and the Catholic College Consortium (CCC) Tuition Exchange. These tuition exchange programs allow students to receive tuition benefits, usually for the full tuition charge, at other participating colleges and universities.

Any full-time employee is eligible to apply for a tuition exchange award for themselves or for their dependent children. Note that the tuition exchange awards are funded by the college or university the student will attend, and that institution determines their selection criteria and selects the tuition exchange recipients. An award is not guaranteed and the selection process is usually competitive.

More information can be found at [www.cic.edu/tep](http://www.cic.edu/tep) and [www.cccte.org](http://www.cccte.org)

## 10. MOVING EXPENSES AND MOVING ASSISTANCE

### a. EXPENSES

At the time of initial appointment, the College will pay up to 10% of the faculty member's starting contract salary with a maximum of \$5,000 toward moving expenses. This money may be used for anything which the Internal Revenue Service allows as a moving expense deduction. In some cases the College will allow additional money for moving, but in these cases additional restrictions may be imposed on how the money may be spent. The amount of money allowed and the conditions under which it may be spent are determined by the Dean of Faculty and included in the letter of initial appointment. Receipts for all claimed expenses must be submitted to the Dean of Faculty after the move is completed.

### b. ASSISTANCE

Several faculties have organized a faculty group to assist those who are moving. This group offers assistance to all faculty especially those who are moving their own goods and property. Those who desire to avail themselves of the free service should call the Chair of the Faculty Assembly for further information.

## **C. BENEFITS: RETIRED FACULTY**

### 1. RETIREMENT POLICY

Policies regarding retirement will be found in the section on Termination of Service.

### 2. BENEFITS

a. The following benefits accrue to emerita/tus faculty and tenured retired faculty at retirement:

#### 1) TIAA-CREF

At retirement, TIAA-CREF and Social Security, which had been benefits, takes the place of salary. Both plans are very complex, and securing maximum benefit takes careful planning. The provisions of Social Security are constantly changing. Faculty members may obtain help in their planning from TIAA-CREF, the Social Security Administration, and from the Human Resources Office.

#### 2) MEDICAL INSURANCE

#### 3) LIBRARY PRIVILEGES

a) Library privileges as faculty will continue at both the Cushwa-Leighton Library and the Hesburgh Library.



- b) Carrel in the library – Emeriti faculty are eligible for a faculty carrel on the First Mezzanine of the Library if one is available.
  - i. The priorities for use of these spaces are (1) Saint Mary’s College current faculty members with research needs for a defined period, usually a semester and/or summer; (2) Saint Mary’s College faculty members who are on sabbatical leave for the duration of their sabbatical project; (3) Emeriti faculty or tenured retired faculty members who are under contract, for the duration of their letter of appointment period; and (4) Emeriti faculty or tenured retired faculty annually renewable so long as the space is actively being used.
- c) Carrels are currently equipped with a phone, desk, file cabinet, and chair. The carrel will be equipped with a desktop computer, replaced every three years in the rental cycle. Carrel computers will be either a PC or a Mac. If an emerita/tus or tenured retired faculty has an individual printer, she/he may bring that to the carrel. (Printing supplies are the responsibility of the individual.)
- d) Emeriti faculty or tenured retired faculty, who are allocated a faculty carrel in the library are allocated a key only to the individual office space, not the building. They will use their carrel during regular library hours.

4) TECHNOLOGY

- a) Computer, printer, and currently accessed email and network services - The emerita/tus or tenured retired faculty member may request to retain her/his college-owned computer (desktop or laptop).
- b) Depending on the age of the computer, the emeriti faculty member may be asked to buy it at a reasonable cost from the College (since the College would ordinarily re-purpose younger computers to other spaces on campus).
- c) User ID, email and network access currently available to faculty will also be retained. Access to network printing to public computers using the Print Limit quota is under discussion.

5) DISCOUNTS

Discounts at events, bookstore, and dining hall continue.

6) EDUCATIONAL BENEFITS

The spouses and unmarried, dependent children of retired faculty members are eligible for the same undergraduate educational benefits for which they were eligible on the date of the faculty member's retirement if the faculty member had at least 8 years of service with the College. An exception to this is that the tuition exchange programs are not available to retired faculty.

7) COLLEGE ID AND ACCESS

College identification card – Current cards will be retained and updated with appropriate access.

8) PARKING

Parking privileges will be retained.

9) PHONE LISTING

Listing in phone directory will continue unless otherwise requested.

b. The following benefits are to be determined by the Chair of the Department:

1) STAFF SUPPORT

Staff support in the department – On a limited basis, as long as resources are available.

2) SUPPLIES

Supplies, if available (*e.g.*, department letterhead to write references for students).

c. The following additional benefits accrue to emeriti/tus faculty and tenured retired faculty who are under contract (i.e. sign a letter of appointment as an adjunct faculty or for non-teaching duties).

1) SPACE

Office space, lab space, studio space in the department, as determined by the Chair.

2) BUILDING ACCESS

Access to the building in which office space resides (except Cushwa-Leighton Library).

3) PRINTING AND COPYING

Printing and photocopying in department.

4) PHONE

Access to phone in department

5) STAFF SUPPORT

Staff support from department assistant for contracted task.

6) STORAGE

Storage space on campus, if needed for contracted task.

7) ELECTRONIC FILES

Maintenance of electronic files on H drive.

**D. BENEFITS: FACULTY MEMBERS ON LEAVE**

1. SABBATICAL LEAVES AND OTHER LEAVES WITH SALARY

a. BENEFITS

Faculty members on sabbatical leave and those on other leaves with salary, continue their participation in all of the benefit programs of the College at a level based upon their annual contracted salary. For purposes of medical and dental insurance and educational benefits, these faculty members are treated in the same manner as full-time active faculty. The College's contribution to TIAA-CREF will be based on 10% of the actual salary paid during the sabbatical leave.

b. SERVICES AND FACILITIES

Faculty members on sabbatical leaves and those on other leaves with salary may retain their offices and retain access to supporting services (secretary, telephone, duplicating, etc.) with the understanding that consideration is given to those who replace them in their teaching.

2. LONG-TERM LEAVES WITHOUT SALARY

a. BENEFITS

Faculty members who are on long-term leaves without salary for professional growth, research activities, or for health or personal reasons, are normally not eligible for continuation of benefits.

b. SERVICES AND FACILITIES

Faculty members on leave without salary may negotiate with their chair and the Provost and Senior Vice President for Academic Affairs on the services and facilities that will be available to them.

## E. CONDITIONS OF EMPLOYMENT

### 1. TEACHING LOAD

The normal course load for faculty is seven courses per year or the near equivalent, with four courses taught one semester and three during the alternate semester. The Dean of Faculty, after consultation with the department through its chair, determines the actual number of courses, credit hours, amount of studio, laboratory, or classroom time, and class size requirements for faculty in each department. The Dean of Faculty tries to ensure that faculty teaching loads are distributed as evenly as possible.

The teaching loads of faculty members are reduced in various circumstances. Although these reductions are stated in terms of courses, they are interpreted by departments in the same way as the basic requirement. Department chairs receive a one course reduction each semester. Sources outside the College and the College Faculty Development Program may also fund reduction in teaching load. It is the responsibility of the department to integrate load reductions into its program. Other faculty members in the department are not expected to carry additional teaching responsibilities to accommodate load reductions.

### 2. TRAVEL POLICY: PROFESSIONAL CONFERENCES

#### a. EXPENSE COVERAGE

The College encourages attendance at and participation in professional meetings in the belief that both the College and the faculty member benefit.

Every faculty member is entitled to an expense allowance for one professional meeting a year. The College pays full expenses up to a limit of \$1,200 if the faculty member participates in the program (*e.g.*, by delivering a paper, chairing a session, serving as a formal discussant on a panel, serving as a member of a formal council or committee), and one half of the expenses up to a limit of \$600 for attendance at a meeting. If a faculty member attends a professional meeting as an officer of the College, or to recruit faculty, the College pays all expenses.

#### b. TRAVEL ARRANGEMENTS AND VOUCHERS

The necessary arrangements due to one's absence are made with the approval of the department chair.

To obtain travel funds, the faculty member completes the "Travel Request Form" available from the department chair or from the Dean of Faculty at least two weeks prior to departure. If a faculty member is participating in the program, a copy of the program or other evidence of participation must accompany the request. The form is submitted to the department chair who approves full or half expenses and certifies that this is the faculty member's trip in a given year. The chair sends the form to the Provost and Senior Vice President for Academic Affairs

reviews the request and, if approved, forwards the form to the Business Office which will issue a cash advance of up to \$200. The faculty member may opt not to receive an advance payment.

At the conclusion of a trip, faculty members resubmit to the Business Office the "Travel Request Form" with receipts and an accounting of all expenses. Faculty members receiving prepayment of travel expenses must reimburse the College if expenses were less than estimated.

### 3. Travel Reimbursement Policy

- a. Advance Approval – All College related travel requires an Employee Travel Expense Report form indicating advance approval by the appropriate department supervisor prior to the travel date. Any exceptions to this rule need prior written approval of the division Vice President, the President, or the Vice President for Finance and Administration.
- b. Transportation – Travelers are encouraged to compare all of the costs associated with each mode of transportation and select the one that is the most cost effective. While traveling on College Business in any vehicle, the driver and passengers must comply with all applicable laws, including the wearing of seat belts. Travelers should also avoid the use of cell phones while driving.

**Authorized** – College drivers are defined as those persons, at least 18 years of age, including all College authorized officers, members of the Board of Trustees, faculty, staff, students, or volunteers from the using department. Drivers using leased vehicles must be at least 21 years of age; drivers using vans and buses must be at least 25 years of age.

Drivers of College vehicles are required to have a current, valid Indiana or other State driver's license, with no suspensions. Drivers of buses must have a commercial driver's license (CDL). A photocopy of the valid driver's license is retained by **the Purchasing Department. Driving records of all drivers of College use vehicles are subject to verification by the College through State Departments of Motor Vehicles.**

College gas credit cards should be used for fuel whenever possible because the College is exempt from the gasoline tax, and the gas companies affiliated with the College automatically deduct the gasoline tax from the monthly invoice. Also, the number of gallons purchased must be recorded on the charge slip for the College to be exempt from the gasoline tax. College procurement cards should only be used for gasoline when a gas company for which the College has a credit card is not available.

- 1) *College Vehicles* – Individuals traveling for the College may consider the use of certain College owned, Department controlled, vehicles for College business, when appropriate and when available. Admission has a small automobile, and Athletics has one van limited to 10 passengers and one minibus limited to 14 passengers. These vehicles may be made available when not in use by the controlling departments. There is no charge for such use other than the cost of gasoline used. The vehicles must be returned with replacement gasoline and with clean interiors free of debris. Use of College vehicles is restricted to neighboring Midwestern states.
- 2) *Rented Vehicles* – Travelers may be reimbursed for a rented vehicle and for gasoline purchases while on official College business. College guidelines do not provide for reimbursement for luxury vehicles. **The College has contracted with Enterprise for the rental of automobiles and vans. The College has a business account with Enterprise and receives discounts on all rentals. The Purchasing Department** should be contacted to arrange for the rental vehicle. Rentals obtained through the Purchasing Department should be noted as “College Vehicle” on the Travel Expense Report.

Travelers using commercial transportation (i.e., air, train, or bus) may be reimbursed for a rented vehicle and for gasoline purchases while on official College business in conjunction with the commercial transportation. Prior approval of your division Vice President, the President, or the Vice President for Finance and Administration is required.

- 3) *Personal Vehicles* – Personal vehicles may be used if College vehicles are not available for a particular trip or with prior written approval of your divisional Vice President. A traveler who uses a personal vehicle will be reimbursed at 80% of the authorized current federal rate, which will be updated annually, for the actual driving distance.
- 4) *Airfare* – Travelers may be reimbursed for the lowest, non-stop coach class airfare and are encouraged to take advantage of advance reservations discounts. Travelers are also encouraged to consider discounts for extending the trip to include a Saturday night stay. The cost of additional meals and lodging resulting from the extended stay, however, must be weighed against the savings realized from the discounted airfare. The traveler should include a statement regarding the cost comparison and potential for savings by extending the trip. Airline tickets may be prepaid through the department, if the arrangements are made through the on-campus travel office.

- 5) *Ground Transportation to/from Airports* – A traveler using a person vehicle may be reimbursed for the mileage to/from the air terminal, but the reimbursement may not exceed the mileage using the workplace as the point of departure/return. Airport parking charges are a reimbursable expense. If the traveler is not able to leave his/her vehicle at the airport, mileage for two round-trips will be reimbursed for the traveler’s drop-off and pick-up, along with reasonable short-term parking charges.
  - 6) *Other Transportation Expenses* – For travel between business locations, travelers are encouraged to choose the most cost effective means of ground transportation available and will be reimbursed for shuttles, taxis, local mass transit, and reasonable charges for limousine services based on comparable modes of transportation. Other reimbursable transportation expenses include parking, bridge, highway, and tunnel tolls.
- c. Travel Meals
- 1) Reimbursable Meals – Meals incurred while traveling on College business will be reimbursed to the traveler on a per diem basis only when overnight travel takes place at a rate based on the Federal Standard Meal Allowance. Contact the Accounts Payable Department for current rates. Tips and gratuities must be covered with the per diem funds. Meals that are included in a conference fee are not reimbursable.
  - 2) Non-Reimbursable Meals – When the business travel does not include an overnight stay and a traveler’s meal does not qualify as a “Business Meal” (see below), the meal is defined by the IRS as “personal.” Personal meals do not qualify for reimbursement under these guidelines.
- d. Business Meals – Business meals, entertainment, and other business-related expenses that occur during travel will be reimbursed at the actual cost provided that:
- 1) the expense was incurred as part of the ordinary and necessary College Business;
  - 2) the expenditure was not lavish or extravagant; and
  - 3) there was a substantial business discussion during, directly before, or directly after the meal or event. These meals or events must include at least one non-College employee to be considered business-related. The traveler must include the following documentation: 1) the original itemized receipt; 2) names and affiliations of attendees; and 3) the business purpose of the meeting meal or event. If a business meal is claimed, then the traveler will not be reimbursed the per diem for that particular meal.
- e. Lodging – Travelers will be reimbursed at the actual reasonable single room rate; including applicable taxes, for College business that is conducted more than 50 miles from campus. The appropriate supervisor determines reasonableness of the lodging

rates. If the traveler is attending a conference, it is appropriate to stay at the hotel that is hosting the conference. If the hotel requires prior financial commitment (*e.g.*, prepayment for one night or credit card guarantee), the traveler is responsible for notifying the hotel of a cancellation and will not be reimbursed for the penalty, if he/she fails to make the cancellation notification. The traveler's supervisor may approve an exception if the failure to notify the hotel of the cancellation is due to extenuating circumstances beyond the traveler's control.

- f. Other Reimbursable Expenses – Travelers may also be reimbursed for actual reasonable telephone, fax, copying, computer connection, and other business costs. Registration fees necessary to attend a conference or meeting are also reimbursable. The College will reimburse the cost of one personal call home for each night away from home on College travel. The length of personal calls should be reasonable.
- g. Non-reimbursable Items – Personal expenses will not be reimbursed by the College and should not be reported on the Travel Expense Report. Non reimbursable items include (but are not limited to):
  - 1) Alcoholic beverages
  - 2) Personal entertainment expenses (*e.g.*, airline headsets, movies, tours, sporting events)
  - 3) Traffic fines, parking tickets and court costs
  - 4) Lost and overweight baggage
  - 5) Personal auto repairs, personal credit cards and annual fees, personal telephone charges
  - 6) Insurance for rental vehicles
  - 7) Medical expenses
  - 8) Additional life insurance
  - 9) Meals associated with trips that have no overnight stay.
- h. Prepayments and Cash Advances – Travel advances should be requested using the Employee Travel Expense Report form at least two (2) weeks prior to the date when an advance is needed. The maximum amount of an advance will be \$200 per trip. The advance check is written the Thursday closest to the date of departure. Purchase Orders, College credit cards, check requests, or personal credit cards should be used to reserve hotel rooms and to pay for registration fees. Some states waive the state tax on the room charge for non-for-profit organizations. A separate tax exempt form pertaining to the College may be needed and can be obtained from the Business Office. Reimbursement for use of a personal car will be made after the trip when the actual expense report is completed and should not be requested as part of an advance.
- i. Reporting and Documentation of Expenses – The traveler may request reimbursement for travel-related expenses by completing the Employee Travel Expense Report. The Employee Travel Expense Report should be forwarded to the signature authority for the account being charged or the traveler's supervisor for



their review, approval, and signature. The approved Employee Travel Expense Report should be submitted to the Accounts Payable Office with ten (10) business days of the completion date of the trip.

The following documentation is required to substantiate expenses for reimbursement:

- 1) *Air/Rail/Bus* – Original passenger receipt or e-ticket printout
- 2) *Lodging* – Original itemized hotel bill (including telephone calls) providing proof of payment
- 3) *Car Rental* – Original rental agreement providing proof of payment
- 4) *Business Meals/Entertainment* – Original receipt plus names of the individuals present, business affiliations, business purpose of the meal meeting, and the date/place of the meeting
- 5) *Travel Meals (per diem)* - No receipts required
- 6) *Conference/Registration fee (if not prepaid)* – Original receipt showing proof of payment
- 7) *Travel Expenses (other than the above)* – Exceeding \$25 per expenditure require receipts

Claims for reimbursement of expenses not covered by these guidelines or exceptions will be returned to the traveler. Upon written recommendation of the traveler's division Vice President and appropriate justification, the President (or his/her designee) has the sole authority to approve reimbursement not covered by or exceptions to this policy.

- j. College Issued Cell Phones – A College issued cell phone is to be used for College Business only. Employees have an obligation to use College issued cell phones in a responsible, informed, and safe manner and observe all applicable laws or regulations. Employees using College issued cell phones are responsible for securing them. Losses shall be reported immediately to the Director of Purchasing. Employees may be held liable for lost, stolen, or damaged College issued cell phone equipment. Using a College issued cell phone while operating a motor vehicle is prohibited. Employees should move their vehicle from the travel portion of the roadway when using their cell phone.

#### 4. VEHICLE USAGE POLICY AND PROCEDURES

A **College vehicle** is any vehicle owned or leased by the College and used to transport authorized people and/or cargo. College vehicles shall be used only for "official College Business." "Official College Business" is defined as "the performance of, or necessary to, or in the course of, the duties of College employment or business." **College vehicles are not for personal use.**

The Vice President for Finance and Administration reserves the right to determine whether the proposed activity constitutes the priority indicated, and that such travel constitutes "Official College Business."

a. AUTHORIZED DRIVERS

College drivers are defined as those persons, at least 18 years of age, including all College authorized officers, members of the Board of Trustees, faculty, staff, students, or volunteers from the using department. Drivers using leased vehicles must be at least 21 years of age; drivers using vans and buses must be at least 25 years of age.

Drivers of College vehicles are required to have a current, valid Indiana or other State driver's license, with no suspensions. If required by law, drivers of buses must have a commercial driver's license (CDL). A photocopy of the valid driver's license is retained by **the Purchasing Department**. **Driving records of all drivers of College use vehicles are subject to verification by the College through State Departments of Motor Vehicles.**

b. OPERATION OF COLLEGE VEHICLES

All drivers who operate College owned or leased vehicles must comply with all policies, procedures, rules, and instructions covering the use of College owned or leased vehicles. **The driver must obey all traffic laws at all times. Failure to obey the Law of the Land may disqualify a driver from future use. Any traffic citations or fines are the responsibility of the driver involved.**

All College Vehicles are non-smoking vehicles with no exceptions.

Cell Phone may not be used while driving except with hands-free accessories.

It is the driver's responsibility to ensure the use of seat belts by all vehicle occupants.

Drivers of College vehicles are personally responsible for vehicles operated by them. Should damage result through misuse or gross negligence, the operator may be required to make restitution to the College.

c. PASSENGERS

Passengers are limited to those persons who are properly authorized to participate in College functions with a driver traveling on official business. "Properly authorized" includes driver's spouse, students, or guests of the College whose presence as a passenger is directly related to the driver's official business. This section of the policy also applies to other College vehicles such as golf carts and mules.

d. PROCEDURES FOR REQUESTING A VEHICLE

College Owned Vehicles Departments may consider the use of certain College owned, Department controlled, vehicles for College business, when appropriate and when available. Admission has a small automobile, and Athletics has one minibus limited to 14 passengers. These vehicles may be made available when not in use by the controlling departments. There is no charge for such use other than the cost of gasoline used. The vehicles must be returned with replacement gasoline used and with clean interiors free of debris.

Leased Vehicles The College has contracted with Enterprise for the rental of automobiles and vans. The College has a business account with Enterprise and receives discounts on all rentals.

Frequent Vehicle User Departments, e.g., Athletics, Admissions and Development, that frequently use rental vehicles may work directly with Enterprise in securing vehicles to meet their departmental needs.

Infrequent Vehicle User Departments should use the following procedure to request an automotive rental through the College's Purchasing Office:

- a. The driver must submit an On-line Requisition form five (5) full working days prior to the desired departure date to the Purchasing Department.
- b. Please be advised that Purchasing will not receive your requisition until it is approved by the budget manager.
- c. All vehicle requisitions must include the following information: Driver's name, number of passengers, date and time of departure, date and time of return, contact information (e-mail, office and cell phone number), list of any special needs.
- d. *Note: By approving a rental requisition, the budget manager asserts or affirms that the driver has a valid driver's license and that the driver is a minimum of 21 years of age.*

Infrequent Vehicle User Departments should use the following procedure to request a large van or bus rental through the College's Purchasing Office.

- a. All large vans/buses must be requested by submitting the **On-line Requisition** form, referenced above, **two (2) weeks** prior to the event.
- b. The Requisition should include the driver's name, number of passengers, date and time of departure, date and time of return, contact information (e-mail, office and cell phone number), and list any special needs.
- c. If a van/bus is requested and then cancelled less than 72 hours prior to the engagement, the department will incur all expenses related to the event.
- d. For insurance and liability reasons, the large capacity vans will be restricted to no more than ten (10) passengers.
- e. Students will not be authorized to drive the large capacity vans or buses, and the driver must be at least twenty-five years of age.

e. PROCEDURE TO PICK UP AND RETURN A LEASED VEHICLE

a. Location

- 1) Keys and the rental agreement will be picked up from and returned to Security at the Security Building. College vehicles may **not** be taken to a person's residence for a next day departure or late return unless prior written approval has been obtained from their Department Head/Chair and provided to the Purchasing Department.

The vehicles are parked in the Senior Parking Lot on the corner of Madeleva Drive and McCandless. Vehicles may be picked up from the Senior Lot and should be parked in this lot upon return.

During normal working hours: 8:00 a.m. to 4:30 p.m. Monday through Friday, gas credit cards may be picked up and returned to the Purchasing Department at the Facilities Building.

- b. **Driver Inspection** – The driver of the vehicle should inspect the vehicle before driving it. The vehicle should be checked visually to assure that the tires are in good condition, the side-view mirror is usable, and that it has a gas cap, a spare tire, and a jack. The brakes, lights, and other controls should be tested for proper working conditions.
- c. **Care of the Vehicle** – The vehicle must be returned in the same condition it was received. Drivers should ensure that the vehicle is clean and that all trash and debris are disposed of prior to returning the vehicle to its assigned parking lot. A cleaning fee may be assessed.
- d. **Credit Card and Gasoline** – Gas Credit Cards will be distributed to the person/driver to purchase petroleum products. Whenever possible, the gas credit cards should be used in lieu of a College P-Card in order to avoid the payment of taxes on fuel. Credit Cards and gas receipts must be returned to Security or the Purchasing Department after the vehicle is returned to the Senior Parking Lot. College gas credit cards may not be used for personal use.

The vehicle must be returned with a full tank of gas. If the gas tank is not full, the department will be charged for the gas plus a refueling fee.

- e. **A Rental Agreement** will be issued with each vehicle when it is picked up. Upon return, the Rental Agreement must be returned to Security or the Purchasing Department along with the keys and credit cards.
- f. **LIABILITY INSURANCE**

Liability insurance is provided for authorized College drivers to operate College vehicles on official College business.

The College reserves the right to recover from a driver the amount expended to provide the defense and/or pay a settlement or final judgment, if it is shown while performing official business for the College, the driver acted fraudulently or with intentional malice causing bodily injury, wrongful death, or property damage.

The College is not responsible for any items left in unattended vehicles.

- g. **REPORTING VEHICLE ACCIDENTS**

For the purpose of safety and loss risk analyses, all accident involving College use vehicles must be reported immediately to the nearest police department, the College's Insurance Company, and the College's Business Office. All accidents are to be reported within 24 hours, even if another vehicle is not involved or there are no apparent injuries or property damages. Helpful instructions for reporting accidents are provided on the back of the rental agreement.

h. DEPARTMENT RESPONSIBILITIES

A department which has permanently assigned vehicles is responsible for scheduling and maintaining its assigned vehicles. The department is responsible for enforcing all rules, policies, and guidelines relating to the vehicles as stated herein. Failure to do so may result in the suspension of vehicle privileges.

i. MISUSE OF COLLEGE VEHICLES

Misuse of any College vehicle may result in disciplinary action. The following is a list of guidelines constituting misuse:

- a. Driving without Authorization
- b. Driving without a valid Driver's License.
- c. Allowing an unauthorized person to drive a College vehicle.
- d. Driving recklessly, not obeying traffic laws.
- e. Falsification of vehicle forms.
- f. Failure to comply with the Vehicle Usage Policy.

j. USE OF PERSONAL VEHICLES FOR OFFICIAL COLLEGE BUSINESS

Each Vice President has the responsibility for authorizing persons to drive privately owned vehicles to conduct official College business. Important: If a personal vehicle is used for College business, the vehicle owner's insurance is primary in the event of an insurance claim. Mileage for use of personal vehicles will be reimbursed at 80% of the authorized current federal rate, which will be updated annually, for the actual driving distance.

VIOLATION OF THIS POLICY MAY RESULT IN THE SUSPENSION OF THE  
DRIVERS'S PRIVILEGES TO OPERATE A COLLEGE VEHICLE.

*Questions regarding policy guidelines on the use of College vehicles on College business should be directed to the Purchasing Department.*

5. TRAVEL BUDGET

The Travel Budget is maintained by the Provost and Senior Vice President for Academic Affairs. In preparing the budget, each department chair, each year, consults with department members to anticipate expenses for the next academic year and submits an estimate of need based upon faculty plans for the year. Since travel expenses vary so widely from year to year, depending upon the locations of meetings, the department is expected to provide the administration only with an estimate of the expenses.

## 6. TRAVEL POLICY: SUPPLEMENTARY

In addition to funds for travel to professional conferences, there are some additional funds available for other types of faculty travel. The arrangements for traveling and the rules for spending money are the same as for professional travel, except that the "Travel Request Form" is submitted to the administrative officer from whose budget the travel is paid.

### a. INSTRUCTION-RELATED TRAVEL

Faculty members may also take students on trips which are part of courses or which are of educational benefit to the students. The College may subsidize the faculty member's expenses in these cases. The College may also subsidize the expense of faculty members when College courses must be taught off-campus (*e.g.*, in hospitals) or when field work must be supervised (*e.g.*, practice teaching). Such expenses are included in a department's budget.

### b. FACULTY RECRUITMENT

Faculty may also travel to recruit new faculty, to represent the College at meetings of educational organizations, to speak to chapters of the Alumnae Association, or to aid the College's development effort. The expense of such travel is covered through the budget of the administrative office involved: in the first two cases by the Office of the Provost and Senior Vice President for Academic Affairs, in the third through the Alumnae Office, in the last by the Development Office.

## 7. FACULTY OFFICES

The College strives to provide each full-time faculty member with a private office. Part-time faculty members often share offices with each other. Each office is equipped with a desk, telephone, chair, and filing cabinet. Additional equipment such as typewriters, desks lamps, bulletin boards, blackboards, and bookcases are sometimes available. Faculty members consult department chair to obtain the furniture and equipment they need.

## 8. STAFF OR ADMINISTRATIVE SERVICES

Ordinarily, several departments share the services of one staff or administrative assistant. The departments which share a staff or administrative assistants work out a fair allocation of the secretary's time and a priority of the jobs to be done. staff or administrative assistant are generally responsible for typing departmental reports, class syllabi and examinations, class materials, letters of recommendation and professional letters, reports and material for College committees on which faculty serve, and manuscripts of professional work. Staff or administrative assistants should not be asked to do personal work on College time (*e.g.*, typing the final copy of a dissertation).

## 9. SUPPLIES AND SERVICES

Each department maintains its own stock of supplies for academic and professional purposes. Provision for supplies is made through the department budget which is prepared by the

department chair after consultation with the department members to anticipate expenses for the coming year. Budget expenditures are supervised by the department chair to ensure that the department stays within its overall budget and that each faculty member of the department has fair access to available supplies and services.

The department budget for supplies and services is governed by the budget definitions and categories delineated in Chart 1.

### CHART I

#### BUDGET CATEGORIES AND DEFINITIONS (check with Business Office on other budget categories)

<u>CATEGORIES</u>	<u>ACCT. NO.</u>	<u>CATEGORY DESCRIPTION</u>
Advertising	70620	Includes all costs of advertising in various publications and other media.
Duplicating & Xeroxing	70410	This account is charged with all printing done at the Document Center.
Equipment & Repairs	71140	Includes all costs of repairs and maintenance by other than institutional personnel. Included in this account are equipment maintenance agreements and repairs made on equipment by outside service people and not covered by maintenance agreements.
Food Services	70020	All expenses related to food for various departmental activities are charged to this account.
Lecturers	71310	Charges to this account include stipends and travel costs of outsiders coming to campus to give lectures.
Memberships and Dues	70700	Includes any charges for department memberships or dues to accrediting organizations.
Non-Capital Equipment	72000	All equipment purchases less than \$5,000 should be charged here. This will include items which have a life of longer than one year, but are not considered a supply. Such items might include office furniture, office equipment, or lab equipment.
Non-Capital Computer Equipment	72060	All computer equipment less than \$5,000 should be charged here. This will include items which have a life longer than one year, but are not considered supplies such as printers, scanners, or other such items.

Printing	70420	Includes the purchase of contracted printing or photocopying from outside sources. This does not include the purchase of supplies such as paper and photocopy supplies or the purchase of printed forms. These items should be charged to one of the supplies accounts (71800,71810,71820).
Postage	72500	Covers postage, freight, and express delivery charges and any other cost of transporting articles.
Professional Conferences	70200	This account should be charged with expenses relating to travel and to and from conference (hotel bills, taxi fare, and any other charges that would be related to expenses of travel.
Purchased Services	71090	Covers services not included in Lecturers, Contracted Repairs, etc.
Subscriptions	73210	All publications purchased for the use of the department should be charged.
Supplementary Travel	70210	Expenses appropriately charged to this account are detailed in the section titled <u>Travel Policy: Supplementary</u> .
Supplies Audio-Visual	71830	Films, DVD's, and other audio-visual materials are charged to this account.
Supplies- Instructional	71820	All classroom supplies should be charged here.
Supplies- Office	71800	All supplies used for department or faculty offices are charged to this account.

#### 10. MAIL SERVICE

All faculty members are assigned a mailbox in the buildings in which their offices are located. Mail is distributed twice per day, Monday through Friday. Professional mail requiring postage is charged to department budgets. To facilitate this, all unstamped mail should have a department designation. Intercampus mail service to Notre Dame is provided at no charge.

#### 11. PRINTING SERVICE

Because facilities for printing vary by department and building and because the policies respecting their use vary by budget and department and are subject to change, faculty members should consult their department chair about the use of those facilities.



12. TELEPHONE SERVICE

13. PROFESSIONAL LIABILITY COVERAGE

Faculty are covered by the College's Liability Policy for errors or omissions, bodily injury, personal injury, or property damage for which they are held to be legally liable as a result of performance of their duties as officers of instruction. This coverage includes all teaching related activities as well as activities undertaken as a member of the Board of Trustees, of the College, Faculty Assembly, College councils, or College committees.

In cases involving legal action, an attorney selected by the insurance company will represent the interests of the faculty member. The College is not responsible for legal action that may accrue from other professional activity; *e.g.*, suits for plagiarism or harm caused in the course of personal research.

14. CAMPUS FACILITIES AND SERVICES

Faculty may arrange for the use of various campus facilities. All facilities including the conference rooms in Le Mans are scheduled through the Office of Special Events with the exception of the following:

## CHART II

### CAMPUS FACILITIES AND CONTACTS FOR SCHEDULING

All special requests for room reservations are to be process through the Office of Special Events unless otherwise noted below.

<u>FACILITY</u>	<u>CONTACT</u>
Angela Athletic Facility	Academic Year – Director of Athletics
Chapels/reflection rooms	Campus Ministry
Classrooms, including Carroll Auditorium when classes are in session (see also: Tech Classrooms)	Registrar
Classrooms, including Carroll Auditorium, when classes are not in session	Office of Special Events
Food Service (Catering)	Sodexo Food Service
Le Mans 137	Secretary to the President
Le Mans 201	Alumnae Office
Moreau Art Galleries	Art Gallery Director/Office of Special Events
President’s Dining Room	Secretary to the President
Riedinger House	Alumnae Office
Technology classrooms (single use – any time)	Office of Special Events
Welcome Center	Admission Office

## 15. LIBRARY PRIVILEGES

Faculty members are granted extended borrowing privileges at the Cushwa-Leighton Library. Books and other library materials checked out by a faculty member must be returned or renewed annually at the time determined by the collection manager and at other times at her request. Such a request is made when someone else wishes to borrow the item, or when materials are required for inventory or other library purposes. A full description of current faculty privileges and library regulations is published in the library handbook, available from the Reference Department.

Notre Dame faculty may use the library collection with the use of their faculty identification card. Scholars officially visiting the College enjoy the same privileges as regular faculty; an application for use of the library should be made to the library director.

There are twelve study carrels in the Library for assignment to faculty members engaged in research and writing. Assignments are made for one term at a time. A written application must be submitted to the Library Committee; applications for summer and fall sessions are due April 15, and for the spring session by December 1. The Library Committee will consider each application, and the faculty member will be notified two to three weeks before the first day of the requested period whether or not a carrel has been assigned. Application blanks and a complete policy statement are available in the Office of the Director of the Library.

The seminar room, group study room, and other special rooms in the Library are reserved for Library-related activities. These rooms may be reserved for such use by applying to the Director.

Regularly scheduled classes are not to be held in the Library.

Saint Mary's College faculty members also enjoy faculty privileges at the University of Notre Dame libraries. Detailed information about using the collections at the Hesburgh Library can be obtained at the circulation desk.

Faculty at Saint Mary's College enjoy regular borrowing privileges at the Bethel College Library, the library at Indiana University South Bend, and at Holy Cross College. The use of local public libraries is based on residency. For more detailed information the local library of an individual faculty member should be contacted.

Contact the Library for hours of operation.

## **F. GENERAL INFORMATION: FACILITIES, SERVICES, AND POLICIES**

### 1. ADOPTION ASSISTANCE

#### a. ELIGIBILITY

Full-time faculty with one year of service are eligible for this benefit. For the plan to pay benefits, the adopted child must be less than sixteen years of age when the petition for adoption is filed. If a petition for adoption is not filed on behalf of the child before age sixteen,

the plan administrator, at his/her discretion may recognize other acts or proceedings before age sixteen in connection with adoption instead of the requirement for a petition.

b. PAYING FOR THE PLAN

The full cost of adoption benefit plan is borne by the College. There is no cost to the individual.

c. BENEFIT AMOUNT

The plan can reimburse up to \$2,000 in covered expenses for each adopted child. Reimbursement is received when the child has been lawfully placed in the home and appropriate documentation has been provided.

d. COVERED EXPENSES

The following covered expenses are reimbursed by the plan if they are reasonably related to the adoption of the child:

- 1) medical, surgical, and hospitalization expenses related to the pregnancy of the natural mother of the child, or related to the birth of the child;
- 2) court fees;
- 3) expenses for legal services of a licensed attorney;
- 4) fees payable to a competent government agency for filing a legal document;
- 5) other legal expenses reasonably related to the adoption process;
- 6) fees paid to a child welfare, placement, or other agency authorized to assist in the adoption;
- 7) other expenses approved by the plan administrator.

e. EXPENSES NOT COVERED

The adoption plan will not reimburse:

- 1) expenses incurred before one is eligible for the plan;
- 2) expenses in excess of a reasonable amount;
- 3) amounts paid, directly or indirectly, to a person for the placement, adoption, or care of a child if the person may not lawfully receive such payment for services.

2. ANGELA ATHLETIC FACILITY POLICIES

Persons entering Angela Athletic Facility will be required to present a valid Saint Mary's College Community card or Family Pass at the reservation desk, sign the registration log, and register any guests. Cards will be retained and returned when participant signs out and leaves the building. (Saint Mary's College faculty members and administrative staff must show ID cards, but will not be required to leave their card at the desk.)

a. BUILDING HOURS

1) ACADEMIC YEAR

6:00 a.m. – 11:00 p.m.	Monday through Thursday
6:00 a.m. – 5:00 p.m.	Friday
8:00 a.m. – 5:00 p.m.	Saturday*
10:00 a.m. – 11:00 p.m.	Sunday

Holiday and vacation hours are posted. No one is permitted in the building prior to posted hours.

\*NOTE: Angela Athletic Facility is closed on Notre Dame home Football game days.

2) BREAK PERIODS

Angela Athletic Facility will be closed on school holidays and during break periods when the facility is not staffed. No one is permitted in the building during this time.

3) SUMMER

During the summer season, Angela Athletic Facility is controlled by the Office of Special Events and hours will be posed by them. All policies and privileges are still in effect.

b. PRIVILEGES

1) STUDENTS, FACULTY, ADMINISTRATORS, AND STAFF MEMBERS

a) RESERVATION PRIVILEGES

All reservations during the academic year need to be cleared by the facilities director in Athletics and then the Office of Special Events. During the summer, all reservations should go through the Office of Special Events.

b) GUEST POLICY

Students, administrators, faculty, and staff members of Saint Mary's College may bring a maximum of three guests into the facility. Guests must be accompanied by their host and must be participating in the same single-court activity.

2) SAINT MARY'S COLLEGE ALUMNAE

- a) SAINT MARY'S COLLEGE ALUMNAE have walk-in privileges which allow them to claim any open, unreserved, or forfeited court time.
- b) Saint Mary's College alumnae may bring one guest into Angela Athletic Facility. This guest must be accompanied by the hostess, and must be participating in the same single-court activity.

3) SPOUSE AND GROWN CHILDREN

- a) THE SPOUSE AND CHILDREN, up to the age of twenty-one, of Saint Mary's College administrators, faculty, and staff members have walk-in privileges which allow them to claim any open, unreserved, or forfeited court time.
- b) The spouse and children of Saint Mary's College administrators, faculty, and staff members may bring one guest into the Angela Athletic Facility. The guest must be accompanied by the host, and must be participating in the same single-court activity.
- c) When using Angela Athletic Facility, Saint Mary's College administrators, faculty, and staff members' children under the age of 16 must be accompanied and supervised by their parent.
- d) The spouse and children of Saint Mary's College administrators, faculty, and staff members using Angela Athletic Facility are required to have a valid Family Pass card for identification. These cards may be obtained free of charge in the Angela Athletic Facility by any member of the Saint Mary's College administration, faculty, or staff. Family Pass cards must be renewed annually.

4) UNIVERSITY OF NOTRE DAME STUDENTS may use Angela Athletic Facility when accompanied by a Saint Mary's College community member. These guests must be participating in the same single-court activity as their Saint Mary's host or hostess. The participation ratio of Notre Dame students to Saint Mary's students in any one activity must be approximately equal.

5) UNIVERSITY OF NOTRE DAME STAFF MEMBERS may use Angela Athletic Facility as a guest of a Saint Mary's College community member. These guests must be accompanied by their host, and must be participating in the same single-court activity as their host.

6) FULL-TIME EMPLOYEES OF SODEXO, HOLY CROSS CONVENT, AND HOLY CROSS SERVICES CORP, as a courtesy of the College, have walk-in privileges which allow them to claim any

open, unreserved, or forfeited court time. This courtesy is extended to full-time employees and ONE guest. Employees of Sodexho, Holy Cross Convent, and Holy Cross Services Corp. must present their appropriate Saint Mary's community ID at the reservation desk.

- 7) GUESTS using the facility will sign in at the front desk. This sign-in sheet provides the following information for the guest:

I understand and agree that Saint Mary's College is not responsible and cannot be held liable for any accident or injury that may occur from participation in any activity in the Angela Athletic Facility.

No guest may be in the building without registering at the desk on the sign-in sheet.

c. LOCKERS

Lockers for Saint Mary's students are located on the playing floor of Angela Athletic Facility. Permanent lockers are issued to varsity and club members during their season. All other lockers are to be used on a daily basis; no locks should be left on overnight. Men using the facility may use the upstairs locker room.

The upstairs women's locker room is for Saint Mary's College administrators, faculty, and staff only. Because of the high use of the facility and limited number of lockers in the male and female staff locker rooms, we are unable to issue these lockers on a permanent basis. However, female staff members may request a permanent locker in the student locker room.

NOTE: THE EXIT DOORS NEAR THE FITNESS CENTER AND THE GYMNASSTICS AREA ARE FOR EMERGENCY USE ONLY AND ARE NOT TO BE USED FOR ENTRY TO OR EXIT FROM THE FACILITY.

3. ANIMALS ON CAMPUS

College policy does not allow faculty members to bring pets on campus.

4. BANKING

Both 1st Source Bank and the Notre Dame Credit Union have ATM's on campus. A branch of 1st Source Bank is located in the Student Center. Call a representative of either facility for account information and benefit of participation.

5. BOOKSTORE AND CONVENIENCE STORE

The Saint Mary's College Shaheen Bookstore maintains school supplies, office, art and drawing supplies, cosmetics, magazines, cards, and textbooks. Faculty members are entitled to a 20% discount on most items. Textbooks are not discounted. In order to receive a discount, family members must be accompanied by the faculty member.

The Saint Mary's College Convenience Store stocks cold pop, munchies, candy and ice cream, and many other convenience items. Munch money is accepted in the convenience store but merchandise is not discounted. Hours are posted in the Student Center entryway and at the stores. The Notre Dame Bookstore is also available to faculty members with Saint Mary's identification cards entitling them to a 20% discount on most items.

#### 6. CARD ACCESS SECURITY SYSTEM

Many of the College's residential buildings also include teaching or administrative space. To enhance the safety afforded students in the residential areas, the College has invested in an automated Card Access Security System. In general, access to certain areas of a building and access via the tunnel system between buildings is controlled by the Card Access Security System.

All students are issued an Access Card with their student ID card. In addition, all full-time College employees (administrators, faculty, and staff) who have a job-related need to gain access frequently to the restricted areas may request an Access Card. An Access Card can be requested via the "Access System Request Form" from the Security Department after first getting approval of one's department head. A fee is charged for lost Access Cards. Employees are cautioned to control responsibly for their Access Card to ensure that residence halls remain safe.

#### 7. CHANGE IN PERSONNEL INFORMATION

Faculty members are strongly encouraged to report to the Human Resources Office changes in the information originally reported in their vitae. Changes of address, telephone number, marital status, or additional education should be reported.

#### 8. CHAPEL AND CHURCH FACILITIES

##### Saint Mary's College

Liturgies on Saint Mary's College campus are offered in several locations throughout the academic year.

Regina Hall Chapel is located in the center wing of Regina Hall. The chapel accommodates approximately 250.

Holy Cross Hall is located on the first floor of Holy Cross Hall and accommodates approximately 250.

Le Mans Hall Chapel is located in the center of the third floor. The three-story chapel accommodates 300 people.

The Church of Loretto is located on the southwest corner of the campus. It belongs to the Sisters of the Holy Cross. This church accommodates approximately 550.

Liturgy schedules are published each semester by the Campus Ministry Office and distributed to all departments. Specific scheduling questions should be directed to Campus Ministry.



## University of Notre Dame

Sacred Heart Basilica is the main church for the celebration of liturgy at the University of Notre Dame. Its capacity is about 1200. For information regarding the schedule of masses, please contact either Notre Dame or Saint Mary's Campus Ministry offices.

### 9. CHECK CASHING

Faculty members with proper identification may cash personal checks at the Business Office cashier's window. This service is available at times posted at the beginning of each semester.

### 10. CHILDREN OF FACULTY ON CAMPUS

Because of potential safety hazards and the possible disruption of work, the children of faculty members must be supervised while on campus.

### 11. COLLEGE PUBLICATIONS

The *Observer* which is published daily by the student community of Saint Mary's College and the University of Notre Dame is available on campus. Faculty members also receive the *Courier*, the alumna quarterly and *Chimes*, an on-line publication of student and faculty members' literary work.

### 12. COUNSELING SERVICES: COLLEGE ASSISTANCE PLAN

The Saint Mary's College Assistance Plan is a confidential, professional service, designed to help College faculty and staff in times of personal crisis. The program assists the identification and treatment of problems, whether emotional, financial, legal, alcohol, drug, or family related. Once the problem has been identified, the person is referred to an appropriate program. The College Assistance Plan is available to all full-time College faculty, staff, and their families.

For further information on this program, call the Human Resources Office.

### 13. CULTURAL EVENTS AND THE CULTURAL EVENTS CALENDAR

A list of concerts, lectures, plays and other events which occur throughout the year is available on the SMC Web site. Saint Mary's College sponsors an annual Performing Arts Series. Discounted tickets are available to the Saint Mary's Community. Tickets and detailed information relevant to these events can be obtained through the Box Office located in O'Laughlin Auditorium.

### 14. DINING FACILITIES

Faculty members are eligible to use the facilities of the Dining Hall and the Cyber-café in the Student Center. Contact the Dining Hall for the hours of operation and special discount opportunities available to employees.

15. EARLY CHILDHOOD DEVELOPMENT CENTER

Children of the Saint Mary's College community, including faculty and staff members are eligible for enrollment in the Early Childhood Development Center (ECDC) on the campus of Saint Mary's College. During the academic year, children between the ages of three, four, and five years old are eligible to enroll in the ECDC program. The Center operates five days a week from 7:30 a.m. to 5:30 p.m. A hot lunch is provided. A wide variety of part-time schedules are also available; tuition is determined by the schedule chosen. ECDC provides practicum experiences for college students majoring in education, nursing, and psychology. All members of the teaching staff have undergraduate degrees and some have advanced schooling in the field. The Center also offers an eight-week summer day camp program for children between the ages of 3 and 9 years. Registration for the summer and fall is held in the spring of each year. More information can be obtained at the ECDC website at [www.nd.edu/~ecdc.nd](http://www.nd.edu/~ecdc.nd).

The Early Childhood Development Center also offers programs at a facility on the campus of the University of Notre Dame. Please contact ECDC for further information.

16. HEALTH AND WELLNESS SERVICES

Access to Health and Wellness Services is limited to students.

17. IDENTIFICATION CARDS

Regular full-time and part-time Saint Mary's College faculty members are issued identification cards. These are useful in obtaining services at the College and are necessary for providing for the security of the work environment. The card should be carried by faculty members whenever they are on College property. All but retiring faculty members must return I.D. cards to the Human Resources Office when a faculty member service with the College ends.

18. KEYS

A faculty member whose job requires keys to College buildings or equipment should keep these keys in a safe place at all times. If keys are lost or found, the department chair should be notified immediately. There is a key replacement fee. To protect the security of College equipment and insure the integrity of the lock system, keys should not be copied or loaned. If a key is lost or found, report it to your supervisor and to the Maintenance and Security Departments. All keys must be returned prior to final clearance from the College. There will be a charge for all lost keys not returned at termination. In the event that the loss of keys requires changing the locks of a building or a section of a building, the cost of the locks and new keys must be reimbursed to the College by the employee.

19. LADIES OF NOTRE DAME AND SAINT MARY'S

The Ladies of Notre Dame and Saint Mary's is an organization of wives of faculty and administrators, as well as professional women serving Saint Mary's College and the University of Notre Dame. Dues are \$20.00 a year, and meetings are held regularly during the academic year to promote the social and cultural welfare of its members and to foster friendship within the Notre

Dame/Saint Mary's family. The organization offers a variety of interest groups such as Bridge, Gourmet Cooking, Newcomers, and several sports and family activities.

Members are encouraged to give service to both institutions and to the community through several supportive programs. Such programs include UNICEF, and the support of the Friends of the Library at Notre Dame through the Memorial Gift Fund. The Ladies of Notre Dame and Saint Mary's Scholarship Fund provides support to students through the Offices of Financial Aid at both schools.

*Kaleidoscope*, the newsletter of the Ladies of Notre Dame and Saint Mary's, is published at regular intervals during the academic year. All eligible members receive the first issue of each semester; all issues are sent to active members.

20. LOST AND FOUND ARTICLES

Articles lost or found on the campus should be promptly reported to the Security Department.

21. MORRISSEY LOAN FUND

The Morrissey Loan Fund advances up to \$3,500 to faculty members, staff, or students to meet unexpected or extraordinary needs. Further information on the Fund is available from the Controller in the Business Office.

22. MOTOR VEHICLES AND PARKING

Faculty members may park in authorized parking areas after obtaining a Saint Mary's College parking tag from the Security Department. There is no charge for the tag.

23. NOTARY SERVICES

Faculty member are provided with notary services by the staff of the Business Office. The service is available during business hours, subject to other demands on personnel; there is no charge.

24. POST OFFICE

The campus Post Office is located on the ground level of Holy Cross Hall. It offers the services of stamp and mail order purchases, mail registry, and parcel post services. Check with the Post Office for the hours of operation.

25. REMEMBRANCES: ILLNESS OR DEATH

As a general rule, in the event of the illness or death of a faculty member or staff employee of the College, only one remembrance is to be charged to College budget accounts. This program is administered through the Office of the President. Individuals receiving notification should promptly call the Office of the President where the appropriate arrangements will be made. When reporting, please indicate as much detail about the situation as possible, including hospital location, funeral arrangements, or requests for memorial gifts in lieu of flowers. Departments or offices are not to purchase flowers or memorial gifts from College department or office budget accounts.

Individuals or groups may take up a collection for flowers or other gestures for friends and colleagues.

## 26. SEXUAL HARASSMENT

### a. POLICY

In our academic community, we seek to foster the fullest development of women's talents and aspirations, by promoting intellectual vigor, aesthetic appreciation, religious sensibility, and social responsibility. The mission of Saint Mary's College can be realized only in an atmosphere of mutual trust and respect. Actions which diminish such an atmosphere shall not be condoned or tolerated.

Saint Mary's College will not tolerate sexual harassment of its students or employees, nor will Saint Mary's College tolerate unprofessional conduct which leads to sexual harassment.

Sexual harassment may be used to describe a wide range of behaviors. These behaviors are described in the Equal Employment Opportunity Commission Guidelines as follows:

Unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when;

- 1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education;
- 2) submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting that individual, or
- 3) such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating an intimidating, hostile, or offensive employment, education, or living environment.

In determining what conduct constitutes sexual harassment, the question will be determined from the perspective of a reasonable person of the gender and position of the person making the complaint.

Individuals from Saint Mary's College have been assigned the responsibility of becoming familiar with the issue of harassment and providing advice and counsel to employees offended by unwelcome comments or behavior. These individuals are: the Director of Human Resources, the Provost and Senior Vice President for Academic Affairs and the Dean of Faculty.

### b. HOW TO HANDLE OFFENSIVE COMMENTS OR CONDUCT

If a faculty member or member of the staff is faced with comments or conduct of a gender based on sexual nature which are offensive or threatening, the person is encouraged to handle

the situation in a direct manner immediately by telling the person calmly, politely, and clearly that the conduct is offensive and that the individual wants it to stop.

If that individual is reluctant to confront the individual directly, the individual may seek assistance by complaining to a person of authority and asking for assistance. A faculty member may complain to a chair of any department, the Provost and Senior Vice President for Academic Affairs, Dean of Faculty, or Director of Human Resources. Any other employee of Saint Mary's College may complain to the Director of Human Resources or head of the employee's department.

c. NOTIFICATION AND INVESTIGATION

All faculty members, managers, and supervisors are responsible to immediately bring forth any complaint of harassment made by a student or employee, as well as any situation which they observe and believe may violate this policy. This information should be brought to the Director of Human Resources, Provost and Senior Vice President for Academic Affairs, Dean of Faculty, or Vice President for Student Affairs. Complaints will be immediately and fully investigated once reported. To the extent feasible, the investigation will protect the privacy interests of all affected parties.

No faculty member, employee, or student who makes a complaint in good faith or participates in an investigation in good faith shall suffer retaliation for being involved. Saint Mary's College will take the necessary action to assure that retaliation does not occur.

d. DISCIPLINE

Any person who is found to have violated this policy shall be subject to prompt and appropriate disciplinary action up to and including termination, as determined by Saint Mary's College.

e. BAD FAITH COMPLAINTS

This policy shall not be used to bring a complaint in bad faith. Disciplinary action shall be taken against any individual found to have brought a sexual harassment complaint in bad faith for an improper purpose.

f. RELATED UNPROFESSIONAL CONDUCT

Relationships between a student and an individual with professional responsibility for that student deserve particular attention. A college employee with professional responsibility for a student has real or potential power and authority over that student in a variety of roles including but not limited to instructor, adviser, work study supervisor, counselor, and committee member.

To ensure that employees shall not abuse that power, no employee shall engage in or solicit an amorous or sexual relationship (consensual or otherwise) with a student:

- 1) who is enrolled in class being taught by the employee;
- 2) whose academic work is being supervised by the employee;
- 3) who is a member of a College group which is supervised or advised by the employee; or
- 4) who needs to rely, or does rely, on that individual for guidance, direction, advice, or assistance in her academic pursuits.

Amorous and/or sexual relationships between a student and an individual with professional responsibility for that student are presumed to constitute unprofessional conduct. The consensual nature of such a relationship does not necessarily constitute a defense to a complaint of sexual harassment or related unprofessional conduct.

## 27. GENERAL HARASSMENT POLICY

### a. POLICY

Saint Mary's College is committed to a work and educational environment in which all individuals are treated with respect and dignity. Each individual has the right to work and study in an atmosphere that promotes equal opportunities and prohibits discriminatory practices, including harassment.

Saint Mary's College has developed this policy to ensure that all of its employees and students can work and study in an environment free from harassment, discrimination, and retaliation. Saint Mary's College will make every reasonable effort to ensure that all employees and students are familiar with these policies and aware that any complaint in violation of such policy will be investigate and resolved appropriately.

### b. EQUAL EMPLOYMENT OPPORTUNITY

It is Saint Mary's College's policy to ensure equal employment and educational opportunity without unlawful discrimination or harassment on the basis of race, color, religion, gender, national origin, age, disability, or any other characteristic protected by law. Saint Mary's College prohibits any such discrimination or harassment. As well, as part of our Catholic values, Saint Mary's College prohibits discrimination against an employee or student based on sexual or political orientation.

### c. DEFINITIONS OF HARASSMENT

- 1) Sexual and gender harassment is prohibited and will be handled as discussed in the policy titled, "Sexual Harassment and Related Unprofessional Conduct."
- 2) Harassment on the basis of any other protected characteristic is also prohibited. Under this policy, verbal or physical conduct that denigrates or shows hostility or aversion toward an individual because of his/her race, color, religion, national origin, age, disability, or any other characteristic protected by law violates this policy. As well, harassment because of an individual's sexual or political orientation is prohibited. Harassing conduct includes, but is not limited to the following conduct which is based upon an individual's race, color, religion, national origin, age, disability, sexual or political

orientation: epithets, slurs, or negative stereotyping; threatening, intimidating, or hostile acts; denigrating jokes; and written or graphic material that denigrates or shows hostility or aversion and that is posted or circulated on campus.

d. INDIVIDUALS AND CONDUCT COVERED

This policy applies to faculty and staff, whether related to conduct engaged in by students, employees, or by an outsider not directly connected to Saint Mary's College (such as an outside vendor).

e. RESPONSIBILITIES OF FACULTY MEMBERS, MANAGERS, AND SUPERVISORS

All faculty members, managers, and supervisors are responsible to immediately bring forth any complaint of harassment made by a student or employee, as well as any situation which they observe and believe may violate this policy. This information should be brought to the Director of Human Resources, Provost and Senior Vice President for Academic Affairs, Dean of Faculty, or Vice President for Student Affairs. Complaints will be immediately and fully investigated. To the extent feasible, the investigation will protect the privacy interests of all affected parties.

f. REPORTING AN INCIDENT OF HARASSMENT, DISCRIMINATION, OR RETALIATION

Faculty members and employees who believe they are being subjected to harassment may, if they feel comfortable doing so, advise the offender that his or her behavior is offensive and request that it stop. If faculty members are not comfortable doing this, they are encouraged to immediately report the behavior to the Director of Human Resources, Provost and Senior Vice President for Academic Affairs, or Dean of Faculty. If any other employee is not comfortable doing this, they are encouraged to immediately report the behavior to the Director of Human Resources or a department manager. Saint Mary's College encourages prompt reporting of all perceived incidents of discrimination, harassment, or retaliation regardless of the offender's identity or position.

Saint Mary's College encourages the prompt reporting of complaints and concerns so that immediate and constructive action can be taken before relationships become irreparably strained. Although no reporting deadlines have been established, early reporting and intervention is the most effective method of resolving offensive behavior.

Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy and will be subject to disciplinary action. Acts of retaliation should be reported immediately through the same channels as are identified above.

g. RESOLUTION OF COMPLAINT

Appropriate discipline, up to and including termination of employment, will be imposed if an investigation results in a finding the behavior prohibited by this policy has occurred.

False and malicious complaints of harassment, discrimination, or retaliation will not be tolerated: appropriate disciplinary action will be imposed.

28. SUMMER CAMPS

Saint Mary's offers various summer camp programs for children. For specific details on these programs call the Office of the Director of Athletics and Recreation or the Office of Special Events.

29. TRAVEL BUREAU

A branch office of Anthony Travel is located in the lower level of the Student Center.

**G. PROCEDURES FOR AMENDING FACULTY PERSONNEL POLICIES**

The different parts of this section are under the jurisdiction of various administrative officers and off-campus organizations. The Faculty Compensation Committee of the Faculty Assembly is charged with responsibility for ensuring that the interests of the faculty members are represented and will be consulted when major changes in these personnel policies are being considered. The Director of Human Resources is responsible for keeping this section up to date.



**SECTION V**

**GOVERNANCE OF THE FACULTY:  
THE FACULTY ASSEMBLY**

## **A. FACULTY AUTONOMY AND SHARED GOVERNANCE**

### THE PRINCIPLE OF FACULTY AUTONOMY WITHIN SHARED GOVERNANCE

Saint Mary's College endorses the fundamental concept of shared governance through the inclusion of faculty and student participation in the Board of Trustees, the committees of the Board of Trustees, and the councils and committees of the College administration. The faculty endorse this concept and participate fully in the shared governance of the College. In recognition of their autonomy and special responsibilities as officers of instruction, however, the faculty of the College have established their own governance body: the Faculty Assembly. One of the essential functions of the Assembly is to articulate, augment, and coordinate the faculty's participation in the governance of the College.

## **B. THE FACULTY ASSEMBLY**

### 1. RATIONALE

The Faculty Assembly, by its charter, is an autonomous faculty organization. The Assembly is organized to furnish and ordered structure for the faculty as a body to carry out its governance responsibilities to College governance as members of the Faculty Assembly and as participates in the Board of Trustees, in the committees of the Trustees, and in the councils and committees of the College administration.

### 2. MEMBERSHIP

The Faculty Assembly's membership consists of those faculty who hold academic rank and the professional librarians. Except for the Vice President and Dean of Faculty, faculty holding administrative appointments above the position of department chair are not members of the Faculty Assembly.

### 3. FUNCTIONS OF THE FACULTY ASSEMBLY

The Faculty Assembly provides:

- a. a forum in which faculty, free of administrative influence, can discuss and make recommendations on matters of concern to them;
- b. a body for the orderly initiation of change in College policy or procedure;
- c. a structure within which the faculty select their representatives to the committees of the Board of Trustees, the councils and committees of the College, the committees of the Faculty Assembly as well as faculty representatives for other special needs as they may arise;
- d. a body through which the faculty can establish structures and procedures as are necessary to discharge faculty governance responsibility;

- e. a body through which the faculty receive and act upon reports from the Board of Trustees, the Board of Trustee's committees, the councils and committees of the College, the committees of the Faculty Assembly, and the administrative officers of the College;
- f. a channel of communication to the administration through which faculty may express their concerns;
- g. a structure for considering matters that are necessary to proper discharge of faculty responsibility as officers of instruction.

**C. CONSTITUTION OF THE FACULTY ASSEMBLY  
SAINT MARY'S COLLEGE  
NOTRE DAME, INDIANA**

APPROVED, 1985

PREAMBLE

The faculty of Saint Mary's College, Notre Dame, Indiana, is obligated to contribute effectively to the realization of the objectives of this College as stated in the By-Laws of the Board of Trustees; therefore, it is organized into a Faculty Assembly.

ARTICLE I. NAME

The name of this organization is the Faculty Assembly of Saint Mary's College, Notre Dame, Indiana.

ARTICLE II. PURPOSE

The purpose of this organization is to furnish an ordered structure for the faculty as a body to carry out its responsibility as officers of instruction.

ARTICLE III. MEMBERSHIP

The Faculty Assembly consists of those persons who hold in Saint Mary's College the academic rank of Instructor or higher, and the professional librarians of the College, but does not include those persons who hold administrative position higher than department chair except for the Vice President and Dean of Faculty. The Faculty Assembly may admit to membership persons who are not admitted by the preceding rule.

ARTICLE IV. OFFICERS

The Officers of the Faculty Assembly are the Chair, the Chair-Elect, and the Secretary.

### SECTION 1. THE CHAIR

The Chair serves as the presiding officer of the Faculty Assembly and Chair of the Executive Committee of the Faculty Assembly. The Chair calls the Faculty Assembly into session and appoints *ad hoc* committees in accordance with provisions in Article VI of this Constitution.

### SECTION 2. THE CHAIR –ELECT

The Chair-Elect, in the absence of the Chair or at the request of the Chair, serves as temporary Chair and/or presiding officer of the Faculty Assembly. The Chair-Elect also serves as a member of the Executive Committee of the Faculty Assembly.

### SECTION 3. THE SECRETARY

The Secretary has the usual rights and duties pertaining to that office as well as serving as a member of the Executive Committee of the Faculty Assembly. The Secretary, with the Executive Committee, prepares an official list of membership of the Faculty Assembly in accordance with the provisions of Article III of this Constitution.

### SECTION 4. TERMS OF OFFICE

The Chair-Elect serves a term of one year followed by a one-year term as Chair. The Secretary serves a one-year term. The regular term of office begins on the day following the College's spring commencement. All member of the Faculty Assembly are eligible to hold office.

## ARTICLE V. PARTICIPATION IN COLLEGE GOVERNMENT

### SECTION 1. PURPOSES

The Faculty Assembly serves as the forum in which the faculty transacts its business, receives and acts upon reports from its own committees, from its representatives on College councils and committees, from its representatives on committees of the Board of Trustees, and from its representatives on *ad hoc* committees. The Faculty Assembly provides an organization for discussion and formulation of decisions.

### SECTION 2. DECISIONS

Decisions of the Faculty Assembly on pertinent matters are referred to the appropriate council or committee of the College, to officers of the College, or to the President for transmission to the Board of Trustees by the Executive Committee of the Faculty Assembly or by the faculty representative elected to that council or committee.

### SECTION 3. RESPONSIBILITY

The Faculty Assembly is responsible for electing faculty representatives to College councils and committees, and committees of the Board of Trustees.

## ARTICLE VI. COMMITTEES OF THE FACULTY ASSEMBLY

### SECTION 1. THE EXECUTIVE COMMITTEE

- a. MEMBERSHIP The Executive Committee of the Faculty Assembly consists of the Chair, the Chair-Elect, and the Secretary of the Assembly. The Chair of the Faculty Assembly serves as the Chair of the Executive Committee.
- b. RESPONSIBILITIES In the interim between Faculty Assembly meetings, the Executive Committee transacts the business of the Faculty Assembly. The Executive Committee must report its actions to the Faculty Assembly at the next meeting of the Faculty Assembly. The Executive Committee prepares an agenda for each Faculty Assembly meeting. The matters of business which are placed on the agenda may originate from the Executive Committee of the Faculty Assembly, from any member of the Assembly, from the President of the College, from other College administrative officers, from College committees or councils, and from student government. An item must be placed on the agenda if a petition requesting such action, signed by twenty-five percent of the Faculty Assembly membership, is presented to the Executive Committee.

### SECTION 2. FACULTY AFFAIRS COMMITTEE

- a. MEMBERSHIP The Faculty Affairs Committee consists of five members elected from the Assembly: one member from the area of Fine Arts (Art, Music, Communication and Theater, Physical Education), one from Sciences (Biology, Chemistry-Physics, Nursing, Mathematics), one from the Social Sciences (Psychology, Political Science, Sociology/Anthropology and Social Work, Business Administration and Economics, and Education), and two from the Humanities (one from Religious Studies, Philosophy, History, or Humanistic Studies, and one from English or Modern Languages). The normal term is three years. The Nominating Committee provides for the orderly rotation of the members so that no more than two of the members' terms expire in the same year.
- b. RESPONSIBILITIES The Faculty Affairs Committee considers and makes recommendations regarding all matters relating to the professional development of the faculty. The committee considers matters of concern to the faculty which are not specifically delegated to other councils and committees. The members also serve as the faculty representatives on the Committee on Faculty Development Grants.

### SECTION 3. FACULTY COMPENSATION COMMITTEE

- a. MEMBERSHIP The Faculty Compensation Committee consists of three faculty members, one to be elected from each of the following ranks: Professor, Associate Professor, and Assistant Professor. The normal term is three years, with one term expiring each year.
- b. RESPONSIBILITIES This committee considers and makes recommendations regarding all matters concerning the economic status of the faculty.

#### SECTION 4. THE NOMINATING COMMITTEE

- a. MEMBERSHIP The Nominating Committee of the Faculty Assembly consists of five members of the Faculty Assembly who are not officers of the Assembly. These members are elected to two-year terms and may not serve successive terms. They elect a chair from among their members.
- b. RESPONSIBILITIES The Nominating Committee prepares a slate of nominees for each election.

#### SECTION 5. THE GRIEVANCE COMMITTEE

- a. MEMBERSHIP The Grievance Committee consists of five tenured members elected from the Faculty Assembly. The normal term is three years. The Nominating Committee provides for orderly rotation of the members so that no more than two of the members' terms expire in the same year. If one or more members of the committee are unable to serve on a particular grievance case, substitutes are to be selected by the Executive Committee of the Faculty Assembly from the group of past members of the Grievance Committee on a last served-first chosen basis until a committee of five impartial members is constructed.
- b. RESPONSIBILITIES This committee handles faculty grievances according to procedures approved by the Faculty Assembly. The committee considers and recommends procedures to the Faculty Assembly for handling faculty grievances.

#### SECTION 6. AD HOC COMMITTEES

The Chair, or in the absence of the Chair, the Chair-Elect appoints such *ad hoc* committees as needed or as requested by the Faculty Assembly.

### ARTICLE VII. MEETINGS

#### SECTION 1. REGULAR AND SPECIAL MEETINGS

The Faculty Assembly normally meets once a month during the academic year; the first meeting is held in August. The Annual Meeting is the last regular meeting of the Spring Semester.

A special meeting may be called by the Chair, or in the absence of the Chair by the Chair-Elect, or upon the written request of a quorum of the members of the Faculty Assembly. Any such request will be entered in the minutes of the Faculty Assembly.

The Chair designates the date, time, and place of Faculty Assembly meetings. The Secretary distributes the announcement of the meeting and the agenda to each member of the Faculty Assembly at least five days in advance.

No vote may be taken on a substantive issue at the meeting at which the matter is introduced unless the issue is specified in the agenda.

Faculty Assembly meetings will be conducted according to *Robert's Rules of Order, Revised*.

## SECTION 2. VOTING

Each member of the Faculty Assembly has one vote which must be cast in person, except where provision has been made for proxy or mail ballots.

Votes may be cast by proxy. For a proxy to be valid, it must be in writing, stating the name of the faculty member authorized to cast the vote, as well as the name of the one authorizing the proxy, and the date of the meeting for which the proxy is given. No faculty member may vote more than one proxy.

Votes may be cast by mail. If the Executive Committee or a majority of those present so request prior to the voting on a substantive issue, ballots may be cast by mail. Only ballots returned within one week of issuance are valid.

## SECTION 3. QUORUM

Forty percent of the membership, according to the current official membership list for the academic year, constitutes a quorum. Faculty on leave and faculty holding the rank of emerita/us are not included in determining the number required for a quorum. Members represented by proxies do not count toward a quorum.

# ARTICLE VIII. ELECTIONS

## SECTION 1. TIMETABLES

The election of the officers of the Faculty Assembly, members of the Faculty Assembly committees, and faculty representatives on the committees of the Board of Trustees and the councils and committees of the College will take place at the Annual Meeting.

## SECTION 2. NOMINATIONS

At least fifteen days in advance of the Annual Meeting, the Secretary distributes to the members of the Faculty Assembly a notice of the positions to be filled by election.

The slate, prepared by the Nominating Committee, is distributed to the members of the Faculty Assembly as an attachment to the agenda of the Annual Meeting. Each candidate must have accepted the nomination before the slate is published.

At the Annual Meeting, the Nominating committee formally presents its candidates for the respective positions. Nominations from the floor are invited by the chair for each position to be filled and are accepted if the nominee agrees to the nomination.

### SECTION 3. VOTING

Voting is by secret ballot. Votes may be cast by proxy, according to the procedure described for proxies in Article VII, Section 2. No mail ballots are allowed.

In order to be elected an officer of the Faculty Assembly, a candidate must receive a majority of the votes cast.

In the election of members for councils and committees, each member of the Faculty Assembly may vote for as many persons as there are openings on the council and committee. Those candidates receiving the largest number of votes are elected. In case of a tie for a position on a council or committee, there will be a run-off between the two top candidates.

## ARTICLE IX . VACANCIES

### SECTION 1. THE CHAIR

Whenever a vacancy occurs in the office of the Chair, the Chair-Elect serves as Chair for the unexpired term.

### SECTION 2. CHAIR-ELECT, SECRETARY, AND COUNCIL COMMITTEE MEMBERS

Whenever a vacancy occurs in any elected office other than the Chair, the Faculty Assembly elects a successor who serves for the balance of the unexpired term.

## ARTICLE X. REMOVAL FROM OFFICE

The Faculty Assembly may remove from office, committee membership, or faculty representation on College committees any elected faculty member who regularly fails to attend meetings of that committee or otherwise seriously neglects the responsibilities of that office. A two-thirds majority vote is required.

## ARTICLE XI. AMENDMENTS

This Constitution may be amended by a vote of sixty percent of the entire membership of the Faculty Assembly taken at a meeting of the Faculty Assembly provided that the proposed changes have been presented in writing to the members of the Faculty Assembly at least one month in advance of that meeting. Provision must be made for absentee ballots. Faculty on leave and faculty holding rank of emerita/us are not included in determining the number of faculty required for the adoption of amendments.



## D. BY-LAWS AND RESOLUTIONS

### 1. PROCEDURES AND POLICIES OF FACULTY ASSEMBLY COMMITTEES

#### INTRODUCTION

This section presents a more detailed description of the Committees of the Faculty Assembly than is possible in a constitution. In particular this section emphasizes the procedures used by the committees in fulfilling their special responsibilities.

#### 1. EXECUTIVE COMMITTEE OF THE FACULTY ASSEMBLY

- a. MEMBERSHIP The Chair, Chair-Elect, and Secretary of the Faculty Assembly comprise the Executive Committee. The Faculty Assembly Chair serves as Chair of the Executive Committee.
- b. RESPONSIBILITIES The Executive Committee:
  - 1) executes the articles of the Constitution of the Faculty Assembly;
  - 2) serves as informal advisor in cases involving dismissal for serious cause.
- c. PROCEDURES The procedures of the Executive Committee are determined by the Constitution of the Faculty Assembly or are approved by the Faculty Assembly for specific matters.

#### 2. FACULTY AFFAIRS COMMITTEE

- a. MEMBERSHIP The Faculty Affairs Committee is comprised of five members elected from the Faculty Assembly each representing a constitutionally specified cluster of disciplines. The Chair is elected by the members of the committee. In order to facilitate communication on matters of joint concern, one member is designated as a liaison to the Faculty Compensation Committee.
- b. RESPONSIBILITIES The Faculty Affairs Committee:
  - 1) considers and makes recommendations regarding all matters relating to the professional development of the faculty;
  - 2) reports to the Executive Committee or to the full Assembly, as appropriate, results of considerations on all matters that have been referred to the committee by the Executive Committee or the Assembly;
  - 3) appoints faculty members from each academic building to a subcommittee charged with securing, designing, and overseeing lounge space for faculty; and organizing social events and other programs to enhance faculty life. One of these subcommittee members will be designated to the faculty lounge representative on the Madeleva Renovation Committee until that committee ceases to meet.

- c. PROCEDURES The procedures for the Faculty Affairs Committee are determined by the Constitution of the Faculty Assembly, or as approved by the Faculty Assembly for specific matters.

3. FACULTY COMPENSATION COMMITTEE

- a. MEMBERSHIP The Faculty Compensation Committee is comprised of three members elected from the Faculty Assembly, one from each of the following ranks: Assistant Professor, Associate Professor, and Professor. The Chair is elected by the members of the Committee
- b. RESPONSIBILITIES Faculty Compensation Committee:
  - 1) represent the faculty in all formal discussions concerning faculty compensation;
  - 2) prepares a report on the economic status of the faculty;
  - 3) makes annual recommendations for faculty compensation.
- c. PROCEDURES The procedures of the Faculty Compensation Committee are determined and approved by the Faculty Assembly on an annual basis.

4. NOMINATING COMMITTEE

- a. MEMBERSHIP The Nominating Committee is comprised of five members elected from the Faculty Assembly who are not officers of the Assembly. They are elected to two-year terms, may not serve successive terms, and elect a chair from the members of the Committee.
- b. RESPONSIBILITIES The Nominating Committee:
  - 1) recommends guidelines for consideration by the Faculty Assembly concerning the selection of candidates for elections;
  - 2) prepares a list of candidates for faculty elections;
  - 3) proposes election procedures to the Assembly when they are not otherwise specified;
  - 4) presents an annual report to the Executive Committee identifying areas of the College's governance structure that is in need of review.
- c. PROCEDURES The procedures of the Nominating Committee are determined and approved by the Faculty Assembly on an annual basis.

5. GRIEVANCE COMMITTEE

- a. MEMBERSHIP The Grievance Committee is comprised of five tenured members elected from the Faculty Assembly. The Chair is elected by the members of the Committee. In the event that one or more members are unable to participate in the hearing of a case, substitute

members for the hearing of that case are selected according to the substitution rule delineated in the section on general considerations.

b. RESPONSIBILITIES The Grievance Committee:

- 1) serves as a Hearing Committee in cases involving dismissal for serious cause;
- 2) acts as a Grievance Committee, in this capacity the committee:
  - a) publishes formal procedures for the conduct of its business;
  - b) decides, after the aggrieved party has filed a written petition, whether the case merits a detailed investigation;
  - c) acts as a mediating and investigating committee in all ordinary cases in which a faculty member alleges a grievance. A grievance is a harm incurred by a faculty member as a result of a decision improperly taken by or on behalf of the College, or as a result of unprofessional or improper conduct of one or more representatives of the College. Examples of ordinary cases of grievance include but are not limited to decision taken in such matters as salaries, assignment of teaching duties, assignment of space or other facilities, academic freedom and responsibility, and violations of the College's commitment to the Equal Opportunity Act;
  - d) acts as a mediating and investigating committee in matters involving an allegation of violation of academic freedom;
  - e) acts as an investigating committee in matters arising out of a decision on the non-renewal of the contract of a non-tenured faculty member or on the granting of promotion or tenure where the grievance involves allegations of procedural irregularities or lack of adequate consideration;
  - f) decides the schedule of priority at times when more than one petition or case is before the committee;
  - g) keeps written records of the handling of each grievance petition;
  - h) presents to the Executive Committee of the Faculty Assembly at the end of each academic year a report indicating the number, kinds, and disposition of cases that the committee dealt with; ordinarily, the report does not indicate specific details of the cases.
  - i) informs the Executive Committee of the Faculty Assembly of any breakdown in cooperative relations between the Grievance Committee and any member of the College community which prevents the proper handling of a grievance petition;
  - j) informs faculty members whose petitions for a hearing have been denied by the committee or who, as a party to a grievance, are dissatisfied with the findings of the

committee that they may, after seeking the advice of the Executive Committee, bring the matter to the Faculty Assembly for action by that body. The committee may reply to charges that its findings are mistaken;

- k) refrains from discussing any aspect of the case with anyone who is not directly involved in the grievance proceedings for that case.
- c. PROCEDURES The procedures of the Grievance Committee are an adaptation of the procedures and policies of the American Association of University Professors described in their statements, "Statements on Procedural Standards in the Renewal or Non-renewal of Faculty Appointments," and "Statement on Procedural Standards in Faculty Dismissal Proceedings," and "1976 Recommended institutional Regulations on Academic Freedom and Tenure" AAUP *Policy Documents and Reports*.
- d. GENERAL GRIEVANCE PROCEDURE: ORDINARY CASES
  - 1) FILING OF THE GRIEVANCE PETITION If faculty members feel that they have cause for grievance in any matter other than dismissal for serious cause or cases involving allegations of procedural irregularity or lack of adequate consideration in the nonrenewal of a faculty member's contract, or cases involving tenure or promotion decisions, they may petition the Grievance Committee in writing for consideration. (Procedures for the excluded grievances are described in a subsequent section.) The petition must set forth in detail the nature of the grievance, state against whom the grievance is directed, and specify the nature of the remedy sought. It must contain any factual or other data which the petitioner deems pertinent to the case. It must contain any factual or other data which the petitioner deems to the case. It must also include a statement releasing the faculty member's right of confidentiality to whatever records the College has which are pertinent to the conduct of the investigation. It is important to emphasize that this release cannot abrogate the confidentiality of other individuals or committees. The written petition must be received within thirty working days of the date on which the petitioner became aware that the situation was one that constituted a grievance.
  - 2) NOTIFICATION AND WRITTEN ASSURANCE Upon receipt of the grievance petition, the Grievance Committee will send written notification to the party against whom the grievance is directed that a grievance has been filed. In addition, the committee will seek written assurance from both parties that they have attempted to work the matter out between themselves. The parties will be allowed five working days to submit such written assurances to the committee.
  - 3) PRELIMINARY INVESTIGATION After selection of substitute members (if necessary), the Grievance Committee will conduct a preliminary investigation of the petition. This investigation will involve interviews with the parties as well as the examination of pertinent written records. The committee will decide whether or not the facts merit the initiation of formal proceedings and will notify the petitioner in writing of its decision within 15 working days of the date on which the written petition is received.

- 4) PRELIMINARY INVESTIGATION RESULTS
  - a) If the committee rejects the case, and if the petitioner accepts the committee's decision, the case will be closed.
  - b) If the committee rejects the case, the petitioner who disagrees with the decision may resubmit the petition within ten working days of the date that the committee's written rejection is received. In resubmitting a petition, the petitioner must indicate the reasons for resubmission.
  - c) If the committee rejects the petition a second time, the case is to be considered closed unless the petitioner, having first sought the advice of the Executive Committee of the Faculty Assembly, brings the petition to the floor of the Faculty Assembly at the next possible meeting.
  - d) If the committee decides to hear the case, it must, before initiating the formal proceedings, attempt to informally mediate the grievance.
- 5) MEDIATING EFFORTS Prior to the initiation of formal proceedings, the committee is to take no more than ten working days to settle the matter informally, working with both parties, singly or together, until either a settlement is reached or until it is clear that no settlement is possible by proceeding informally. At the end of this period, the committee must specify in writing, to the parties, the situation as it then exists. If a settlement has been reached, its precise character must be specified in writing and the letter signed by all parties involved.
- 6) FORMAL PROCEEDINGS If a settlement has not been reached, the committee begins formal proceedings.
  - a) First, immediately upon its decision to hold formal hearings, the committee shall request: statements about what occurred or is occurring and why, as well as relevant documents such as relevant contracts, memoranda, letters, etc.
  - b) Second, after notifying parties and witnesses, the committee shall within fifteen working days of the decision to hold a form hearing, hold closed hearings in which every party must present its case in the presence of the other. A faculty member who is one of the parties to a grievance may bring another member of the Saint Mary's faculty to act as an advisory during the hearings.
  - c) During the hearings:
    - (1) The chair of the committee must appoint one of the members involved in the formal hearing to act as hearing officer, with power to call those present to order (especially for misbehavior and dilatory tactics), and, for reasons of privacy or misbehavior, to excuse them from the hearings.

- (2) Each side, in turn, shall present insofar as possible its full case, including witnesses and documents; with the permission of the hearing officer, members of the committee may interrupt to ask questions.
  - (3) Then each side will be permitted to question the witnesses of the other side and to reply to the arguments and evidence of the other side. With permission of the hearing officer, members of the committee may interrupt to ask questions.
- 7) COMMITTEE ON RECOMMENDATIONS Following the formal proceedings, the committee will then retire to make its recommendation, which it will report in writing to each party of the grievance within fifteen working days after the close of the hearings. If a recommendation to the President or the Faculty Assembly is warranted, the committee must make its findings known to either of them in special written report.
- e. SPECIAL CASE GRIEVANCE PROCEDURES: PROCEDURAL IRREGULARITIES OR LACK OF ADEQUATE CONSIDERATION IN NON-RENEWAL OF A NON-TENURED MEMBER'S CONTRACT OR IN TENURE AND PROMOTION DECISION In general, the procedures in such cases shall be the same as those described under general procedures with the following exceptions.
  - 1) GENERAL PROCEDURE The committee shall base its recommendation only on whether or not the procedural irregularities or lack of adequate consideration were of such a kind or degree to have damaged the petitioner's opportunity to be rehired, promoted, or tenured.
  - 2) DEFINITION OF ADEQUATE CONSIDERATION Lack of adequate consideration does not mean that the Grievance Committee can substitute its judgment for that of the appropriate decision-making body on the merits of whether the petitioner should be reappointed, promoted, or granted tenure. As presented in various *AAUP Policy Documents and Reports*, the term "*adequate consideration*" refers primarily to procedural rather than substantive issues, and addresses questions such as: Was the decision conscientiously arrived at? Was all the available evidence bearing on the relevant performance of the petitioner sought out and considered? Was there adequate deliberation by the decision-making body over the import of the evidence in terms of the relevant standards of the institution? Were irrelevant and improper standards excluded from consideration? Was the decision a bona fide exercise of professional judgment?
  - 3) LIMITS OF COMMITTEE RESPONSIBILITIES The committee's recommendation in such cases shall be either that the petitioner's case be reheard or that it not be reheard.
  - 4) RECOMMENDATION The committee shall set forth its recommendations and the reasons for them in writing to the parties, and, if necessary, to the President.
- f. SPECIAL CASE GREIVANCE PROCEDURES: DISMISSAL FOR SERIOUS CAUSE The procedures utilized by the Grievance Committee acting as a Hearing Committee in cases involving dismissal for serious cause are delineated in Section III on Faculty Policies and Procedures: Termination of Services.

g. GENERAL CONSIDERATIONS

- 1) WORKING DAYS DEFINED "Working days" refers to those days of the year when the College is in session; it excludes weekends and vacations. At times when more than one case is current, parties to the grievance must bear in mind that the "working days" limits, set forth above, are subject to the committee's need to set its own schedule of priorities. Where such accommodations are necessary, the Chair of the Grievance Committee must write a letter to all parties explaining the delay and setting forth a new timeline.
- 2) FILES Except for a master copy, all files pertinent to a particular grievance case must be destroyed 180 working days after the final disposition of the case. Materials which have been received from the faculty member and those obtained from College files are to be returned to those from whom they were received rather than destroyed. The master copy should remain in the possession of the Chair of the Grievance Committee for a period of not less than seven years, after which the master copy should be destroyed.
- 3) SUBSTITUTION RULE Any member of the Grievance Committee who, as a matter of conscience, feels that an objective judgment is impossible in a particular case must request that a substitute be appointed for that case by the Executive Committee of the Faculty Assembly. Substitutes are to be selected from the group of past members of the Grievance Committee on a last served-first chosen basis until a committee of five impartial members is constructed.

h. SPECIAL CONSIDERATION

When the President is involved in a grievance matter, a final decision by the President which is contrary to the recommendations of the Grievance Committee should be made only in the exceptional circumstances and for reasons to be communicated to that committee. The Grievance Committee, following such communication, has the opportunity for further transmittal of its views to the President.

2. MISCELLANEOUS RESOLUTIONS

1. RESOLUTION ON OBSERVER COVERAGE OF FACULTY ASSEMBLY MEETINGS

RESOLVED: That reporters from the *Observer* be permitted to cover meetings of the Faculty Assembly except when excluded at the discretion of the Executive Committee of the Faculty Assembly for any specific issue. (Approved, September 8, 1977)

2. RESOLUTION CONCERNING ORIENTATION OF NEW FACULTY

RESOLVED: That the Vice Chair (note – Position is now Chair-Elect) of the Faculty Assembly assumes the responsibility for planning an orientation day for new faculty prior to the first day of class at the beginning of the academic year. The orientation will be designed to acquaint new faculty members with the campus facilities, academic and administrative policies, and other appropriate aspects of Saint Mary's College and local South Bend communities. (Approved April 4, 1978)

3. RESOLUTION ON PART-TIME FACULTY PARTICIPATION

RESOLVED: That recognizing interest in the business of the Faculty Assembly on the part of those who hold part-time appointments, but also recognizing that other commitments may interfere with their active participation in that business, the Assembly accords membership to any person holding in Saint Mary's College a part-time teaching or library appointment, excluding any who hold an administrative position higher than department chair except the Vice President and Dean of Faculty (amended March 24, 2000), during any meeting of the Assembly at which the part-time individual is present and for any committee activity which the part-time appointee may accept. (Approved August 24, 1978)

4. RESOLUTION ON TERMS OF FACULTY MEMBERS ON COMMITTEES

RESOLVED: Except where specified otherwise, faculty representatives to President Councils and Committees and Committees of the Board of Trustees will serve multiple year terms with provisions made for orderly rotation of membership. Ordinarily, for committees with three elected faculty representatives, the terms will be three years in length and one term will expire each year; for committees with two elected faculty representatives, the terms will be two years in length and one term will expire each year.

**E. PROCEDURES FOR AMENDING THE CONSTITUTION AND BY-LAWS  
OF THE FACULTY ASSEMBLY**

Amendments to the Constitution of the Faculty Assembly are made according to Article XI of its Constitution. Following its Constitution, the Faculty Assembly establishes by-laws, committees, and procedures as needed. The Executive Committee of the Faculty Assembly is responsible for keeping this section of the *Governance Manual* up to date.



## SECTION VI

### ACADEMIC PROCEDURES, POLICIES, PROGRAMS AND INFORMATION

For updates to Section IV: Academic Procedures, Policies, Programs and Information, refer to the *College Bulletin*. This section is under revision.

## A. ACADEMIC DEFICIENCY NOTICE

Instructors are required to submit deficiency notices for all students whose work is not satisfactory at midterm. The deadline for submitting deficiencies is 8:00 a.m. on the Monday of the Fall or Spring break. If instructors do not meet the deadline for submitting deficiency notices, they are responsible for notifying students directly.

Students may view their deficiencies via PRISM beginning at 9:00 a.m. on the Monday of Fall or Spring break.

Failure to receive a mid-term deficiency notice does not preclude the possibility that students may still fail a course, nor does it imply that students will automatically pass a course.

No official notation of a deficiency notice is made on students' permanent records.

## B. ACADEMIC DEGREE REQUIREMENTS

### 1. GENERAL DEGREE REQUIREMENTS

To receive a degree from Saint Mary's, students must:

- a. complete the General Education requirements of the College for the degree they are seeking;
- b. complete the requirements for their major including the senior comprehensive and the advanced W. (see the *Bulletin*);
- c. obtain a 2.0 minimum cumulative grade point average;
- d. complete the required 128 hours of course work with at least 60 semester hours and at least half of the major course work completed at Saint Mary's';
- e. fulfill the residency requirement, which states that a candidate for any degree is expected to complete at least two years at Saint Mary's College.

### 2. MAJOR REQUIREMENTS

The requirements for each major are stated in the *Bulletin*. Normally all major requirements must be taken at Saint Mary's College. Any exception to this policy must be approved by the chair of the department. All courses in the major field taken to satisfy major requirements must be completed with at least a "C" grade (a "C-" is not acceptable). A student may compensate for one grade below "C" in a required major course by repeating the course, for which degree credit will be recorded only once. A second such grade in a major course eliminates the student from that field of concentration. The student may attempt to major in a second field. If unsuccessful in two fields, the student may no longer be considered for a degree at the College. A grade below "C" is acceptable in required supporting courses.

Senior Comprehensive: Satisfactory completion of a comprehensive examination or project, depending upon the major, is required of all seniors. Satisfactory work in the department's required courses is prerequisite for admission to the comprehensive. Comprehensives are graded honors/satisfactory/unsatisfactory. A student who fails the comprehensive may repeat it, but generally not in the same grade period.

Advanced Writing Proficiency: Writing proficiency must be demonstrated within the student's major. The requirements for proficiency are determined in each department.

Second Major: Students may complete a second major by completing the major course requirements in the second department. The major in which the student completes her comprehensive will be the primary major.

Dual/Second Degree: Students who have met departmental and General Education requirements for majors in two different degree programs, and who have completed an additional 30 hours of credit may receive a second different bachelor's degree. The senior comprehensive and the advanced W must be completed for both majors if students wish to receive two different degrees.

### 3. GENERAL EDUCATION REQUIREMENTS

#### a. WRITING PROFICIENCY REQUIREMENT

Basic Proficiency: this requirement may be fulfilled in one of two ways.

- 1) A student may earn certification in a course designated "W" in the Schedule of Classes. These courses are taught by instructors who have the approval of the Writing Proficiency Committee and who have agreed to observe the guidelines of the Committee. At the end of the semester, an evaluation committee and the instructor will determine where a student qualifies for a "W." If so, notification of this certification will be made on the student's grade report and on her permanent record.
- 2) A transfer student who has earned a B or better in a composition course at her former college may submit to the Writing Proficiency Committee at the end of her first semester at Saint Mary's a portfolio of papers written in Saint Mary's courses. The committee will evaluate this portfolio as it does portfolios of students in "W" courses.

There is a Writing Center for those who need special help with written work. (See description on VI-54).

#### b. FOREIGN LANGUAGE REQUIREMENT

Students must complete two semesters of the same language at the appropriate level unless exempted by examination as listed below.

- 1) A grade of four or above on the Advanced Placement Examination. (Students receive eight college credits.)

- 2) A score of 640 or above in French or 630 in German and Spanish on the SATII Modern Language Examination are exempted from the foreign language requirement. (Students receive no college credit.)
- 3) A score of 58 or above on the CLEP Modern Language Examination. (Students receive four college credits, which satisfies one semester of the language requirement.)

Students who choose to complete their General Education requirements in Modern Languages by enrolling in the language they studied in high school (at 111-112 level or equivalent) will receive four additional elective credit hours upon successful completion of their two-semester requirement in their first year.

c. DISTRIBUTION REQUIREMENTS

All students must complete the courses required for the degree they are seeking.

- 1) All Bachelor of Arts (B.A.) and Bachelor of Business Administration (B.B.A.) degrees, plus the Bachelor of Science (B.S.) degree in Mathematics: No more than two courses in any discipline may be used to satisfy the following requirements. In the social sciences, only one course per discipline may be used.

- 1 English literature course
- 1 History course
- PHIL 110
- RLST 101 and one 200 level Religious Studies course
- 1 fine arts course (Art, Dance, Music, Theatre)
- 1 Mathematics course
- 2 laboratory science courses (Biology, Chemistry, Physics)
- 2 social science courses from different departments
  - Anthropology
  - Economics
  - Political Science
  - Psychology
  - Social Work
  - Sociology
  - Women's Studies (207 only)
- 3 additional approved courses in the following disciplines:
  - Art
  - Communication Studies
  - Dance
  - English literature
  - History
  - Humanistic Studies
  - Intercultural Studies (201 only)
  - Mathematics
  - Music

- Philosophy
- Theatre
- Women's Studies (207 only)

2) Bachelor of Science (B.S.) in Nursing

No more than two courses in any one discipline may be used to satisfy the following requirements. In social sciences, only one course per discipline may be used.

- 1 English literature course
- 1 History course
- PHIL 110
- RLST 101 and one 200 level Religious Studies course
- PSYC 156 and SOC 203
- MATH 114 and one other Math course (may be a prerequisite for Math 114)
- 2 additional courses from the following:
  - Art
  - Communication Studies
  - Dance
  - English literature
  - History
  - Humanistic Studies
  - Intercultural Studies (201 only)
  - Music
  - Philosophy
  - Theatre
  - Women's Studies (207 only)

3) Bachelor of Science (B.S.) in with a major in Biology

- 1 English literature course
- PHIL 110
- RLST 101 and 200 level Religious Studies course
- 1 Art, Communication Studies, Dance, Music, or Theatre course
- 4 courses chosen from at least two of the following areas, including two courses chosen from the same area:
  - Anthropology
  - Economics
  - History
  - Humanistic Studies
  - Intercultural Studies (201 only)
  - Political Science
  - Psychology
  - Social Work
  - Sociology
  - Woman's Studies (207 only)

- 4) Bachelor of Science (B.S.) with a major in Chemistry  
No more than two courses in any one discipline may be used to satisfy the following requirements. In the social sciences, only one course per discipline may be used.

- 1 English literature course
- PHIL 110
- RLST 101 and one 200 level Religious Studies course
- 2 courses in social sciences or humanities:
  - Anthropology
  - Art
  - Communication Studies
  - Dance
  - Economics
  - English literature
  - History
  - Humanistic Studies
  - Intercultural Studies (201 only)
  - Music
  - Philosophy
  - Political Science
  - Psychology
  - Social Work
  - Sociology
  - Theatre
  - Women's Studies (207 only)

- 5) Bachelor of Music (B.M.)

- 1 English literature course
- 1 History course
- PHIL 110
- RLST 101 and one 200 level Religious Studies course
- 1 Math course or 2 laboratory science courses

- 6) Bachelor of Fine Arts

- 1 English literature course
- 1 History course
- PHIL 110
- RLST 101 and one 200 level Religious Studies course
- 1 Math course
- 1 laboratory science course
- 1 social science course from the following:
  - Anthropology

- Economics
- Political Science
- Psychology
- Social Work
- Sociology
- Women's Studies (207 only)

#### 4. COURSES WHICH SATISFY GENERAL EDUCATION REQUIREMENT

ANTHROPOLOGY	ANTH 141, 142, 253, 254
ART	ART 141, 241, 242, any entry-level studio course, and the Rome courses 251 and 252
BIOLOGY	BIO 103 and 104, usually, 151 and 152 are possible options
ECONOMICS	ECON 151, 251, or 252
CHEMISTRY	CHEM 101 and 102, usually, 111-112 and 121 and 122 are possible options
COMMUNICATIONS	COMM 103, 210
COMPUTER SCIENCE	No General Education courses
DANCE	DANCE 240, 241
ENGLISH	ENLT 104, 106, 109, and upper-level literature courses. ENLT 221, does not satisfy the basic literature requirement but may be used as an extra General Education course.
HISTORY	HIST 101, 102, 103, 104, 201, 202. Higher level courses count as a second General Education course.
HUMANISTIC STUDIES	HUST 103, 197, 203, 212, 292. Higher level courses count as a second General Education course.
INTERCULTURAL STUDIES	ICS 201
MATHEMATICS	Any course except MATH 100. Students who take their math requirement after their first year should ask the Mathematics Department to recommend the Course which best matches their background and major.
MODERN LANGUAGES	Two semesters of the same language at the appropriate level. The requirement is normally satisfied by one of the following:

For students starting a new language: MLFR 101-102, MLGR 101-102, MLIT 101-102, MLSP 101-102

For students continuing a language they have already studied: MLFR 105-106 or 111-112, MLGR 105-106 or 111-112, MLIT 111-210, MLSP 105-106 or 111-112

Students may not receive credit for the introductory course in a language (the 101-102 level) if they have taken that language in high school.

If a student wishes to take a language which is not offered at Saint Mary's, in order to complete her General Education language requirement, she may be able to do so at the University of Notre Dame. Permission is required from the Associate Dean for Advising and space must be available in the Notre Dame course.

MUSIC	MUS 181, 241, 242, 275 or a combination of lessons or ensembles will <u>not</u> satisfy a General Education requirement.
NURSING	No General Education courses
PHILOSOPHY	PHIL 110. Higher-level courses count as second General Education course.
PHYSICAL EDUCATION	No General Education courses
PHYSICS	PHYS 101, 102, PHYS 103-104, PHYS 217-218 or PHYS 221-222 are options for students who have a background in calculus.
POLITICAL SCIENCE	POSC 151, 152, 160, 203RM
PSYCHOLOGY	PSYC 156
RELIGIOUS STUDIES	All first year students should take RLST 101.  All sophomores should take a course numbered 200-299. Nursing majors may take their second course as juniors. Any other student with a legitimate reason for not taking these courses at the designated time must secure permission from Academic Affairs and First Year Studies (not her department advisor).  Students may choose a Notre Dame course to satisfy the second course requirement.
SOCIAL WORK	235 (cross-listed with SOC 235)
SOCIOLOGY	SOC 153, 203, 235, 257



5. GENERAL EDUCATION REQUIREMENT POLICIESa. SPECIAL STUDY PROGRAMS

Students on study programs approved by the College may be given special permission to satisfy General Education courses while they are abroad or on leave of absence. This permission should be given in advance and in writing by Academic Affairs and First Year of Studies.

b. GRADE REQUIREMENT

All General Education courses must be taken for a grade. The lowest passing grade for a General Education course is "D," unless the course is also in the student's major or minor.

c. GENERAL EDUCATION AND FOUNDATION

All students should be encouraged to complete General Education courses in their first two years because the General Education forms the foundation of the liberal arts education at Saint Mary's.

d. GENERAL EDUCATION COURSES AND MAJOR REQUIREMENTS

In many cases, one and sometimes two courses taken to fulfill General Education requirements will also satisfy prerequisites or requirements for a major.

e. SUBSTITUTION OF GENERAL EDUCATION COURSES

Permission to satisfy a General Education requirement with a course which does not normally do so is given rarely, and must come from Academic Affairs and First Year Studies. A student's departmental advisor may not authorize such substitutions.

f. GENERAL EDUCATION COURSES AT OTHER INSTITUTIONS

With the exception of the second Religious Studies requirement, which may be taken at Notre Dame, all General Education courses must be taken at Saint Mary's College. Exceptions to this policy must be approved by Academic Affairs and First Year Studies. Approval for such exceptions is given only in unusual situations, and must be obtained in advance in writing.

**C. ACADEMIC HONESTY**1. SAINT MARY'S ACADEMIC HONESTY CODE

When students submit any work for academic credit, they make an implicit claim that the work is wholly their own, done without the assistance of any person or source not explicitly noted, and that the work has not been previously submitted for academic credit in any area. Students are free

to study and work together on homework assignments unless the instructor stipulates otherwise. In the case of examination (tests, quizzes, etc.), students also implicitly claim that they have obtained no prior unauthorized information about the examination, and neither give nor obtain any assistance during the examination. Moreover, students shall not prevent others from completing their work.

Examples of violations include but are not limited to the following:

- the supplying or receiving of completed papers, outlines, or research for submission by any person other than the author;
- the submission of the same, or essentially the same, paper or report for credit on two different occasions;
- the supplying or receiving of unauthorized information about the form or content of an examination, specifically including unauthorized possession of exam material prior to the exam;
- the supplying or receiving of partial or complete answers, of suggestions for answers, of assistance in interpretation of questions on any examination from any source not explicitly authorized (included are copying or reading of another student's work or consultation of notes or other sources during examinations);
- plagiarism (see the statement below defining plagiarism);
- copying or allowing copying of assigned work or falsification of information;
- unauthorized removal of study or research materials or equipment intended for common use in assigned work;
- alteration of any materials or apparatus which would interfere with another student's work.

### PLAGIARISM

Plagiarism means presenting, as one's own, the words, the work or the opinions of someone else. It is dishonest since plagiarists offer as their own, for credit, the language or information, or thought for which they deserve no credit.

Plagiarism occurs when one uses the exact language of someone else without putting the quoted material in quotation marks and giving its source. (Exceptions are very well-known quotations, from the Bible or Shakespeare, for example.) In formal papers, the source is acknowledged in a footnote; in informal papers, it may be put in parentheses, or made a part of the text: "...". This first type of plagiarism, using without acknowledgement the language of someone else, is easy to understand and to avoid: When writers use the exact words of another writer, or speaker, they must put those words in quotation marks and give their source.

A second type of plagiarism is more complex. It occurs when writers present, as their own, the sequence of ideas, the arrangement of material, or the pattern of thought of someone else, even though they express it in their own words. The language may be theirs, but they are presenting as their work, and taking credit for the work of another. They are, therefore, guilty of plagiarism if they fail to give credit to the original author of the pattern of ideas.

Students writing informal themes, in which they are usually asked to draw on their own experience and information, can guard against plagiarism by a simple test. They should be able honestly to answer NO to the following questions:

Am I deliberately recalling any particular sources of information as I write this paper?

Am I consulting any source as I write this paper?

If the answer to these questions is NO, writers need have no fear of using sources dishonestly. The material in their minds, which they will transfer to their written page, is genuinely digested and their own.

The writing of a research paper presents a somewhat different problem, for here students are expected to gather material from books and articles read for the purpose of writing the paper. In the careful research paper, however, (and this is true of term papers in all college courses), credit is given in footnotes for every idea, conclusion, or piece of information which is not the writers' own; and writers are careful not to follow closely the wording of sources they have read. If they wish to quote, they put the passage in quotation marks and give credit to the author in a footnote; but they write the bulk of the paper in their own words and style, using footnotes to acknowledge the facts and ideas they have taken from the reading.

[Saint Mary's College, which has edited this material, reprints it with the permission of the publisher from *Understanding and Using English*, by Newman P. Birk and Genevieve B. Birk (Odyssey Press: 1972).]

## 2. STUDENT'S RESPONSIBILITY

Students shall be honest in their academic work and shall support the honesty of others. They shall, moreover, guard against any appearance of dishonesty.

## 3. FACULTY RESPONSIBILITY

Each faculty member has the responsibility to refer to the College policy on academic honesty at the beginning of each course. Faculty shall foster the honesty of their students by conducting each course in such a way as to discourage cheating or plagiarism. Faculty, moreover, are to investigate thoroughly any evidence of cheating in their classes.

## 4. COMMUNITY RESPONSIBILITY

- a. Any member of the College community who has evidence is encouraged to report a violation of academic honesty to the instructor of the course.

- b. Any member of the College community who has evidence has the right to refer a violation of academic honesty to the Associate Dean for Advising.
- c. Any student has the right to refer an accusation of academic dishonesty or a grade resulting from such an accusation to the Associate Dean for Advising for further consideration.
- d. Any student taking a course through the Notre Dame Co-Exchange Program or the N.I.C.E. Program shall adhere to and be subject to the host institution's Academic Code of Honor or Academic Honesty Policy as it applies to that course.

5. PROCEDURE IN CASES OF VIOLATION OF THE ACADEMIC HONESTY CODE

Course instructors who have evidence of cheating or plagiarism are to make known to the student the charge and any subsequent action. Only then shall an appropriate penalty be imposed. It is recommended that the instructor submit in writing to Academic Affairs and First Year Studies the name of any student found guilty of academic dishonesty serious enough to have been penalized, along with a description of the penalty imposed. Such reports will be kept in confidence, except in the case of continued violations by a student, when the reports may be presented to a subcommittee (Academic Hearing Board) of the Academic Standards Committee.

The Instructor of the course in which a violation of academic honesty occurs is to determine an appropriate penalty. Penalties may range from a refusal of credit for an individual assignment to failure in the course, depending upon the seriousness of the offense. In cases recommended to it for further consideration, the Academic Standards Committee may also recommend other penalties, including academic dismissal from the College.

6. HEARING AND APPEAL OF DECISIONS IN CASES OF VIOLATION OF THE ACADEMIC HONESTY CODE

a. ACADEMIC HEARING BOARD

At written request of any involved party, the Associate Dean for Advising refers the matter to the chair of the Academic Standards Committee who appoints a three-member *ad hoc* committee – the Academic Hearing Board. The Academic Hearing Board is comprised of one faculty member, one student, and one academic administrator selected from the members of the Academic Standards Committee. The Academic Hearing Board conducts a hearing and renders a recommendation in writing to the chair of the Academic Standards Committee. All proceedings are kept otherwise confidential. The chair must ensure that student rights to due process are protected. Unless it is appealed, the recommendation of the Academic Hearing Board is final and binding.

At the discretion of the Associate Dean for Advising, repeated violations of academic honesty may be referred to the Academic Standards Committee for review by an Academic Hearing Board for possible disciplinary action. In such cases, the Academic Hearing Board may

recommend other penalties, including academic dismissal from the College. The student involved will be notified before any such referral is made.

Appeals of Academic Hearing Board recommendations are made to the Academic Appellate Board.

b. ACADEMIC APPELLATE BOARD

The Academic Appellate Board acts as a review board for any case in which a decision is being contested. The board consists of one student, one faculty member, and one administrator appointed by the chair of the Academic Standards Committee from that committee.

The appeal of a recommendation of the Academic Hearing Board to the chair of the Academic Standards Committee must be initiated within 48 hours of the student's being notified of the recommendation. In the letter of appeal, reasons for the appeal are to be cited. All appeals must be based on new evidence or violation of rights to due process. The Appellate Board meets to discuss the merit of the appeal. If the Board feels the appeal lacks merit, the appeal is denied. If the Board requires additional information, a meeting can be scheduled with the appellant. If the appeal has merit, a hearing will be granted before the Appellate Board. The Appellate Board submits its decision in writing to the involved parties, to the chair of the Academic Standards Committee and to appropriate academic officers of the College.

c. APPEAL TO PRESIDENT

A final appeal may be made to the President of the College. The recommendations and decisions of the Academic Appellate Board are subject to review by the President of the College.

**D. ACADEMIC HONORS AND AWARDS**

1. GRADUATION HONORS

a. VALEDICTORIAN

Conferred upon the student who has the highest grade point average in the graduating class. A student must have completed at least 80 semester hours of credit at Saint Mary's College to qualify for this honor.

- |    |                 |                                |
|----|-----------------|--------------------------------|
| b. | Cum laude       | Cumulative GPA of 3.5 to 3.69  |
|    | Magna cum laude | Cumulative GPA of 3.7 to 3.89  |
|    | Summa cum laude | Cumulative GPA of 3.9 or above |

The standards for these awards are established by the Academic Standards Committee.

2. KAPPA GAMMA PI

Saint Mary's College is affiliated with Kappa Gamma Pi, the National Honor Society for Catholic Colleges. Seniors whose cumulative grade point average qualifies them to be graduated with honors (i.e., at least a 3.4) are invited to nominate themselves to membership in this society. Recommendations are also made by the student's major department(s). On the basis of their leadership qualities and service to the Church, College, and community, a maximum of 10% of the senior class is selected by the Committee on Academic Standards for this honor. New members are announced at the Honors Convocation in May.

3. THE SAINT CATHERINE MEDAL

The Academic Standards Committee names one sophomore or junior student each year to receive this undergraduate achievement award. Sponsored by Kappa Gamma Pi, the award recognizes service to the Church, College, and community on the part of a student in the middle of her academic career. This award is presented at the Honors Convocation.

4. THE LUMEN CHRISTI MEDAL

This medal is bestowed annually by the College upon a senior who has been outstanding in the spirit of service, leadership, and loyalty to Saint Mary's College and has made a significant contribution to the College community. The recipient is chosen by the Student Affairs Council.

5. DEPARTMENT AWARDS

Many individual academic departments make awards to outstanding students, particularly to graduating seniors, but, in some cases, to sophomores or juniors. These awards, many of which are described in the *Bulletin*, recognize achievement in a discipline, or in a particular branch of a discipline, or major contributions to the life of a department. Most awards are presented at the close of the academic year, either at the Honors Convocation or at the Department Hooding ceremonies which precede it.

6. DEAN'S LIST

A student must complete at least 12 graded hours and earn a 3.4 GPA or better to qualify for academic honors. Beginning with the entering First Year class of Fall 2007, a student must earn a GPA of 3.6 or higher with at least 12 graded hours and no incompletes or grades lower than a "C." This honor is noted on the student's transcript.

## E. ACADEMIC INFORMATION: SOURCES

The following published sources of academic information are available to students and faculty members.

### 1. THE BULLETIN

The Saint Mary's *Bulletin* is published every other year and contains general information on student life and activities, admission requirements, tuition and residence costs, scholarships and student aid, academic regulations, degrees and courses of study, and the organization of the College. The *Bulletin* is the official source for academic information. A copy is given to each entering student. Additional copies may be obtained at the Registrar's Office.

### 2. DEPARTMENTAL BROCHURES

Department Brochures describe programs offered by departments of the College as well as specific prerequisites and requirements for majors. Brochures may be obtained from the academic departments.

### 3. ACADEMIC GUIDE FOR FIRST YEAR STUDENTS

The Academic Guide for First Year Students contains academic information and policies pertinent to incoming first year students. The manual may be obtained from Academic Affairs and First Year Studies.

### 4. MINOR PROGRAMS

Information about requirements for departmental minors is available in the College *Bulletin*.

## F. ACADEMIC STANDARDS

### 1. ACADEMIC GOOD STANDING:

The standard for continuance (good standing) in the College is a 1.80 cumulative GPA for students completing the first semester of the first year; 1.90 cumulative GPA for students completing the second semester of the first year; and 2.00 cumulative GPA thereafter.

### 2. ACADEMIC PROBATION:

The record of a student whose GPA falls below these figures is reported to the Academic Standards Committee at the end of each semester. If in the opinion of this committee, the record offers little or no promise of successful completion of work for a degree, the student is subject to dismissal. Otherwise, she is placed on academic probation for one semester. Students on academic probation are not allowed to participate in major co-curricular activities, may not hold a major student leadership position nor participate in varsity athletics. The notation "academic probation" appears on the student's transcript.

a. CONDITIONS AND LETTERS OF NOTIFICATION

Conditions of the probationary period are determined by the Committee on Academic Standards. Students placed on probation are notified in writing on these conditions by the Associate Dean for Advising or Senior Academic Advisor.

A copy of this letter is sent to the chair of the students' major department and to their parents.

b. LETTERS OF WARNING

If students are close to the minimum, they will receive a letter of warning from the Committee on Standards, with copies to their department and their parents.

c. REMOVAL FROM PROBATION

Students on probation whose grades rise above the minimum at the close of the probationary period will be officially removed from probation. A notation to that effect will be made on their permanent record.

d. ACADEMIC DISMISSAL

A student is subject to dismissal under the following circumstances: academic probation for two consecutive semesters or for three non-consecutive semesters, first academic probation with little or no promise of academic success, or unsuccessful in two majors. Dismissal will be recorded as part of the student's permanent record. If a student is dismissed for poor scholarship, she may reapply after one year, provided she can present evidence of potential academic success to assist the Academic Standards Committee in making a decision.

e. APPEAL

A student has the right to appeal a dismissal. Her appeal must include new information that was not taken into consideration at the time of her dismissal and a plan for future success. The student must submit this appeal to the chair of the Academic Standards Committee within ten working days upon receipt of notification. The chair of the Academic Standards Committee, along with two other committee members, will hear the appeal.

## **G. ACADEMIC REGALIA**

The approved regalia for formal academic ceremonies at Saint Mary's College consists of the robe, the mortarboard, and the hood. On occasion, upon the recommendation of an academic department and with prior approval of the President, the apparel may be complemented with a nationally recognized symbol of academic honor. The additional adornment will be approved only so long as it is discrete enough not to distract from the general uniformity of the academic regalia.



For less formal occasions, such as department convocations or hoodings and including specifically the Honors Convocation, academic department alternatives to the approved regalia remain within the purview of the faculty of that department.

## **H. ATTENDANCE AND EXCUSED ABSENCES**

### **1. ATTENDANCE POLICY**

Saint Mary's College makes no provision for a system of allowed “cuts” of absences. Students are expected to attend every meeting of a class for which they are registered, and the responsibility for attendance rests entirely with the students. Instructors are encouraged to establish their own attendance policy and to communicate it to the students. Faculty members have the right to lower grades for unexcused absences.

### **2. EXCUSED ABSENCES**

Absences are always excused in the following cases:

- a. serious illness of the student certified by a doctor or Health and Wellness Services;
- b. emergency or important event in the student’s family;
- c. participation in the Saint Mary’s or Notre Dame varsity sports program, a Saint Mary’s music or dance group or the Notre Dame Band, Notre Dame ROTC Program, or attendance at designated college sponsored conferences.

In other circumstances, the Associate Dean for Advising may officially excuse an absence after consideration of the particular situation, and will notify instructors when students are seriously ill, when they are absent for a family emergency or important event, and in other exceptional cases.

Notices are not normally sent when students are absent for scheduled events (athletics, for example) or when they visit Health and Wellness Services. When an instructor is in doubt about whether a student has an excused absence for a class, the instructor should contact Academic Affairs and First Year Studies. Students who will be absent for athletic or musical activities are expected to notify their instructors prior to any absence.

### **3. MAKE-UP WORK: EXCUSED AND UNEXCUSED ABSENCES**

In the instance of an excused absence, students are allowed to make up work missed, although the loss of instruction, especially during a prolonged absence, may result in a lower grade for an assignment or for the course. According to College policy, an instructor has the right to refuse to allow students to make up work missed because of an unexcused absence. Instructors are encouraged to make clear individual policy on “make-up” work early in each course as well as any policy they may have on the maximum number of absences allowed in the course.

#### 4. DEPARTMENTAL POLICIES

Some departments (*e.g.*, Modern Languages) have established departmental policies regarding attendance and absence in courses. Where there are departmental policies, students must be informed of them.

### I. CLASSIFICATION OF STUDENTS

A student meeting the requirements for admission and desiring to study for a degree from Saint Mary's College is classified as follows:

0-28 semester hours of credit	First Year
29-60 semester hours of credit	Sophomore
61-92 semester hours of credit	Junior
93 or more semester hours of credit	Senior

A student not working for a degree from Saint Mary's College is classified as a non-degree seeking student.

Part-time students are those fulfilling all class obligations but carrying fewer than twelve semester hours of work.

A non-degree seeking applicant is expected to present formal application, a written statement of courses desired, and the reasons for the conditions under which they are to be taken.

### J. CO-EXCHANGE PROGRAM

#### INTRODUCTION

Saint Mary's College participates in co-exchange programs with the University of Notre Dame and with members of the Northern Indiana Consortium for Education. Only full-time Saint Mary's students who are enrolled in a degree program may participate in co-exchange classes. These programs are intended to enrich a student's choice of elective courses, not to provide basic General Education or major courses. First year students do not participate in co-exchange courses except in unusual circumstances, and then only with the approval of Academic Affairs and First Year Studies.

#### 1. THE NOTRE DAME-SAINT MARY'S COLLEGE CO-EXCHANGE PROGRAM

##### a. ELIGIBILITY

In order for the co-exchange program to work effectively and fairly, certain requirements have been established:

- 1) Only full-time students are eligible for participation in this program;
- 2) Students in their senior year may elect two Notre Dame courses per semester and non-seniors one course per semester. Students who wish to enroll in courses in excess of the quota must receive special approval from their department chair and Academic Affairs and First Year Studies;
- 3) If the 3,000 credit hour quota is exceeded, some seniors registering for two courses will be allowed only one. A lottery system will be used to determine which seniors will be limited to one Notre Dame course.
- 4) Notre Dame courses may be chosen from any discipline, including the student's major field. In the latter case, it is understood that the course will count as an elective. The student's advisor must approve any Notre Dame course.

b. PROCEDURE

- 1) Saint Mary's students may pre-register for a Notre Dame co-exchange class. Instructions are found on the Office of the Registrar website.
- 2) All co-exchange class changes, along with the Pass/Fail option cards for such courses, are processed through the Saint Mary's Registrar.
- 3) Part-time Saint Mary's students (who may not participate in the co-exchange program) who wish to enroll in a Notre Dame course must first make application to the University of Notre Dame as a special part-time student. If they are admitted, they pay all tuition and fees for the course directly to the University.

c. GENERAL LIMITATIONS

The existence of quota system demands, in fairness, that certain limitations be placed on coex enrollment.

- 1) The co-exchange system is renewed yearly. It excludes summer sessions and graduate programs.
- 2) Each school has a ceiling quota of 3,000 credit hours to be assigned by each institution according to guidelines by its own staff.
- 3) All courses fall under the co-exchange program.
- 4) All General Education requirements (except Religious Studies and Theology) must ordinarily be completed on the Saint Mary's College campus.
- 5) Major requirements must be fulfilled at Saint Mary's College.

- 6) Saint Mary's students who take Notre Dame courses comparable to one on their campus for which a fee is assigned will be charged for that fee. Examples: languages and science "labs," art and photography "studios."
- 7) There are no fees for participation in musical organizations such as marching band, concert band, orchestra, glee clubs, and madrigal singers, or for audited classes.

## 2. NORTHERN INDIANA CONSORTIUM FOR EDUCATION (N.I.C.E.)

### a. ELIGIBILITY

Saint Mary's College is part of a six member consortium, which also includes Bethel College, Goshen College, Holy Cross College, Indiana University at South Bend, and Ivy Tech Community College. Full-time students at any of these institutions may enroll in one or two courses a semester at any of the others without extra charge (unless there are fees connected with the course). Enrollment is on a "space available basis." Grade points and credits earned in consortium courses become part of the student's official transcript. The host institution does not issue a separate transcript to students for coursework completed through NICE, the grade is recorded only at the home institution.

### b. ENROLLMENT PROCEDURE

To enroll in a consortium course, students (who should be enrolled in at least 12 hours at Saint Mary's) should:

- 1) obtain approval of the course from their department chair (schedule booklets may be obtained from the Saint Mary's Registrar or a the host college website);
- 2) obtain a consortium form from the Saint Mary's Registrar, which is then signed by the student's department chair, the Associate Dean for Advising and the Registrar;
- 3) attend the first class session at the host institution: if there is space available, students should obtain the signature of the instructor indicating that they are enrolled in the class;
- 4) return the remaining parts of the form (with the exception of the final sheet, which serves as a parking permit) to the host Registrar, who mails one copy to Saint Mary's College.

### c. POLICY EXCLUSIONS

The consortium co-exchange in no way affects the Notre Dame-Saint Mary's co-exchange program. This agreement is in effect only during the regular academic year; it does not apply to summer school.

## K. COUNSELING ASSISTANCE FOR STUDENTS

### 1. NON-EMERGENCY REFERRAL TO COUNSELING

When referring a student for counseling services, the following steps are usually taken:

- a. The referring person may consult with a counselor about the nature of the problem and the most appropriate way to initiate a referral.
- b. A conversation with the student is arranged preferably in a quiet, private location. The behaviors which have caused concern for the referring person should be identified to the student along with the reasons for recommending counseling services.
- c. In most instances, it is beneficial to allow the student to make specific arrangements with the Center.
- d. There may be times when the individual desires or requires the security of having someone else call or accompany her to the Center.
- e. The referring person is encouraged to follow-up with the student to determine whether a counseling relationship has been established.
- f. If, after a reasonable time, the student has not made or kept an appointment, it is appropriate for the individual who has initiated the action to check with the counselor who will assist in determining what further steps can be taken.

### 2. REFERRAL TO THE VICE PRESIDENT FOR STUDENT AFFAIRS

If students with serious behavioral problems are not cooperative, the referring person or the Counseling Center may contact the Vice President for Student Affairs. The Vice President for Student Affairs may contact students directly regarding appropriate professional services and may outline conditions for students' continuation at the College. Such conditions may include continuing consultation with a licensed health service provider and notification to the parents.

Because individual circumstances vary, the Vice President for Student Affairs will determine the appropriate procedures on a case-by-case basis. Counseling Center staff are available for consultation in such situations.

### 3. PROCEDURES FOR A PSYCHOLOGICAL EMERGENCY

- a. If a member of the College community believes that a student(s) could be a serious danger to themselves or others, that community member contacts a College administrator, proceeding down this list until contact is made:

During office hours, Monday through Friday, 8:00 a.m. to 5:00 p.m.:

- Director of Women’s Health
- Vice President for Student Affairs
- Director of Residence Life
- Security

After office hours:

- Hall Director on call
- Security
- Director of Women’s Health
- Vice President for Student Affairs

- b. In psychological emergencies in which a student requires emergency treatment, the parents or guardians of the student may be notified by the Vice President for Student Affairs or an available College representative.

4. THE CONFIDENTIALITY OF THE COUNSELOR-CLIENT RELATIONSHIP

Consistent with the laws of the state of Indiana and the ethical standards of professional mental health organizations, the confidentiality of the counseling relationship is respected and maintained. Therefore, information received in a counseling relationship goes to no one outside the Counseling Center unless students request such a release, except as specified for safety and legal proceedings. The fact that students have seen a counselor is not a part of the student’s academic record.

When a counselor determines that a student is a serious danger to themselves or others, information about the student will be released without their consent and then only to parents or guardians, administrators, law enforcement, and health service providers who have a need to know. Even in these situations, an effort is made to enlist the student’s consent and cooperation.

5. POLICY REGARDING HEALTH LEAVE OF ABSENCE (VOLUNTARY OR REQUIRED)

The Director of Women’s Health or the Vice President for Student Affairs, may recommend that students take a leave of absence from school for health reasons. All health leaves are processed through the Office of the Vice President for Student Affairs.

After the Change of Status form has been processed, the Vice President for Student Affairs sees that:

- a. there is appropriate documentation on file regarding the nature and status of the students’ difficulties;
- b. conditions are specified regarding students’ return to the residence hall and the College. Most frequently an evaluation by a certified physician or psychologist is required, addressing the

students' ability to successfully manage academic work and live responsibly in a residence hall community;

- c. a letter is sent to the students, their parents, and the appropriate administrators specifying that the above-mentioned conditions be met prior to the students' return to the College.

Copies of the letter will be kept in a confidential file and are not part of the students' formal academic record.

## 6. EXCUSES FOR CLASSES MISSED

A counselor will not recommend that a student be excused from either class attendance or class requirements. However, as deemed appropriate, with the permission of the student, the counselor may contact another member of the College community (*e.g.*, the Office of Academic Affairs or a faculty member) to provide information relevant to the student's situation.

## L. CREDIT BY EXAMINATION

### 1. CREDIT BY EXAMINATION POLICY

Saint Mary's College will accept up to thirty credit hours by examination. The usual ways of qualifying for such credit are:

Advanced Placement Examination (AP)

College Board Achievement Tests (SAT II)

College Level Examination Program (CLEP)

International Baccalaureate – Higher level Examination

Students usually take the AP and SAT II examinations before entering Saint Mary's College. They may take the CLEP examination at any time in their college program.

The following charts list the conditions, determined by the appropriate Saint Mary's department, under which credit and/or advanced placement is granted.

a. ADVANCED PLACEMENT EXAMINATION POLICY

<u>TEST</u>	<u>SCORE REQUIRED</u>	<u>COURSE EQUIVALENT</u>	<u>EXEMPTION FROM GENERAL EDUCATION REQUIREMENTS</u>	<u>CR HRS</u>
Am. Hist.	4,5	HIST 201-202	Yes	6
Art Hist.	3,4,5	Art 141 (non-majors only)	Yes	3
Biology	3	BIO 103-104	Yes	8
	4,5	BIO 151-152	Yes	8
Chemistry	3	CHEM 101-102	Yes	8
	4,5	CHEM 121-102	Yes	8*
Comp. Sci. A	3	CPSC 207	No	3
Comp Sci. AB	4,5	CPSC 207 & CPSC elec	No	6
Macro Economics	4,5	ECON 251	Yes	3
Micro Economics	4,5	ECON 252	Yes	3
English Language	4,5	ENWR 100- level courses	No	6
English Lit	4,5	ENLT 100-level courses	Yes	6
Eur. Hist.	4,5	HIST 101-102	Yes	6
French	4,5	FRENCH 111-112	Yes	6
German	4,5	GERMAN 111-112	Yes	6
Pol. Science	4,5	POSC 152	Yes	3
Latin	4,5	CLLA 121-122 (N.D.)	Yes	6
Math-CalAB	3	MATH 105	Yes	3
CalAB	4	MATH 105-106	Yes	6
CalAB	5	MATH 131-132	Yes	8
CalBC	3	MATH 131	Yes	4
CalBC	4,5	MATH 131-132	Yes	8
Mus. Lit.	3,4,5	MUS 241	Yes	3
Physics B	3	PHYS 101-102	Yes	8
Physics B	4,5	PHYS 217-218	Yes	6-8**
Spanish	4,5	MLSP 111-112	Yes	6

\*High school laboratory notebook will be reviewed before granting credit.

\*\*Credit depends on review of high school text and note book.



b. COLLEGE BOARD SAT II: SUBJECT TEST

<u>TEST</u>	<u>SCORE REQUIRED</u>	<u>COURSE EQUIVALENT</u>	<u>EXEMPTION FROM GENERAL EDUCATION REQUIREMENTS</u>	<u>CR HRS</u>
Am. Hist.	700 and up	HIST 201 or 202	Yes	0
Bio	630 and up	BIO 103-104	Yes	8
Chem	630 and up	CHEM 101-102	Yes	8
Foreign Language				
French	640 and up	Inter. level	Yes	0
Spanish & German	630 and up	Inter. level	Yes	0
MATH IIC	620 and up Plus dept. exam	MATH 101 or 102	Yes	3

c. COLLEGE LEVEL EXAMINATION PROGRAM POLICY

<u>TEST</u>	<u>SCORE REQUIRED</u>	<u>COURSE EQUIVALENT</u>	<u>EXEMPTION FROM GENERAL EDUCATION REQUIREMENTS</u>	<u>CR HRS</u>
Biology	49 & up 55 & up	BIO 103-104 BIO 151-152 (majors)	Yes Yes* *Upon cnsltn with Bio dept chr	8
Chemistry	48 & up	CHEM 101-102	Yes	8
Economics				
Intro Macro	57 & up	ECON 251	3 hrs of Soc. Sci.	3
Intro Micro	57 & up	ECON 252	3 hrs of Soc. Sci.	3
Govt	55 & up	POSC 151-152	Yes	3
History				
Am Hist I	58 & up	HIST 201	Yes	3
Am Hist II	58 & up	HIST 202	Yes	3
West Civ I	58 & up	HIST 101	Yes	3
West Civ II	58 & up	HIST 102	Yes	3
Marketing (Intro)	56 & up	BUAD 231	BBA General Education	3
Math				
Coll Alg	55 & up plus dept essay exam	Math 101 or 102	Yes	3
Intro Cal	51 & up plus optnl essay exam	MATH 105-106	Yes	6
Mod. Lang.				
French	58 & up	MLFR 111	3 hrs	3
German	58 & up	MLGR 111	3 hrs	3
Spanish	58 & up	MLSP 111	3 hrs	3
Psyc (Gen)	60 & up	PSYC 156	3 hrs of Soc. Sci.	3
Soc. (Intro)	52 plus essay exam and interview	SOC 153	3 hrs of Soc. Sci.	3

d. INTERNATIONAL BACCALAUREATE – Higher Level Exams

<u>TEST</u>	<u>SCORE REQUIRED</u>	<u>COURSE EQUIVALENT</u>	<u>EXEMPTION FROM GENERAL EDUCATION REQUIREMENTS</u>	<u>CR HRS</u>
<b>INDIVIDUALS &amp; SOCIETIES</b>				
English A1	5	100 level ENLT & 1 humanities core	Yes	6
Economics	5	ECON 151	Yes	3
Economics	6	See Department Chair		
History Americas	5	HIST 201-202	Yes	6
History Europe	5	HIST 103-104	Yes	6
Philosophy	5	See Department Chair		
Social Anthropology	5	ANTH 253	Yes	3
<b>SCIENCES</b>				
Biology	4	BIO 103-104	Yes	8
Biology	5	BIO 151-152	Yes	8
Chemistry	6	CHEM 121	Yes	4
Physics	6	PHYS 217	Yes	4
<b>MATHMETICS</b>				
Math with Option 12	5	Math 105	Yes	3
Math with Option 12	6	Math 131	Yes	4
Math with Option 12	7	Math 131-132	Yes	8
Math with Option 9	5	MATH 114	Yes	3
<b>THE ARTS</b>				
Music	5	Mus 241	Yes	3
<b>LANGUAGE</b>				
French	5	MLFR 111-112	Yes	8
German	5	MLGR 111-112	Yes	8
Spanish	5	MLSP 111-112	Yes	8

2. PROCEDURE

Students who wish to receive credit by examination should contact Academic Affairs and First Year Studies.

## M. DEGREE REQUIREMENTS AND GRADUATION

### 1. PETITIONING FOR GRADUATION

A senior planning to receive a degree at May Commencement must file a degree petition with Academic Affairs and First Year Studies by the end of the fall semester prior to graduation. This petition must be approved by the chair of the major department or by both chairs, if the student has a double major. Each chair at that time determines what requirements the student still must satisfy to complete degree and major requirements and informs the student of them. It is the students' ultimate responsibility, however, to satisfy all degree requirements. In cases where a student's graduation is in doubt, the chair should notify Academic Affairs and First Year Studies.

### 2. EARLY COMPLETION OF DEGREE REQUIREMENTS

A student may finish a degree in three years, as long as all College regulations are observed in respect to credit by examination and transfer credit, and all major, General Education, and degree requirements are satisfied. When a student intends to finish degree requirements in mid-year, a special petition to finish early must be completed. Permission will be granted only when all course work and requirements can be completed in normal sequence and within a normal course load.

### 3. COMPLETION OF DEGREE REQUIREMENTS AT ANOTHER COLLEGE OR UNIVERSITY

Under certain circumstances a student who has completed the majority of her work may be given permission to complete requirements for a Saint Mary's degree by earning transfer credit at a college or university approved by Saint Mary's College. To receive such permission, the student must complete a petition, which is reviewed by the department chair and Academic Affairs and First Year Studies. All courses taken at another institution must be approved in advance and must be graded at least "C" or its equivalent. They will not affect a student's Saint Mary's College grade point average or rank in class.

### 4. LATE COMPLETION OF DEGREE REQUIREMENTS

If a student has completed all major requirements for the degree and is within six hours of completing the 128 required credit hours, permission may be requested from Academic Affairs and First Year Studies to take part in commencement exercises as a "degree candidate." "Degree candidates" do not receive a diploma and are not graduates of Saint Mary's College until the end of the term in which all degree requirements are complete.

If a student has walked as a degree candidate, she may receive an August diploma if all outstanding work is completed by the first of August. If she completes work after the first of August but before December 15, she may receive a December diploma. All work must be presented to the Academic Affairs and First Year Studies Office for verification of degree completion.

## N. ADDING, DROPPING, AND WITHDRAWING FROM COURSES

### 1. ADDING A COURSE

Courses may be added electronically through the Sunday (at 11:59 p.m.) following the first day of class. Course additions may continue through the seventh day of the semester (Tuesday at 5:00 p.m.) with instructor permission through the use of an Add/Drop form. Failure to add a course properly may result in no credit for the class.

### 2. DROPPING A COURSE

Through the first seven days of the semester, students may drop a course in PRISM. After the first seven days until the end of the drop period (five weeks into the semester), a student may drop a class with the permission of the instructor or chair of the department offering the course and advisor. The student must pay any special fees associated with a class dropped after the regular add/drop period. Because nothing can be added in its place after the initial add period, a student should have at least 12 remaining credits after dropping a course in order to continue in good standing as a full-time student. No record of a dropped course is made on the student's permanent record. Drop forms may be obtained from and returned to the Registrar's Office. Drops may also be processed by the academic departments directly into Banner during the first seven days of the semester. Failure to drop a course properly may result in a grade of "F" or "U."

Saint Mary's students must process adds and drops for Notre Dame courses with the Saint Mary's Registrar.

### 3. WITHDRAWING FROM A COURSE

After five weeks, a student may withdraw from a course according to the procedure and under the circumstances outlined in the current *Bulletin* under "Withdrawal from a Course." A withdrawal form is available only from Academic Affairs and First Year Studies. As in dropping a course, a student should have at least 12 remaining credits to continue in good standing as a regular, full-time student.

A student may withdraw from a course up to the last day of class. In very few cases, however, is such a late withdrawal advisable. Both the instructor and academic advisor should carefully discuss with the student the decision for late withdrawal. Failure to withdraw from a course properly may result in a grade of "F" or "U."

### 4. "WITHDRAWING" VERSUS "DROPPING" A COURSE: A COMPARISON

Withdrawing from a course differs from dropping it in two ways:

- a. the student must have the instructor's approval to withdraw from the course;

- b. a record of registration in the course is made on the student's transcript. If a passing grade is being earned in the course at the time of withdrawal, a "W" will be recorded on the transcript. This grade has no effect on the grade point average. If the student is not passing in the course and still wishes to withdraw, the grade is recorded as "F" and is included in the cumulative grade point average.

Thus, the only time it is advisable for a student to withdraw from a course with a failing grade is when it has been determined (and the instructor agrees) that the student cannot hope to pass the course and wishes to stop attending the class and devote time to other subjects.

## O. FINAL EXAMINATION POLICY

### 1. GENERAL POLICY

No final examination may be changed by the instructor from its scheduled time to any other time. The required date for the submission of take-home examinations must be the day on which the course examination was originally scheduled. Any exception to these regulations must have the approval of the appropriate department chair and the Provost and Senior Vice President for Academic Affairs.

Faculty members must avoid scheduling major tests, even if they are not final exams, during the last week of classes. Any test given at the end of the semester, even if it is not a cumulative exam, should be scheduled during the final exam period.

### 2. STUDENT INITIATED CHANGES OF FINAL EXAMINATIONS

Students may request a change of final examination time through Academic Affairs and First Year Studies for the following reasons:

- a. documented illness of the student;
- b. emergency or important event in the student's immediate family;
- c. three exams scheduled in one day or in three consecutive exam periods within 24 hours;
- d. students on varsity teams who qualify for tournaments which conflict with exam dates.

An Advisor in Academic Affairs and First Year Studies will notify the instructor in writing that the exam is to be rescheduled and will determine which exam should be rescheduled in the case of three consecutive exams. As a general rule, the middle exam will be the one changed.

### 3. INSTRUCTOR INITIATED CHANGES OF FINAL EXAMINATIONS

In cases where the instructor thinks the student has a good reason for taking an exam out of its scheduled time, the instructor should refer the student to Academic Affairs and First Year Studies for special consideration.

**P. GRADE POLICIES AND PROCEDURES**

1. GRADE SYSTEM AND GRADING CRITERIA

At the end of each semester, students receive a final grade in each course based upon the work done in class discussion or recitation, collateral reading, themes, term papers, reports, tests, laboratory work, and the final examination in the course. The grade system in use is:

<u>LETTER GRADE</u>	<u>GRADE POINTS PER SEM. HR.</u>	<u>DESCRIPTION OF GRADE</u>
A	4.00	Superior
A-	3.67	
B+	3.33	
B	3.00	Good
B-	2.67	
C+	2.33	Satisfactory
C	2.00	
C-	1.67	
D+	1.33	Poor Failure
D	1.00	
F	0.00	

(A "C-" is not an acceptable grade for a course in a student's major or minor.)

Grades not included in average:

- W            withdrew with permission
- NR          no grade reported
- V            audit
- P            pass (course taken on pass/fail basis)
- X            incomplete
- H/S/U      honors/satisfactory/unsatisfactory (non-graded course)

2. INCOMPLETE GRADES AND GRADE CHANGES

a. ASSIGNING AN INCOMPLETE "X" GRADE

Students may be given an "X" grade in a course if circumstances beyond their control have caused them to be unable to finish course work by the time final grades are assigned. Usually, an "X" grade is given in the case of medical or other emergency. (Poor planning in a course, leading to panic at its end, is not sufficient reason for an "X" grade.) Students and their

instructors should complete a "Report of incomplete Grade Form" specifying work still to be done. These forms are available from the Registrar or department secretary and are to be returned to the Office of the Registrar by the instructor.

An "X" grade must be changed within the first 30 days of the semester following one in which the original grade was given. An "X" grade that has not been removed within the 30-day period will become an "F." The only way the "F" can be changed to a higher grade after the grade change period has lapsed is at the request of the faculty member who assigned the original grade and with the approval of the Academic Standards Committee.

b. ALTERNATIVES TO AN "X" GRADE

If an instructor agrees to accept work after final grades are due, even though no extenuating circumstances exist, that instructor may assign as a final grade whatever grade the student then has in the course. When all work is complete, a grade change can be made, so long as it is within the deadline for grade changes.

c. GRADE CHANGE POLICY AND PROCEDURE

Grade changes must occur within the first 30 days of the semester following the one in which the original grade was given. The instructor should process a "Change of Grade Form" which can be obtained from Academic Affairs and First Year Studies or the Registrar. (Only faculty members can receive these forms, never students.) The completed form should be returned by the instructor to Academic Affairs and First Year Studies within the 30-day period. Extensions of time for a grade change will be agreed to by the Associate Dean for Advising only for a serious reason and at the written recommendation of the instructor. If the academic officer has agreed to an extension because of an extenuating circumstance, the instructor will be notified in writing.

d. CONTESTED GRADES

If a student thinks that a grade received in a course is incorrect or unfair, she should discuss the matter with the instructor of the course. If she is not satisfied with the instructor's explanation, she should refer the matter to the chair of the department. For an appeal beyond this level, the student should contact the Associate Dean for Advising. In such an appeal, the burden of proof is on the student. The procedure for contested grades is the same as the appeal for violations of academic honesty code. See Section VI. C. 6.

e. APPEAL PROCESS FOR STUDENTS WHO ARE DENIED THE "W"

Appeals of a denied "W" must occur within the first 30 days of the semester following the one in which the "W" class was taken. If a student thinks she has been unfairly denied the "W," she should discuss the matter with the Instructor of the "W" course. If she is not satisfied with the instructor's explanation, she should write a letter stating the reason for her appeal and submit it with her "W" portfolio to the Director of the writing program.



### 3. PASS/FAIL OPTION

#### a. PASS/FAIL POLICY

- 1) First year students are not permitted to select courses on a pass/fail basis first semester.
- 2) General Education courses (those required for the Saint Mary's College degree) and courses in the student's major or minor (unless they are in excess of the minimum required for the major or minor) cannot be carried on a pass/fail basis.
- 3) Two pass/fail courses are permitted a semester, but only six such courses may be selected during a student's college career.
- 4) A pass/fail course permit must be countersigned by Academic Affairs and First Year Studies and the faculty advisor or department chair. Forms may be obtained at the Registrar's Office or Academic Affairs and First Year Studies.
- 5) The student is expected to complete all class assignments, tests, discussions, projects, labs, etc.
- 6) Grades of "A" through "F" will be assigned by an instructor, with grades through "D" being recorded as "P."
- 7) The grade posted will be either "P" or "F" with the latter included in the grade point average.
- 8) A student may elect the Pass/Fail option by processing a Pass/Fair form within the first ten class days of the semester. This limitation exists to maintain the integrity of Pass/Fail courses. The decision to take a course pass/fail may not be reserved, nor may a graded course be made pass/fail after the first ten class days of the semester.

#### b. PASS/FAIL PROCEDURE AND GUIDELINES

Before students decide to elect the Pass/Fail option, they should consider several points.

- 1) The Pass/Fail option exists primarily to allow students the freedom to try courses in a discipline not their major and for which they may lack extensive background.
- 2) The instructor will not know – unless informed by students – that they are taking the class Pass/Fail. The students will be graded on all assignments and on the course itself. The final grade will be converted to "P" or "F" by the computer.
- 3) Students are expected to attend all classes and do all assignments in a course they are taking Pass/Fail.
- 4) Even if students earn an "A" or a "B" in the course, the Pass/Fail option cannot be removed.

- 5) Students will need at least 12 graded hours to qualify for the academic Honors List, even if the necessary 3.4 or higher is earned.
- 6) Some graduate schools do not accept courses taken Pass/Fail. Others compute the Pass/Fail grade as the lowest passing grade (i.e., a "D"). Students intending to pursue a graduate program are thus advised not to elect courses Pass/Fail, particularly in courses related to the major.

#### 4. TRANSFER CREDIT

**General:** Courses completed with a grade of "C" or better at accredited colleges and universities (community and junior colleges are included), in academic areas of study are transferable. Grades earned through transfer credit are recorded on the student's permanent record but are not averaged into the Saint Mary's College grade point average. Quarter credits are converted to semester hours. No credit is awarded for duplicate courses.

**New Transfer Students:** New transfer students may transfer in a maximum of 68 semester hours and one-half of the major requirements. The major departments determine which courses fulfill major requirements, and Academic Affairs and First Year Studies determines General Education requirements and electives.

**Continuing Students:** All courses taken at another college or university must be approved in advance or acceptance of transfer credit is not guaranteed. A maximum of six semester hours may be taken in a single summer session or nine in two summer sessions. Transfer credit is generally elective credit. A student may not take a course at another institution during the summer if the same course is offered as an outline course at Saint Mary's.

**Pre-College:** No credit is awarded for courses taken before a student completes her 11th year of high school. A student who qualifies for college credit while in high school may transfer a maximum of six semester hours for one semester and twelve hours for two semesters. Transfer credit is generally elective credit.

#### Q. HEARING AND APPEAL OF DENIAL OR WAIVERS

A student appealing the denial of a request for an exception to any academic policy, or waiver of any academic requirement, must present a written request to the Associate Dean for Advising. In this request, the student should state the exception she is seeking, the reasons for requesting an exception, and, in the case of a request for a waiver of a requirement, what substitute she would suggest. As is currently the practice for any appeal, the request will be handled by a hearing board made up of a faculty member, a student, and an administrator chosen from among the members of the Academic Standards Committee. The hearing board will solicit information from all relevant parties, in particular from any academic department involved.

Appeals from decisions of this hearing board will go to the President.

## **R. DISABILITIES**

Saint Mary's College will provide reasonable accommodations to qualified students with properly documented disabilities. Documentation must be in writing and must be current. Three to five years is the outside limit for conditions, and psychiatric disabilities should be documented yearly.

Documentation must be provided by an appropriately credentialed professional – a physician for physical disabilities, a psychologist with training in the learning disabilities of adults and adolescents for learning disabilities, a mental health provider licensed to diagnose psychiatric disabilities. The specific content of the documentation will vary with the nature of the student's problem, but in all cases it should include a diagnosis, its justification, recommendations, and a clear rationale for the recommendations.

The student will sign a release allowing the Disabilities Specialist to inform her faculty of the accommodations to which she is entitled, and to discuss their implementation. The student is responsible for reviewing and arranging for accommodation with the Disabilities Specialist and her faculty each semester. Faculty should consult with the Disabilities Specialist before making any accommodations requested by students.

### **APPEAL BASED ON DISABILITY**

A request for an exception to any academic policy made on the basis of a disability will be handled by a hearing board from the Academic Standards Committee. This board will be made up of a faculty member, a student, and the Provost and Senior Vice President for Academic Affairs as the administrative member. The Associate Dean for Advising may serve as a non-voting resource person.

## **S. INTERNATIONAL STUDY PROGRAMS**

### **1. INTERNATIONAL PROGRAMS**

Saint Mary's has a long history of providing quality international programs as an essential part of our educational mission—forming women leaders who will make a difference in the world. As this world becomes increasingly interdependent, the College offers an expanding range of semester, year, semester break, and summer study and service programs in a wide variety of countries, and encourages students to take advantage of them. These programs are coordinated by the Global Education Office within the Center for Women's Intercultural Leadership. Since program requirements and credit arrangements vary considerably, students should start the planning process as early as possible in their college careers. The Global Education Office will assist students in researching and pursuing their options. For Saint Mary's College programs, the program coordinator in charge will guide the student through the application process, and financial aid will be applied. To be accepted for credit, non-Saint Mary's programs and institutions must meet pre-defined academic standards and must be approved in advance by Academic Affairs and First Year Studies and the Global Education Office. These programs are generally not eligible for Saint Mary's financial aid.

## ACADEMIC YEAR PROGRAMS

### ROME, ITALY

In 1970, Saint Mary's College established a campus in Rome primarily for its sophomore students. Students are taught by a specialized faculty resident in Rome. Courses include those particularly associated with the history, the art, and the culture of the country. They cover anthropology, Italian art history, history, international business and economics, Italian language and literature, marketing, music appreciation, mythology, philosophy, political science, and religious studies. In order to qualify, students must have a 2.5 cumulative GPA and are strongly encouraged to complete one year of college level introductory Italian or its equivalent. If space permits, qualified students from other colleges may enroll in the program.

### MAYNOOTH, IRELAND

Since 1977, approximately 30 students per year have studied at the National University of Ireland at Maynooth (N.U.I.M.) in Maynooth, Ireland. These students attend regularly scheduled classes with and live among Irish students. They mainly choose sophomore-level general education courses in literature, history, classical civilization, philosophy, theology, economics, anthropology, or sociology. A course in Irish culture including lectures and tours is required. Students on the Ireland Program normally enroll for the Irish academic year but may go for one semester. Applicants should demonstrate a serious attitude in their college work (a "B" average is recommended), and must complete an application process to qualify.

### SEVILLE, SPAIN

In 1999, the College formally affiliated with the Center for Cross-Cultural Study in Seville, Spain. Spanish majors and minors who decide to attend typically spend the second semester of their sophomore year studying at the Center. The CC-CS has an ample curriculum in Spanish language, Spanish literature, history, and culture which complement the Spanish curriculum at Saint Mary's College. Students can study in Seville for a summer, semester, or academic year.

### CÓRDOBA, ARGENTINA

Saint Mary's College started to offer another Spanish program in Córdoba, Argentina in 2008 via its long-term partner the Center for Cross-Cultural Study (CC-CS). Córdoba is recognized as a center for arts and learning in Argentina with its many universities, theaters, and museums. This program also offers three enrollment options: summer, semester, and academic year. Students study at the distinguished Universidad Nacional de Córdoba (UNC) and take courses designed for international students besides one regular course at UNC. Students must have 3.0 cumulative GPA and a 3.0 "B" average in Spanish when they apply for the program.

### ANGERS, FRANCE

Saint Mary's offers students the opportunity to study at the *Université Catholique de L'Ouest* in the heart of the Loire Valley. Students who have previously taken French and earned a "B" average may take courses for the full year, fall or spring semesters with courses that range

from beginning to advanced French. Depending on language placement, students may earn some credit toward the General Education requirements. Since all of the coursework is done in French, students can expect to apply the bulk of their academic credits in Angers towards a French major or minor at Saint Mary's and to elective credit toward the SMC degree requirements. Students live with host families and participate in a variety of extracurricular activities at the Université. The program includes a few excursion trips each semester; in the spring semester there is usually a Saint Mary's Heritage excursion to LeMans. Interested students are recommended to study in Angers during their sophomore (preferred) or junior year or during the summer.

#### FREMANTLE, AUSTRALIA

In 2003, Saint Mary's established its first direct student exchange program with the University of Notre Dame, Australia. Eligible students pay tuition and room and board at Saint Mary's and receive financial aid, but will directly enroll full-time at UND in Fremantle, on the west coast of Australia. Students can choose from a wide range of courses offered, with pre-approval from the Academic Affairs and First Year Studies, and study for a year or semester. All Saint Mary's students will be required to take a course on Australian history and society, which includes a field trip to the Kimberly region of Western Australia to visit aboriginal communities and experience the Australian Outback. Students must maintain a cum GPA of 3.0 or higher for 2 semesters in order to be eligible for this program.

#### IFRANE, MOROCCO

The town of Ifrane is a small French-style ski resort nestled in the Middle Atlas Mountains. A semester or year in Ifrane will allow students to gain accurate knowledge of the Arab and Islam world, both areas that are critical to global dynamics. Saint Mary's students take courses for the general education requirements at Al Akhawayn University and all classes are taught in English. Students also have the opportunity to develop language skills in Arabic or French. The average class size at Al Akhawayn University, a small American style university, is 17, ensuring that students have the opportunity to interact with faculty and classmates. Students live in the residence halls with Moroccan and other international students.

#### INNSBRUCK, AUSTRIA

Students may participate in the program at the University of Innsbruck through our partnership with the University of New Orleans for the spring semester or full year. Besides intensive language study, courses accommodate the general curricular needs of Saint Mary's students, and are all taught by faculty from the University of Innsbruck. Typical offerings include history, literature, music, and fine arts. Students live in residence halls with German-speaking students, are taken on numerous excursions, and may elect to be assigned host families. Saint Mary's students wishing to study in the Innsbruck Program must have a minimum 2.5 GPA as well as a "B" average or above in German at the time of their application.

#### OXFORD, ENGLAND

Saint Mary's is one of a few Catholic colleges and universities in the United States that have been invited to participate in the Overseas Student Programme at Blackfriars Hall of Oxford University, which provides highly motivated and advanced students (GPA of at least 3.5 and turning 21 by their return) with a special opportunity to spend up to a year studying at one of the world's most storied universities, as well as at one of the most famous centers for the study of Catholic intellectual tradition. Participants in the program are able to work one-on-one with world class faculty members, enjoy conversations and forge friendships with other talented students from around the world, and imbibe the history and culture of a medieval university city as well as that of England itself. Blackfriars' course offerings are the most robust in the disciplines of philosophy, theology, history and literature, though it is also possible to take tutorial and lecture courses at Blackfriars in economics, politics, and psychology, as well as to take lectures, seminars, and language courses from the full range of offerings across Oxford University. Students who participate in the Overseas Student Programme should work closely with Saint Mary's officials to craft a course of study that will allow them to take full advantage of the opportunities available at Blackfriars while making progress toward their major and general educational requirements at Saint Mary's.

#### PIETERMARITZBURG, SOUTH AFRICA

Saint Mary's College offers an international program at the University of KwaZulu-Natal in the charming, old-world city of Pietermaritzburg, about an hour from the Indian Ocean, nature reserves, and the bustling tourist resort area of Durban. The program is an ideal fit for students interested in social justice, environmental biology, African literature, history, ethnic studies, religion, and sociology. Students typically take four classes or the equivalent of 16 credit hours while enrolled at the University of KwaZulu-Natal, and may enroll for the fall or spring semester or the full year. Students live on campus in apartment-style dorm rooms with a mix of South African and international housemates. Students participate in an orientation program upon arrival and are encouraged to take advantage of provided travel and community volunteer opportunities. The program is open to sophomores, juniors, and seniors with a minimum 2.5 GPA. It is expected that participating students be in good disciplinary standing and exhibit emotional maturity and adaptability to new experiences.

#### SEOUL, SOUTH KOREA

In 2008, Saint Mary's established a direct student exchange program with Ewha Women's University in Seoul, South Korea, which was established in 1886 as the first higher education institution for Korean women. It is now one of the most prestigious universities in Korea and the largest women's university in the world. Eligible students pay the regular tuition, room and board at Saint Mary's, and retain their financial aid. Students choose from a wide range of courses (in English) and Korean language courses offered, with pre-approval from their academic advisors, and can study for a year or semester. Students must have a 2.5 cumulative GPA to be eligible for this program. Korean language is not required.

## SHANGHAI/NANJING, CHINA

Saint Mary's students may participate in the program at the Shanghai Center on the campus of East China Normal University through our partnership with the Council of International Educational Exchange (CIEE) for the fall, spring semester of the full year. Shanghai, one of Asia's most exciting business and cultural centers, is the perfect environment for students to take business classes and other courses (Chinese culture, culture studies, history, journalism, etc.) in English to understand China in the global context. Students have opportunities to learn outside the classroom through volunteer opportunities, cultural activities, a three-day fieldtrip with excursions to Chinese companies and factories, or an organizational internship. The Shanghai Program is open to students of any major and Chinese language background it not required. The Nanjing Intensive Chinese Language Culture Program at the CIEE center on the campus of Nanjing University is open to students who have studied Mandarin Chinese for two semesters. Nanjing, China's ancient capital is rich in scenic and historic sites. The goal of the program is to increase students' language proficiency and cross-cultural competency through close interaction with community life via small classes, a unique area studies course taught in English and Chinese, and a research project with guidance from individual advisors. Students have opportunities to explore Southwest China in the fall and Northwest China in the spring on a one-week module and visit memorial museums and temples in Nanjing and other cities in Eastern China.

### b. SUMMER AND SEMESTER BREAK: INTERNATIONAL STUDY

Saint Mary's College sponsors travel and experience learning opportunities during spring break in Jamaica and Central Europe and summer in Ecuador, Europe, Greece, Honduras, Korea, and Mexico.

In any one summer, students may earn either six hours of academic credit in a single travel program or a maximum of nine credit hours in any combination of international travel or summer programs.

## SUMMER STUDY ABROAD

### EUROPEAN SUMMER STUDY PROGRAM

The European Summer Study Program is an introduction to European history, culture, international business, and other topics. This four-week program is offered each summer, from mid-May to mid-June. Classes are offered, not in the usual four-walled setting, but instead in the places where events happened. The key to the learning process on this study trip is experience. Students can take up to six credits and apply them toward their electives. In the past, this program has visited Dublin, Edinburgh, London, Paris, and Brussels, and taken side trips from major cities to places like Killarney and Blarney or Stonehenge and Bath.

### GREECE SUMMER STUDY PROGRAM

The Greece Summer Study Tour is a two-week program beginning toward the end of May and continuing into the month of June. The study tour allows students to earn three elective credits for the course. Students immerse themselves in the Greco-Roman world of the first urban Christians converted by Paul the Apostle while traveling throughout mainland Greece. Enrollment is open to students of all class years, but is limited to 16 students. Students do not need to specialize in history, religion, or a foreign language to participate.

### HONDURAS SUMMER SERVICE LEARNING PROGRAM

A 17-day, three-credit seminar is offered from mid-May to early June in Honduras. In partnership with the Heifer Project, this class explores issues related to poverty, development, gender concerns, and human rights. The course of study includes one week devoted to a cultural, political, and historical orientation to Honduras, based in Tegucigalpa, the capital city; a second week where students live in villages that are in partnership with the Heifer Project, including service-learning with development projects in those villages, and a third week with more service-learning in an orphanage and time in Copan, site of Mayan ruins in Honduras. The course includes reflection and discussion while in-country, as well as preparatory readings and post-trip debriefings. This program is offered in odd-numbered years and is offered in a shorter one-credit semester break format in the even years.

### KOREAN SUMMER PROGRAM

The Bahrom International Program at Seoul Women's University (SWU) in Seoul, the capital of South Korea, offers a unique opportunity for student to learn Korean culture and history. This one-month program is taught in English and is offered from the end of June to the end of July. The program typically has 50 participants from SWU and an additional 50 participants from countries all over the world. The program will introduce Korean culture, history, religion, philosophy, art, language, politics, and economics through lectures, discussion sessions, and hands-on cultural experiences during which students will dress like traditional Koreans, learn Korean manners, make their own Korean-style pottery, play traditional instruments, and make Korean food. Field trips to historical and traditional cultural sites such as Korea's capital during the Shilla Dynasty and the present border with the North Korea allow students to see first-hand the beauty and history of Korea, thus enriching their in-class learning. Participants will receive three or four transfer credits for the course

### ENVIRONMENTS OF ECUADOR SUMMER PROGRAM

One of the most environmentally diverse countries in the world, Ecuador offers a unique opportunity to experience four distinct ecological settings; witness 500-pound tortoises on the Galapagos Islands, hummingbirds in the cloud forest, alpacas of the Andes highland, and Capuchin monkeys in the Amazon. Students will discover a fascinating world of unusual plants and animals. Open to students in all majors, the course highlights the natural beauty of Ecuador in a 15-day travel experience during the summer in even years. Particular emphasis is



placed on local conservation efforts, the intersections between biology and culture, and the rich diversity of life. This course is offered in even-numbered years.

#### INTERNSHIPS IN THE EUROPEAN UNION: LONDON AND SEVILLE

These six week summer internships include but are not limited to: advertising, marketing, public relations, management and finance, politics and international relations, arts administration, journalism, etc. Placements are made before leaving campus, are in professional settings, and require full attendance of up to 40 hours per week. Students receive six credits and are expected to complete course requirements, written assignments, and on-site employee evaluation. Once students arrive, on-site program staff will orient students to the city and provide additional mentorship. Students live in apartment style housing in the metropolitan center with other students on the affiliated CAPA program in London and in home-stays in the CC-CS program in Seville. The program is open to all students, but to participate in the Seville program, students need to be either proficient/fluent in the Spanish language or have completed at least one advanced Spanish course at the college level.

#### CHINA SUMMER PROGRAM

Realizing the important role that China is playing in the world today, Saint Mary's offers the China Summer Study Program in collaboration with Creighton University and Soong Ching Ling Foundation. It is a three-week summer program from mid-May to early-June. Students will have opportunities to visit Chinese universities and students, different cultural sites, rural areas and cities, including Beijing, Xi'an, Nanjing, Shanghai and, and Hong Kong, and experience the oldest civilizations and fast economic development in China. Students are required to take a three-credit course (in English) for the program. This program is open to all students and Chinese language is not required.

#### UGANDA SUMMER PROGRAM

In 2009, Saint Mary's launched a six-week summer practicum program working with the Sisters of the Holy Cross in Kyarusozzi, Uganda. This program is currently only for Education and Nursing majors, although it may expand. It is an opportunity for students to live and work directly with the Sisters of the Holy Cross and immerse themselves in the local community offering skilled assistance in education and nursing. Students take a one-credit course on East African History and Culture the first week and then a practicum course in either education or nursing for six weeks, with one overnight outing in a game park midway through the program. Students should have rising Senior status in order to apply.

#### **SEMESTER BREAK PROGRAMS**

##### EL SALVADOR PROGRAM

##### EDUCATION STUDIES IN IRELAND

This program offers education students the opportunity to study the education system in Ireland through experiences in the Maynooth (County Kildare area). While staying on campus at the National University of Ireland, teacher candidates will visit classes as well as schools in the area. Together with focused readings, reflections on explorations of the culture and educational practices in Ireland are the basis for completion of the one-credit course, Ed 488 Practicum in Intercultural Education.

#### HONDURAS PROGRAM

This one-credit version of the program listed under Summer Study Abroad takes place in even-numbered years.

#### ENGLISH LANGUAGE SCHOOL

Saint Mary's College offers a program of pre-college English language courses to speakers of other languages. The Saint Mary's College English Language School (ELS) is part of a campus-wide initiative to internationalize the campus and to attract more international students. Students in the program have the opportunity to experience full immersion in the language and culture by living on campus in residence halls with US students and participating in the life of the College. The program offers small classes that cater to the individual needs of students from the novice to the advanced level of English proficiency. Non-credit courses include English reading, writing, speaking, and listening. Qualified students may apply for conditional admission to Saint Mary's College degree programs, which provides non-native speakers an opportunity to bring their language skills to an acceptable level in order to ensure their success. The English Language School offers two semester-long sessions during the academic year, as well as two six-week summer sessions. Students in the ELS program benefit from immigration advising and cultural programming.

For more information on the English Language School contact Saint Mary's College Center for Women's Intercultural Leadership at 574-284-4051 or visit the website at [www.saintmarys.edu/cwil/els](http://www.saintmarys.edu/cwil/els).

#### NON-AFFILIATED INTERNATIONAL STUDY PROGRAMS

In addition to the portfolio of Saint Mary's International Program programs, the College also recognizes established programs abroad administered by other American colleges and universities. International study may be pursued during the sophomore or junior year, for one or two semesters. Plans for study abroad at other colleges must be approved in advance by The Global Education Office of CWIL and by the Office of Academic Affairs.

Grades/credits earned on international study programs, are not computed into the student's Saint Mary's College grade point average and must be approved in advance by Academic Affairs and First Year Studies. All courses must meet the requirements for transfer credit.

Saint Mary's Institutional Scholarships and aid, as well as Indiana State financial aid does not apply to students participating on a non-affiliated study abroad program. Students who receive financial aid should meet with the Office of Financial Aid while preparing for semester long study.

## 2. CREATING AN OFF-CAMPUS INTERCULTURAL PROGRAM

### Approval Process for All New Saint Mary's Off-campus International/Intercultural Programs

At Saint Mary's, we have two primary types of off-campus international or intercultural programs: 1) **Faculty-led** (in which our own faculty deliver Saint Mary's courses to the students) and 2) **Affiliations** (where we sign an agreement with another organization to provide education to our students, whether a university or third-party provider). In general, our academic semester programs are more likely to be, and our summer and semester-break programs are more likely to be faculty-led. We also have a few **hybrid** programs, in which Saint Mary's faculty members deliver our own courses in conjunction with another organization that also supplies some courses or course content. As new program of each of these types are developed and approved, the degree of initial faculty initiative versus institutional initiative varies in each case, but any potential faculty involved collaborate with the Director of CWIL throughout.

To propose a new Saint Mary's College off-campus intercultural program of any of these types:

- If the program will be connected to an academic department, the Director of CWIL should first secure approval from the relevant **department Chair(s), whose curricular offerings and faculty resources may be affected by the new program.**
- The Director of CWIL (with the faculty member if appropriate) takes the preliminary draft to the Provost and Senior Vice President for Academic Affairs for an initial conversation.
- If the Saint Mary's course to be taught on a faculty-led program is a new one, the syllabus is submitted by the Chair to a **Curriculum Committee area representative** for expedited review. Approval of the course in this process does not guarantee approval of the new study abroad program.
- If faculty members are involved, they then officially submit the appropriate off-campus intercultural program proposal form, with required attachments, to the Director of CWIL, ideally by October 1.
- The Director takes the proposal for consideration to the **Faculty Advisory Committee on Global Education**, which recommends approval or not based on the academic integrity of the proposal and its fit with the College's mission, learning outcomes, and vision for global education.
- The Director of CWIL takes the proposal immediately to the Director of Financial Aid, Controller, Registrar, Accounts Payable accountant, and finally the **Chief Financial Officer** for logistical, financial, risk, and legal consideration and comment.

- The Director of CWIL takes the proposal to the Provost and Senior Vice President for Academic Affairs for academic approval.
- The Provost and Senior Vice President for Academic Affairs then recommends to the **President** whether to approve running the new program (consulting with the Academic Affairs Council if needed, since the Faculty Advisory Committee is a committee of the Vice President and Dean of Faculty, not the AAC).
- Upon the President’s approval and informing the Academic Affairs Committee, the program is announced to the College community through an official memorandum from the Provost and Senior Vice President for Academic Affairs.
- If the Saint Mary’s course to be taught on the faculty-led program is a new, experimental one, by the third time it is offered, it must go through the **Curriculum Committee** to be approved as a permanent course.

For “expedited” or “pilot” programs:

When a program is needed on a short notice to meet pressing student need, or if a program has been proposed, but the faculty advisory committee on global education would like some experience with it before approving it permanently, an expedited process may be used for experimental status. In these cases, for one year only, students may be allowed to participate in the study abroad program upon approval of only the Provost and Senior Vice President for Academic Affairs, Director of CWIL, and an elected faculty member of the Faculty Advisory Committee on Global Education, if there is not time for the whole committee to review it. After this initial experimental period, the program must complete the formal review process for permanent status.

To terminate any of these kinds of programs:

- The Director of CWIL determine that the program should be discontinued in consultation with the Faculty Advisory Committee on Global Education (normally due to faculty departure, security conditions, or lack of student interest) and recommends this to the Provost and Senior Vice President for Academic Affairs, who recommends it to the President.
- The Provost and Senior Vice President for Academic Affairs announces the discontinuation of the program through an official memorandum to the College community.

Our current definition of off-campus International/Intercultural Program is:

- An ongoing trip intended to take place more than once;
- that is international OR domestic with an intercultural learning focus; and

- from within the Academic Affairs Division, whether for credit or not.

What this definition means practically is that programs which come to this committee (and which are then overseen, promoted, and served pre-departure and after re-entry by CWIL) include: non-credit experiences in the Academic Affairs Division such as the Social Work trips to El Salvador and the proposed new Biology project in Nicaragua; domestic intercultural programs such as the Santa Fe Indian School fieldwork option for Education; the Catalyst trip; the “Culture in Performance in New York City” program; and the “Church in the City” class. This process does not relate to efforts to bring international students to our campus.

**NOTE:**

This definition does not include all ventures in which faculty, students, and staff travel off campus, such as faculty members or administrators taking students on one-time trips abroad or domestically (such as conferences); sending students on ongoing domestic off-campus programs without intercultural content (such as Business Administration Department’s week in New York or Political Science Department’s Washington D.C. semester program); or taking students on ongoing non-credit programs outside the Academic Affairs Division (such as Campus Ministry’s Spiritual Pilgrimage to Mexico or athletic trips). For all other off-campus travel, please contact Carrie Call at the Office of Civic and Social Engagement, 220 Student Center, for the appropriate approval process and forms.

b. RELEVANT POLICIES

1) STUDY TOURS

Study tours, which are regarded as non-classroom learning experiences, may carry one hour of credit for a minimum of thirty hours of experience.

2) COURSES

Courses offered a part of a travel program must meet the same standards and be approved through the same procedure as any other college course.

3) INDEPENDENT STUDY: STUDY TOURS

Independent study projects in conjunction with a study tour must comply with the College guidelines for independent study. A maximum of one additional credit may be earned for a project that is an extension of a study tour or course.

4) ACADEMIC POLICY

In general, a maximum of six hours of academic credit may be earned in a single travel program; a maximum of nine credit hours may be earned in any combination of travel or summer programs in a single summer.

## **T. MAJORS AND MINORS**

### 1. DECLARING A MAJOR: THE PETITION PROCESS

By the end of the sophomore year, students must petition an academic department for acceptance as a major. Early in the second semester of the sophomore year, the Office of Academic Affairs sends each sophomore a Major Petition with instructions for completing it. Students then have time to meet with department chairs and counselors about possible major programs.

Students who have not submitted a Major Petition by the beginning of the junior year will not be allowed to preregister for the spring semester until the form is on file in Academic Affairs and First Year Studies.

Though some students begin prerequisites for a major (such as science or art) in their first year, first-year students may not formally petition a department for acceptance in a major program. There are several reasons for the restriction. Many departments refuse to accept a student whose grades are below a certain minimum average or who have received low grades in key prerequisite courses. Such information is not available until a student has spent at least one full year at Saint Mary's. Moreover, first year students are, as a general rule, not ready to choose a major until they have spent a full year in college course work.

### 2. CHANGING A MAJOR

Students who wish to change their major or to add a second major after they have submitted their formal petition may do so by obtaining a Change of Major Form from Academic Affairs and First Year Studies. Approval of a change or addition of a major must be obtained from both new and old department chairs and from the Associate Dean for Advising. This approval will depend in part upon whether all requirements for the major can be completed by the students' projected date of graduation.

### 3. DECLARING A MINOR

To declare a minor, a student should fill out a Minor Petition form (available from Academic Affairs and First Year Studies) and return the completed form with appropriate signatures to Academic Affairs and First Year Studies Office.

## **U. NON-TRADITIONAL LEARNING (INTERNSHIPS, TRAVEL PROGRAMS, INDEPENDENT STUDY, EXPERIENCE-BASED LEARNING) AND PHYSICAL EDUCATION (Under review)**

### 1. POLICY

A total of 18 semester hours of non-traditional learning may apply toward the fulfillment of degree requirements.

## 2. GUIDELINES FOR NON-TRADITIONAL LEARNING

### a. TEACHING EXPERIENCE

Courses which teach students how to teach (exclusive of the education program).

- 1) Course enrollment is limited to juniors or seniors who are qualified to undertake the project. The conditions for qualification must be spelled out in the course description.
- 2) Credit will be granted only when all three of the following conditions are met:
  - a) the student receives orientation in methods and technique of instruction;
  - b) the student has an opportunity to practice instruction;
  - c) the student's practice is supervised thoroughly.
- 3) These courses include: BIO 310, ENGL 498

### b. INDEPENDENT STUDY

A specially designed course of study for enrichment in which the student reads and writes or does studio work or laboratory research about a specific topic of interest, under the guidance of a faculty member. Course numbers are 297, 397, or 497.

- 1) Department chairs are responsible for the quality of independent study courses in their departments.
- 2) Each student wishing to study independently must submit a formal proposal to outline the intended work.
- 3) This proposal must be approved by the director of the project and by the department chair (copy to be filed in permanent folder – Office of the Registrar).
- 4) The approval of the project indicates that in the opinion of the department chair:
  - a) the instructor will not be overburdened;
  - b) the instructor is competent in the area of study;
  - c) the student has sufficient background in the area of study and enough intellectual maturity to do independent work;
  - d) the area to be covered is beyond the regularly scheduled courses offered by the department.

- 5) Independent study courses must be added to the student's schedule during the preregistration and registration periods.
- 6) Each hour of independent study should require an amount of work equivalent to that required by a course offered at the same level and for the same number of credit hours (approximately three hours of work per week for each credit hour).
- 7) Only six hours of independent study may be taken in one department, and no more than nine hours total.

c. EXPERIENCE-BASED LEARNING (INTERNSHIPS)

This is a learning experience that brings students into direct contact with the situations, encounters, and responsibilities they will meet in their careers. It is distinguished from independent study, which is primarily academic.

In the case of those learning experiences required by an accrediting body in the course of a regular program, the guidelines of that body will supersede these.

The courses include courses with numbers 299, 399, 499.

d. EXPERIENCE-AND-COMMUNITY BASED LEARNING (NON-INTERNSHIPS)

This is a learning experience that brings students into direct contact with the situations, encounters, and responsibilities they will meet. It is distinguished from independent study, which is primarily academic.

In the case of those learning experiences required by an accrediting body in the course of a regular program, the guidelines of that body will supersede these.

These courses include courses with numbers 199, 300.

1) STUDENT APPLICATION PROCEDURES

- a) Students may apply for academic credit for Experience-Based Learning only in an area related to their major and after completing the usual lower level courses required of a major. With the signatures of both chairs, a student from one major may participate in Experience-Based Learning in another department after completing the usual lower level courses required for that major.
- b) Permission to receive academic credit for experience-based learning must be obtained before the experience begins.
- c) For each credit-bearing program, a learning contract must be drawn up by the student and faculty sponsor and signed by the department chair and a responsible person at the learning site.



- d) The student's major advisor is responsible for certifying that the learning experience does not duplicate another in which the student has participated.
- e) Copies of the learning contract must be filed with the department chair, Academic Affairs and First Year Studies, and the Registrar.

2) DEPARTMENT RESPONSIBILITIES

- a) The department chair, in consultation with the department faculty, will determine the appropriateness of each specific learning experience for the granting of credit. Experienced-based learning courses that are formally listed as such in a department's curricular offerings must be submitted to, and approved by, the Curriculum Committee before they are offered.
- b) Each credit assigned to experience-based learning should reflect approximately four hours work per week.
- c) Department chairs will submit to the Provost and Senior Vice President for Academic Affairs a list of faculty who supervise students in Experienced-Based Learning together with the number of such students in the total teaching load of the faculty. When appropriate, the Provost and Senior Vice President for Academic Affairs and the department chair will work out an adequate work load adjustment.

3) COLLEGE REGULATIONS

- a) Experienced-Based Learning Programs will be approved only for the academic year, except for structured summer programs approved by the procedure described in the preceding sections.
- b) Experienced-Based Learning Programs should be limited to one-a-semester with no single program exceeding two semesters. A student may not participate in more than two such programs.
- c) All experienced-based learning programs are graded on an S/U basis.
- d) Credit should not exceed three (3) hours per semester.
- e) No more than six (6) credits (ungraded) may be applied toward the fulfillment of the minimum requirements for the major or toward the 128 hours required for a degree.
- f) Normally, a student cannot receive both academic credit and monetary compensation for experience-based learning. Exceptions to this rule must be approved in writing by both the chair of the department in which the proposal is made and the Associate or Assistant Dean in Academic Affairs and First Year Studies.

4) EXEMPTIONS FROM GUIDELINES OR POLICY

A request for an exception to the guidelines for non-traditional learning must be put in writing by a department chair and must be approved by the Provost and Senior Vice President for Academic Affairs who may refer it to the Academic Standards Committee or Curriculum Committee, as appropriate.

5) PHYSICAL EDUCATION COURSES AND CREDITS

The following restrictions govern degree credit given for physical education course work and participation on College-sponsored teams.

- a. A maximum of one (1) credit of Physical Education may count toward the 128 credits required for a degree. Additional Physical Education classes or team sports will be listed on the permanent records with zero credit.
- b. Credit for participation on teams is determined separately for each team. In general, a team must be organized and have a coach at the beginning of the semester for team members to qualify for Physical Education credits.
- c. These courses include all courses with the PE subject code.

**V. EXPERIMENTAL PROGRAMS**

1. RATIONALE

For several years the College has provided funds for experimental programs designed to encourage the creativity of faculty in their teaching. The program is under the jurisdiction of Provost and Senior Vice President for Academic Affairs and operates on the following rationale:

- a. that it is important for the faculty to recognize there is administrative support for educational innovation;
- b. that the administration seeks to encourage faculty to become immediately and effectively involved in curricular reform without the need to submit the reform to extensive committee review;
- c. that it is important that faculty be allowed to undertake educational reform for a "trial period" and that funds be available, outside of the normal budgeting procedure, to support the reform.

2. PROCEDURE

- a. Faculty may submit proposals at any time to the Provost and Senior Vice President for Academic Affairs.

- b. Discussion follows, and if considered feasible, an *ad hoc* committee is established to determine if the program should be approved for a trial period.
- c. Programs are approved for a two year trial period. During this time, there is no full commitment to the “idea,” rather it is an opportunity to “work-out the bugs,” to evaluate the program, and, if possible, to develop the idea into a full proposal for curricular reform.
- d. After a two-year trial period, the “idea” may be presented with appropriate supporting evidence for formal consideration by the appropriate College committee.

## **W. REGISTRAR’S DEADLINES WITHIN THE SEMESTER**

### 1. ADD PERIOD

Courses may be added electronically through Sunday (at 11:59 p.m.) following the first day of class. Course additions may continue through the seventh day of the semester (Tuesday at 5:00 p.m.) with instructor permission through the use of an Add/Drop form. Failure to add a course properly may result in no credit for the class.

### 2. PASS/FAIL OR AUDIT OPTION

Pass/Fail or Audit forms must be completed and submitted by the close of business on the tenth class day of the semester (see Pass/Fail Option).

### 3. COURSE DROPS

Courses may be dropped within the first five weeks of the semester. No record of registration for the course appears on the student’s permanent record. Special fees, however, are not refunded.

### 4. WITHDRAWING FROM A COURSE

After the drop deadline, a student may withdraw from a course until the close of business on the last day of classes (see Dropping/Withdrawing).

### 5. MID-SEMESTER GRADES

Faculty report grade deficiencies and reasons for deficiencies to the Registrar. Deficiency grades are due in PRISM by 8:00 a.m. on the Tuesday of fall or spring break. If a faculty member fails to submit deficiencies by this deadline, the instructor will have to notify the students and Academic Affairs and Frist Year Studies.

### 6. REGISTRATION FOR NEXT SEMESTER

Advance Registration begins in the Academic Departments immediately following fall/spring break. Students may be advised and registered in courses in the major department during this 3-4 week period.

Following Advance Registration, students will register in PRISM for General Education and elective courses. Each class is given two exclusive days in which to register. After all classes have completed their two day period, students will be allowed to drop and add for a specified time (varies by semester—see current academic calendar).

Students will be able to drop/add in PRISM again at the beginning of the semester through the eighth day of class after they enroll (login to PRISM and indicate they are full or part-time students).

#### 7. FINAL GRADES

Final grades are reported in PRISM and are due at noon on the Tuesday following the last Friday exam (unless a calendar anomaly requires a change in the deadline which will be known and announced one year in advance). Final grade deadline for Notre Dame students in Saint Mary's College classes is noon on the Monday following the last Friday exam. Failure to submit grades by this deadline will result in an incomplete grade report for the students (an NR grade indicating Not Reported will be recorded). Grades must then be submitted to the Registrar using a Change of Grade form for each student.

#### 8. REMOVAL OF "X" GRADES

Thirty days after the first class day, an "X" grade given in the previous semester must be removed or the grade will automatically become an "F" (see Incomplete Grades).

### **X. STUDENT ACADEMIC RECORDS**

#### 1. ACADEMIC RECORD

The permanent record of the course work completed by each student enrolled at Saint Mary's is kept in Academic History in Banner, managed and maintained by the Office of the Registrar. All courses taken and grades awarded at Saint Mary's, credit hours, and quality points received in these courses, any credit accepted by Saint Mary's for work completed elsewhere, the student's academic program and graduation are maintained. The integrity and privacy of the academic record is maintained in accordance with the Family Educational Rights and Privacy Act of 1974 (FERPA). Prior to 2000, the permanent records are maintained on paper, after 2000 they are stored electronically in Banner.

#### 2. REQUESTS FOR TRANSCRIPTS

Students may request a copy of their transcript or view it in PRISM. An official transcript is sent only upon the written request of the student. Their department chair and current instructors may also view a student's transcript in PRISM or request an unofficial copy of the transcript if it is to be used in connection with the academic program or progress. Faculty members will be asked by the Registrar to send a written request indicating the need for the transcript.

### 3. ACADEMIC FILES

The permanent file for all students, including admission application, high school transcript, transcripts from other colleges, and material considered pertinent to that student's academic record is maintained in the Office of the Registrar. One year after graduation or withdrawal from College, the files are placed on CDs. One copy is maintained in the Office of the Registrar and another is maintained in the Archives section of the Library. In the Academic Affairs and First Year Studies Office, a folder is kept on each student containing advising information. These files may be examined by the student upon written request in accordance with FERPA regulations.

## **Y. STUDENT ADVISING**

### 1. RESPONSIBILITIES OF FACULTY ADVISORS

The faculty advisor is responsible for counseling each student advisee about College General Education, major and degree requirements. Advisors should evaluate each advisee's record at the time of preregistration for the coming semester in the light of these requirements. Should a student fall behind normal progress toward the degree, the faculty advisory should alert not only the student but also the department chair and Academic Affairs and First Year Studies.

At least once during the semester, the faculty advisor should schedule a conference with each advisee to discuss the student's academic progress. This is, obviously, best done before the crunch of the preregistration or final registration periods, but close enough to them so that the student's schedule can be discussed in specific terms. The faculty advisor must give a student her alternate PIN number before she can preregister.

### 2. ADVISEE'S RECORDS

Copies of each advisee's academic record are available to the advisor via PRISIM.

### 3. CONSULTATION ABOUT STUDENTS

Any advisor wishing to confer about a particular student is welcome to contact Academic Affairs and First Year Studies.

### 4. PROFESSIONAL SCHOOL ADVISING

Information about law school is available from various departments and from the designated Pre-Law advisor. Medical school or health field program information is available from the designated Pre-Health Professions Advisor. Advising about MBA schools is available from the Business Department. Information about social work can be obtained from the Social Work Program Office.

## **Z. STUDENT COURSE LOADS**

1. AVERAGE COURSE LOADS

In order to earn the 128 credit hours required for a Saint Mary's College degree, a student must carry an average of 16 credits for each of eight semesters. The minimum full-time load is 12 credits. The maximum is 18 credits.

2. COURSE UNDERLOADS

If the course load of a full-time student falls below 12 credits (because of illness, for example), the status changes to part-time for that semester. In such a situation, a residential student must receive special permission from the Vice President for Student Affairs to live on-campus as a part-time student. Falling below 12 hours in any given semester may necessitate a student's spending an additional semester at Saint Mary's College, and may also have an implication on financial aid awards.

3. COURSE OVERLOADS

Special permission can be given to an above average student who wishes to carry more than the maximum 18 hour load in a semester. Permission must be obtained from Academic Affairs and First Year Studies prior to registration. An extra tuition charge is made for each hour in excess of 18, except in the case of music lessons, choral, music groups, social justice experiences, and Physical Education classes.

4. AUDITED CLASSES

A student may sign up officially to audit a course. Auditing means that the student takes the course without receiving credit or a grade for it. The student registers as though the course were being added for credit, but an Audit form, which can be obtained from the Registrar and which must be approved by the instructor of the course. Notation of each official, completed audit is made on the transcript with a "V" designation. Unsuccessful/incomplete audits are deleted from the course registration record. No extra charge is made for an audited course, even if the student is also carrying 18 hours for credit.

**AA. WITHDRAWAL OR LEAVE OF ABSENCE FROM THE COLLEGE**

1. WITHDRAWAL

In order to withdraw from the College, students must meet with an Advisor in Academic Affairs and First Year Studies to discuss their status and to complete a change of status form. In cases where students are not on campus, a letter explaining the intention to withdraw is sufficient to initiate the withdrawal process.

The usual time for withdrawal is at the end of a semester. When, because of illness or for other serious reasons, students must withdraw from the College before the end of a semester, a record

of their enrollment is made on their permanent record with the date of withdrawal from the College. No grades are recorded unless the course has officially ended and a final grade has been determined (e.g., CPSC 101, 102).

To be readmitted after an official withdrawal from the College, students must reapply to the Office of Admission, stating in writing their reasons for wishing to return to Saint Mary's. If students left the College not in academic good standing, the Admission Office will refer their request to the Academic Standards Committee for consideration.

## 2. LEAVE OF ABSENCE

When students wish to spend a semester or a year away from Saint Mary's but intend to return after that time to finish their degree, they may request a leave of absence by contacting the Associate Dean for Advising. Usually, leaves are granted for international study on a program other than a Saint Mary's-Notre Dame program, for working, or for studying at another institution as a special student. Normally, students must be in academic good standing to be granted a leave. If they are not, the Academic Standards Committee must approve the request.

Should students wish to take a leave of absence for illness or for other reasons effective in the middle of a semester, they must first withdraw from each class in which they are enrolled. The grades of "W" or "F" resulting from such withdrawal are recorded on their permanent record, unless their inability to complete the semester's work has been certified by the appropriate officials. In this case, all courses are given the grade of "W." (Refer to policy on Health Leave of Absence earlier in this section.) Students returning from a leave of absence must observe all room-pick and registration deadlines for the semester in which they wish to return. Otherwise, it is possible that they will not be permitted to return from their leave until a later semester.

Students who have taken a leave of absence for reasons other than international study or participating in the Washington Semester program cannot be guaranteed on-campus housing on their return. If they want a room on campus, they should contact the Housing Office and ask to be placed on the appropriate waiting list.

Should students be required to take a leave of absence for disciplinary reasons, their withdrawal status in each course is determined by the individual faculty member. The conditions for their readmittance to the College are stipulated and monitored by the Vice President for Student Affairs and coordinated with the Associate Dean for Advising.

## **BB. PROCEDURES FOR AMENDING ACADEMIC PROCEDURES, POLICIES, PROGRAMS, AND INFORMATION**

The Provost and Senior Vice President for Academic Affairs, various administrators who report to the Provost and Senior Vice President for Academic Affairs, and the Academic Affairs Council and its standing committees each set specific academic regulations according to their authority and responsibility.

The Associate Dean for Advising and the Registrar are responsible for keeping this section of the *Governance Manual* up to date.



## SECTION VII

### STUDENT RIGHTS AND RESPONSIBILITIES, COLLEGE CODES, AND THE JUDICIAL SYSTEM

## INTRODUCTION

What follows is the Code of Student Conduct and the judicial process.

In presenting these, the College affirms that an academic community exists for the communication of knowledge and for the development of creativity and critical judgment in a sustained and independent search for truth. The college holds the following student rights and responsibilities to be essential in order to preserve and guarantee for those students those conditions indispensable to the full achievement of those objectives.

# Saint Mary's College Code of Student Conduct

## *COMMUNITY STANDARDS*

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As a Catholic women's residential college, Saint Mary's holds its students to a high standard of ethical and moral conduct. Consequently, there is a strong emphasis on self-awareness and a distinct consideration for the lives and feelings of others. The College commits itself to maintaining a safe and welcoming environment where each individual's dignity is upheld and differences are celebrated. As a community, we reject and condemn all forms of harassment, wrongful discrimination, and disrespect. The College has developed procedures to respond to such incidents through the Discriminatory Harassment Policy.

Saint Mary's College is committed to maintaining a safe and productive learning environment. To accomplish this goal, the College has developed a Code of Student Conduct that reflects the values and standards of the community. Saint Mary's philosophy of discipline is one of *education*. While there are consequences for violations of community standards of behavior, our goal is *to help students grow and learn from their mistakes*. In those instances where violations of behavioral standards do occur, Saint Mary's College has developed policies and procedures to protect the rights of members of the College community, individually and collectively.

The College recognizes that all members of an academic community, individually and collectively, have the right to express their views publicly on any issue; however, the College insists that all such expressions be peaceful and orderly and be conducted in a manner consistent with the College's values and in such a way that the learning environment is not disrupted. The atmosphere in residence halls, classrooms and laboratories must be free from any sort of disruption. Furthermore, students must follow the reasonable directions of College's officials.

## **APPLICABILITY**

A "student" is defined as any person who is admitted and deposited, enrolled or registered for study at Saint Mary's College for any academic period or any person who is attending post-secondary educational institutions other than Saint Mary's College while residing in a Saint Mary's College residence hall. Students who are not officially enrolled for a particular term but who have a continuing

student relationship with, or an educational interest in, Saint Mary's college are considered "students." A person shall also be considered a student during any period while she is under suspension or dismissal from the institution or when she is attending or participating in any preparatory activity prior to the academic year.

Students are expected to adhere to all college policies and procedures, all local state and federal laws. Students are also expected to adhere to the policies and procedures of institutions that they may visit, as well as study abroad programs in which they may participate in. The college reserves the right to adjudicate any case in which a student is alleged to violate any of the above-mentioned policies, procedures or laws regardless of location. Further, the college may proceed with a hearing despite pending civil or criminal proceedings. In some circumstances, the college may refer a case for criminal investigation.

This section details certain policies to which all students and registered student organizations are expected to adhere. A student organization and its officers may be held collectively or individually responsible for violations of the Code when members or those associated with the group or organization have received the tacit or overt consent or encouragement of the leaders, officers, or spokespersons. In complaints involving collective responsibility of individuals for group violations, Saint Mary's College will make individual findings with respect to the involvement of each accused student. Collectively, the student organization may face consequences that affect the status of their organization.

Students should be aware that the student conduct process is quite different from criminal or civil court proceedings. Procedures and rights in student conduct proceedings are conducted with fairness to all, but do not include the same protections of due process afforded by the courts. Fair process, within these procedures, assures a written notice, a hearing before an objective decision-maker or board and an opportunity to appeal, as described below. No student will be found in violation of a College policy without information showing that it is more likely than not that a policy violation occurred. Any sanction will be proportionate to the severity of the violation.

#### **AUTHORITY**

Violations of the Code of Student Conduct are handled through the Department of Residence Life and Community Standards (DRLCS). In exceptional circumstances, where imminent harm may result to persons or property, the Vice President of Student Affairs or his/her designee may modify procedures outlined under the Code of Student Conduct.

Any question or interpretation or application of the Code of Student Conduct shall be referred to the Vice President of Student Affairs or his/ her designee for final determination.

Violations of the Academic Honesty Policy are handled through the Office of Academic Affairs and generally are not covered under this Code of Student Conduct.

The Code of Student Conduct will be reviewed periodically under the direction of the Vice President of Student Affairs or his/ her designee. Modifications to the Code of Student Conduct may be made at any time to comply with federal, state, and local law.

#### **MAINTENANCE OF DISCIPLINARY RECORDS**

The College maintains disciplinary records for seven (7) years, which is consistent with federal law.

#### ***STANDARDS OF CONDUCT***

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Saint Mary's College reserves the right to notify parents/guardians of dependent students regarding any conduct situation, particularly alcohol and other drug violations. Saint Mary's College also reserves the right to designate which College officials have a need to know about individual conduct complaints pursuant to the Family Educational Rights and Privacy Act (FERPA). Additional Information on FERPA can be found at the Registrar's website (<http://www.saintmarys.edu/~regoff/FERPA2.html>).

Outlined below is a listing of the College's policies and rules that prescribe standards of conduct the College expects of its students. They are not intended to define misconduct in exhaustive or exclusive terms. In most circumstances, Saint Mary's College will treat attempts to commit any of the violations listed in the Code of Student Conduct as if those attempts had been completed.

The use of alcohol or drugs will not be considered a mitigating circumstance for any violation of the Code of Student Conduct. In addition to the original violation(s), individuals will be charged with the appropriate alcohol or drug violation except as outlined in the Medical Amnesty and Good Samaritan Policies (explained in detail below).

#### **INTREGITY**

We expect Saint Mary's College students to exemplify honesty, integrity and a respect for truth in all of their dealings. Behavior that demonstrates a lapse of integrity includes, but is not limited to:

1. Acts of dishonesty, including but not limited to the following:
  - a. Forgery, alteration, or misuse of College documents or records;
  - b. Inappropriate use of identification, including possession of false identification or one that belongs to someone else; providing ID or personal passwords to someone else without authorization;
  - c. Knowingly providing false information to any College official, faculty, or staff member;
  - d. Selling athletic or non-athletic tickets when expressly forbidden to do so by policy or a College official. This includes policies of the University of Notre Dame;
  - e. Causing or encouraging acts of dishonesty.
2. Theft, including but not limited to the following:
  - a. Forcible access to property;

- b. Theft of property or identity, including possession of stolen property and electronic identity;
  - c. The use of another's property without proper authorization; and
  - d. The unauthorized use of ATM, phone, or credit cards; checks; Saint Mary's College ID cards; keys or computer systems.
3. Engaging in forgery, alteration, unauthorized use or fraud involving college records, documents or instruments of identification.
  4. Possessing, duplicating, using or loaning keys to any college facility or room without authorization by appropriate college officials.
  5. Engaging or participating in an act of unauthorized entry into or use of any college facility.
  6. Engaging or participating in the abuse of the conduct process, including but not limited to:
    - a. Falsifying or misrepresenting information before a conduct body;
    - b. Disrupting or interfering with the orderly conduct of a conduct proceeding;
    - c. Harassment, intimidation, discouragement, or retaliation of those involved in the conduct process;
    - d. Failure to comply with or violation of the terms/ sanctions imposed under the Code of Student Conduct; and
    - e. Attempting to influence the impartiality of a member of the conduct body;
    - f. Influencing or attempting to influence another person to commit an abuse of the conduct system.

## COMMUNITY

We expect Saint Mary's College students to honor and value their community. Behavior that violates this value includes, but is not limited to:

1. Engaging or participating in acts or attempted acts of unauthorized possession, use, removal, defacing, tampering, damage, or destruction of property of the college, property of a community member or other personal or public property.
2. Excessive noise in the residence halls, campus, or neighborhood. This includes but is not limited to:
  - a. Excessive attendance beyond what is reasonable; and
  - b. Disruption to neighbors to the point of preventing individuals from continuing with their activities.
3. Inappropriate, disorderly, or disruptive conduct that is unbecoming of a Saint Mary's student. Examples include, but are not limited to:
  - a. Participating in an on-campus or off-campus demonstration, riot or activity that disrupts the normal operations of Saint Mary's College and/or infringes on the educational opportunities of the members of the Saint Mary's College community;
  - b. Leading or inciting others to disrupt scheduled and/or normal activities in the classroom or in any campus building or areas; and
  - c. Engaging in disorderly conduct. This includes but is not limited to behavior that breaches the peace, is lewd or is indecent.
4. Engaging or participating in unauthorized possession or use of explosives, firearms, dangerous weapons or other hazardous objects or substances as determined by a College official. This includes, but is not limited to guns, knives, tasers/stun gun, fireworks, ammunition, or explosive devices.

5. Conducting, organizing, or participating in any activity involving games of chance or gambling except as permitted by law.
6. Violations of federal, state or local law otherwise not specifically stated in this Code of Student Conduct.

## **RESPECT**

We expect Saint Mary's College students to show respect for self, for each other, and the community and its values. The college reserves the right to take action when it believes the standards of human dignity have been violated. Behavior that violates this value includes, but is not limited to:

1. Endangering behavior that is harmful or potentially harmful to herself, to others or to the proper functioning of the College. This includes but is not limited to:
  - a. The use of any item in such a way as to cause fear and intimidation in another or to cause injury;
  - b. Threatening or causing physical harm or other conduct which threatens or endangers the health or safety of any person(s);
  - c. Acts of verbal, written, graphic or electronic abuse or defamation; and
  - d. Bullying, intimidating, harassing or coercing an individual or group, either directly and/or indirectly.
2. Engaging in harassment behaviors that are repeatedly or pervasively directed at a person or group on the basis of their actual or perceived membership in a protected class (gender, race, age, religion, ethnicity, etc.).
3. Acts of sexual intimacy outside of marriage are considered inappropriate and contrary to the values of the Catholic Church and the mission of the College.
4. Engaging in or being in the presence of hazing behaviors. The expressed or implied consent of the victim will not be a defense. Behaviors including to but not limited to acts that:
  - a. Creates or produces emotional or physical discomfort, harassment, humiliation or ridicule;
  - b. Endangers the mental or physical well-being or safety of a student; and
  - c. Destroys or removes public or private property, for the purpose of initiation, admission into, affiliation with, or as a condition for continued membership, in a group or organization.
5. Failure to follow the reasonable directions of College officials (including law enforcement agents, College security officials, and faculty and staff of Saint Mary's and other colleges and universities).
6. Possession or distribution of any obscene materials, as defined by the standards of Saint Mary's College.

## **RESPONSIBILITY**

Saint Mary's College students are given and we expect them to accept a high level of responsibility as role models and representatives of the College. Behavior that violates this value includes, but is not limited to:

1. Breaching campus fire safety or security through:
  - a. Misusing or damaging fire safety equipment (including alarm systems, alarmed fire safety doors, smoke detectors, or fire extinguishers);

- b. Setting a fire (including charring, burning, lighting of papers or any other act that could cause a fire);
  - c. Reporting or creating a false alarm, threat or condition;
  - d. Tampering with fire safety equipment;
  - e. Intentional or reckless conduct that causes harm or fear to persons or property;
  - f. Failure to vacate a building after a fire alarm;
  - g. Entering or re-entering a building during a fire alarm without permission;
  - h. Creating a fire hazard; and
  - i. Interfering with the response of college and/or responding emergency personnel.
2. Using, possessing, manufacturing, or distributing alcohol beverages except as expressly permitted by law or college policy including, but not limited to:
    - a. Possession or consumption of alcoholic beverages by a person under the age of twenty-one. This includes possession of empty alcoholic containers;
    - b. Manufacturing, sale or distribution of alcohol, including but not limited to the sale of cups and/or any form of container for the distribution of alcohol, even to one person;
    - c. A person under the age of twenty-one is prohibited from being in the presence of alcoholic beverages in the residence halls, with the following exception: an individual under the age of twenty-one who has a roommate of legal drinking age may be in the presence of an open container of alcohol in her room only if her roommate of legal drinking age is also present. Non-roommates who are under the age of twenty-one may not be in the room when alcohol is being consumed by the of-aged resident;
    - d. On-campus possession of a keg, beer ball, trash-can punches, or other common source, or other unauthorized quantities of alcohol is prohibited. Drinking games or items commonly used for drinking games (i.e. funnel, beer pong tables) are prohibited. Students of age may possess alcohol for their own personal use but the quantity is limited to one twelve-pack of beer (144 ounces/4.26 liters) or one-half gallon (64 ounces/1.89 liters) of wine or one pint (16 ounces/470 milliliters) of hard liquor;
    - e. Excessive consumption of alcohol where behavior becomes aggressive, destructive, disruptive, or engaging in any behavior which may endanger oneself or others;
    - f. Attending campus functions intoxicated is prohibited regardless of age; and
    - g. Consuming alcohol or possession of an open alcoholic container in public spaces regardless of age.
  3. Using, possessing, transferring, manufacturing, or distributing drugs, controlled substances, narcotics or any hallucinogen except as expressly permitted by law or college policy including, but not limited to:
    - a. Manufacturing, selling, distributing, sharing illegal drugs or drug paraphernalia;
    - b. Consumption or possession of illegal drugs;
    - c. Possession or use of another's prescription medication;
    - d. Abuse or misuse of prescription or over the counter medication;
    - e. Being in the presence of a controlled substance;
    - f. Possession of drug paraphernalia; and
    - g. Promotion of illegal drugs.
  4. Violations of the Saint Mary's College ResNet Acceptable Use Policy, misuse of College computing facilities, equipment, network, passwords, accounts or information. Students who connect their personal computers to the campus network will be held responsible for any violation of this policy that originates from that computer.
  5. Violation of the sexual misconduct, relationship violence and stalking policy.

6. Violation of any Saint Mary's College policy, rule or regulation published in hard copy or available electronically on the Saint Mary's College website.

*Students who wish to report a sexual assault may contact Campus Security at 574-284-5000. Students reporting being a victim of sexual assault will not face disciplinary actions for being under the influence of a controlled substance. Please see the Medical Amnesty and Good Samaritan policies, included later in this document.*

### **MEDICAL AMNESTY POLICY**

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A student needing medical assistance during an alcohol or other drug-related emergency will not face disciplinary action for the mere possession or use of alcohol and/or drugs if she contacts the police, College security or a member of the residence life staff for help. The student receiving medical assistance will be required to meet with a member of the counseling staff for an assessment within five (5) College business days of being notified by the Department of Residence Life and Community Standards. As long as the student complies with all directives, she will not face disciplinary actions for the alcohol and/or drug violations. This policy refers to isolated incidents only.

In the event that the student fails to meet a counselor in the time allotted, or fails to complete the required directives, she will be referred through the normal conduct process and a record of the incident will be on file.

### **GOOD SAMARITAN POLICY**

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The Good Samaritan Policy acknowledges that as members of this community, students have a responsibility to each other. We expect students to take active steps to protect the safety and well-being of our community. Therefore, student(s) or student organizations may directly seek medical amnesty for another person during an alcohol or other drug related emergency. The Good Samaritan student will not face disciplinary action for the mere possession or use of alcohol or drugs provided that she remains with the individual until medical assistance arrives and the person can be assisted. In order to qualify under the Good Samaritan Policy, these individuals or representatives from organizations must contact the police, College security or a member of the residence life staff. They may also need to schedule an appointment with a member of the Office of Residence Life and Community Standards staff within five (5) College business days of notification and adhere to specific educational mandate.

The Good Samaritan and Medical Amnesty policies apply only to alcohol or other drug related medical emergencies but do not apply to other prohibited conduct such as assault or property damage. If other prohibited conduct occurs, then a student will be held responsible for those violations. The use and/or abuse of alcohol or drugs will not be considered a mitigating circumstance for any other violation of the Code of Student Conduct. In cases where an individual fails to seek emergency medical assistance when it is clearly needed, disciplinary action may be taken against the individual/organization.



The Good Samaritan and Medical Amnesty apply only to the College's response to a medical emergency. Criminal/police action may still occur separately from the Department of Residence Life and Community Standards.

### ***STUDENT CONDUCT PROCEDURES***

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The following procedures that may be employed to reach a resolution in cases of alleged misconduct by students or organizations at Saint Mary's College. Questions regarding these procedures should be addressed to the Office of Residence Life and Community Standards. Each case of alleged misconduct is handled individually and therefore some of the procedures outlined below may not be necessary in every case. In this section any references to "student" or "students" can also be understood to mean "student organization" or "student organizations," when applicable.

A "respondent" is defined as a student or organization who is alleged to have violated the Community Standards.

A "complainant" is defined as the individual who submitted a written report alleging a student violated the Community Standards. The College reserves the right to initiate a complaint, to serve as complainant, and to initiate conduct proceedings without a formal complaint by the victim of misconduct.

Proceedings conducted pursuant in this document shall be informal, fair and expeditious. The procedures of criminal and/or civil courts shall not govern or invalidate conduct proceedings unless significant prejudice to a student or to the college may result.

### **STUDENT RIGHTS IN THE CONDUCT PROCESS**

1. To have prior knowledge of the allegations and have the allegations explained clearly and fully at every level of the conduct process.
2. To be given the opportunity to be present throughout the hearing but not during the deliberation process of the hearing officers or boards.
3. To hear and/or see all information concerning the allegations.
4. To refute oral and/or written information provided by witnesses.
5. To be advised of the final appeal process.

### **CASE REFERRAL**

Any College administrative official, faculty, staff member, College security, aggrieved member of the community or student may submit an incident report detailing a potential student violation of the Code of Student Conduct. All incident reports must be submitted online at <http://www3.saintmarys.edu/residence-life/community-standards-code-of-conduct>.

### **JURISDICTION OF CASES**

In general, the location of an incident determines the jurisdiction of the case. All complaints will be reviewed by the Assistant Vice President for Student Affairs and Director of the Department of

Residence Life & Community Standards (AVP&DRLCS) and he/she will make the final determination as to how the case will be adjudicated.

### **CONSIDERATION AND INVESTIGATION**

Upon receipt of an incident report, a case file is generated. The AVP&DRLCS will consider information acquired from a complainant and may augment that information through further investigation in order to determine if there is a reasonable suspicion to believe that a violation may have occurred.

In cases in which the AVP&DRLCS determines that there is not a reasonable suspicion to believe that a violation may have occurred, he/she may decide not to pursue the case.

If there is credible information suggesting that a violation may have occurred, the AVP&DRLCS or his/her designee will then determine which allegations to apply to the case.

When more than one student is involved in an incident, the matter may be handled as a single case.

### **NOTICE TO THE RESPONDENT**

A letter of allegation will be sent to the respondent through the Saint Mary's College's email system detailing:

1. The nature of the conduct in question; the time, date, and place the incident allegedly occurred; and the college policies allegedly violated;
2. The nature of the student conduct procedures;
3. Hearing information:
  - a. Administrative hearings: the location, date, time and hearing officer's name and contact information.
  - b. Board hearings: the location, date, time of a pre-hearing conference with the Board's advisor.

### **HEARING TYPES**

There are three types of hearings (explained in detail below); administrative, community standards board and critical issues board. It is at the discretion of the AVP&DRLCS as to which hearing is the most appropriate for the alleged violation(s).

#### ***Administrative Hearing***

Most student conduct cases are resolved through an administrative hearing. An administrative hearing is managed by a hearing officer who is responsible for the processing of the case. An administrative hearing officer is assigned by the AVP&DRLCS.

#### ***Administrative Hearing Format***

The administrative hearing officer assigned to the case shall proceed in the following format:

1. Explain the student conduct process including the student's rights;
2. Discuss privacy;

3. Describe to the student as completely as possible the nature of the conduct in question and the college policies allegedly violated;
4. Provide the student with an opportunity to inspect all documents relevant to the case available at the time of the hearing; and
5. Allow the student to respond to the allegations.

#### *Decision by the Hearing Officer*

After the hearing, the hearing officer will issue a decision about each individual involved. Each allegation will result in one of the following three outcomes:

1. **Not Responsible:** If the hearing officer concludes that it is more likely than not that the student did not violate college policy, or if there is not sufficient information available to warrant a determination of Responsible, the hearing officer will issue a finding of Not Responsible and will dismiss the allegation. No sanction will be assigned.
2. **Responsible:** If the hearing officer concludes that it is more likely than not that the student violated college policy, or if the student admits to violating college policy, the hearing officer will issue a finding of Responsible and assign appropriate sanction(s).
3. **Referral to a Hearing Board:** If the student does not admit responsibility and the hearing officer believes there is sufficient information to warrant a board hearing, the hearing officer may refer the case to a hearing board.

If a student fails to appear for her scheduled administrative hearing or fails to contact the hearing officer no later than twenty-four (24) business hours prior to the scheduled hearing, the hearing officer may make a determination of the case based on the available information.

The hearing officer shall confirm his or her decision of the case by sending a student an administrative hearing outcome letter via e-mail usually within three business days. Students may appeal any decision of responsibility or sanction (see "Appeals"). Students may not file a review for the decision of a hearing officer to refer a case to a hearing board.

#### ***Board Hearing***

##### *Pre-Hearing Meeting*

A student whose case has been referred to a board hearing must attend a pre-hearing meeting with the Board's advisor. This meeting shall proceed in the following format:

1. Explain the student conduct process including the student's rights;
2. Discuss privacy;
3. Describe to the student as completely as possible the nature of the conduct in question and the college policies allegedly violated;
4. Provide the student with an opportunity to inspect all documents relevant to the case available at the time of the hearing; and
5. Allow the student to respond to the allegations.
  - a. The student can either elect to accept responsibility for the charge(s) or choose to appear before the board, who will determine responsibility for the charge(s).
  - b. Students who *accept responsibility* for the charge(s) may choose to appear or not appear before the board to take responsibility. If a student chooses to appear before the board, she

will be given the opportunity to share her perspectives on the incident. If a student chooses not to appear before the board relative to her acceptance of responsibility, the complainant will present the case to the board who will recommend appropriate sanction(s). The student's choice of whether or not to appear before the Board may not be used as a determinant factor for sanctions.

### *Types of Boards*

The following boards hear cases of alleged violations of the Code of Student Conduct:

1. **Community Standards Board:** The Community Standards Board (CSB) hears cases that have a substantial impact on the Saint Mary's College community. This board is composed of students who have been selected and extensively training by the DRLCS staff. The board has a chairwoman and is advised by a member of the DRLCS staff. When quorum of three (3) board members is not met, the respondent may choose to proceed with the hearing if she wishes. The board recommends to the AVP&DRLCS their decision as to the student(s) responsibility and suggested sanctions. The AVP&DRLCS will uphold all recommendations made by the board unless they are inconsistent with college's mission or practices. Students may appeal any decision of responsibility or sanction (see "Appeals").
2. **Critical Issues Board:** The Critical Issues Board (CIB) hears complaints of special sensitivity such as sexual and physical assault, stalking, relationship violence, harassment, etc. This board is composed of staff and administrators who have been selected and extensively training by the AVP& DRLCS. The board has a chairperson and is advised by the AVP& DRLCS. When quorum of three (3) board members is not met, the respondent may choose to proceed with the hearing if she wishes. The board will determine the student(s) responsibility and will recommend sanctions. Students may appeal any decision of responsibility or sanction (see "Appeals").

### *Scheduling the Board Hearing*

The scheduling of a board hearing differs from an administrative hearing in that the time and date of the hearing is coordinated by the DRLCS based on availability of all parties involved. The Board Advisor shall communicate notice of the time and place of the hearing to the student at least three business days prior to the date of the hearing.

### *Board Hearing Format*

Board hearings proceed in the following format:

1. Introductions of all present parties (including witnesses if applicable);
2. Opening statement explaining the hearing format and questioning process;
3. Witnesses are excused;
4. Explanation of the alleged policy violations and the opportunity for the student to respond to the allegations;
5. The respondent and complainant (if applicable) are each given an opportunity to provide a brief description of the incident;
6. The board questions all appropriate parties (e.g. respondent, complainant, witnesses, etc.);

- a. A failure to respond to questions by any party will not be taken as an admission, but silence or a refusal to answer may be interpreted as an indication that no answer, defense or explanation exists.
7. The respondent and complainant (if applicable) are each given an opportunity to provide a closing statement;
8. The respondent is excused and the board begins deliberation;
9. A hearing outcome letter, detailing the decision of responsibility and any related sanctions, is sent to the respondent(s) via e-mail, typically within three business days of the hearing.

If a student fails to appear for her scheduled board hearing or fails to contact the board advisor no later than twenty-four (24) business hours prior to the scheduled hearing, the board may make a determination of the case based on the available information.

### *Deliberations*

The deliberations of the board will be closed to all parties except members of the hearing board who served during the hearing and the board advisor. Deliberations will be conducted unhurriedly, and all points of view will be expressed and considered. The board will attempt to reach its decision and deliver that decision to the respondents within a reasonable amount of time. If the board feels extended discussion or further investigation is necessary, they will inform the respondents of the anticipated conclusion time.

Each board member will register his/her belief as to whether the respondent was responsible.

A majority of board members, using the standard of more likely than not, must conclude that a respondent is responsible in order to be found responsible.

### *Decision by the Hearing Board*

After the hearing, the hearing board will issue a decision about each individual involved. Each allegation will result in one of the following two outcomes:

1. **Not Responsible:** If the hearing board concludes that it is more likely than not that the respondent did not violate college policy, or if there is not sufficient information available to warrant a determination of Responsible, the hearing board will issue a finding of Not Responsible and will dismiss the allegation. No sanction will be assigned.
2. **Responsible:** If the hearing board concludes that it is more likely than not that the respondent violated college policy, or if the respondent admits to violating college policy, the hearing board will issue a finding of Responsible and recommend appropriate sanction(s).

### *Disqualification of Members*

If a member of a hearing board believes that he/she is not qualified to serve on the board for personal or official reasons, that member may disqualify him/herself. A student whose case is before the board may not object to the membership of the board except for reasons of official or personal conflict of interest. When an objection arises, the Board advisor will determine the validity of such objections and his/her determination shall be final.

### **ADDITIONAL HEARING ELEMENTS**

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#### **STUDENT ADVISOR**

Students are invited to bring one (1) advisor with them to any hearing. An advisor is a support person who provides assistance to either the complainant or respondent during a hearing. Advisors may be any Saint Mary's College faculty, staff or student. An advisor may not speak for the student nor actively participate during the hearing. The advisor may not speak on behalf of the student(s) or function as legal counsel in the hearing proceedings. Parents and attorneys are not permitted to attend hearings.

#### **PRIVACY**

Privacy applies to respondents, complainants, witnesses, advisors, hearing officers, and members of the hearing boards. These individuals are expected to adhere to the regulations set forth by the Family Educational Rights and Privacy Act (FERPA) of 1974, as Amended, regarding the dissemination of information pertaining to the student conduct process. All proceedings are private and unauthorized recording by any means is prohibited. All notes taken during student conduct proceedings by any party present will be gathered and destroyed. Only the hearing officer or board chair may include notes in the case file. The college reserves the right to share information regarding the case with other appropriate parties on a need-to-know basis. The college retains the right to record any hearing. Any hearing recording is sole property of the college.

#### **WITNESSES**

A witness is an individual who can give a firsthand account of something seen, heard, or experienced relating to the alleged incident. "Character witnesses" and/or other witnesses deemed to be irrelevant by the administrator hearing officer /board advisor are not permitted.

Witnesses are permitted at hearings and may be invited by a respondent, complainant and/or board chairperson. The hearing may proceed even if all witnesses are not present. The administrator hearing officer, board advisor or chairperson may limit the number of witnesses permitted to attend the hearing. A list of witnesses and their contact information must be submitted at least two business days

before the hearing to the administrator hearing officer/board advisor. It is the responsibility of the respondent/complainant to request his/her witnesses' attendance at the hearing. If a witness is unable to attend a hearing, the witness may provide a signed written statement by the hearing date.

### **BOARD ADVISOR**

The board advisor is a non-voting board member whose primary responsibility is to ensure that the hearing process as outlined in this document is followed.

### **SANCTIONS**

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When a student or student organization is found in violation of the Code of Student Conduct, any of the following types of student disciplinary action may be imposed. Any sanction imposed should be appropriate to the violation, taking into consideration the context and seriousness of the violation and the respondent's prior conduct history. In cases of board hearings, a majority of board members must agree on the sanction in order to impose it. The College reserves the right to create other sanctions based on the nature of the misconduct. It is important to note that sanctions are given on the severity of the incident and not necessarily in this order.

1. Letter of warning—a written reprimand for violation of College standards, including a warning that continuation or repetition of prohibited conduct may result in further disciplinary action.
2. Disciplinary Probation—a formal warning for a violation of College policy that places limitations on the student's good standing with the College. Probation is for a designated period of time and includes the probability of more severe disciplinary sanctions to be imposed if the student is found in violation of any College policies during the period of probation.
3. Letter of apology—a request to submit a letter of apology to a complainant/victim.
4. Loss of privileges—denial of specified privileges for a designated period of time, this includes the loss of guest privileges on campus or in residence halls.
5. Restitution—when the student is required to make payment to the College or to specified individuals, groups, or organizations for costs incurred as a result of violation of College policies.
6. Fines—monetary fines billed to the student's account.
7. Discretionary Sanctions—work assignments, essays, community service, or other related discretionary assignments.
8. Loss of ability to hold any office or position, either by election, petition, or appointment, in any recognized student organization or group for a specified amount of time.

9. Loss of organization membership status or selected rights and privileges for a specified period of time—in case of a student organization.
10. Residential Relocation—the student no longer has the privilege of residing in her current housing assignment and is relocated to another room.
11. Residence Hall Suspension—separation of the student from the residence halls for a definite period of time, after which the student is eligible to return. Conditions for readmission may be specified.
12. Residence Hall Expulsion—permanent separation of the student from the residence halls.
13. College Suspension—separation of the student from the College for a definite period of time, after which the student is eligible to return. Conditions for readmission may be specified.
14. College Expulsion—permanent separation of the student from the College.
15. Revocation of admission—admission to the College may be revoked for fraud, misrepresentation, or other violation of the College standards.
16. Revocation of degree—a degree may be revoked for fraud, misrepresentation, or other serious violation of the College standards and for facts which, if known at the time of the awarding of a degree, would have resulted in a decision not to award the degree.
17. Withholding Degree—the College may withhold awarding a degree otherwise earned until the completion of the process set forth in this Code of Student Conduct, including the completion of all sanctions imposed.

The College reserves the right to consider mitigating and aggravating circumstances in determining sanctions. More than one of the sanctions listed above may be imposed for any single violation.

Students who are suspended or expelled are subject to the Refund Policy outlined by the Business Office.

#### **SPECIAL CIRCUMSTANCES**

In some circumstances it may be necessary to take any of the following actions:

1. Emergency Administrative Action- The Vice President for Student Affairs or his/her designee shall have the authority to immediately suspend a student from the college, classes or residence halls, relocate an individual within the residence halls, and/or restrict activities of the individual on-campus, pending disciplinary procedures, when it is believed that the presence of the student would seriously disrupt the college or constitute a danger to the health, safety, or welfare of the college, to property, to others or to the student. The student will be notified in writing of the emergency administrative action.
2. No Contact Directive- The Vice President for Student Affairs or his/her designee, hearing officer or board may direct a student or organization to have no contact with another individual for a specific



period of time. The student or organization will be notified of this directive in writing. This may be a result of or after a hearing. In some cases, this directive may be in effect outside of the initiation of any hearing proceedings. The person(s) who is protected by this directive may receive a written statement detailing the directive as permitted by applicable law.

3. **Temporary Order of Restraint-** The Vice President of Student Affairs or her/his designee may issue a temporary order of restraint to a student or organization to prevent the continuation of, the commitment of an act, or from assuming or exercising privileges granted to them that is deemed harmful. All temporary orders of restraint will specify an expiration date (which may be extended for cause), the reasons for the restraint, the act(s) that are being restrained, and the parties bound by such restraint.

## **APPEALS**

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### **GUIDELINES**

Students may appeal the decision of an administrative or board hearing for one or more of the following reasons:

1. **New Information of a Substantive Nature:** New, significant or relevant information regarding the case becomes available that could not have been discovered by a diligent respondent at the time of the hearing. Information is not considered new if the student did not attend the original hearing or voluntarily withheld information during the original hearing.
2. **Substantive Procedural Error:** The specified procedural error or error in interpretation of college conduct procedures may have substantially affected the hearing such that the respondent was denied a fair hearing or the error prevented the hearing officer or board from making a fair decision.
3. **Substantive Disproportionate Sanction:** The sanction appears to be significantly incongruent with the violation, given either the student's prior record or the usual action for his or her offense.
4. **An Arbitrary or Capricious Finding:** The finding appears to be significantly incongruent with the established facts.

### **PROCESS**

A student has 5 business days from the date the hearing outcome letter was sent to write and submit an appeal letter to the Vice President for Student Affairs. This appeal letter must be made in according to the applicable process. The student's request should explain in detail why she is contesting the results of the hearing based on one or more of the guidelines detailed above. Copies of any documents that will substantiate or clarify the appeal request should be attached to the appeal letter. In rare circumstances, the Vice President for Student Affairs may review written documentation, interview the complainant, respondent or witness, etc. Decisions made by the Vice President for Student Affairs are final.

### **REVIEW AND OUTCOME**

The Vice President will take one of the following actions:

1. Affirm the original decision and uphold the original sanction(s);
2. Overturn all or part of the original decision and uphold, modify or remove sanction(s);

3. Remand the case for a rehearing in the same format as the original hearing but with a different hearing officer or board members;
4. Remand the matter back to the original hearing officer/board to consider new evidence. The original decision maker, charged student(s), complainant, and if required witnesses, will be reconvened to review only the new evidence; or administrator/board will then render a decision based on the new evidence.
5. Affirm the original decision but modify the original sanction(s). Students should understand that this option will be exercised only in rare circumstances.

### ***VICTIM NOTIFICATION***

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The Family Educational Rights and Privacy Act (FERPA) of 1974, as Amended, allows colleges and universities to disclose to an alleged victim the final result of a disciplinary proceeding against an alleged perpetrator of a crime of violence or non-forcible sex offense. The disclosure may be made without the prior written consent of the alleged perpetrator. An alleged victim of any other offense or policy violation may be notified of the final result only if the alleged perpetrator provides his or her prior written consent to do so. The term *crime of violence* includes the alleged commission or the attempt to commit any of the following offenses: arson, assault offenses, burglary, criminal homicide (manslaughter and murder), destruction/damage/vandalism of property, kidnapping/abduction, robbery and forcible sex offenses. The term *non-forcible sex offense* includes the alleged commission of acts that would constitute statutory rape or incest. Definitions of these offenses may be found at 34 CFR Part 99, App. A, which is available at: [www.ed.gov/offices/OM/fpco/ferpa](http://www.ed.gov/offices/OM/fpco/ferpa).

### ***APPROVALS***

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Provisionally approved by President's Cabinet-February 8, 2012  
Ratified by the Student Affairs Council-March 26, 2012  
In effect- June 1, 2012

The student initiates the appeal of a judicial action by writing to the chair of the Judicial Appellate Board within two class days of written notification of her sanction. Specific appeal procedures will be included in the sanction letter. The Judicial Appellate Board will meet to discuss the merit of the appeal. Appeals will be granted based on the following:

- substantial procedural error or lack of due process;
- new evidence of a substantive nature not available at the original hearing; or
- the sanction imposed is grossly disproportionate to the offense.

If the board feels the appeal lacks merit, the appeal is denied. If the board requires additional information, a meeting with the appellant and the Judicial Coordinator may be required. If the appeal has merit, the student will be granted a new hearing. The decision of the Judicial Appellate Board may be appealed to the President of the College.

c. JUDICIAL PROCEDURES AND VIOLATIONS OF THE ACADEMIC HONESTY CODE

See Section VI, Academic Procedures, Policies, Programs, and Information for the policies and procedures relating to Violations of the Academic Honesty Code.

**B. PROCEDURES FOR AMENDING STUDENT RIGHTS AND RESPONSIBILITIES,  
COLLEGE CODES, AND THE JUDICIAL SYSTEM**

Changes in these policies and procedures are made by the President, after consultation with the Vice President for Student Affairs and the Student Affairs Council. The Vice President for Student Affairs is responsible for keeping this section of the *Governance Manual* up to date.

**CODE OF BYLAWS**

**OF**

**THE CORPORATION OF SAINT MARY’S COLLEGE,**

**NOTRE DAME**

An Indiana Nonprofit Corporation

**ARTICLE I**

**IDENTIFICATION AND APPLICABILITY**

These are the Bylaws of The Corporation of Saint Mary's College, Notre Dame (the “Corporation”) an Indiana Nonprofit Corporation, which was founded by the Congregation of the Sisters of the Holy Cross (“Congregation”) and for which a Certificate of Incorporation was issued on the 19th day of July, 1972.

**ARTICLE II**

**PURPOSES**

**Section 2.1. Roman Catholic Organization.**

This Corporation is incorporated as a Roman Catholic organization in accord with and subject to the tradition, teaching, and Canon Law of the Roman Catholic Church.

**Section 2.2. Type of Corporation.**

This is a public benefit Corporation.

**Section 2.3. Purposes.**

The purposes of this Corporation shall be:

- (A) The sponsorship and management of Saint Mary's College (“College”);
- (B) To perform any purpose which nonprofit corporations are authorized under the Indiana Nonprofit Corporation Act of 1991 (The “Act”).

**Section 2.4. Mission.**

The mission of the College is to be a Roman Catholic institution for women, providing higher education in the liberal arts tradition.

## ARTICLE III

### POWERS

#### Section 3.1. Powers.

The Corporation shall have all of the general rights, privileges, immunities, franchises, and powers conferred upon corporations created by the Act, but shall be limited to the exercise of only such powers as are in furtherance of the purposes expressly provided for in Section 3 of this Article and as are in furtherance of activities permitted to be carried on by a corporation exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code of 1986 and a corporation, contributions to which are deductible under Section 170(c)(2) of the Internal Revenue Code of 1986 (or the corresponding provisions of any future United States Internal Revenue Law).

Subject to any limitations or restrictions imposed by law, or the Articles of Incorporation, or any amendment hereto, the Corporation shall have the following general rights, privileges, and powers:

- (A) Sue, be sued, complain, and defend the Corporation's corporate name;
- (B) Have a corporate seal or facsimile of a corporate seal, which may be altered at will, to use by impressing or affixing or in any other manner reproducing it. However, the use or impression of a corporate seal is not required and does not affect the validity of any instrument;
- (C) Make and amend Bylaws not inconsistent with the Corporation's Articles of Incorporation or with Indiana law for managing the affairs of the Corporation;
- (D) Purchase, receive, take by gift, or bequest, lease, or otherwise acquire and own, hold, improve, use and otherwise deal with real or personal property, or any legal or equitable interest in property, wherever located;
- (E) Sell, convey, mortgage, pledge, lease, exchange, and otherwise dispose of all or any part of the Corporation's property;
- (F) Purchase, receive, subscribe for, or otherwise acquire, own, hold, vote, use, sell, mortgage, lend, pledge or otherwise dispose of, and deal in and with, shares or other interests in or obligations of any entity;
- (G) Make contracts and guaranties, incur liabilities, borrow money, issue notes, bonds and other obligations, and secure any of the Corporation's obligations by mortgage or pledge of any of the Corporation's property, franchises or income;

- (H) Lend money, invest and reinvest the Corporation's funds, and receive and hold real and personal property as security for repayment, except as provided under Ind. Code §23-17-13-3;
- (I) Be a promoter, a partner, a member, an associate, or manager of any partnership, joint venture, trust, or other entity;
- (J) Conduct the Corporation's activities, locate offices, and exercise the powers granted by this article inside or outside Indiana;
- (K) Elect trustees, elect and appoint officers, and appoint employees and agents of the Corporation, define the duties and fix the compensation of trustees, officers, employees, and agents;
- (L) Pay pensions and establish pension plans, pension trusts, and other benefits and incentive plans for the Corporation's current or former trustees, officers, employees, and agents;
- (M) Make donations not inconsistent with law for the public welfare or for charitable, religious, scientific, or educational purposes, and for other purposes that further the corporate interest;
- (N) Carry on a business;
- (O) Have and exercise powers of a trustee as permitted by law, including those set forth in Ind. Code § 30-4-3-3;
- (P) Purchase and maintain insurance on behalf of any individual who:
  - (1) is or was a trustee, an officer, and employee, or an agent for the Corporation; or,
  - (2) is or was serving at the request of the Corporation as a trustee, an officer, an employee, or an agent of another entity;against any liability asserted against or incurred by the individual in that capacity or arising from the individual's status as a trustee, an officer, an employee, or an agent, whether or not the Corporation would have power to indemnify the individual against the same liability under this article;
- (Q) Do all things necessary or convenient, not inconsistent with the law, to further the activities and affairs of the Corporation;
- (R) To cease its activities and to dissolve and surrender its corporate franchise; and

(S) To do all acts and things necessary, convenient, or expedient to carry out the purposes for which it is formed.

Section 3.2. Limitation of Activities.

The Corporation shall not possess the power of engaging in any activities for the purpose of or resulting in the pecuniary remuneration to any person as such. This provision shall not prohibit fair and reasonable compensation to persons for services actually rendered; nor shall it prohibit the Corporation from charging a fee so long as any funds so raised do not incur to profit any person.

Section 3.3. Dissolution.

Upon the voluntary or involuntary dissolution of the Corporation, the Board shall, after paying or making provision for payment of all of the liabilities of the Corporation, transfer all of the assets of the Corporation to the Congregation as long as the Congregation at the time qualifies as an exempt organization under § 501 (c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law) (the "Code"), or, if the Congregation does not so qualify, to such organization or organizations organized and operated exclusively for charitable, educational, religious or scientific purposes as shall at the time qualify as an exempt organization or organizations under the Code, as the Class One Trustees shall determine. Any such assets not so disposed of shall be disposed of by the Circuit Court of St. Joseph County, Indiana, exclusively for such purposes or to such organization or organizations, as said Court shall determine, which are organized and operated for such purposes.

Section 3.4. Reversion.

In the event that the College shall cease to exist as a Roman Catholic institution for higher education in the tradition of the Congregation, all property, real and personal, of the College shall revert to the Congregation to be used exclusively for charitable, education, religious or scientific purposes as shall at the time qualify under Section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law).

ARTICLE IV

**MEMBERSHIP**

The Corporation shall have no members.

ARTICLE V

**PHILOSOPHY AND INTERPRETATION**

The College dates its founding (1844) from the first record of Sisters of the Congregation engaging students in the United States. The fundamental character of the College and the education it offers were determined over the course of the following century by the vision and commitment of those Sisters whose professional and personal talents found outlet in this school. Lay women and men shared in the enterprise from earliest days, but it has been only in relatively recent times that responsibility for the ongoing operation of the College has rested largely in lay hands.

Changes in the governance structure of the College over time have reflected both the changing demographics of the faculty, staff, and sources of support of the College and the need to recognize the increasingly diverse interests and activities of the Congregation. As the governance of the College has evolved, two things have remained constant: the commitment of the Congregation to the advancement of the best interests of the College and the College's commitment to the Congregation's tradition of education. These constants are integral to this most recent adaptation of the governance structure to the needs and realities of the present and foreseeable future.

While placing ultimate authority in the hands of a Board of Trustees ("Board") composed of the religious and lay leadership of the College, these Bylaws are intended to recognize that the fundamental character of this institution is uniquely defined by its association with the Congregation. Included in the Bylaws are Protected Covenants (as hereinafter defined) designed to ensure that the College retains its grounding in the Congregation's philosophy of education. These Protected Covenants concern the:

- (A) Mission of the College;
- (B) Position of Vice President for Mission;
- (C) Appointment of the President of the College ("President");
- (D) Congregational concerns relative to the College, which are addressed in General Chapters of the Congregation;
- (E) Amendment of Articles of Incorporation and certain Bylaws;
- (F) Selling, leasing, purchasing, mortgaging real estate or building owned by the Corporation;
- (G) Merging or affiliating (which changes governance or identity of the College) the Corporation or the College with another corporation or college;
- (H) Placement of sister members of the Congregation in ministry at the College; and
- (I) Conditions resulting in the reversion of property of the Congregation.

The term "Protected Covenants" as used in the Bylaws is defined as those actions which require a majority vote of each class of members as described in Section 6.3.



Each member of the College community makes an essential contribution to the mission of the College. Through their service, sister members of the Congregation add a special dimension by providing explicit witness to the heritage and distinctive character of the College. Facilitating the involvement of those sisters in the life of the institution is a College priority, as are communication of the history and values of the founding body and timely address of College-related concerns express in General Chapters of the Congregation.

The College community also recognizes the critical importance to all constituencies of ongoing education about Saint Mary’s mission. That mission has been delineated by a century and a half of pioneering education and its advancement is the justification for the present revision of these Bylaws. The adoption and enforcement of these Bylaws helps assure that the College will continue to be identified with:

- (A) Excellence in both liberal education and professional preparation;
- (B) A commitment to the best expression of the Catholic tradition; and
- (C) A special emphasis on and proficiency in the education of women.

The interpretation of the Bylaws shall be consistent with the philosophy described in this Article.

## ARTICLE VI

### **BOARD OF TRUSTEES**

#### Section 6.1. General Powers.

The control and management of the affairs of the Corporation shall be vested in its Board of Directors, which may be so called if required by law, but which shall be referred to as the Board of Trustees.

#### Section 6.2. Number and Tenure.

The number of Trustees (“Trustees”) shall be at least twenty-six (26) and no more than thirty-five (35). Included in the total number shall be the President, the President of Saint Mary’s College Alumnae Association, and one (1) member each from the faculty and the student body of the College.

#### Section 6.3. Class Voting Rights.

There shall be two classes of members of the Board namely:

Class One	The President of the Congregation or her designee (who shall be a member of the Leadership Team of the Congregation), and two other
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persons appointed by the President of the Congregation (“Class One Trustees”).

Class Two All other Trustees. No fewer than seven (7) Trustees in this class shall be members of the Congregation or members of other Roman Catholic religious congregations (“Class Two Trustees”).

A majority vote of each class of members shall be required for the following actions:

- (A) Amending the Articles of Incorporation;
- (B) Appointing, reappointing or removing the President;
- (C) Selling, leasing, purchasing, mortgaging real estate, or buildings owned by the Corporation.
- (D) Merging or affiliating (which changes the governance or identity of the College) the Corporation or the College with another corporation or college;
- (E) Amending the any of the following Bylaws.

1. Article II Purposes;
2. Section 3.3 Dissolution;
3. Section 3.4 Reversion;
4. Article V Philosophy and Interpretation;
5. Section 6.3 Class Voting Rights
6. Section 8.9 Congregational Concerns
7. Section 9.3 Vice President for Mission;
8. Section 11.1 Membership;
9. Section 12.1 Membership;
10. Article XIII Placement of Members of the Congregation; and
11. Section 19.1 Amendment.

Section 6.4. Terms of Class One Trustees.

The President of the Congregation shall determine the terms of the Class One Trustees.

Section 6.5. Election of Class Two Trustees and Terms.

Class Two Trustees shall be elected at the annual meeting of the Board by a majority of the Trustees then in office.

Each Class Two Trustee shall hold office for a term of three (3) years or until his/her successor shall have been elected and qualified. Subject to the recommendation of the Trusteeship Committee, each Class Two Trustee shall be eligible to serve a maximum of three (3) successive three (3) year terms in addition to any initial partial term, and shall be eligible for reelection to the Board after the expiration of one (1) year absence from the Board.

If recommended by the Trusteeship Committee, a Board officer shall be exempt from the restriction in the prior paragraph as necessary to allow him/her to serve at least one (1) year as a Trustee immediately after the completion of his/her term as an officer.

The President of Saint Mary's College Alumnae Association shall serve one (1) two (2) year term and the Student Trustee shall serve a one (1) year term.

Service in one class membership shall not affect eligibility to serve, at another time, in another class of membership.

Section 6.6. Vacancies.

Any vacancy occurring on the Board caused by a removal, death, resignation, or otherwise of a Class Two Trustee may be filled through a vote of a majority of the remaining members of the Board at the next meeting of the Board. Any vacancy of a Class One Trustee shall be filled through appointment by the President of the Congregation.

Section 6.7. Removal.

Class Two Trustees may be removed without cause by a vote of two-thirds (2/3) of all of the Trustees at a special meeting of the Board duly called and constituted for that purpose. A Class One Trustee may be removed without cause by the President of the Congregation.

Section 6.8. Nomination Procedure.

For Class Two Trustees, the Trusteeship Committee shall recommend candidates for election or reelection to the Board through procedures adopted by the Board. A slate of candidates with biographical information for each prospective Trustee shall be provided all Trustees at least ten (10) days in advance of the annual or special meeting of the Board at which an election is scheduled.

Section 6.9. Appointment Procedure.

At such time as appropriate, the President of the Congregation shall notify the Board of the name of the proposed Class One Trustees and the Chair of this Corporation shall then declare the appointment of the Class One Trustees at the next meeting of the Board.

Section 6.10. Regular Meetings.

A regular annual meeting of the Board shall be held in the Spring, on a date to be fixed by the Chair, for the purpose of electing Trustees, officers, and such other business as the Board deems appropriate. The Board shall have at least two (2) other meetings each calendar year.

Section 6.11. Special Meetings.

Special meetings of the Board may be called by the Chair or the President, or at the request of seven (7) Trustees. The person or persons calling such a meeting shall give written notice thereof to the Secretary who shall, personally or by mail, electronic mail, or facsimile, and at least ten (10) days prior to the date of such special meeting, give notice to the Board members. The notice of the meeting shall contain a statement of purpose for which the meeting is called and business at such special meeting shall be limited to the called purpose.

Section 6.12. Location of Meetings.

Meetings of the Board shall be held at the College or any other place as may be agreed to by the Board.

Section 6.13. Quorum and Manner of Acting.

A majority of all Trustees shall constitute a quorum; provided, however, that is an issue being discussed and voted on at a meeting is one that requires a majority vote of each class of members as provided in Section 6.3, and then a majority of Class One Trustees plus a majority of Class Two Trustees shall constitute a quorum. Subject to Section 6.3, the act of a majority of the Trustees present at a meeting which a quorum is present shall be the act of the Board.

All meetings of the Board shall be conducted in accordance with Roberts Rules of Order.

Section 6.14. Waiver of Notice.

Before any meeting of the Board, any Trustee may, in writing, waive notice of such meeting, and such a waiver shall be deemed equivalent to the giving of such notice. The presence of any Trustee at a meeting or his/her subsequent consent to the actions taken thereat shall, as to such Trustee, constitute a waiver of notice of the time, place, and purpose thereof. If all Trustees are present at any meeting of the Board, no notice shall be required and any business may be transacted at such meeting.

Section 6.15. Action in Lieu of Meeting.

Any action required or permitted to be taken by the Board under any provision of law may be taken without a meeting if all members of the Board shall, individually or collectively, consent in writing to such action. Such written consent or consents shall be filed with the minutes of the proceedings of the Board. Such action by written consent shall have the same force and effect as a unanimous vote of the Trustees. Any certificate or other document filed under law which relates to action so taken shall state that the action was taken by unanimous written consent of the Board without a meeting, and that the Bylaws authorize the Trustees to so act.

The Board may permit any or all Trustees to participate in a regular or special meeting by, or conduct the meeting through, the use of any means of communication by which all Trustees participating may simultaneously hear each other during the meeting. A Trustee participating in a meeting by this means is deemed to be present in person at the meeting.

Section 6.16. Trustees *Emeriti/Emeritae*.

Upon recommendation of the Trusteeship Committee, Trustees who have served with distinction for at least two (2) terms may be elected by the majority of the Board of Trustees *Emeriti/Emeritae*. The total number of Trustees *Emeriti/Emeritae* cannot exceed one-third (1/3) of the total number of Trustees. Except for the Executive Committee and Trusteeship Committee, they shall be eligible to serve on Board committees, with vote, and shall speak freely at all Board and committee meetings. They shall not have voting privileges at Board meetings and shall not be counted as part of quorum determinations. Trustees *Emeriti/Emeritae* shall be sent notices and minutes of all Board meetings and shall be encouraged to attend Board meetings or otherwise accept special assignments by the Board.

ARTICLE VII

**AUTHORITY AND RESPONSIBILITIES OF THE BOARD**

Section 7.1. General Powers.

The Board shall have and exercise those corporate powers prescribed by law. Its ultimate authority is affirmed through its general, academic and financial policy-making functions and its responsibility for the Corporation's financial health and welfare. The Board shall exercise ultimate corporate authority as set forth in these Bylaws and in such policy documents it deems to be appropriate. These Bylaws and other policy statements of the Board shall take precedence over all other College statements, documents, and policies.

Section 7.2. Authority.

Subject to Section 6.3, the Board shall have the authority to carry out all lawful functions which are permitted by these Bylaws or by the Articles of Incorporation. This authority shall include but shall not be limited to these illustrative functions:

- (A) Determine and periodically review the College's mission and purpose;
- (B) Appoint the President who shall be the College's Executive Officer, and set appropriate conditions of employment;
- (C) Establish the conditions of employment of the administrative officers of the College who serve at the pleasure of the President (in consultation with the Board as may be appropriate) with the exception of the Vice President for Mission;
- (D) Support the President and assess his or her performance by charging the officers of the Board to review and evaluate annually the President's performance and at least every five years to authorize a formal assessment of his or her performance. The officers will recommend to the Board either renewal/termination of the contract. If no Class One Trustee is serving as an officer of the Board, a Class One Trustee, selected by the President of the Congregation, shall serve with the officers to perform these functions. The officers of the Board, together with the Chair of the Audit Committee and a Class One Trustee, on behalf of the Board, shall annually review and approve the compensation of the President, officers, and key employees.
- (E) Review and approve proposed major changes in the College's academic programs and the major enterprises consistent with the College's mission, plans, and financial resources;
- (F) Approve institutional policies bearing on faculty appointment, promotion, tenure, and dismissal as well as personnel or anti-discrimination policies for other categories of employees;
- (G) Approve the annual budget and annual tuition/fees, regularly monitor the College's financial condition, and establish policy guidelines affecting all institutional assets including investments and the physical plant;
- (H) Contribute financially to the College's fund raising goals, participate actively in strategies to secure sources of support, and authorize College officers to accept gifts or bequests subject to Board policy guidelines;
- (I) Authorize debt financing;
- (J) Authorize the construction of buildings;

- (K) Authorize the selling, leasing, buying, or mortgaging of real estate or buildings owned by the Corporation;
- (L) Merge the Corporation or the College with another corporation or college;
- (M) Approve such policies that contribute to the best possible environment for students to learn and develop their abilities; and that contribute to the best possible environment for the faculty to teach, pursue their scholarship, and perform public service, including the protection of academic freedom;
- (N) Approve all earned and honorary degrees;
- (O) Serve actively as advocates for the College in appropriate matters of public policy in consultation with the President and other responsible parties as the Board shall determine;
- (P) Review annually the Board's performance and periodically authorize formal assessments of the Board's performance;
- (Q) Cause an annual report to be made by the President to the Board consisting of a statement of mission, academic, and fiscal operations and properties of the College for the preceding year, and plans for the succeeding year;
- (R) Amend the articles of Incorporation;
- (S) Be attentive to any Congregational concerns relating to the College which may, from time to time, be addressed by General Chapters of the Congregation. The Trustees and administration of the College will make explicit efforts to educate the appropriate constituencies regarding these concerns to ensure that they will be properly addressed in the College setting; and
- (T) Take all appropriate action to allow the College properties to revert to the Congregation should the mission of the College change without the approval of both Class One and Class Two Trustee members.

## ARTICLE VIII

### OFFICERS

#### Section 8.1. Officers of the Corporation.

The officers of the Corporation shall be the Chair, Vice Chair, Secretary, and Treasurer of the Board, and the President who shall *ex officio* by the President of the Corporation ("President").

Section 8.2. Election and Term of Office.

Board officers shall be nominated to the Board by the Trusteeship Committee. Additional nominations may be made from the floor by any Board member. The Board will then vote on the nominee(s), with the nominee receiving a simple majority of votes cast being elected. Each officer shall serve one (1) three-year term. Upon expiration of a term, an officeholder will be eligible for election to the same or a different office only after a one (1) year absence from office except that the Vice Chair, Secretary, or Treasurer may be elected to the office of Chair without a one (1) year absence from holding an office and a Trustee elected to serve out the unexpired term of an officer may be reelected to the same office without the one year absence. The newly elected officers assume office on June 1 of the year they are elected.

Section 8.3. Chair.

The Chair shall preside at all Board and Executive Committee meetings with vote, appoint committee Chairs and Vice Chairs and determine the composition of all Board committees and otherwise serve as spokesperson for the Board. He or she shall serve as Chair of the Executive Committee, be an *ex officio* member of all other standing committees of the Board, and have other duties as the Board may prescribe from time to time.

Section 8.4. Vice Chair.

In the absence of the Chair, the Vice Chair shall perform the duties of the office of the Chair including presiding at Board and Executive Committee meetings. He or she shall be Chair of the Trusteeship Committee and have other powers and duties as the Board may from time to time prescribe.

Section 8.5. Secretary.

The Secretary shall ensure that: the Trustees are acting in accordance with the Bylaws, Bylaw amendments are promptly made as necessary, minutes of the Board and Executive Committee meetings are accurate and promptly distributed to all Trustees, meetings are properly scheduled and Trustees notified, and Board policy statements and other official records are properly maintained. The Secretary shall authenticate records and documents of the Corporation. The Secretary shall perform other duties as prescribed from time to time by the Board and may be assisted in all duties by a staff person designated by the President of the College.

Section 8.6. Treasurer.

The Treasurer shall serve as Chair of the Finance and Budget Committee and otherwise serve as the Board's leader on all financial management policy matters. He or she shall ensure that all Trustees regularly receive the College's appropriate and comprehensive financial statements that include comparisons of revenues and expenditures with the approved annual budget and the preceding fiscal year for the same time periods. The Treasurer shall ensure that other financial reports, including



those for special or major Board-approved expenditures, College investments, and annual or special audits, are provided all Trustees in a timely manner for review and discussion as appropriate. He or she shall work closely, as appropriate or necessary, with the College's chief financial officer, Board-approved auditor, and shall serve as an *ex officio* voting member of the Investment Committee and Audit Committee.

Section 8.7. President.

The President serves at the pleasure of the Board for such term, compensation, and with such conditions of employment as it shall be determine. The President shall be the College's chief executive officer and the chief advisor to the Board. The President shall be an *ex officio* member of the Board with vote. The authority of the President is vested through the Board and includes responsibilities for all College educational and managerial affairs. The President shall be responsible for leading the College, implementing all Board policies, keeping the Board informed on appropriate matters, consulting with the Board in a timely manner on matters appropriate to its policy making and fiduciary functions, and serving as the College's key spokesperson. The President shall have the authority to execute all documents on behalf of the College and the Board consistent with Board policies and the best interests of the College. The President shall serve *ex officio* as a member of all Board committees except the Audit Committee.

Section 8.8. Assistant Officers.

The Board may, from time to time, elect one or more Assistant Secretaries and Assistant Treasurers, who need not be Trustees , who shall have such powers and duties as the officers whom they are elected to assist shall delegate to them and such other powers and duties as these Bylaws or the Board may prescribe. An Assistant Secretary shall always have the authority to authenticate records and documents of the Corporation.

Section 8.9. Congregational Concerns.

Prior to the annual meeting, the Chair and the President shall meet with the President of the Congregation to address her concerns, consistent with Section 7.2 (S), and report to her concerning the Board action to address her concerns.

ARTICLE IX

**ADMINISTRATIVE OFFICERS**

Section 9.1. Administrative Officers of the Corporation.

The Administrative Officers of the Corporation, who are not officers as contemplated by Ind. Code § 23-17-14-1, shall be the Senior Vice President and Dean of Faculty, Vice President for Mission, Vice President for College Relations, Vice President for Enrollment Management, Vice President for Finance and Administration, and Vice President for Student Affairs. The Board may approve the

appointment of other Administrative Officers upon recommendation by the President of office and duties.

Section 9.2. Terms and Authority of the Administrative Officers.

Except for the Vice President for Mission, the Administrative Officers shall serve for such terms and have such authority and responsibilities as the President shall determine in consultation with the Board. In the absence or disability of the President, the Senior Vice President and Dean of Faculty shall perform the President's duties until action is taken by the Board.

Section 9.3. Vice President for Mission.

A member of the Congregation or, if a member of the Congregation is not available, another person will be mutually decided upon by the President of the Congregation and the President and appointed by the President to serve as Vice President for Mission.

The duties of this officer shall include but not be limited to:

- (A) Planning and participation in orientation programs for Trustees, faculty, students, and staff to communicate the history and values of the Congregation as founding body;
- (B) Planning with the Chair and the President ongoing education of the Board regarding the continuing mission of the College;
- (C) Annual assessment and communication of implementations of the mission of the College and recommending plans for further development of the mission;
- (D) Planning and participation in an annual informational meeting of the Leadership Team of the Congregation with the officers of the Board and the Administrative Officers; and
- (E) Serving as a member of the Mission Committee.

The Vice President for Mission will perform the duties of such office on behalf of the Congregation and will not be an employee of the College. The compensation to be paid to the Congregation for the services of the Vice President for Mission and the other terms and conditions relating to the performance of such services shall be mutually determined by the President of the Congregation and the President.

The President of the Congregation and the President shall together review and evaluate annually the performance of the Vice President for Mission and mutually decide on renewal or termination of the Vice President for Mission. The President will give notice of renewal or termination.

## ARTICLE X

### COMMITTEES

#### Section 10.1. Standing committees.

The standing committees shall be:

- (A) Executive Committee;
- (B) Academic Affairs Committee;
- (C) Audit Committee;
- (D) College Relations Committee;
- (E) Finance and Budget Committee;
- (F) Investment Committee;
- (G) Mission Committee;
- (H) Student Life Committee; and
- (I) Trusteeship Committee.

The Board, by appropriate resolution, may create committees (standing or *ad hoc*) in addition to those provided in these Bylaws, with the exception of the Executive, Trusteeship, Mission, and Audit Committees, may deactivate or rename any committee or combine it with another, and may postpone the creation of any committee provided for herein, until, in its judgment, the effective operation of the Board requires its activation. Each committee shall have both a Chair and a Vice Chair. The Vice Chair is as from time to time it deems appropriate. The vice chair is authorized to conduct a committee meeting in the absence of the Committee Chair. Each committee shall have a written Statement of Purpose that it and the Board deem appropriate. Each committee shall conduct its work in a manner consistent with the Catholic identity and mission of the College. Committees may hold an executive session at the end of any meeting if either necessary or desirable. Executive sessions shall include only those members who are voting committee members. As soon as possible after the executive session, the Chair (or Vice Chair in the absence of the Chair) will report to the Chair of the Board and the President on the matters discussed or motions approved during the meeting and in executive session. With the exception of the Executive Committee or except as otherwise provided in these Bylaws, no standing or *ad hoc* committee shall have the power to act on behalf of the Board.

#### Section 10.2. Membership.

Subject to approval by the Board, the Chair of the Board shall have the responsibility of appointing the Chair, Vice Chair (both of whom shall be Trustees), and members of all Board committees. A majority of committee members shall be Trustees. All duly appointed Trustee and non-Trustee members have the right to vote. The Chair and the President shall be *ex officio* members, with vote, of all standing committees, *provided that* the President shall not be a member of the Audit Committee.

#### Section 10.3. Administrative Assistance.

Each committee shall have a clearly designated Administrative Officer of the College or member of the administrative staff, as determined by the President, to assist it with its work. The person is not a voting member of the committee.

#### Section 10.4. Meetings.

Each committee shall meet at least two (2) times annually and regularly report on its work and recommendations to the Board. All committees shall keep minutes and distribute them to the Board.

#### Section 10.5. Audit Committee.

The Audit Committee shall provide oversight of the College's financial practices, internal controls, financial management, and standards of conduct. It shall maintain such procedures and provide such reviews as will maintain the tax exempt status of the College.

#### Section 10.6. Investment Committee

The Investment Committee has the power and authority to approve investments on behalf of the Board of Trustees.

#### Section 10.7. Mission Committee

The Mission Committee shall ensure that the College continues and deepens the distinguished heritage of the Congregation by maintaining educational excellence and a steadfast commitment to gospel living in the modern world among all segments of the College: board, faculty, staff, students, alumnae, and friends. It shall foster a variety of ways to assist and energize the College's commitment to the mission and vision of the College as lived through the core values: Learning, Community, Faith/Spirituality, and Justice.

Section 10.8. Statement of Committee Purposes

A written statement of committee purposes (as required in Section 10.1) shall be described in a resolution proposed for Board approval at the same time as the Bylaws are amended and may be amended by Board resolution as, from time to time, the Board sees fit.

ARTICLE XI

EXECUTIVE COMMITTEE

Section 11.1. Membership.

The Executive Committee shall include among its membership the Chair (who shall act as Chair of this Committee), the President, a Class One Trustee, the Vice Chair, Secretary and Treasurer of the Board, and the Chairs of the standing committees. If at least three (3) members of this committee are not Trustees who are members of the Congregation, the Chair shall appoint additional Trustee members of the Congregation sufficient to bring the Congregation representation to three (3).

Section 11.2. Purpose.

The Executive Committee shall act as the Board's agent in helping the President address matters of business between regular board meetings and assist the Chair and the President in their joint responsibility to help the Board to function effectively and efficiently by suggesting Board meeting agenda items and periodically assessing the quality of committee work. It shall have the authority to take action on emergency matters which cannot or should not be deferred to the Board's next scheduled meeting. In order to protect the assets of the Corporation, the Executive Committee shall receive reports from the Corporation's legal counsel concerning such actual, impending, or potential litigation involving the Corporation or which might involve the Corporation, as Counsel is from time to time made aware. The Executive Committee shall oversee the work of the Board committees, the College's planning process, and its progress on planning goals. The Executive Committee shall participate in the evaluation of the President's performance. The Executive Committee shall have the authority to act for the Board on all matters except for the following which shall be reserved to the Board:

- (A) Selection and termination of the President;
- (B) Selection of the Trustees and Officers of the Board;
- (C) Changes in institutional mission and purposes;
- (D) Amendments of the Articles of Incorporation or Bylaws;
- (E) Incurring of corporate indebtedness;
- (F) Authorizing the selling, leasing, buying, or mortgaging of real estate or buildings owned by the Corporation.

- (G) Merging or affiliating (which changes governance or identify of the College) the Corporation of the College with another corporation or college;
- (H) Adoption of the annual budget;
- (I) Conferral degrees; and
- (J) Other powers reserved to the Board, from time to time by the Board.

All actions of the Executive Committee shall be subject to ratification at the next Board meeting.

Section 11.3. Meetings.

The Executive Committee shall meet as often as necessary to conduct business. A simple majority of the Executive Committee members shall constitute a quorum, provided that one member in attendance is a member of the Congregation. The act of a majority of the Executive Committee members present at a meeting at which a quorum is present shall be an act of the Committee. The provisions of this Code of Bylaws and those required by law applicable to the Board respecting meetings, action without meetings, notice and waiver of notice shall apply to the Executive Committee and its members. The members of the Executive Committee shall act only as a Committee, and the individual members shall have no power as such. Minutes of the meetings of the Executive Committee shall be taken and all items on which the Committee has taken action shall be submitted to the Board at its next succeeding meeting for ratification, but failure to submit such action items or to receive ratification shall not invalidate any action taken by the College upon authorization by the Executive Committee.

ARTICLE XII

TRUSTEESHIP COMMITTEE

Section 12.1. Membership.

The Trusteeship Committee shall have at least five (5) members and not more than seven (7), one of whom shall be a Class One Trustee. The Vice Chair shall be the Chair of this committee. All committee members except the one Class One Trustee member shall be appointed for renewable one-year terms by the Chair. The Chair shall appoint the Class One Trustee as designated by the President of the Congregation for renewable one (1) year terms. As least two (2) members of this committee shall be Trustees who are members of the Congregation, and at least two (2) members of this committee shall be lay Trustees.

Section 12.2. Purpose.

The Trusteeship Committee shall ensure that the Board's membership and leadership consists of highly qualified and committed individuals and that regular programs of new Trustee and in-service education are maintained. It shall periodically recommend initiatives by which the Board shall

assess its performance. It shall serve as the Board's agent in reviewing the performance of incumbent Trustees and Officers of the Board who are eligible for reelection, maintain a list of qualified candidates for possible nomination, consider cultivation strategies for promising Trustee candidates, and shall propose and periodically review the adequacy of a statement of Trustee responsibilities as adopted by the Board.

Section 12.3. Meetings.

The Trusteeship Committee shall meet as often as necessary to conduct its business, but no fewer than two (2) times annually. It shall seek the assistance of all Trustees in the course of meeting its responsibilities in accordance with these Bylaws and its own rules of procedure as adopted by the Board. A simple majority of the committee members shall constitute a quorum provided that one member in attendance is a member of the Congregation.

ARTICLE XIII

**PLACEMENT OF MEMBERS OF THE CONGREGATION**

Section 13.1. Placement of Members of the Congregation.

To the extent permitted by law, qualified members of the Congregation will be given preference for administrative, faculty, staff, and campus ministry positions. The College will actively recruit members of the Congregation for these positions.

ARTICLE XIV

**CONFLICT OF INTEREST**

Section 14.1. Conflict of Interest.

A Trustee shall be considered to have a conflict of interest if: (a) such Trustee has existing or potential financial or other interest which impair or might reasonably appear to impair his or her independent, unbiased judgment in the discharge of his or her responsibilities to the College; or (b) such Trustee is aware that a member of his or her family, or any organization in which such Trustee (or member of his or her family) is an officer, director, employee, member, partner, trustee, or controlling stockholder, has such existing or potential financial or other interests. For the purpose of this provision, a family member is defined as a spouse, parents, siblings, children, and any other relative if the latter resides in the same household as the Trustee. All Trustees shall disclose to the Board any possible conflict of interest at the earliest practical time. Furthermore, the Trustee shall absent himself or herself from discussions of, and abstain from voting on, such matters under consideration by the Board or its committees which present a conflict of interest or possible conflict. The minutes of such meetings shall reflect that a disclosure was made and that the Trustee having a conflict or possible conflict abstained from voting. Any Trustee who is uncertain whether a conflict of interest may exist in any matter may request the Board or committee to resolve the question in his or her absence by majority vote. Each Trustee shall complete and sign a disclosure form provided annually by the Secretary.

ARTICLE XV

**INDEMNIFICATION**

Section 15.1. Indemnification.

To the extent not inconsistent with the laws of the State of Indiana, every person who is or was a director, Trustee, officer, employee, or agent of the Corporation shall be indemnified by the Corporation as provided in the Indiana Nonprofit Act of 1991.

ARTICLE XVI

**CONTRACTS, CHECKS, DEPOSITS, AND FUNDS**

Section 16.1. Contracts.

The Board may authorize any officer or officers, agent or agents of the Corporation, in addition to the officers so authorized by these Bylaws, to enter into any contract or execute and deliver any instrument in the name of and on behalf of the Corporation, and such authority may be general or confined to specific instances.

Section 16.2. Checks, Drafts, et cetera.

All checks, drafts, or orders for payment of money, notes or other evidences of indebtedness issued in the name of the Corporation, shall be signed by such officer or officers, agent or agents of the Corporation and in such manner as shall from time to time be determined by resolution of the Board.

Section 16.3. Authority.

When the execution of any document described in Sections 16.1 and 16.2 have been authorized by the Board without specification as to the executing officers or agents, the President shall have the authority to execute and deliver the same on behalf of the Corporation or the College.

Section 16.4. Deposits.

All funds of the Corporation shall be deposited from time to time to the credit of the Corporation in such banks, trust companies, or other depositories as the Board may select.

Section 16.5. Gifts.

The Board may accept on behalf of the Corporation any contribution, gift, bequest, or devise for the general purpose, or for any special purpose of the Corporation.



ARTICLE XVII

**BOOKS AND RECORDS**

Section 17.1. Books and Records.

The Corporation shall keep correct and complete books and records of account and shall also keep minutes of the proceedings of its Board and committees. All books and records of the Corporation may be inspected by any Trustee, or his or her agent or attorney for any proper purpose at any reasonable time.

ARTICLE XVIII

**FISCAL YEAR**

Section 18.1. Fiscal Year.

The fiscal year of the Corporation shall begin on the 1st day of June and end on the 31st day of May in each year.

ARTICLE XIX

**BYLAW AMENDMENTS AND REVIEW**

Section 19.1. Amendment.

Subject to the provisions of Section 6.3., these Bylaws may be changed or amended at any meeting of the Trustees by a two-thirds (2/3) vote of those present, provided notice of the substance of the proposed amendment is sent to all Trustees at least thirty (30) days prior to the meeting.

Section 19.2. Review.

These Bylaws shall be reviewed periodically by the Secretary and the Executive Committee who shall recommend any necessary changes to the Board.

THESE BYLAWS are approved as amended this 17th day of February, 2012.

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Paula M. Dawning  
Secretary, Board of Trustees  
Saint Mary's College

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Carol Ann Mooney  
President  
Saint Mary's College

**REPORT OF THE CONTINGENCY PLAN COMMITTEE**

Saint Mary's College

Notre Dame, Indiana

February 2005

Approved by the Board of Trustees  
February 25, 2005

**2004 CONTINGENCY PLAN COMMITTEE**

**MEMBER LIST**

**Susan Vance**  
**Professor, Business Administration and Economics**  
**Chair of the CP Committee**

**Richard Baxter**  
**Director, Special Events**

**Nancy D'Antuono**  
**Professor, Modern Languages**

**Mid DePauw**  
**Director, Counseling and Career Development**

**Keith Fowlkes**  
**Director, Information Technology**

**Katie Harrison '04**  
**Student Representative**

**Les Hitchcock**  
**Controller**

**Robert Hohl**  
**Librarian**

**Linda Janke '04**  
**Student Representative**

**Mary Lelik**  
**Director, Institutional Research**

**Don Miller**  
**Professor, Mathematics**

**Mary Pat Nolan**  
**Director, Admission**

**Mary Nucciarone**  
**Director, Financial Aid**

**Julie Tourtillotte**  
**Associate Professor, Art**

**Sr. Louisita Welsh, CSC**  
**Assistant to the Vice President for**  
**Mission**

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## **I. Introduction**

### **A. Charge to the Committee:**

Colleges and universities are experiencing fiscal challenges that include a downturn in the stock market and the economy, increasing pressure to limit tuition increases, increasing financial need as well as consumers seeking tuition discounts, increasing cost and dependence on technology, and increasing expectations of parents and students for facilities and services. Saint Mary's College is no exception. In the spring of 2003, the Board of Trustees directed the President to present to the Board an updated version of the College's 1984 Contingency Plan. The President appointed a committee whose charge was to:

*Develop a plan that will enable the College to fulfill its mission while experiencing unanticipated change; to recommend alternative courses of action that will guide the College toward a positive, strong, and financially viable future.*

The Contingency Plan Committee (CP Committee) has attempted to solicit broad-based input and support from the College community to ensure thoughtful consideration of the issues and creative suggestions for inclusion in the plan. The success of Saint Mary's College is due in large part to the dedication and valuable contributions of all community members. The CP Committee is thankful to all who contributed to this effort.

### **B. Review of the 1984 Contingency Plan**

Initially the '04 CP Committee hoped that it could complete its charge by updating the '84 CP. The Committee sought input from original members of the '84 CP Committee to get a historical perspective and background on the process used by the '84 Committee.

*For several reasons, the '04 CP Committee found the '84 CP to be dated and too limited in scope for the situations the College currently faces. A new CP follows.* The CP Committee prepared a full response to the 1984 Contingency Plan. The CP Committee's response highlights the strengths and limitations of the '84 plan as well as changes in admissions, financial aid, campus support programs, and information technology since 1984. A copy of the response is attached as Appendix A.

## **II. Conceptual Framework**

### **A. Nature of This Report**

This report, like its predecessor – the 1984 Contingency Plan – is in reality a set of recommendations for fashioning a specific plan in response to a specific set of circumstances that may confront the College. In short, the Committee recognizes that it is impossible to establish a plan that will respond in detail to the variety of actual circumstances that may arise. It is the Committee’s intent to be more general, so that this report can serve as a starting point not only for challenges that confront Saint Mary’s College today, but also for those that may arise several years from now.

## **B. Guiding Principles**

The Committee recognized that it was important to base the Contingency Plan on specific principles that have guided our institution. One of our first tasks was to review all major documents of the College including the Charter, Bylaws, Mission Statement, Statement of Philosophy of Purpose, Strategic Plan, Master Plan, Governance Manual, North Central Accreditation Report, among others.

Documents were divided into primary and secondary sources. The primary sources that include the College’s legal documents – Charter and Bylaws – and Mission Statement help define who we are and what we are about. These descriptors also act as constraints and generally are not negotiable. For example, because the Bylaws describe Saint Mary’s as a women’s college, the ’04 CP Committee could not consider offering undergraduate degrees to men as a possible contingency response to declining enrollments. Secondary sources are not legally binding and, therefore, provide the Committee with some flexibility but should be afforded great weight.

### **1. Descriptors from Primary Sources**

- a. From the College’s Bylaws:
  - i. Excellence in both liberal education and professional preparation.
  - ii. Commitment to the best expression of the Catholic tradition.
  - iii. Special emphasis and proficiency in the education of women.
- b. From the College’s Mission Statement:
  - i. Saint Mary’s College is a Catholic, residential, women’s college in the liberal arts tradition.
  - ii. Saint Mary’s College promotes intellectual vigor, aesthetic appreciation, religious sensibility, and social responsibility.
- c. From the 2002 Audit (based on the College’s Bylaws):

“...the College reaffirmed that it will remain a Catholic institution and that its mission is an all-women’s institution providing education in the liberal arts tradition. Should the College cease to pursue its defined mission without prior approval of the majority of both Class I and II Trustees, title to all buildings and real property may be subject to reversion to the Congregation.”

## **2. Descriptors from Secondary Sources**

- a. Some documents make the assumption that Saint Mary's College will remain a traditional, undergraduate institution.
- b. Some documents include statements recognizing the value of diversity and a holistic education model.
- c. The importance of maintaining academic standards (the quality issue) is emphasized.

As an additional consideration, the CP Committee attempted to articulate who we are and what we aspire to be as a community.

## **3. A Community Perspective**

- a. We are a Catholic residential college for women as described in the Mission Statement.
- b. Given the College's history and continued inter-relationship with the Sisters of the Holy Cross, our work should support and encourage positive relations with the Congregation.
- c. Our work should encourage positive relations with alumnae, students, parents, the local community, and friends of the College.
- d. For the College to be successful, it must attract and retain qualified and dedicated faculty, administrators, and staff. In this regard, our work should support Saint Mary's College as an excellent place to work. As a Catholic institution, the College should be especially sensitive to social justice issues in all areas, including its relations with its employees.
- e. Given its mission, the College should also model "Catholic social responsibility" by being a good corporate citizen. This entails outreach to the South Bend community as well as to the larger world.

The CP Committee recognized that the College's major documents provide a principled foundation that is important in crafting the CP; and we have attempted to abide by these principles to the extent possible, especially when fashioning contingency responses. It is important to remember, however, that as a Catholic residential college for women, our core mission is to provide an excellent academic experience for our students, grounded in the liberal arts and sciences, with majors in a number of traditional and professional disciplines.

### **C. What Students Value**

*The Committee felt it was important, when fashioning a contingency plan, to be mindful of what students value about their Saint Mary's experience.* As part of its work, the CP Committee reviewed a variety of opinion surveys completed by admitted, entering, and continuing students. On the biennial Sophomore-Senior Survey students consistently reported high levels of satisfaction with student-faculty and student-student interactions, class size, and overall quality of instruction. Other highly positive aspects of campus life indicated by students were the general education curriculum, library and computer facilities, opportunities for community service, and the ability to find a faculty or staff mentor. Students newly-admitted to the College report comparable characteristics as "very important" in making their college choice, and they rank our college higher on these characteristics than our competitor colleges.

The Committee also asked student leaders (Student Government, Board of Governance, club officers, RAs, etc.) to complete a questionnaire in Fall 2003 in which students were asked to identify "the most important aspects of student life at Saint Mary's" and characteristics they find "indispensable to the Saint Mary's experience." The responses were consistent with data reported in the ongoing research of continuing students and newly admitted students. Key elements of the Saint Mary's experience as specified by these student leaders included:

- Variety of campus events and activities.
- Close-knit, friendly community.
- The people: faculty and staff, fellow students, student government.
- Quality, accessible faculty.
- Small class size – low faculty-student ratio.
- Strong academics.
- Student clubs and organizations.
- Residence life.
- Traditions.
- Safety of campus environment.
- Women's college.
- Notre Dame/Saint Mary's relationship.
- Resources in area community/service opportunities.
- Spiritual dimension/Campus Ministry.
- Beauty of campus.
- Traditional age students.
- High admission standards.
- Work-study program.

### **D. Teaching and Learning: The College's Core Business**

*It is clear that the College's core business is teaching and learning.*



For Saint Mary's professors, teaching is more than a job, however demanding, and more than a career, however professional. Saint Mary's College professors care deeply about their disciplines and the well being of the students they teach. College teaching is a very labor-intensive, value-added responsibility. "The professor must be familiar with the whole range and sweep of the field. He or she must be able to organize material, divide it into manageable segments, stress its relationships, introduce its principles, identify its assumptions, explore its ambiguities, reveal its implications, discuss its application, and explain, challenge, answer, interpret, (and) illuminate" (*The Role of the American University The Creation of the Future*, Frank Rhodes, Cornell University Press, 2001, p. 63). In addition, Saint Mary's College professors spend a great deal of time with students outside the classroom, clearing up difficulties students have with the material; encouraging new directions in student learning; advising about courses, careers, and graduate school as well as about personal and world issues. Strong bonds form between Saint Mary's College students and professors based on mutual regard. Alumnae frequently comment about the remarkable relationships they have with faculty. These relationships continue long after graduation.

From the student's perspective, we know that "Education is not a spectator sport; it is a transforming encounter. It demands active engagement, not passive submission; personal participation, not listless attendance...Help, support, encouragement, advice, guidance – all these are at the student's elbow. But ...she must select the goal, must put in the effort, and must run the race. That expectation leavens the student-faculty relationship...Students are expected to pace themselves, plan their schedules, think for themselves, help themselves...seek out the professor...But once they do, all the vast resources of the institution are available to them, and they flourish. This is a quiet transformation. They will learn to think; they will grow in discernment, develop in leadership, and mature in judgment – even as they think they're only studying physics or just taking a course in history, or merely playing on a team. It is often only in retrospect that most graduates realize what a transforming influence the undergraduate experience has proved to be" (Rhodes, p.65).

### **The High Cost of a Private College Education**

*Parents value education, but many struggle with understanding why it is so much more expensive than it was a generation ago. In fact, the relative rise in tuition has been steep. Only health care costs have risen faster than college costs.* Trends in college tuition present serious problems for most families, but especially for low to moderate-income families, which include the families of most first generation college students. There is a sense of public outrage over the high cost of a college education and a growing pressure to keep tuition costs in line. If academia does not respond to this issue, there is a chance that others who are less informed will do it for us, as seen in the healthcare field and recent proposed education legislation.

*Why have we seen such sharp increases?* There are many reasons: high costs associated with information technology and admission, compliance with government regulations, rising employee health-care costs, costly maintenance of older buildings, increasing competition for students which result in ballooning financial aid costs as well as costs associated with offering students a "more enriching" college experience. One major concern is cutbacks in federal

funding. Before 1980, 80% of federal funding was in the form of grants, 20% was in the form of loans. Currently, federal financial aid consists of 25% grants and 75% loans. This has required that colleges offer more institutional grant aid, especially to those with modest income. In recent years, colleges have given more merit aid, often resulting in bidding wars by some colleges for the best and brightest. Spiraling financial aid costs, due in large part to increasing tuition cost, have the unfortunate effect of causing, at least in part, even higher tuition cost.

At Saint Mary's, although the stated tuition has increased more than 50% between fiscal years 1996 and 2004 (from \$14,227 to \$21,624), the actual cost to students has increased very little. If one adds together the non-loan financial aid (scholarships and remissions, Pell Grants, and College Work Study) that the College provides and administers, and subtracts that number from the list price, the result is the "cost" that a student actually pays (unless the student has financial aid from some other outside source). In 1996, if we average the total financial aid over all of our full-time students, the "cost" was \$10,770. If we do the same for 2004, the "cost" is \$13,632. If we adjust those numbers for inflation over that same period (an inflation factor of only 1.2), we see that the 1996 "cost" adjusted for inflation would be \$12,924 in 2004. That means the "cost" of Saint Mary's tuition has risen only \$708 (the difference between \$12,924 and \$13,632), or 5.5% over the period. Considering the increase in our costs over that same period of time for health care, utilities, library materials, etc., the increase is surprisingly low.

### **Should colleges be run like a business? What is the best model for us?**

*Given the purpose of the CP, it is important to address the increasing phenomenon of treating colleges and universities like businesses. In some important ways colleges and businesses are similar. Both are interested in effective marketing, both must be concerned with cash flow, both should look for cost savings and process efficiencies, and both should look for additional revenue streams. But in many fundamental ways, colleges are not businesses and we should be very careful not to assume that what is best for a business enterprise in a given situation is best for a college. The following illustrates some of the differences.*

Colleges are not in business to make a profit for shareholders, although we certainly need to have sufficient revenues to cover expenditures. In fact, tuition revenue does not come close to covering the cost to operate the college, a fact that is not communicated effectively to parents, students, and the public.

In business, fixed costs per unit go down as production increases with resulting economies of scale. To some extent this is true in academia as well, but for a college that depends on its endowment and revenue from other operations to support its student subsidies, increased size spreads those resources over more and more students, reducing the average subsidy per student unless the college is willing to increase its discount rate (The University in a Corporate Culture by Eric Gould, Yale University Press, 2003, p. 76). In short, endowment per student is a very important factor in the financial health of a higher education institution, a factor without a close parallel in industry.

It is also important to recognize that students are educated one by one. "Production" is limited to how many students a professor can teach. At Saint Mary's, we differentiate ourselves and justify

tuition cost by our low student-teacher ratio. It is expensive but critical to the educational experience of our students.

Similarly, students are not consumers in the business sense. To think otherwise is to undermine the faculty-student relationship, which is critical in transforming the student to her best self. It is important to recognize and preserve the expertise and authority of the faculty. Although students are collaborators in the learning process, it is not in their best interest to place them in full control of the educational process as the metaphor “student as consumer” would imply. However, to the extent that students believe that a degree from “State College A” is as valuable as a degree from “Private College B”, the consumer model forces private educational institutions to differentiate themselves and justify the price difference.

***The College is not a business in the traditional sense. Our approach to the individual and the process of education requires that we recognize this difference and transform the best that the business world has to offer without sacrificing our special mission.***

### **Market Pressures and the Academy**

***Given market pressures, it is important that we not forget who and what we are. In the end, it is the faculty who give the College its credibility as a credentialing body*** (Gould, p. 83). It is important to recognize that tenure and academic freedom protect this effort and allow colleges to protect their distinctive identity as academic institutions.

***That said, the faculty must and do realize that the College will continue to exist only if it offers perceived value to students and their parents.*** In a larger context, we will continue to grow “only in response to the ‘needs’ of the economy, society, technology, or some other great force” (Gould, p. 134). Given the high cost of tuition and the debt loads of many of our students, it is no wonder that our students feel tremendous pressure to obtain high paying employment after graduation. (Financial aid data for the class of 2004 shows that the average indebtedness from federal Stafford loans is \$15,504; the average indebtedness from alternative private loans is \$22,774; and, the average indebtedness from parent loans is \$29,739.) We would be naïve to assume otherwise. We want our graduates to be prepared for the job market, to earn a good living for themselves and their families.

***How does a College best prepare graduates “for a future in which the average American will change jobs, and even careers, six times; where specialized knowledge has a half-life as short as five years; where societal and ethical questions are deeply entwined with technical ones; and where relentless self-learning over a lifetime is a prerequisite for professional and personal success?”*** (Rhodes, p. 86).

***There has been and will continue to be a demand for professional programs. Saint Mary’s has a long tradition of offering professional education*** – nursing, education, social work, and business administration, for example – and it is possible that additional programs will need to be added in the future. Each year approximately one-half of Saint Mary’s graduates earn their bachelor degrees in professional programs.

Saint Mary's also has consistently prided itself on providing a liberal arts basis for the education of all its students, whether they major in a liberal arts discipline or pursue a professional degree. (When speaking about the liberal arts, we mean to include: humanities, social sciences, mathematics, fine arts, and sciences.) Skills developed in liberal arts courses (the ability to think, write, analyze, criticize, consider ethical dimensions, etc.) stay with a graduate regardless of the position held and are valuable assets in a time when it is common to change careers multiple times. Indeed, some recent surveys indicate that CEOs show a preference for broadly educated employees. Apart from career concerns, the liberal arts curriculum is the vehicle through which one studies the major issues confronting society: social, cultural, political, scientific, and ethical issues. The liberal arts are key to understanding the world in an integrated way and to preserving and building a culture.

Saint Mary's needs to improve its articulation of the value of its core curriculum, in which all students, regardless of major, take courses in the humanities, sciences, social sciences, and modern languages. Is Saint Mary's College doing as much as it can to model interdisciplinary problem-solving approaches to key social and intellectual issues? ***Do the current financial and organizational structures of the College make it more difficult to pursue this integrated approach?*** If so, what can we do about it? Beyond professional and liberal arts programming, are there other holistic educational experiences that would benefit the "well rounded" graduate, regardless of major, such as personal financial literacy, experience in social justice, service learning and diversity, and expanded opportunities for internships? Like a kaleidoscope, the patterns of a vibrant academy do, in fact, evolve over time.

***It is important that all community members are aware of and engaged in creative problem solving regarding fiscal issues, but it is especially important for the faculty to recognize their unique responsibility in framing solutions that involve the academy.***

### **III. Contingency Planning: A Two-Pronged Approach**

***The CP Committee recommends a two-pronged approach to managing potential contingency situations:***

1. ***A proactive response:*** In this section, the plan makes recommendations that have the potential to make the College stronger institutionally and fiscally. The purpose of the proactive measures is to avoid retrenchment. If retrenchment is required, proactive measures that can be implemented within a 3-5 year time period can help return the College to a position of fiscal stability. The proactive recommendations have the added advantage of abiding by the guiding principles articulated in part II of this report.
2. ***A reactive response:*** In the event that it is necessary to implement a retrenchment mode, the plan provides recommendations for short term and long-term retrenchment. Responses in this section may violate one or more of the guiding principles, but every attempt will be made to minimize this effect.

## **IV. Proactive Measures**

### **A. Revenue Generation as a Proactive Measure**

*Colleges that thrive financially exhibit some or more of the following characteristics:*

- *Strong academic reputation,*
- *High endowment per student,*
- *Thoughtful and targeted marketing, and*
- *Creative programs.*

*The ongoing consideration of the strength of the College's existing academic programs and consideration of new and ancillary programs, as well as the development of potential new revenue, are important responsibilities of the College and a necessary complement to a contingency plan.*

*On an on-going basis, the College should evaluate its existing programs and investigate and endorse creative new programs that may enhance or expand the College's fields of study; attract new students; provide more programming for alumnae and regional community members; create partnerships with regional high schools, businesses, and organizations; and generate new revenue streams.*

Students and their families are more willing to pay for perceived quality. Saint Mary's College needs to distinguish itself from other small colleges. What changes can we make so that we are viewed as a top tier college? There are many possibilities. We may, for example, consider ways to capitalize on our position as a women's college by gaining national attention for our focus on women's issues.

When considering particular ideas, the College must discuss the relationship of the idea to the College's mission, identity, goals and strategic priorities. In addition, the College's mission and guiding principles should play a prominent role in establishing priorities between programs that compete for money and space. The CP Committee recommends that whenever the College investigates a new program, the College should conduct a formal cost-benefit analysis that considers, among other things, the impact of a new program on other departments. The College must also be sure to adhere to the existing Governance Manual and committee structure prior to adopting a new program. The CP Committee recognizes that the generation of new revenue streams takes time and urges the College to make this issue an immediate and on-going priority. It is expected that new ideas will be solicited on a consistent and regular basis.

*Given the College's tuition dependence, recruitment of students must always be given a high priority. The College's marketing of itself to external constituencies, including prospective students and benefactors, must also be the subject of ongoing evaluation for continued improvements*

## **B. Operations, Cost, and Human Resources Related Proactive Measure**

### **1. Operations and cost-related measures**

As previously mentioned, there is increasing pressure on the College to limit tuition increases. Related to this effort, *the Vice President for Finance and Administration, working with appropriate vice-presidents, should, on a regular basis, lead an effort that requires department chairs and directors to examine operations and implement practices that promote efficiency and cost savings.* The results of this effort should be reported to the President and the President's Cabinet prior to developing the next year's budget.

In addition, future contingency situations can sometimes be anticipated. *The CP Committee acknowledges the Vice President for Finance and Administration's efforts to develop and implement, in conjunction with the other members of the President's Cabinet, a forecasting process to anticipate potential fiscal challenges. The effort should be updated annually and incorporated into the multiple year operating and capital budgets.*

### **2. Human resources-related measures**

For the College to be successful, it must attract and retain qualified and dedicated faculty, administrators, and staff. In this regard, the Contingency Plan should support, to the extent possible, Saint Mary's College as a good place to work. This means that it is important to take care of the people we have before adding new staff by offering competitive salaries and an attractive benefit package. Administrators and staff salaries are generally compared to prevailing market conditions. Faculty salaries are compared to other AAUP IIB institutions.

Accordingly, *the CP Committee recommends the President regularly consider implementation of proactive measures aimed at ensuring appropriate and optimal staffing levels; making more efficient use of faculty, staff, and administrators; and requiring staffing projections.* We recommend that these measures be fully considered before implementing any of the retrenchment measures that follow in the Reactive Section.

Student workers play an important role in the running of the College and student employment obviously has financial aid implications. *The CP Committee recommends that the President's Cabinet regularly consider the staffing, funding, budgetary, and financial aid impact and efficient use of student workers.*

## **C. Development Priorities as a Proactive Measure**

The College Relations Division is involved in many activities including grant proposal writing and gift solicitation. Saint Mary's solicits gifts under these three areas: annual fund, major gifts, and planned and special gifts.

Saint Mary's College women map to current information on women and giving. We use a relationally based model that is a very "hands on" approach. The focus is: connect, collaborate,

commit, and celebrate at the end. Developing a donor base is a long-term investment. Because of this relations-based model, it is important to keep staff over the long-term to foster relationships. It is important to establish a pattern of giving early, even if in small amounts. There is concern that an increase in student loan obligations may negatively impact the ability or willingness of younger alumnae to give to Saint Mary's College.

***The CP Committee recognizes that the development efforts of the College are often determined or constrained by what donors are interested in funding.*** Donors want money used wisely, managed well, and they want to see the impact of their gift. Unrestricted fundraising is harder to attain because donors want to know how their gift is being used. It is important for the College and donors to understand the College's dreams vis-à-vis the donor's dreams. Women like to create change and are particularly attracted to scholarship fundraising efforts. Women give more often through bequests.

Saint Mary's College donors like to leverage dollars through matched gifts, such as the recent Lilly Endowment match. It should be noted, however, that many employers have stopped matching gifts.

***From a contingency planning standpoint, it is important to understand the impact of development priorities on the operating budget.*** When the College increases the number of endowed scholarships or grows the general endowment fund, the income from these funds provides positive cash inflow to the operating budget. The income from the endowed scholarships offsets the use of tuition dollars to fund financial aid expenditures. The College's operating budget includes approximately 5% of the endowment's market value as income each year. The exact percentage is based on a rolling average, but is not less than the amount included in the prior year. College Relations also pursues grant opportunities, which, if funded, can impact the budget by providing operating funds.

Capital campaigns increase restricted funds but unrestricted funds usually remain constant. When a new building is erected, the College incurs new operational expenses such as staffing, utilities, and maintenance and must transfer cash-funded depreciation over the building's useful life to the plant fund. This results in substantial cash outflows from operations.

As noted above, one of the strategies adopted by colleges that thrive financially is to substantially increase the college's endowment. These funds secure the college's future, provide income for the operating budget, and decrease tuition dependence. ***The CP Committee strongly recommends that the President consider directing future fund-raising efforts toward substantially increasing endowed scholarships or growing the general endowment as a powerful proactive measure.***

#### **D. Tuition Increase Study**

As mentioned earlier, there is increasing pressure to limit tuition increases and increasing need for financial aid. During the 2003-04 academic years, only 14.2% of full-time undergraduates who were enrolled at 4-year public and private colleges in the United States were enrolled at institutions that charged more than \$20,000 in tuition. Of those who attended private colleges,

44.7% attend colleges that charge more than \$20,000. That means that Saint Mary's tuition places it among the more expensive choices for college bound students. (Source, *The Chronicle of Higher Education*, Almanac Issue 2004-05, August 27, 2004.)

The cost of attendance continues to be a prime concern of students admitted to Saint Mary's. Over 50% of Saint Mary's first-year students in Fall 2003 reported that the offer of financial assistance was a "very important" influence in their decision to attend the College. *The College should continue to use a strategic approach to pricing based on benchmark and price sensitivity data.*

## **V. Managing in a Contingency Situation**

### **A. Triggering Events**

There are an unlimited number of possible events that could trigger a contingency situation. A few more likely examples include:

1. Substantial enrollment decline.
2. Substantial decrease in endowment income.
3. Foreseen and unforeseen physical plant needs.
4. Substantial increase in benefit costs.
5. Substantial increase in liability insurance and/or liability cost.
6. Environmental cleanup/ hazard/accident.
7. Political or world events.
8. Change in the relationship with the University of Notre Dame.
9. Substantial increase in financial aid need.
10. Change in the relationship with the Congregation of the Sisters of the Holy Cross.

*Given the unlimited triggering possibilities, the CP Committee recommends that the College consider the reactive measures recommended in this report only if there is a triggering event that will severely affect the College's finances for more than one year; for example, the event will cause a substantial operating budget deficit or will require an extraordinary use of quasi-endowment or undesignated plant funds.*

### **B. Defining the Level of Contingency**

The President and the President's Cabinet, in consultation with the appropriate committee(s) of the Board of Trustees, need to assess the situation to determine if it is sufficiently serious to cause the CP to be invoked and to further determine whether the situation is one that can be resolved by budget tightening or one that requires more drastic measures such as the elimination of programs or the general downsizing of the institution. It is important that the President define the scope of the situation. There are three levels of contingency:



1. Short Term Contingency situation is one that is in place for a limited time, can be instituted on relatively short notice, does not fundamentally alter the programs that are central to the College's mission, and may be readily reversed or cancelled.
2. Long Term Contingency is a more serious situation involving options that may be in place over a longer time period but does not fundamentally alter programs central to the College's mission.
3. Retrenchment involves more serious options that may be in place over a longer time period and may fundamentally alter or eliminate programs that are central to the college's mission.

While this entire plan is called a "Contingency Plan," hereafter, we will distinguish between short term contingency situations, long term contingency situations and retrenchment situations." All three situations call for "contingency planning."

### **C. The President's Plan: A Positive Vision for the Future**

*The President must communicate to the College community what the current condition is, what we must do to resolve the situation, what the President needs from the community, and what will be the positive future all will enjoy if we pull together and sacrifice now. The plan should be time sensitive. Community members need to know that the situation is under control and that a positive future lies ahead. A positive vision and implementation strategy can help to avoid the negative impact on morale that typically accompanies a contingency situation.*

### **D. Controlling the Message: The Role of Public Relations in Contingency Planning**

Public relations has a role at each stage of a contingency/retrenchment situation. In the first stage, the President and the Cabinet consider implementing the CP. In the second stage, the decision is made, in conjunction with the appropriate committee(s) of the Board of Trustees, to implement the plan. The Office of Public Relations can help shape the message, determine who the spokesperson will be, and what audiences need to be addressed. In the third stage, various constituencies are told of the situation. There should be as little lag time as possible between stages two and three to get ahead of rumors. Public Relations can help to make this communication as effective as possible. Public Relations should be kept informed throughout the process.

*When proactive measures have not been sufficiently efficacious to avoid the necessity of taking reactive measures, it is important to have a plan for addressing the press, including The Observer. The College's reputation can suffer if it appears to be fiscally at risk. This can have a negative impact on admissions and fundraising efforts.*

*Internally, it is best for the President to communicate the situation personally and lay out the facts and answer questions. If the contingency/retrenchment situation will take a long time to resolve, there should be periodic internal updates. Internal constituencies need to understand that it is in the best interest of the College that public relations issues be appropriately*

*managed. Open, honest dialogue between the President and employees helps to engender understanding, cooperation, and trust.*

## **E. Implementation Mechanism and Guiding Principles**

*The President and the President's Cabinet have primary responsibility for implementation of the CP. Because the Board of Trustees must approve the College's budget, implementation of a Contingency Plan can generally only occur with the Board's approval.*

It is anticipated that:

1. The President will assess the situation and, if the Board concurs that the situation warrants, will approve implementation of the CP.
2. In a retrenchment situation, the President will constitute an advisory committee to assist the President and the President's Cabinet in this effort. The CP Committee recommends that this be a small representative body comprised of faculty, administrators and staff members. The President is free to ask the advisory committee to join the deliberations of the President's Cabinet. (NOTE: there were many who suggested that the advisory committee be instituted during a long-term contingency situation also. Some also wondered how these representatives would be chosen. Would they be elected? There was also strong support for an administration-staff equivalent of the Faculty Assembly.)
3. All efforts will be coordinated with the head of Public Relations to ensure positive communications internally and externally.
4. The President, in collaboration with the Cabinet, will develop a vision and strategy for addressing the contingency or retrenchment situation, including time frames for completion.
5. The President will communicate the vision and implementation strategy to the College community and request input from appropriate bodies as outlined in the Governance Manual. This might include, for example, the Faculty Compensation Committee, the Curriculum Committee, the Academic Affairs Council, and the Student Affairs Council, among others.
6. The President will seek necessary Board approval of budgetary matters and will implement the plan strategies.
7. The President will regularly communicate and update the College community regarding progress and any positive achievements.
8. The College community will celebrate successes.

The following represent important guiding principles for implementing the CP.

1. Maintain the College's mission and core values, identity and goals. Every effort should be made to sustain the College's high academic standards, support student learning, and the advancement of scholarship. There should be a commitment to the guiding principles described on pages five and six of this report.
2. Place the common good above individuals and departments.

3. When implementing the plan, every effort should be made to be consistent, fair, and reasonable.
4. Towards this end, quality data will be collected, analyzed, and interpreted.
5. The planning and implementation process will involve regular and open communication and the sharing of good information with people in all areas of the College.
6. This process should encourage institutional collaboration and promote responsible, creative solutions.
7. To be effective, the implementation process must involve faculty, administrators, and staff in meaningful and collaborative ways that respect the expertise of all constituents.
8. To be effective, there must be a sense of “shared pain” by those at all levels of the institution. That does not imply, however, that cuts must be shared proportionately by each division of the College. Correction of the situation will likely require more strategic decision-making.
9. If cuts or freezes are required that affect a particular department, the director or the chair, in consultation, as appropriate, with those in his or her department, will provide input as to how the cuts or freezes can best be implemented.
10. Faculty will have a significant voice in the addition, elimination, revision, or reduction of academic programs and the tenure system will be maintained.
11. Changes affecting personnel should be done with as much lead time as possible and involve input from appropriate bodies as required by the Governance Manual.
12. Those charged with implementation should lead with generosity, respect others, and seek ways to advance mutual interests by putting the common good first, being informed, and striving to be fair and reasonable in every negotiation.

## **F. Strategic Options**

Proactive options have been discussed in earlier sections of the report. Proactive options, particularly those that can be implemented in a three to five year time period, can play an important role in returning the College to a position of fiscal strength.

In this section, the following additional options will be discussed:

- 1. Use of Debt Financing*
- 2. Use of the Quasi-Endowment or Other Cash Reserves*
- 3. Changing Development Priorities*
- 4. Operational Cost Reduction*
- 5. Employee Cost Reduction*

### **1. Use of Debt Financing**

In some rare situations it may be appropriate to make use of short term financing to manage cash flow issues associated with the triggering event. However, it is not advisable to take on additional long-term debt unless the debt is associated with a legitimate long-term funding priority. One exception would be refinancing of existing debt that would result in more favorable terms to the College.

It is important to maintain a high bond rating to ensure the best borrowing conditions for the College. High bond ratings are an indicator, both internally and externally, of the College's fiscal strength. Bond rating agencies consider many factors when determining the institution's rating: the College's net worth; the collateral available to support the loan, including the condition of the collateral; the ability to repay the debt; and how the College stands relative to other academic institutions. Raters, of course, do a great deal of financial analysis but they also want to know if our buildings are maintained, if we have good student retention, high graduation rates, and a quality faculty and student body.

Clearly, proactive measures have the potential to positively impact our bond rating. However it is possible that an event that triggers the implementation of reactive measures could negatively impact the bond rating. ***When considering appropriate responses to a triggering event, every effort should be made to maintain our positive bond rating and avoid the use of debt to resolve the situation if at all possible.***

## **2. Use of the Quasi-Endowment or Other Cash Reserves**

Clearly, the endowment secures the College's future. Transfers from the endowment to fund budget deficits should be avoided if at all possible. Indeed, because of donor restrictions, the restricted endowment is unavailable for such purposes and use of the unrestricted endowment should be disfavored. Use of quasi-endowment or other cash reserves is permitted for such purposes. ***It may be preferable to use quasi-endowment funds or other cash reserves before implementing any reactive measure that would, by its nature, fundamentally alter the programs that are central to the College's mission.***

***The CP Committee recognizes that even if the College is in a contingency/retrenchment mode, it could be appropriate to use quasi-endowment funds to implement changes that could result in increased revenues (such as adding carefully selected academic programs that could attract students.)***

## **3. Changing Development Priorities as a Response to a Contingency Situation**

If the College is in a contingency/retrenchment mode, it generally should re-examine the current campaign or development plans. There should be a willingness to table some initiatives to concentrate on revenue enhancement. Priorities should be reconsidered for the good of the College. However, changing priorities can take time and, to a certain extent, donors decide which initiatives they will fund.

Priorities should come from the true needs of the College. ***Scholarships are a strong pull for donors and the College should reexamine unrestricted funding goals. It is also important to continue to emphasize donor retention and donor acquisition.***

The CP Committee recognizes that there are expenses associated with donor acquisition and general fund-raising. However, Saint Mary's College's expenditures compare very favorably (the SMC cost per dollar raised for the 02-03 AY was \$.17 for cash and \$.13 for cash pledges)

relative to the industry standard as monitored by the Better Business Bureau, which is \$.35/\$1 raised. *Because College Relations serves as a revenue center, it is important to maintain some appropriate level of funding to that division even if the College is in a contingency/retrenchment mode.*

#### **4. Operational Cost Reduction**

**Operational cost reduction items (which are distinct from employee cost reduction items) are listed below in layers (short term contingency, long term contingency and retrenchment.) The expectation is that measures that appear in an earlier layer should be considered before measures appearing in a later layer.**

It is also important to make the distinction between a budget freeze and a budget cut. If funding is currently unavailable to cover an expenditure but it is not in the best interest of the college to permanently reduce the budget for that expenditure, it will be frozen until such time that there are funds available to reinstate the budget for that expenditure. Budgets that are frozen retain their funding but activity is not allowed. The budget manager for the account that has been frozen must be formally notified of any changes to its status. Budget freezes can provide interim budgetary relief that allows sufficient time for proactive measures to positively impact the College's fiscal situation.

If funding is currently unavailable to cover an expenditure and it is considered in the best interest of the college to permanently reduce the budget for that expenditure, the related budget's funding is cut. The budget manager for the account that has been cut must be formally notified of any changes to its status.

Generally, a frozen budget's status is considered to be temporary and budget cuts are considered to be permanent. The CP Committee strongly recommends that, after a long-term contingency or retrenchment situation has been addressed, the status of budgets that have been cut be reviewed to determine if the reduction should be reinstated.

##### **a. Short Term Contingency Situation**

Response options may vary but generally include reductions that do not affect the core mission of the College or violate any of the guiding principles. Examples of short term contingency options include:

1. Income transfers from the Plant Fund
2. Request for savings from departments
3. Operating efficiencies
4. Operating budget reductions
5. Improved load efficiencies. Academic programs should be reviewed to make the most beneficial use of current faculty. Increasing student-teacher ratios and eliminating low enrollment courses may be required.

## **b. Long Term Contingency Situation**

Response options may vary but generally include reductions that do not affect the core mission of the College but may violate guiding principle(s). Examples of long term contingency options include:

1. Deeper cuts at the department level
2. Transfers from cash reserves or the quasi-endowment to fund operations

## **c. Retrenchment Situation**

Response options may vary but generally include reductions that may affect the core mission of the College and may violate guiding principle(s). Examples of retrenchment options include:

1. Cuts in essential services
2. Transfers from the unrestricted endowment to fund operation
3. Elimination of academic programs

When facing a retrenchment situation, the College should determine which activities are essential and which are non-essential. Retrenchment measures should focus on non-essential activities before taking actions that could negatively impact essential functions of the College.

Peer group benchmarking analysis indicates that the distribution of College expenditures by functional classification is well balanced in comparison to institutions of similar mission and size. Thus any retrenchment effort requires very serious consideration, as it could alter the form and format of service delivery. Such a reduction might also significantly impact students, the perceived value of an alumna's Saint Mary's degree, and faculty/staff retention.

*Any retrenchment involving the elimination of academic programs or reorganization of academic departments should only be implemented after consultation with the affected departments and input from the Curriculum Committee.* The Curriculum Committee is intended to afford the faculty, as a group having primary responsibility for the academic programs of the College, a means of assessing the impact of proposed changes on the overall character and direction of the College.

*The Committee on Student Affairs should offer input on cuts in essential services and other retrenchment measures affecting the quality of student life.*

## **5. Employee Cost Reduction**

In order to maintain morale and to attract and retain qualified faculty, administrators, and staff, it is critically important that operational cost reductions be fully considered (see last section) before implementing employee-related cost reductions. **When considering options that negatively impact faculty, administration, and staff, it is important, to the extent possible, to maintain the community principle of Saint Mary's College as a good place to work. It is**

**also important to consider Catholic social justice implications of proposed options. If it becomes necessary to cut positions, it is very important to give employees as much lead-time as possible. It is also important that public relations issues are fully considered and that, especially on an external basis, communications be controlled. Negative publicity could have an impact on admissions, development, and the general reputation of the College.** The Expectation is that earlier layer options will be considered before considering options in a later level, for example, that short term contingency options will be fully considered before long term contingency options.

#### **a. Short Term Contingency Situation**

Response options may vary but generally include reductions that do not affect the core mission of the College or violate any of the guiding principles. Examples of short term contingency options may include:

1. Reduce use of consultants
2. Strategically freeze new positions
3. Restructure positions on a voluntary basis, for example, from twelve months to ten months, from a five day to a four day workweek during the summer, or from a five day to a four day workweek full year; or from a full-time to a reduced academic load. Restructuring assumes that the needs of the department will continue to be met after the change and that employee benefits will continue to be covered.
4. Strategically freeze open positions
5. Offer an early retirement incentive program
6. Provide no pay increase. Note: every effort should be made to consider staff's ability to support their families, including the ability to cover increases in health care premiums.

#### **b. Long Term Contingency Situation**

Response options may vary but generally include reductions that do not affect the core mission of the College but may violate guiding principle(s). Examples of long term contingency options may include:

1. Restructure positions on a mandatory basis similarly to examples in the staffing step one measures noted above. If the restructuring is done on an involuntary basis, it is important to give affected employees as much lead-time as possible to make personal budgetary adjustments.
2. Eliminate non-critical positions. A structural review should be conducted to prioritize various functions from most to least critical. Positions added in the past five years could be looked at first. Note: employees who are cut because of retrenchment are entitled to two months notice or pay per the employee handbook.

3. Reduce salaries. Given Catholic social justice principles, the College should, depending on the circumstances, consider reducing salaries in a way that protects the lowest paid workers. Every effort should be made to consider employees' ability to support their families, including the ability to pay for any increases in health care premiums.
4. Reduce benefit subsidies or reduce benefit coverage.
5. Eliminate benefits.

### **c. Retrenchment**

Response options may vary but generally include reductions that may affect the core mission of the College and may violate guiding principle(s). Examples of retrenchment options may include:

1. Reduce untenured faculty.
2. As a last resort, reduce tenured faculty. In the event this becomes necessary, the President should refer to the 1984 CP for guidance. Terminated faculty are entitled to a terminal contract.

### **G. Contingency and Retrenchment Review**

The CP Committee strongly recommends that strategies implemented during a contingency or retrenchment situation be reviewed after an appropriate period of time to determine if these steps continue to be in the best interest of the College.

### **VI. Need to Review and Update the CP**

It is recommended that the Vice President for Finance and Administration be charged with the responsibility to lead a review and update of the CP. The Vice President for Finance and Administration shall report annually on the status of the CP to the President and the President's Cabinet.

### **VII. Sample Contingency Response Plan**

A **Sample** Contingency Response Plan follows. It is an example of a plan that includes proactive and reactive options for responding to a contingency situation. Note that consideration is given to whether a particular option affects the core mission of the College and whether it violates any guiding principles. It is recognized that although proactive measures are listed first, some of these options may require three or more years to generate positive income flow. In the meantime the College will most likely have to implement short term contingency measures and quite possibly long term contingency and retrenchment measures to meet the immediate fiscal needs of the College. The expectation, however, is that short term contingency options will be fully considered before implementation of long term contingency measures, and long term contingency measures will be fully considered before implementation of retrenchment measures.



The goal is to do as much as possible in an earlier level before resorting to options in the next level of response. Note: options in the sample plan that are within a level have not been presented in priority order and are not meant to be exhaustive.

**SAMPLE CONTINGENCY RESPONSE PLAN**

**PROACTIVE RESPONSE**

<b><u>Strategy</u></b>	<b><u>Affect Core Mission</u></b>	<b><u>Violate Principles</u></b>	<b><u>Financial Impact</u></b>
1. Change development Priorities – fund scholarships	Positive	No	\$?
2. Appoint committee to develop new academic programs	Positive	No	\$?
3. Increase student enrollment through improved marketing efforts,	Positive	No	\$?
4. Appoint a committee to develop new non-academic revenue streams	Positive	No	\$?
5. Use quasi – endowment to fund new revenue streams	Positive	No	-\$

**REACTIVE RESPONSE**

**Short Term Contingency:**

1. Income transfer from Plant Fund	No	No	\$
2. Request savings from depts.	No	No	\$
3. Operating budget reductions/ Operating efficiencies	No	No	\$
4. Reduce use of consultants	No	No	\$
5. Freeze new positions	No	No	\$
6. Restructure positions –voluntary	No	No	\$

7. Strategically freeze open positions	No	No	\$
8. Offer early retirement program	No	No	\$
9. Offer no pay increases	No	Yes	\$
10. Improve load efficiencies	No	No	\$?

**Long Term Contingency:**

1. Reduce salaries	No	Yes	\$
2. Reduce benefits	No	Yes	\$
3. Deeper cuts at dept. level	No	Yes	\$
4. Transfers from cash reserves/ quasi-endowment to fund operations	No	?	\$

**Retrenchment:**

1. Cut essential services	Yes	Yes	\$
2. Transfer from endowment to fund operations	Yes	Yes	\$
3. Eliminate academic programs	Yes	Yes	\$

## Appendix A A Reaction to the 1984 Contingency Plan

The Contingency Planning Committee is not yet ready to recommend a new contingency plan and believes that doing so without additional study would be irresponsible. We do however offer the following observations on the current plan and some very general recommendations for the future. In what follows we critique the 1984 Contingency Plan and discuss the current position of the College relevant to that plan. We also identify both short and long-term options of the 1984 Plan that are already in implementation.

The Contingency Planning Committee appointed by the President to study the report of the 1984 Contingency Planning Committee (CPC84) began its work in May 2003. The Committee has reviewed the 1984 plan and found it to be dated in several ways and too limited in scope for the situations we currently face.

The 1984 plan was developed in a period of strength for the College. Enrollment was at a desired level and no extraordinary financial challenges were imminent. Accordingly, the charge for CPC84 was to develop a method of action for a potential drop in enrollment that might result from census studies showing a decline in our target population through 1992. Not only did the Committee limit its investigation to these demographic facts but also the underlying assumption for its recommendations was that any enrollment problems would self-correct when the population decline made its predicted recovery. With this approach there is little wonder that the Committee had but one triggering mechanism for its recommendations -- a decline in enrollment to specified levels -- and forwarded recommendations focusing principally on the academic arena.

Recent developments at the College indicate that financial challenges can be set off by a variety of mechanisms. Because more than 75% of our revenue is enrollment dependent, a decline in enrollment would clearly present the largest financial challenge. However other triggering mechanisms include the broad categories of governmental regulations and the economy.

A contemporary contingency plan will need to recognize the variety of possible triggering events, provide a framework for determining when and how to implement the plan, and provide flexible response options. It must also address solutions through revenue enhancement as well as cost containment procedures.

While the 1984 Contingency Plan was, as indicated earlier, narrow in scope and dated, it does contain several good recommendations and procedures, many of which are still viable. To begin, '04 CP Committee reaffirms the commitment on student quality, "...that Saint Mary's College should, even in difficult times, maintain its commitment to excellence--a majority of the College community favors the view that the academic quality of the student body should be maintained by reducing the size of the student body if necessary." This commitment to academic quality is maintained by the admission criteria, which is monitored by the Admission and Scholarship Committee.

## **Admission**

The CPC84 affirmed the principle that the academic quality of the student body should be maintained even in the face of an enrollment decline. While '04 CP Committee reaffirms that principle, it is not convinced that a reduction in quality, such as accepting a limited number of at-risk students, would increase enrollment significantly. The recruitment environment in 2003 is markedly different from that of 1984 and suggests that other factors affecting enrollment patterns, including the following, need be considered:

- Despite declines in the number of U.S. high school graduates, enrollment in higher educational institutions has increased substantially, largely through enrollment of non-traditional students.
- First-time, first year enrollment was relatively stable with recent high school graduates. On the average they are applying to multiple colleges, more than in previous years.
- With the dramatic increase in tuition over the last two decades, it appears that more families are basing their college choice on cost and are willing to consider state universities and two-year college options.
- In reaction to these and other trends in higher education, that community has responded by implementing aggressive recruitment and financial aid strategies.

## **Financial Aid**

CPC84 affirmed the principle of granting need-based aid to encourage those to attend college who otherwise might not financially be able to do so. In addition, the 1984 CPC suggested a limited use of merit based financial aid to students in science and the arts. Response to this recommendation and other external forces has resulted in an increase in the percent of Saint Mary's students receiving assistance from 34% in 1985 to 87% in 2003.

The following recommendations of the CPC84 regarding the Financial Aid program have also been implemented:

- "That it develop as soon as possible a good financial aid brochure, so as to advertise effectively and clearly explain financial aid availability at Saint Mary's;
- That a computer-based operation with requisite personnel be installed in the Financial Aid Office as soon as possible; and
- That scholarship funds be aggressively pursued by the Development Office."

CPC04 recognizes that the climate surrounding the use of financial aid has changed significantly since 1984 at the national, state, and institutional level.

- The commitment to need-based aid has eroded and merit-based aid represents a significant source of assistance.
- Cost of attendance has risen faster than family income and has had a significant impact on the need for financial assistance. Consequently, families of all income levels are more

sensitive to changes in price. The published cost of tuition at Saint Mary's has risen from \$5,470 in 1984 to \$20,400 in 2003.

- The tuition discount rate has risen from 9.4% for the 1983-84 academic year to 32.5% for the 2002-2003 academic year. The discounts resulted in an average per student tuition income of approximately \$5,000 in 1984 and \$14,000 in 2003.
- Family attitudes have changed from willingness to pay to an expectation they will be given scholarship aid.
- Federal loan programs have expanded to offer loans to students without regard to financial need.
- Federal and state grant appropriations, with their increasingly burdensome administrative procedures, have not increased significantly since 1984 and likely will not provide significant increases to supplement institutional funding.

### **Campus Support Programs**

The CPC84 encouraged additional support for students at the upper end of the academic spectrum. Opportunities for students through tandem courses, Center for Academic Innovation programs such as the SSTAR Program, departmental special courses (e.g. mathematics honors course offered by invitation only), and the substantial numbers of Presidential Scholars attending the College have all influenced the academic environment in positive ways. The CPC04 believes that we still need to remain attuned to this group.

CPC04 recognizes that the breadth of on-campus support programs has changed substantially along with societal changes since 1984.

- A significant increase in the level of safety and security concerns is required by governmental regulations and expected by parents reflecting the national reality.
- As students consider college choices with their families, they are increasingly looking at what the total campus experience is going to provide. The significant increase of student involvement in athletics and wellness activities mirrors national trends.
- Societal and personal pressures contribute to increased emotional and psychological struggles of the current cohort of college age students.
- The desire for diversity and a multi-cultural education requires additional efforts of these support programs.
- Fostering Catholic women leaders to make a difference in the world has become more critical and complicated in this era of national ethical scandals and the declining emphasis on personal integrity.

### **Information Technology**

The metamorphosis of information technology at Saint Mary's College since CPC84 has been dramatic. Today the campus infrastructure relies on the Department of Information Technology systems for communication, business processes, registrar operations, course management, research, and other College operations. In 1984, many of these tasks (including most of the business processes) were not managed by the College. In developing a revised Contingency Plan

we must be cognizant of these vital technological needs and the agreements to which we are already contractually committed.

### **Short term options**

CPC84 offered both “long term options” and “short term options/stop gap measures” for dealing with enrollment declines. The short term options included six areas:

- Department operating budgets.
- Travel budgets.
- Reduction of compensation budget.
- Redistribution of institutional resources.
- Personnel cuts.
- Miscellaneous

CPC04 concurs with their definition of “short term” but emphasizes that they might be used for dealing with any financial aberration. By short term we mean “no more than a year in duration and that:

may be instituted on relatively short notice by the President of the College when enrollment/budgetary considerations require an adjustment in expenditures, do not fundamentally alter the programs that are central to the College’s mission, and can be readily reversed or cancelled.”

CPC04 feels that many of these “short term” options have been implemented, some for more than a year. Those already implemented include:

- “Modest (5 – 10%) across the board cuts in departmental operating budgets...”
- A cutback in travel for the Admission Office even though CPC84 stated, “We believe it a foolish economy to cut back travel associated with the admission or development operations...”
- “Lessening the amount available for merit increases” (neither faculty nor staff have received merit increases in at least twelve years).
- “Reduction of salary increases below that of cost of living” (Increases for 2003-04 are 1.5%).
- “Increase in the proportion of endowment income that is transferred into the operating budget.”
- “Transfer of some endowment funds to the operating budget.”
- “Hiring freeze.”

Under “Miscellaneous” CPC84 listed several items. We suggest that the items on this list continue to be examined, but that it should not be considered exhaustive. The development of the campus facilities since 1984 is among other concerns that should be addressed in a Contingency

Plan. In particular, a new Contingency Plan must consider the costs of new construction and the obligation to maintain and service new, additional buildings.

### **Long-term Options**

CPC04 has reviewed the long-term options suggested by the CPC84 committee and, while concurring in substance, notes their recommendations to be lacking in the following ways:

Under its plan of action, CPC84 states “In situations not involving declared conditions of retrenchment (defined as a significant drop in overall enrollment requiring cutbacks in expenditures), review and reallocation of resources occur as part of the normal operation of the College.” We recommend that this statement should reflect a broader definition of financial difficulty in the following way. In situations not involving declared conditions of retrenchment (defined as a significant drop in overall income or significant increase in expenditures requiring allocation of endowment to the operating budget, abnormal increases in tuition or a change in criteria for student acceptance), review and reallocation of resources occur as part of the normal operation of the College.

- CPC84 recommended that staffing changes which do not affect faculty appointments be monitored by the Student Affairs Council. We believe that a more inclusive monitoring committee would need to be developed for this situation.
- The CPC04 believes the information gathering recommended by CPC84 is currently available for academic departments but we are not aware of its availability from all non-academic departments. We recommend that all non-academic departments make this information available.
- CPC04 agrees with the spirit of the 1984 Committee’s general guidelines for the action committee. In the absence of time for further research, the Committee feels that these guidelines would still be workable today. However, before endorsing the specifics, the Committee needs time to conduct appropriate research.
- CPC84 agreed to the recruitment of Hispanic students under the provision that, “a decision to recruit in this area must be based on our Catholic affiliation and the commitment to fill society’s needs.” The 1988 Diversification Task Force has since made a strong commitment to the recruitment of Hispanic women.
- CPC84 recommended “The College continue to develop an acceptable, voluntary, flexible retirement program in order to provide this option for tenured faculty in retrenchment situations.” The development of such is still in progress.
- CPC04 agrees that the Administrative Council of the College should be the group that monitors the financial conditions and enrollment patterns of the College and report their assessment of the status of the College to its councils as well as the Faculty Assembly according to the time frames outlined by CPC84.

- CPC04 recommends that any revised Contingency Plan contain provision for its broad and continued review.



## Appendix B 2004 Proactive Revenue Generation Ideas

***In this appendix we have summarized and prioritized recommendations that we believe merit further investigation.*** The recommendations come from investigative research done by the Committee members as well as from questionnaire responses (see Appendix F) received from College department chairs, administrative department heads, and student leaders in the fall semester of 2003. ***The ideas that follow are not meant to be an exhaustive list. The CP Committee recognizes that it will take real leadership at all levels to fully consider and implement revenue-enhancing recommendations. The CP Committee recommends that sound revenue-enhancement ideas be implemented even if it requires a financial commitment and even if the College is in a retrenchment mode.***

***1. To increase student numbers, we need to investigate our competitor institutions.***

If we are going to adequately compete in today's admission's market, we need to know our competitors better. We need to go to their campuses and conduct a site visit, putting ourselves in the shoes of a prospective high school student and her parents. A check list should be developed to rate factors such as, overall impression, type and condition of facilities, the availability of majors, student- faculty ratio, the introductory admission experience, quality of food in dining hall, social life on campus, impression of residence halls, etc. What do the competitor institutions have that we don't? The College can use this data to develop a strategy, within the context of who and what we are, to best use our resources to attract students.

***2. To increase student numbers, consider ways to increase perceived quality of the Saint Mary's College.*** This may require thinking "outside the box". Each department should be asked to brainstorm impressive ideas that may or may not be a stretch for the College and then the College should consider ways to make selected ideas a reality. For example, the Political Science Department might say having our students serve as interns at the White House, the Biology Department might say having our students involved in real cancer research, the Business Administration Department might say having our students serve on the Board of Directors of real companies or having students serve as a resource for women who want to start small businesses.

***3. Investigate and expand the number of available majors and concentrations.***

Rationale: Students admitted to the College consistently cite "availability of majors" as a very important characteristic in choosing the college that they will attend. Those same prospective students rate Saint Mary's College significantly lower than its competitors on this measure (Appendix D, Table 2). ***Among the top ten women's colleges, in terms of enrollment, Saint Mary's ranks ninth in the number of academic programs offered.***

Desired fields of study mentioned in exit comments from transferring students over the past five years and from input from prospective high school students include:

- Art-related concentrations (graphic arts/digital media; other applied arts).
- Allied health professions (occupational therapy, dietetics, medical technology, respiratory therapist).

- Speech pathology/audiologist (liberal arts program in Communications).
- Special education.
- International affairs.
- Forensic science.
- Journalism/ broadcast journalism.
- Environmental affairs (combines political, sociological, and scientific disciplines)/environmental science.
- Dance and/or integrated art.
- Mediation (business/social work).
- Other interdisciplinary combinations.

Programs that could be introduced without addition of new faculty would be easiest to implement. Alternatively, new programming might serve as a substitute or repackaging to current programming. Some programs will require additional funds to implement. The Committee recommends that these program ideas be seriously considered despite any existing financial pressures and not be dismissed out of hand.

**4. In addition to developing new undergraduate programs, the College should consider offering five year BA/BS – MA/MS degree programs.** The following are examples of programs that might be investigated. In several of these disciplines, a student could be attracted to enroll at SMC as an undergraduate if she is assured admission to the graduate program (assuming prerequisite courses have been taken and the required GPA attained), especially if she can complete both degrees in a five-year period. The Committee recognizes that offering graduate programs would be a significant departure for us as an institution. However, we have awarded graduate degrees in the past and we know that one of the two primary strategies of colleges that continue to thrive is that they offer creative programming. Here are some suggestions:

- Speech pathology/audiology.
- Occupational therapy.
- Curriculum and instruction and/or educational leadership.
- Art therapy.
- Physician assistant.
- Masters in Nursing.
- Masters in Social Work (marriage and family therapy, school counselor, substance abuse counselor, mediation).

5. Expand summer school and off-term (January/May) offerings. (Need for an expanded summer school program was a frequent response by current student leaders responding to our questionnaire.)

6. Recruit more rigorously non-SMC students for our abroad programs. Consider inclusion of Saint Mary's sponsored summer and semester abroad programs with the Council on International Educational Exchange (CIEE). All abroad programs should be thoroughly evaluated to consider the impact on the College's revenues.

7. Consider offering summer international internships with tuition credit. The Centers for Academic Programs Abroad (CAPA) is an organization that will take care of all logistics including making a match between students and international companies. Students in a variety of majors could take advantage of this program. Obviously, there are many advantages to the student including international exposure, cultural diversity, and learning within a discipline. In addition, there would be an increase in tuition revenue to the College and provide students an international experience that does not diminish regular tuition, room and board revenue.
8. Offer credit for summer internships even if the student is paid. Often, companies will not accept a summer internship unless the student is enrolled in a College course. Offering students this option recognizes that there is a learning component associated with summer internships. We would expect the College to incorporate some academic requirements to justify the granting of College credits. In addition to providing a learning opportunity, the College will generate additional tuition revenue.
9. Encourage departments to develop relationships with local high schools. Consider offering talented local high school women the opportunity to take a class at Saint Mary's during summer school (assuming the summer school program is expanded) or the fall of their senior year.
10. Explore the possibility of starting a Summer Scholars program for high school sophomores and juniors to better promote the College as a leader in women's academics and scholarship. This program would in turn act as a great feeder program for first year student enrollment. A follow-up program for top scholars in their senior year as a "think-tank" would be beneficial to yield students most eligible for admission at Saint Mary's College. (A program similar to the Paula Program but aimed at older students).
11. Develop and expand CEU/CPE credit programs for professionals in psychological counseling, social work, accounting, education, etc.
12. Explore "lifelong learning" opportunities for alumnae and the local community. This could include intellectual and/or spiritual renewal seminars. Another idea would be to offer alumnae (especially baby boomer retired alumnae) the opportunity to live on campus for a semester and take classes at Saint Mary's on an audit basis ("Saint Mary's for Life"). In addition to charging for room and board, alumnae may serve the College on a volunteer basis or otherwise participate in the life of the College by attending events, lectures, interacting with students, etc. Directly involving alumnae on campus increases the chances of those alumnae donating to the College.
13. Investigate expansion of courses offered for home-schooled children.
14. Consider a development campaign directed at Study Abroad Program alumnae.
15. Establish "Friends of the Library" and "Friends of Technology" development programs with alumnae, corporate, and foundational contacts to provide ongoing funding of library and technology-related acquisitions.

16. Consider offering Saint Mary's excess residence hall capacity to Holy Cross or Notre Dame to house their women students if Holy Cross or Notre Dame residence halls are at full capacity.

## **Appendix C**

### **Proactive Operations, Cost, and Human Relations Related Recommendations**

*In this appendix we have summarized and prioritized recommendations that we believe merit further investigation.* The recommendations come from investigative research done by the Committee members as well as from questionnaire responses (see Appendix F) received from College department chairs, administrative department heads, and student leaders in the fall semester of 2003. *The ideas that follow are not meant to be an exhaustive list.*

#### **Operations-Related Proactive Recommendations**

1. Develop a forecasting process to anticipate potential fiscal challenges (building maintenance, employee benefits issues, etc.). Incorporate the results of the forecasting process in multiple year operating and capital budgets.
2. Create an emergency fund to deal with future contingency situations.
3. Review organizational structure to ensure that the structure encourages collaboration and fiscally responsible behavior. Included in this effort should be development of a representative body for administrators and staff similar to the Faculty Assembly.
4. Implement a flexible budget process that begins in September of the fiscal year. The flexible budget should provide a reasonable range of student enrollment numbers that will allow the College to fiscally plan for a number of different student enrollment scenarios. Actual revenues and expenditures should be then be compared to the budget figures for the actual enrollment achieved.
5. Implement calculation of the ratios and other data analysis found in the Appendixes of The Small College Guide to Financial Health: Beating the Odds by Michael K. Townsley, PhD (Nacubo 2002) to prepare trend analysis, benchmark comparisons, and identify possible problems. Consider establishing a “balanced scorecard” process for the College.
6. Develop a tuition increase and related financial aid policy that can drive the budget instead of having the budget drive tuition and financial aid.
7. Consider adoption of a budget and perhaps a governance structure that supports interdisciplinary academic programming. The current departmentally based budgets make this very difficult. One alternative would be to retain the current structure but add a line item for interdisciplinary programming.
8. Determine the appropriate debt load for the College that would allow the College to borrow money for an unforeseen circumstance, if necessary, and still maintain a positive bond rating.

9. The College's Strategic Plan initiatives should be reviewed and prioritized in light of the College's current situation. In addition, cost data associated with SP initiatives should be developed.

### **Human Resources Recommendations and Concerns**

Survey respondents (See Appendix D) and individuals meeting with the Committee noted the following patterns and employee-related concerns:

- There are a number of departments that will experience faculty/staff retirements over the next five to ten years. On the academic side, this should result in a reduction of tenured faculty and a reduction of fully tenured-in departments.
- Several departments indicated a need for additional staff/faculty. On the administrative side, this was often related to the addition of new buildings (building services, grounds, residence life, College bookstore, etc.). Some anticipated additional staffing is related to government compliance. Some indicated a need for additional staff to cover employees who are sick or on vacation/other leave. Some academic departments expressed a need to add faculty because of new disciplinary needs or prior lost positions.
- Turnover in staff in some departments is anticipated (building services staff, hall directors, nurses in Health Services). Often the staff turnover is related to low wages or lack of promotion opportunities.
- Some positions are funded by CWIL and will be affected when the grant runs out.
- Many expressed frustration caused by serving on too many committees that often do not result in action or change.
- There have not been College-wide merit raises in over ten years.
- Some respondents recommended that the Contingency Plan not compromise teaching effectiveness.
- Many noted the need for a restoration mechanism if the Contingency Plan is implemented and recognition of previous cuts taken by departments.

Accordingly, the Contingency Plan Committee recommends the President consider implementation of proactive measures aimed at making the best use of faculty, staff, and administrators. We recommend that these measures be fully considered before implementing any of retrenchment measures.

## Staffing

1. On a best practices basis, formally review staffing needs of the College. There should be a periodic comprehensive review at least every five years. The College should develop a plan to move toward appropriate staffing levels. If necessary, positions should be restructured and/or individual employees re-trained to better meet the College's current needs. Moving toward appropriate staffing levels is best achieved through attrition.
2. Individual positions should be reviewed when a position becomes open. Is the position still needed? Have the skills necessary for the position changed? Is it possible to move another already employed staff member to this position? Should the position be filled at all if there is an unfilled position that is more critical and should be filled first?
3. Require a rolling five-year staffing projection and budget from each department each year. The plan will encompass faculty, administrator, and staff.
4. Analyze cyclical needs of various departments. Is it possible to cross train and share staff with complementary busy seasons?
5. ***Consider the impact on the College's operating budget of grant-funded positions that are no longer covered when the grant expires. This analysis needs to be done very soon.*** A policy should be developed to consider this issue before a position is created or filled using grant funding. Consider having persons hired into temporarily funded positions sign a statement acknowledging the position is temporary.
6. Analyze the impact of projected faculty turnover. Due in part to the merger/de-merger situation, a great number of current faculty were hired in the mid to late seventies. The average age, tenure, and salary for current faculty is well above the median. At some point, senior faculty will retire and the average age, tenure, and salary for faculty as a whole will be well below average. This will have a positive impact on the budget but a negative impact on our standing relative to IIB institutions. The College should consider developing a plan to manage this phenomenon to provide as much as possible for staggered retirements/hiring.
7. Offer reduced workload options for highly compensated faculty, administrators, and staff.
8. Many departments noted they were under-staffed. We are not in a position to add staff so it is important to make the most efficient use of the staff we have. One way to increase available staff time is to reduce the amount of time spent on committee assignments. We recommend that all current committees be reviewed and the work prioritized. Which are most critical? Which ones have work that must be completed now and which have work that can be delayed to a later time? Are individual committees operating in an efficient manner? Is there a clear understanding of the committee's purpose? Is there an end game plan in place for the committee's work? What is the work product of the committee? Do we have the money to pay for any initiatives that the committee might recommend?

9. Consult the Director of Human Resources whenever someone has a negative review, whenever a vacancy occurs, before someone is hired/fired, and before a new position is created. The Director has a good overview of the institution from a staffing standpoint, has conducted hiring and exit interviews, has knowledge of HR laws and regulations, and has knowledge of the employee handbook. The Director can help ensure that procedures required by the handbook and by law are being followed.

10. Ensure that employee handbook procedures are being followed when an employee is let go for cause to ensure against arbitrary decisions and to protect the College from liability costs.

### Salaries

1. Allow staff to buy additional vacation time.

### Benefits

1. Conduct a survey to determine if the benefits of the College are still valued by employees. Should certain benefits be added or subtracted?

2. Conduct a survey to determine if offering employees an incentive for opting out of Saint Mary's health care in favor of a spouse's healthcare would save the College money.

3. Prepare an analysis to determine if offering a benefit cafeteria plan would save the College money.

4. Educate and encourage employees to make greater use of flexible spending plans for healthcare and daycare expense to save the College employee taxes. Convert to a "debit card" system.

5. Consider adopting a phased in retirement plan for all new employees similar to that used for staff. This would include requiring all employees to be employed one year before they can participate in the retirement program.

### **Cost Reduction Proactive Measures**

Data suggests that our expenditures are comparable to peer institutions. See Table 4, Appendix D. It should be noted that the College has already significantly reduced expenditures and may have already explored some of the ideas that follow. Opportunities for further cost efficiencies may be limited but should continue to be explored.



## Energy Use

The College is a signatory to the Earth Charter. ***There are several energy conservation actions the College can take that will result in significant energy cost savings.***

1. Conduct an energy audit. Facility managers need to have adequate data regarding the campus utility load profile on an hourly, daily, and seasonal basis. This may be done by strategic placement of sub-meters at various locations. Sometimes local utility companies will conduct energy audits for free. The CP Committee recognizes that some utility usage is difficult to measure because of shared usage with the Sisters. However, this issue must be seriously addressed to the extent feasible.
2. The College must develop a physical plant plan for energy conservation conversion. For example, the College could develop a five-year plan to replace high water use toilets to toilets that use less water. Motion detectors could be placed in rooms to automatically turn on or off lights. Energy saving light bulb and light fixtures could replace bulbs and fixtures requiring more energy. These are just a sample of energy conservation conversions that could result in significant energy savings to the College.
3. Some utility companies offer energy saving devices at no cost through rebates and interest free loans. Development should explore grant opportunities to fund energy conservation devices. Savings realized in monthly energy bill reductions can be used to pay back loan or original cost of the investment.
4. Conduct a major energy conservation campaign. Educating students, faculty, staff, and administrators about more careful use of water, electricity, and gas can result in significant savings to the College. Provide reports to people in a particular building to show results of energy conservation efforts. Related to this effort is the need to provide utility use guidelines for energy conservation – last one out turn off lights, copier, etc. Turn off computers at night, lights out in restroom and conference rooms when not in use, etc.
5. Turn down the thermostat (winter) by a degree or two. Turn up the thermostat (summer) by a degree or two. Temperature setting guidelines should be in place.
6. Renewable energy, such as wind, geothermal, and solar power, should be fully explored from a cost/benefit and environmental standpoint, particularly in the construction of new buildings.

## Travel

Travel/conference expense: It is not advisable to reduce travel expense in some areas, such as Admissions and Development because travel is integral to the work of those departments. Other departments could reduce travel/conference expense for a short time but not longer without negative consequences to the department (academic and administrative) or individuals in the department (especially un-tenured faculty, faculty seeking promotion, or faculty/administrators attempting to stay current in their field). Travel expense reduction ideas include:

1. Eliminate travel office and authorize employees to arrange own travel on line. An off-campus travel agency can still be used for complicated travel arrangements.
2. Qualify someone in the organization to be a travel agent. Several travel agencies offer independent agent status (Inteletravel International – 1-800 873 5353). Travel agents get reduced rates on car rentals, hotels, etc.
3. Always ask hotels directly for discounts. Does the hotel offer discounts to non-profit organizations? Can local hotel taxes be waived because of Saint Mary's tax-free status? Does the employee qualify for AARP, AAA, or military rates?
4. Set travel caps on administrators similar to faculty, subject to rule waiver by superior.
5. Encourage employees to use their own cars for travel to reduce the number of cars purchased by the College.
6. If the College is going to purchase vehicles, consider buying cars that are one year old, with low mileage and still under warranty. Cars depreciate approximately one-third in the first year.

#### Telecommunications and Technology Related Expenses

1. Retrain and encourage use of SUVON. Sometimes SUVON does not work from certain office phones. This should be investigated.
2. Encourage employees to send documents via e-mail attachment instead of using the fax machine or regular mail. This saves long distance and postage expense. Note mailings are still important for many departments to fulfill their charge (Courier, Alumnae, Development, Admissions, Financial Aid, etc.) although some departments are exploring alternatives.
3. Renegotiate long distance rate plan.
4. Develop a marketing plan to encourage students to save their cell phone minutes and use their residence hall phone by providing an affordable flat rate long distance plan per residence hall room.
5. Reduce computer replacement expense by extending the replacement cycle and not buying more capability than is needed. Many employees use computers for word processing and e-mail only.
6. Provide e-mail training that covers best practices, related legal issues, how to save paper, postage and printer usage.

7. Do not replace a computer before asking individual staff or faculty members if he or she wants a computer replacement. In some cases, it is advisable that the department head make this decision rather than the employee.

### Printing and Postage Expense

1. It might be possible to reduce copying expense by giving administrators and faculty members an individual copying budget and then holding them accountable. The CP Committee recognizes that this might not work in all departments.

2. Guidelines should be set for charging students for extensive in-class handouts.

3. Encourage employees to think about their use of copy machines and printers. Do you really need a hard copy of a particular document? Are more copies being made than necessary? Can the syllabus and other course material be put on Blackboard to avoid making printed copies? It was noted by some that greater use of Blackboard by faculty would not necessarily result in fewer print copying because students can and do make hard copies of documents placed on Blackboard. This may be reduced by the new system that caps the number of copies a student can make without additional charge.

4. Copier expense codes should be changed more frequently.

5. Install and require use of RIZZO machines if more cost effective.

6. Do in house addressing of invitations, perhaps with student help.

7. Eliminate or reduce multi-color printing.

8. The Bookstore noted it could reduce its postage expense if textbook purchase orders were more accurate and un-bought textbooks did not have to be returned. Perhaps the Bookstore can explore having students order books in advance to increase purchase order accuracy. Perhaps the students who “pre-order” and pre-pay can receive a discount of some kind to encourage Bookstore textbook purchases.

### Food Expense

1. Reduce the availability of food at some events.

2. Many noted the high cost of having Sodexo provide the food for internal events. Using an alternative source could significantly reduce food expense.

3. Consider having potluck employee picnics and Christmas parties. Replace employee dinners with catered lunches instead.

4. Negotiate reduced dining hall meal rates when blue meal cards are used and/or encourage use of department “munch money” accounts that do not expire and have an attached cost reduction feature.

#### Academic

1. Reduce credit hours required for graduation from 128 to 120 credit hours.
2. Require user departments to share part of the cost of certain journals to provide an incentive to more carefully evaluate how library resources are spent. Investigate whether certain electronic materials might be less expensive to purchase if bought at the department level rather than have College-wide access.
3. Speakers, artists in residence, extra-curricular programming can be reduced in the short term but in the long-term this would have negative consequences on the quality of the educational and holistic experience for students, the College, and South Bend community.

**Appendix D**  
**Contingency Planning Faculty & Administration/Student Questionnaires**  
**Executive Summary**

**From the Faculty/Administration Survey Data:**

**Academic Department Chairs and Administrative Department Heads were asked to complete surveys during the fall of 2003. Respondents were assured that confidentiality would be maintained. As a result, response data that would identify a particular respondent or respondent department has not been included in this summary but is being fully considered by the Contingency Plan Committee. Approximately 54 completed surveys were received.**

*Help us understand your department by describing the forces (internal and external) that will affect the future of your department.*

- Internal Forces:
  - Enrollment numbers.
  - New president/ CFO.
  - Budget constraints/ reductions.
  - Inadequate administrative staffing.
  - Administrative staff turnover/wage inadequacy.
  - Increased complexity cost/ support needs related to technology.
  - Programs supported by grant funding that will expire.
  - Increase in number of buildings on campus affects operating budget and demand on staff (increased cost of utilities, need for building services, increase in required depreciation, maintenance).
  - Increases in salary/ benefit costs.
  - Need for additional and/or more adequate office space.
  - Faculty retirements.
  - Need for additional classroom space, especially tech classrooms.
  - Classroom/studio space (particularly those located in basement levels) need to be renovated.
  - Increased dependence on adjuncts, need to hire full-time faculty in certain departments.
  - Demand for new academic majors/programs.
  - State of internal fiscal management.
  - Relations with the Sisters of the Holy Cross/ alumnae/ ND.
  - Student population that is more ethnically and religiously diverse.
  - Cost of offering foreign study programs.
  
- External Forces:

- The economy (lack of increase in federal and state funding for student financial aid, increased need for institutionally funded financial aid, impact on enrollment, increased demand for career services, increased demand for counseling services, decrease in corporate giving, decrease in endowment income, increased competition for fund-raising dollars).
- Federal policy and appropriations.
- Government regulations – federal/state (HIPPA, Americans with Disabilities Act, financial aid reporting requirements, HR related, EPA, OSHA).
- Price increases (off campus programming, library publications, utilities, insurance premiums, etc.).
- Demographics of student population.
- Job market for our graduates.
- The perceived value of different majors that shifts from time to time.
- The requirements of college accrediting bodies (North Central) and individual academic accrediting bodies (chemistry, art, nursing, education, etc.).
- Expectations of employers and graduate schools.
- The growing role of Spanish as a second language in the US.
- World events.
- Notre Dame decisions that impact SMC (performing arts facility, availability of facilities to SMC students, education program, engineering, etc.).
- Local community clinical institutions – able to meet needs of increasing number of nursing majors?
- Collaborative/articulation agreements with other colleges and universities (community college students to Saint Mary's and Saint Mary's students to graduate programs)

***The Contingency Committee is not charged to address or remedy specific departmental situations. Knowing the needs of your department will help us deliver a more informed report. With this in mind, please identify any critical needs that are not currently being met.***

**Answers were specific to individual departments but general concerns included:**

- Staff turnover, the inability to offer promotions to staff that have proven themselves.
- Faculty/staff positions cut in previous cost retrenchment efforts have not been restored.
- More faculty/staff needed to adequately fulfill department mission. (Many departments mentioned this.)
- Space concerns emphasized. (Many departments mentioned this.)
- Technology support.

## **Revenue:**

**It should be noted that specific ideas are currently being considered by the Contingency Planning Committee. The Committee recognizes that after consultation with affected department heads, it may determine that it is not in the best interest of the College to move an idea forward. The Committee also recognizes that there are additional ideas not included in the survey data that should also be considered for inclusion in the report.**

*Can you suggest any revenue generating ideas that could be implemented by your department or the College?*

- Create a task force to study revenue enhancement. Develop policy/procedure for new program approval that would include feasibility, Saint Mary's fit, and costs/benefit analysis. It is important that all costs are included and the impact on various departments (Building Services, Registrar, Financial Aid, etc.) be considered when a revenue enhancement idea is being explored.
- In this section, respondents provided some ideas for possible new degree/majors/minors programs, summer/off-term programs, and miscellaneous revenue-related ideas that are currently being explored by the Committee.

## **Expenses:**

**The answer to the following questions varied by department. After excluding salaries and benefits, most departmental operating budgets are relatively small (there are exceptions, of course) and College savings would be modest. Many indicated that they are already operating at a bare bones level and the opportunities for cuts are limited.**

**It should be noted that the ideas generated are currently being considered by the Contingency Planning Committee. The Committee recognizes that after consultation with affected department heads, it may determine that it is not in the best interest of the College to move an idea forward. The Committee also recognizes that there are additional ideas not included in the survey data that should be considered.**

*If you were asked to make a long-term reduction of your budget that could potentially be permanent, what areas would you target? What would be the outcome of these reductions?*

- Many departments indicated that long-term cuts would seriously undermine the work of the department. Programs would have to be eliminated, buildings shut down, standards lowered, etc. One responded that long-term budget and expense reduction would require very serious consideration, as it would alter the form and format of service delivery. Such a reduction might also significantly impact student as well as staff retention.

- Some indicated an across the board cut with individual departments having control over what gets cut. Others indicated reductions should not be across the board but instead be related to some formula that analyzes cost/benefits of a department. The relative size of the budget should be considered as well.

### **Personnel:**

#### ***What faculty/staff personnel changes do you anticipate in the next five years?***

- There are a number of departments that will experience faculty/staff retirements over the next five to ten years. On the academic side, this should result in a reduction of tenured faculty and a reduction of fully tenured-in departments.
- Several departments indicated a need for additional staff/faculty. On the administrative side, this was often related to the addition of new buildings (Building Services, Grounds, Residence Life, College Bookstore, etc.) Some academic departments expressed a need to add faculty because of new disciplinary needs or prior lost positions. Some anticipated additional staffing is related to government compliance. Some indicated a need for additional staff to cover employees who are sick or on vacation/other leave.
- Turnover in staff in some departments is anticipated (Building Services staff, hall directors, nurses in Health Services, etc.). Often the staff turnover is related to low wages or lack of promotion opportunities.
- Some positions are funded by CWIL and will be affected when the grant runs out.
- Note: Staffing projections were often presented on a “best guess” basis.

#### ***Is it possible to restructure faculty/staff positions (on a voluntary basis) to reduce department employee expense? (such as reducing staff positions from twelve to ten month)***

- The Contingency Plan Committee is currently looking to see if we can formulate any staff-related recommendations for inclusion in the report. As regards restructuring:
  - Restructuring assumes that benefits will be safeguarded.
  - Restructuring assumes the needs of the department will still be met after the change.
  - Some departments indicated restructuring would not be possible because staff time has been reduced as much as possible.
  - This question assumes the restructuring is voluntary. If the restructuring was done on an involuntary basis, it would be important to give an affected employee as much lead time as possible to make personal budgetary adjustments.



*Other than restructuring positions, can you offer alternative ways to reduce employee expense? Can you suggest any non-cash rewards/benefits that would be of interest to your faculty/staff?*

- Responses varied. Non-cash rewards/benefits ideas generally involved improving morale by recognizing employees for positive contributions to the College.

**Concerns:**

- Concerns about the new Contingency Plan:
  - Recommends that the plan be regularly reviewed.
  - Believes there should be an equitable/universal implementation of plan (shared pain by all departments).
  - Recommends that affected departments be consulted prior to plan implementation.
  - Concern that the Committee's work is valued by the new administration.
  - Concerns about the criteria used to make the really hard choices.
  - Wonders what a "contingency situation" is.
  - Concern that the plan will be used even in non-emergency situations
  - Recommends the plan not compromise admission standards, teaching effectiveness, salaries or benefits.
  - Recommends that there be a restoration mechanism in the plan to restore cuts once the crisis has passed.
- Fiscal Concerns
  - That there is a recognition of current understaffing/lean budgets.
  - Concern about the College's current weak financial situation.
  - Lack of financial leadership (no VP for Finance).
  - Concern that top leadership does not support financial controls and accountability.
  - That there haven't been merit raises in at least a decade.
- Concerns about the Committee
  - That the Committee be mindful of strategic issues facing the College
  - A lack of understanding about the Committee's "real purpose" by some members of the College community.
  - Fear that the Committee will not fully appreciate/understand the work of some departments (academic and administrative).

**Other Comments:**

- Favor revenue enhancement efforts over retrenchment. \*

- Concern about the apparent excessive use of consultants.
- Encourages development of new academic programs to recruit new student.\*
- Concern expressed about further cuts when many departments are already understaffed/under funded.\*
- Concerns about program elimination.
- Concern about the transfer of endowed funds.

\* Indicates multiple responses.

### **From the Student Survey Data:**

*Student leaders (BOG, club officers, RA's etc.) were requested to complete a survey. Confidentiality was assured. Approximately 45 completed surveys were returned.*

**What do you, as a student, feel are the most important aspects of student life at Saint Mary's? What do you find indispensable to the Saint Mary's experience?**

- Variety of campus events and activities. (x14 comments)
- Close-knit, friendly community. (x 9 comments)
- The people: faculty and staff, fellow students, student government. (x8)
- Quality, accessible faculty. (x 8)
- Small class size – low faculty-student ratio. (x7)
- Strong academics. (x 6)
- Student clubs and organizations. (x 5)
- Dorm/residence life . (x 4)
- Traditions. (x 3)
- Safety of campus environment. (x 3)
- Women's college. (x 2)
- ND/SMC relationship. (x 2)
- Shuttle service. (x 2)
- Resources in area community/service opportunities. (x 2)
- Spiritual dimension/Campus Ministry. (x 2)
- Alumnae programs/resources. (x 2)
- Beauty of campus.
- Traditional age students.
- High admission standards.
- Strong science program.
- Work-study program.

## **Appendix E**

### **Implementation Points from Harvard Business Press Publications**

The following implementation ideas are directly from the John Kotter book: Leading Change (HBS Press, 1996)

1. It is important to establish a sense of urgency in order to gain needed cooperation. If others don't feel the same sense of urgency, the momentum for change will probably die far short of the finish line. People will find a thousand devious ways to withhold cooperation from a process they sincerely think is unnecessary or wrongheaded.
2. Ways to increase urgency level:
  - A. Financial crisis (problem: gets people's attention but fewer resources available to support new initiatives.)
  - B. Send out data about performance and/or financial situation
  - C. Stop the happy talk (everything is great...)
  - D. Encourage honest discussion
3. A majority of employees, perhaps 75% of management overall and virtually all of top executives need to believe change is essential.
4. Kotter recommends creating a guiding coalition. Because major change is so difficult to accomplish, a powerful force is required to sustain the process. From the outset, the taskforce must have the credibility necessary to provide strong leadership. The taskforce members have to have a commitment to the process and the time to devote to the work at hand. It is necessary to have key players on board so that those left out cannot easily block progress. It is important that members have needed expertise so informed intelligent decisions can be made. Group should include proven leaders with credibility so that others will take their pronouncements seriously. The team must have a common goal - a commitment to excellence, a real desire to make the organization perform to the very highest levels possible. Leaders know how to encourage people to transcend short term parochial interests.
5. Kotter recommends developing a vision and strategy for implementing a change. The vision is a picture of the future with some implicit or explicit commentary on why people should strive to create that future. It motivates people to change even if it is initially painful. (This is how our world is changing and here are compelling reasons why we should set these goals and pursue these new initiatives to accomplish these goals.) A good vision helps to overcome reluctance to do what is often painfully necessary in the short term by being hopeful and motivating. A good vision acknowledges that sacrifices will yield benefits better than the situation we have today.
6. Characteristics of an effective vision:
  - A. Imaginable: conveys a picture of the future
  - B. Desirable: appeals to long-term interests of administrators, faculty, staff, students, and alumnae
  - C. Feasible: realistic and attainable

- D. Focused: Clear enough to provide guidance in decision-making
- E. Communicable: easy to communicate.

7. Communicating the vision: Accepting a vision of the future can be a challenging intellectual and emotional task. Our mind generates a lot of questions: What will this mean for me? My friends and colleagues? The college? What other alternatives are there? Are any of the other options better? If I'm going to have to operate differently, can I do it? Will sacrifices from me be required in the process of achieving the vision? How do I feel about those sacrifices? Do I really believe in this new direction for the future or are others playing some game perhaps to improve their position at my expense? The emotional work involves letting go of the status quo, letting go of other options, coming to grip with sacrifices, coming to trust others. The guiding coalition will have to answer these questions and must realize that others in the organization will go through the same process. The magnitude of the task can unnerve people.

8. How can the vision be successfully communicated?

- A. Keep it simple, focused, jargon free
- B. Use metaphors, analogies – a picture is worth a thousand words
- C. Use many different forums - large group meetings, memos, newsletters, etc.
- D. Repeat, repeat, repeat
- E. Walk the talk - lead by example. The president and the Cabinet can't ask for sacrifice if they are not doing it too. They can't tell people one thing and do another. Nothing undermines communication of the vision more than behavior on part of key players that seems inconsistent with the vision.
- F. Explicitly address seeming inconsistencies. For example, "With all the cost cutting that is going on out of necessity throughout the company, it is inexcusable for any of us to be wasting money, especially on unneeded luxuries. Within this context, we have decided that offices and furnishings of our executives are not justifiable. At present, selling headquarters and moving to less luxurious surroundings would cost more than it would save. But we will continue to look for cost-effective and practical ways to reduce signs of excess." Employees really appreciate this and it helps to increase trust.
- G. Solicit feedback – this helps to fix problems with the plan, where it might be flawed.

9. Kotter believes that people need to have some control over the process.

10. Kotter recommends generating short term wins to build credibility and sustain the effort over the long haul. Naysayers need proof early on that the organization is on the right track. Short term wins don't just happen. The guiding coalition should identify a few specific efforts - mini-projects that can be planned, organized, and successfully implemented. Results should be communicated to the college community. Keep the community informed throughout the process.

The following points are directly from the Jeanie Duck article "Managing Change: The Art of Balance", The Harvard Business Review on Change (HBS Press, 1998)

1. When it comes to managing change, the model for dealing with operational issues doesn't work. It's like the company is undergoing five medial procedures at the same time - one person is in charge of the root canal, one setting the broken foot, one the displaced shoulder... each operation is successful but the patient dies of shock. The proper metaphor for managing change is balancing a mobile. In managing change, the critical task is understanding how pieces balance off one another, how changing one element changes the rest, how sequencing and pace affect the whole structure.

2. Duck recommends a team to manage the plan. Managing change means managing conversation between the people leading the change effort and those who are expected to implement the new strategies, managing the organizational context in which change can occur, and managing the emotional connections...

3. Remember that everything that is or is not done sends a message. Typically the President announces - we need to make some changes so I am going to appoint a taskforce that will come up with a plan. The taskforce goes to work and is under a deadline. Nothing is yet communicated to the community. This alone sends a message - we are busy figuring out your future - we'll tell you what it is when we're ready. Gossip fills the vacuum. Usually rumors are much worse and more negative than anything that is actually going on. When taskforce members put off communicating with the rest of the organization, they prevent people from understanding the design principles that guided them, the lessons they learned from previous experience and the trade-offs they had to make. They unwittingly prevent the people who are expected to implement the plan from participating or buying in. The crucial lesson here is that everything managers say or don't say delivers a message. This is particularly true during a change effort, when rumors run rampant. It is important for the messages to be consistent, clear and endlessly repeated.

4. When it comes to change, people don't believe in the new direction because they suspend their disbelief. They believe because they're actually seeing behavior, action, and results that lead them to conclude that the program works.

5. One of the paradoxes of change is that trust is hardest to establish when you need it most. If the organization is in trouble, or if it is in the middle of a change effort, lack of trust automatically emerges as a serious barrier. This is explained in part by Maslow's Pyramid, the hierarchy of human needs. At the top of the pyramid, where people would like to be focusing, is our need to be self-actualized, to realize and integrate our talents, intellect, values, and physical and emotional needs. At the bottom of the pyramid, Maslow put physical security, the need everyone has to feel safe from danger, harm or risk. Feeling a sense of job security is important to meeting this most basic need. Trust in a time of change is based on two things - predictability and capability. What are the ground rules? Will I be able to influence what happens to me? My department?